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PREPARED FOR:
City of Los Angeles,
Department of City Planning

PREPARED BY:
City of Los Angeles,
Department of City Planning
+
Technical Advisory Panel:
Eyestone Environmental, LLC
Ascent Environmental
Dudek
ESA
Michael Baker
Placeworks
Rincon Consultants
Sirius Environmental
TAHA

AIR QUALITY AND

HEALTH EFFECTS

SIERRA CLUB V. COUNTY OF FRESNO

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INTRODUCTION

In response to the California Supreme Court decision on December 24, 2018, *Sierra Club v. County of Fresno (Friant Ranch)*, this paper provides a supplemental discussion on the potential for identifiable health impacts to result from air pollutants analyzed in City of Los Angeles (City) environmental documents prepared pursuant to the California Environmental Quality Act (CEQA). The discussion focuses on significant impacts identified in City Environmental Impact Reports (EIRs) and the feasibility of directly relating any identified significant adverse air quality impact to likely health consequences. The Supreme Court opinion in *Friant Ranch* requires projects with significant air quality impacts to “relate the expected adverse air quality impacts to likely health consequences or explain why it is not feasible at the time of drafting to provide such an analysis, so that the public may make informed decisions regarding the costs and benefits of the project” (*Friant Ranch*, page 6). The *Friant Ranch* decision also states that providing “only a general description of symptoms that are associated with exposure”... “fail[s] to indicate the concentrations at which such pollutants would trigger the identified symptoms....” and “the public would have no idea of the health consequences that result when more pollutants are added to a nonattainment basin”. This paper provides information to the public regarding health consequences associated with exposure to air pollutants and explains why direct correlation of a project’s pollutant emissions and anticipated health effects is currently infeasible, as no expert agency has approved a quantitative method to reliably and meaningfully translate mass emission estimates of criteria air pollutants to specific health effects for the scale of projects typically analyzed in City EIRs.

BACKGROUND AND METHODOLOGY

The purpose of CEQA is to inform the public as to the potential for a proposed project to result in one or more significant adverse effects on the environment (including health effects). This includes the potential for a project to result in a considerable contribution towards one or more significant cumulative impacts. CEQA does not require detailed analysis of impacts that are found to be less than significant or less than a considerable contribution to a significant cumulative impact.

In accordance with CEQA requirements and the CEQA review process, the City assesses air quality impacts of proposed local plans and development projects, requires mitigation of potentially significant air quality impacts by conditioning discretionary permits, and monitors and enforces implementation of such mitigation. The State CEQA Guidelines Section 15064.7 states that the significance criteria established by the applicable air quality management district or air pollution control district, when available, may be relied upon to make determinations of significance. The City is located within the South Coast Air Basin (Air Basin), under the jurisdiction of the South Coast Air Quality Management District (SCAQMD). The City defers to threshold guidance established by the SCAQMD and utilizes the SCAQMD's *CEQA Air Quality Handbook* (approved by the AQMD Governing Board in 1993) and subsequent guidance provided on the SCAQMD website¹. The SCAQMD is currently in the process of developing an *Air Quality Analysis Guidance Handbook* to replace the 1993 Handbook.

In addition, when considering potential air quality impacts under CEQA, consideration is given to the location of sensitive receptors within close proximity to land uses that emit toxic air contaminants (TACs). The California Air Resources Board (CARB) has published and adopted the *Air Quality and Land Use Handbook: A Community Health Perspective* (2005), which considers impacts to sensitive receptors from facilities that emit TAC emissions. CARB has also published *Strategies to Reduce Air Pollution Exposure Near High-Volume Roadways: Technical Advisory*, a supplement to the handbook that is intended to provide scientifically based strategies to reduce exposure to traffic emissions near high-volume roadways in order to protect public health and promote equity and environmental justice. The SCAQMD has also adopted land use planning guidelines in

¹ SCAQMD, *Air Quality Analysis Guidance*, <http://www.aqmd.gov/home/rules-compliance/ceqa/air-quality-analysis-handbook#>. Accessed August 2019.

the *Guidance Document for Addressing Air Quality Issues in General Plans and Local Planning* (2005). Together, the documents introduce land use-related policies and strategies that rely on design and distance parameters to minimize emissions and lower potential health risks.

It should also be noted that a host of other regional and local plans also generally address issues of air quality and public health. These include the Southern California Association of Governments (SCAG's) Regional Transportation Plan/Sustainable Communities Strategy (2016 RTP/SCS), SCAQMD's Air Quality Management Plan (AQMP), City of Los Angeles' General Plan (including the Framework, Air Quality, Mobility 2035, and Health and Wellness Elements), and City of Los Angeles' Green New Deal (Sustainable pLAN 2019). These contain policies and programs for the protection of the environment and health through improved air quality and serve to provide additional critical guidance for the betterment of public health for the region and City.

CEQA THRESHOLDS OF SIGNIFICANCE

Certain air pollutants have been recognized to cause notable health problems and consequential damage to the environment either directly or in reaction with other pollutants, due to their presence in elevated concentrations in the atmosphere. Such pollutants have been identified and regulated as part of an overall endeavor to prevent further deterioration and facilitate improvement in air quality. The National Ambient Air Quality Standards (NAAQS) and California Ambient Air Quality Standards (CAAQS) have been set at levels considered safe to protect public health, including the health of sensitive populations such as asthmatics, children, and the elderly with a margin of safety, and to protect public welfare, including protection against decreased visibility and damage to animals, crops, vegetation, and buildings². As the scientific methods for the study of air pollution health effects have progressed over the past decades, adverse effects have been shown to occur at lower levels of exposure. For some pollutants, no clear thresholds for effects have been demonstrated. New findings over time have, in turn, led to the revision and lowering of NAAQS which, in the judgment of the U.S. Environmental Protection Agency (EPA), are necessary to protect public health. Ongoing assessments of the scientific evidence from health studies continue to be an important part of setting and informing revisions to federal and state air quality standards³.

The six principal pollutants for which national and state criteria and standards have been promulgated, known as "criteria pollutants", and which are most relevant to current air quality planning and regulation in the

² U.S. EPA, *NAAQS Table*, <https://www.epa.gov/criteria-air-pollutants/naaqs-table>. Accessed July 2019.

³ SCAQMD, *Final 2016 AQMP*, 2017. Appendix I-69. <https://www.aqmd.gov/docs/default-source/clean-air-plans/air-quality-management-plans/2016-air-quality-management-plan/final-2016-aqmp/appendix-i.pdf?sfvrsn=14>. Included as Attachment 1 of this memorandum.

Air Basin include: ozone (O_3), respirable and fine particulate matter (PM_{10} and $PM_{2.5}$), carbon monoxide (CO), nitrogen dioxide (NO_2), sulfur dioxide (SO_2), and lead (Pb). The State of California has also set standards for sulfates (SO_4), which are a component of particulate matter, and a nuisance odor standard for hydrogen sulfide (H_2S). The Air Basin is currently in non-attainment and exceeds air quality standards for two criteria pollutants: ozone and particulate matter. The Los Angeles County portion of the Air Basin is also designated non-attainment for lead.

Although the SCAQMD's primary mandate is attaining the State and National Ambient Air Quality Standards for criteria pollutants within the district, SCAQMD also has a general responsibility pursuant to the Health and Safety Code §41700 to control emissions of air contaminants and prevent endangerment to public health. Additionally, state law requires the SCAQMD to implement airborne toxic control measures (ATCM) adopted by the California Air Resources Board (CARB), and to implement the Air Toxics "Hot Spots" Act. As a result, the SCAQMD has regulated pollutants other than criteria pollutants such as volatile organic compounds (VOCs), TACs, greenhouse gases, and stratospheric ozone depleting compounds. The SCAQMD has developed a number of rules to control non-criteria pollutants from both new and existing sources. These rules originated through state directives, Clean Air Act (CAA) requirements, or the SCAQMD rulemaking process.

As such, in addition to criteria pollutants, VOCs and TACs are also of concern in the Air Basin. Some VOCs are also classified by the state as TACs. While there are no specific VOC ambient air quality standards, VOCs are a prime component (along with NO_x) of the photochemical processes by which such criteria pollutants as ozone, nitrogen dioxide, and certain fine particles are formed. They are therefore regulated as "precursors" to formation of these criteria pollutants.

TACs is a term used to describe airborne pollutants that may be expected to result in an increase in mortality or serious illness or which may pose a present or potential hazard to human health, and include both carcinogens and non-carcinogens. CARB and the California Office of Environmental Health Hazard Assessment (OEHHA) determine if a substance should be formally identified, or "listed," as a TAC in California. CARB has listed approximately 200 toxic substances, including those identified by the EPA, which are identified on the California Air Toxics Program's TAC List. TACs are also not classified as "criteria" air pollutants. The effects of TACs can be diverse and their health impacts tend to be local rather than regional; consequently ambient air quality standards for these pollutants have not been established, and analysis of health effects is instead based on cancer risk and exposure levels.

To achieve and maintain air quality standards, the SCAQMD has established numerical emission indicators of significance for regional and localized air quality impacts for both construction and operational phases of a local plan or project. The SCAQMD has established the thresholds based on "scientific and factual data that is contained in the federal and state Clean Air Acts" and recommends "that these thresholds be used by

lead agencies in making a determination of significance.”⁴ The numerical emission indicators are based on the recognition that the Air Basin is a distinct geographic area with a critical air pollution problem for which ambient air quality standards have been promulgated to protect public health⁵. SCAQMD’s thresholds identified below represent the maximum emissions from a plan or project that are not expected to cause or contribute to an exceedance of the most stringent applicable national or state ambient air quality standard. By analyzing a plan or project’s emissions against the thresholds, EIRs assess whether these emissions directly contribute to any regional or local exceedances of the applicable ambient air quality standards and exposure levels.

Note: In the thresholds referenced below, “emissions” refer to the actual quantity of pollutant measured in pounds per day (ppd). “Concentrations” refer to the amount of pollutant material per volumetric unit of air and are measured in parts per million (ppm), parts per billion (ppb), or micrograms per cubic meter (µg/m³).

Construction (Regional and Localized)

Given that construction impacts are temporary and limited to the construction phase, the SCAQMD has established numeric indicators of significance specific to construction activity. Based on the indicators in the SCAQMD *CEQA Air Quality Handbook*, a project would potentially cause or contribute to an exceedance of an ambient air quality standard if the following would occur:

- Regional construction emissions from both direct and indirect sources would exceed any of the following SCAQMD prescribed daily emissions thresholds:⁶
 - 75 pounds per day for VOC
 - 100 pounds per day for NO_x
 - 550 pounds per day for CO
 - 150 pounds per day for SO₂
 - 150 pounds per day for PM₁₀
 - 55 pounds per day for PM_{2.5}

In addition, the SCAQMD has developed a methodology to assess the potential for localized emissions to cause an exceedance of applicable ambient air quality standards or ambient concentration limits. The localized significance thresholds are only applicable to NO_x, CO, PM₁₀ and PM_{2.5}. The SCAQMD has established conservative screening criteria that can be used to determine the maximum allowable daily emissions that would satisfy the localized significance thresholds and therefore not cause or contribute to an exceedance of the applicable

⁴ SCAQMD, *CEQA Air Quality Handbook 1993*, Page 6-2.

⁵ Ibid.

⁶ SCAQMD, *Air Quality Significance Thresholds*, March 2015. <http://www.aqmd.gov/docs/default-source/ceqa/handbook/scaqmd-air-quality-significance-thresholds.pdf?sfvrsn=2>. Accessed August 2019.

ambient air quality standards without project-specific dispersion modeling. The screening criteria depend on: (1) the area in which the Project is located, (2) the size of the Project Site, and (3) the distance between the Project Site and the nearest sensitive receptor. Otherwise, impacts would be considered significant if the following would occur:

- Maximum daily localized emissions of NO_x and/or CO during construction are greater than the applicable localized significance thresholds, resulting in predicted ambient concentrations in the vicinity of the Project Site greater than the most stringent ambient air quality standards for NO₂ and/or CO.⁷
- Maximum daily localized emissions of PM₁₀ and/or PM_{2.5} during construction are greater than the applicable localized significance thresholds, resulting in predicted ambient concentrations in the vicinity of the Project Site to exceed 10.4 µg/m³ over 24 hours (SCAQMD Rule 403 control requirement).

Operation (Regional and Localized)

Based on the numeric indicators of significant in the SCAQMD *CEQA Air Quality Handbook*, a project would potentially cause or contribute to an exceedance of an ambient air quality standard if the following would occur:

- Operational emissions exceed any of the following SCAQMD daily regional numeric indicators:⁸
 - 55 pounds a day for VOC
 - 55 pounds per day for NO_x
 - 550 pounds per day for CO
 - 150 pounds per day for SO₂
 - 150 pounds per day for PM₁₀
 - 55 pounds per day for PM_{2.5}

In addition, the SCAQMD has developed a methodology to assess the potential for localized emissions to cause an exceedance of applicable ambient air quality standards. The localized significance thresholds are only applicable to NO_x, CO, PM₁₀ and PM_{2.5}. The SCAQMD has established conservative screening criteria that can be used to determine the maximum allowable daily emissions that would satisfy the localized significance thresholds and therefore not cause or contribute to an exceedance of the applicable ambient air quality

⁷ SCAQMD, *Final Localized Significance Threshold Methodology*, 2008, <http://www.aqmd.gov/home/regulations/ceqa/air-quality-analysis-handbook/localized-significance-thresholds>. Accessed August 2019.

⁸ SCAQMD, *Air Quality Significance Thresholds*, March 2015. <http://www.aqmd.gov/docs/default-source/ceqa/handbook/scaqmd-air-quality-significance-thresholds.pdf?sfvrsn=2>. Accessed August 2019.

standards without project-specific dispersion modeling. The screening criteria depend on: (1) the area in which the Project is located, (2) the size of the Project Site, and (3) the distance between the Project Site and the nearest sensitive receptor. Otherwise, impacts would be considered significant if the following would occur:

- Maximum daily localized emissions of NO_x and/or CO during operation are greater than the applicable localized significance thresholds, resulting in predicted ambient concentrations in the vicinity of the Project Site greater than the most stringent ambient air quality standards for NO₂ and/or CO⁹.
- Maximum daily localized emissions of PM₁₀ and/or PM_{2.5} during operation are greater than the applicable localized significance thresholds, resulting in predicted ambient concentrations in the vicinity of the Project Site to exceed 2.5 µg/m³ over 24 hours (SCAQMD Rule 1303 allowable change in concentration).

Toxic Air Contaminants

Based on the criteria set forth by the SCAQMD, the Project would expose sensitive receptors to substantial concentrations of TACs if any of the following would occur¹⁰:

- The Project emits carcinogenic materials or TACs that exceed the maximum incremental cancer risk of 10 in 1 million or a cancer burden greater than 0.5 excess cancer cases (in areas greater than or equal to 1 in 1 million) or an acute or chronic hazard index of 1.0.

AVAILABLE MODELS

Current models used in CEQA in air quality analyses are designed to calculate and disclose the mass emissions expected from the construction and operation of a proposed project. The estimated emissions are then compared to significance thresholds, which are in turn, keyed to reducing emissions to levels that will not interfere with the region's ability to attain the health-based standards. While this serves to protect public health in the overall region, there is currently no methodology to determine the impact of emissions (e.g., pounds per

⁹ SCAQMD, *Final Localized Significance Threshold Methodology*, 2008, <http://www.aqmd.gov/home/regulations/ceqa/air-quality-analysis-handbook/localized-significance-thresholds>. Accessed August 2019.

¹⁰ SCAQMD, *CEQA Air Quality Handbook*, Chapter 6 (Determining the Air Quality Significance of a Project) and Chapter 10 (Assessing Toxic Air Pollutants), 1993; *South Coast Air Quality Management District Air Quality Significance Thresholds*, March 2015, <http://www.aqmd.gov/docs/default-source/ceqa/handbook/scaqmd-air-quality-significance-thresholds.pdf?sfvrsn=2>. Accessed August 2019.

day) on concentration levels (e.g., parts per million or micrograms per cubic meter) in specific geographic areas.¹¹

Based on SCAQMD guidance, the City utilizes the California Emissions Estimator Model (CalEEMod) to quantify construction and operational air quality impacts from land use projects. Potential TAC impacts are evaluated by conducting a qualitative analysis consistent with CARB and SCAQMD guidance, and may be followed by a more detailed analysis utilizing CARB's Hotspots Analysis and Reporting Program (HARP model) where the project results in a substantial source of TACs or if a project would site sensitive land uses in proximity to TAC sources. However, although CARB and SCAQMD provide guidance for TAC analysis, most land use projects analyzed in City EIRs do not contain substantial on-site sources of TACs, and siting new sensitive uses near existing TAC sources is generally not considered a CEQA impact.

The following table provides a summary of other common available air quality models and identifies their general purposes as well as limitations in quantifying emissions and health effects. Although there are a number of other models available (e.g. models to quantify emissions, dispersion models to determine pollutant concentrations, and regional-scale models which estimate health impacts), this suite of tools is currently not designed to meet the City's need to accurately analyze project-level health effects:

| MODEL | SOURCE | PURPOSE | LIMITATIONS |
|---|---------------------------------------|---|---|
| CalEEMod California Emissions Estimator Model | SCAQMD | CalEEMod is a statewide land use emissions computer model designed to provide a uniform platform for government agencies, land use planners, and environmental professionals to quantify potential criteria pollutant and greenhouse gas (GHG) emissions associated with both construction and operational from a variety of land use projects. | The model can quantify emissions, but is not able to model concentrations or dispersion of pollutants or related health effects. |
| AERMOD | USEPA/American Meteorological Society | AERMOD models the dispersion of criteria air pollutant emissions over a period of time from discrete emission sources across a defined spatial boundary and can help inform exceedance of pollutant concentration standards. AERMOD provides more refined modeling than AERSCREEN, since it uses actual meteorological data (rather than simulated data) for the vicinity of the project site. <i>NOTE:</i> The U.S. EPA has adopted the | AERMOD can estimate pollutant concentrations of NO _x , NO ₂ , CO, SO ₂ , PM ₁₀ , PM _{2.5} , total suspended particulates, lead, and other pollutants. However, AERMOD cannot estimate concentrations of VOCs, O ₃ or secondary PM. While AERMOD can estimate concentrations for certain pollutants, no methods have been demonstrated to reliably and meaningfully connect pollutant concentrations to specific health effects. |

¹¹ SMAQMD, *Friant Ranch Interim Recommendation*, 2019.

<http://www.airquality.org/LandUseTransportation/Documents/FriantInterimRecommendation.pdf>. Accessed August 2019. Included as Attachment 4 of this memorandum.

| MODEL | SOURCE | PURPOSE | LIMITATIONS |
|---|----------------|--|--|
| | | AERMOD air dispersion model into its list of regulatory approved models in place of the previously used ISCST3 (Industrial Source Complex Short Term) model and CARB recommends AERMOD, instead of ISCST3, for Hot Spots risk assessments. | |
| AERSCREEN | USEPA | AERSCREEN is a screening version of the AERMOD dispersion model , intended to produce concentration estimates that are equal to or greater than the estimates produced by AERMOD with a fully developed set of meteorological and terrain data, but the degree of conservatism will vary depending on the application. This program is useful as a screening Health Risk Assessment (HRA) for minor or temporary sources such as construction-only projects. | As with AERMOD, AERSCREEN can estimate concentrations for certain pollutants; however, AERSCREEN does not connect pollutant concentrations to specific health effects. |
| BenMAP-CE Environmental Benefits Mapping and Analysis Program - Community Edition | USEPA | BenMAP-CE is a regional-scale model that can be used to estimate the resulting health impacts from change in ambient PM _{2.5} concentrations for related health endpoints such as premature mortality, hospital admissions, and emergency room visits. The USEPA CMAQ model can be used to predict changes in the ambient air concentration of ozone, the results of which can be used in BenMAP-CE to estimate the resulting health impacts. | The model is used for assessing impacts over large areas and populations and is not intended to be used for individual projects, as it would not provide meaningful or reliable results at the smaller scale. |
| CalEnviroScreen California Communities Environmental Health Screening Tool | OEHHA & CalEPA | CalEnviroScreen is a mapping tool that helps identify California communities that are most affected by many sources of pollution, identified by a data-driven scoring system. | While the tool is useful to identify communities disproportionately burdened by certain pollutants, the tool is not used to track or model dispersal of project emissions. |
| CALINE-4 | Caltrans | CALINE-4 is a line-source dispersion model for predicting air pollutant concentrations at receptors near highways and arterial streets, specifically for CO, NO _x , and PM. Caltrans guidance recommends only utilizing the tool for CO hot-spot analysis, and does not recommend using CALINE-4 to analyze any other pollutant. | CALINE-4 is limited to estimating concentrations of CO, NO _x , and PM from line sources such as roadways. CALINE-4 does not have the capability to evaluate concentrations of O ₃ or secondary PM, or concentrations from other types of emissions sources (e.g., point, volume, or area sources). CALINE-4 is also not able to connect pollutant concentrations to specific health effects. |

| MODEL | SOURCE | PURPOSE | LIMITATIONS |
|---|-------------------|---|--|
| CAMx Compressive Air Quality Model | Ramboll & Environ | CAMx is a grid-based dispersion model that simulates the chemical interactions and three-dimensional dispersion patterns on a regional, statewide, and national scale. | Since CAMx is designed to model emissions on a regional, statewide, and national scale, it is unsuitable for project-level analysis. |
| CMAQ Community Multiscale Air Quality Modeling System | USEPA | CMAQ is an atmospheric dispersion model consisting of a suite of programs for conducting air quality model simulations. CMAQ combines current knowledge in atmospheric science and air quality modeling, multi-processor computing techniques, and an open-source framework to deliver estimates of ozone, particulates, toxics and acid deposition. The program can be used to predict the concentration and deposition of both criteria pollutants and TACs. | There are limitations on the minimum modeling domain at which the model is still reasonably accurate. (e.g. the EPA recommends nesting a local regional model within a larger regional domain. However, the EPA recognized that expanding to a larger regional domain needs more data, which currently may not be available to the public. In addition, the minimum resolution of the CMAQ model is 1 sq. km., meaning that it would have difficulty in modeling impact areas that are less than 247 acres with meaningful or reliable results.) |
| EMFAC EMissions FACTor | CARB | EMFAC2017 is used to estimate emissions from on-road vehicles in California. | The model can quantify emissions, but is not able to model concentrations or dispersion of pollutants or related health effects. |
| HARP Hotspots Analysis and Reporting Program | CARB | HARP is a software suite that addresses the programmatic requirements of the Air Toxics "Hot Spots" Program (Assembly Bill 2588) and can perform air dispersion runs and health risk assessments , as well as can create and manage facility and emissions data. HARP is useful for determining how increases in specific TAC concentrations could affect receptors in terms of the increased cancer risks, chronic hazards, and acute hazards. | The tool is not used for evaluation of criteria air pollutants and related health effects. |
| OFFROAD | CARB | OFFROAD calculates emissions from off-road sources. The OFFROAD model is now being replaced by category specific methods and inventory models that are being developed for specific regulatory support projects. | The model can quantify emissions, but is not able to model concentrations or dispersion of pollutants or related health effects. In addition, the model is not comprehensive and lacks emissions forecasts for certain types of equipment. |
| Roadway Construction Emissions Model | SMAQMD | The model can be used to assist roadway project proponents with determining the emission impacts of their projects. | The Roadway Construction Emissions Model can quantify emissions, but is not able to model concentrations or dispersion of pollutants or related health effects. |

As demonstrated above, while a number of models and tools are available to quantify emissions and pollutant concentrations, these models are limited by a number of factors in determining health impacts of individual development and infrastructure projects as well as local plan-level projects. The USEPA currently performs health impact assessments (HIAs) using the CMAQ model for pollutant transport modeling and BENMAP for health impact calculations. However, as described in further detail below, these models are designed to estimate health impacts over a large scale (e.g. city-wide, state-wide). In addition, the CMAQ model requires inputs such as regional sources of pollutants and global meteorological data, which are generally not accessible. In addition to the unsuitability of regional models in providing reliable results for local-level plans or individual projects, other general limitations of the current suite of models include limitations on the ability of certain tools to model concentrations or the dispersion of pollutants for all types of sources, other models only addressing a partial and incomplete range of pollutants and secondary pollutants, and limitations on being able to correlate identified concentrations to related health effects.

As such, neither the SCAQMD, CARB, “nor any air district currently have methodologies that would provide Lead Agencies and CEQA practitioners with a consistent, reliable, and meaningful analysis to correlate specific health impacts that may result from a proposed project’s mass emissions”.¹²

¹² SMAQMD, *Friant Ranch Interim Recommendation*, 2019.

<http://www.airquality.org/LandUseTransportation/Documents/FriantInterimRecommendation.pdf>. Accessed August 2019. Included as Attachment 4 of this memorandum.

AIR QUALITY AND HEALTH EFFECTS

The following information and analysis of health effects is relevant where a City EIR concludes that regional or localized air pollutant emissions would exceed the SCAQMD's thresholds of significance identified above and such impacts are deemed significant and unavoidable.

Ambient air pollution is a general public health concern, and in particular, Southern California has a long and well-documented history in battling poor air quality. Since the mid-20th century, the greater Los Angeles region has been at the forefront of air pollution science, low-emissions technology development, and innovative air quality regulation. These efforts have led to substantial and noticeable improvements in air quality and public health within the South Coast Air Basin, all during a period of dramatic increases in economic activity, population, and vehicle miles traveled. Despite these successes, the health of the region's residents continues to be seriously affected by the poor air quality that confronts the region.¹³ Ambient air pollution continues to be linked to increases in respiratory illness (morbidity) and increases in death rates (mortality).¹⁴

Air pollution has many effects on the health of both adults and children. Adverse health outcomes linked to air pollution include asthma, cardiovascular effects, premature mortality, respiratory effects, cancer, reproductive effects, neurological effects, and other health outcomes.

The evidence linking these effects to air pollutants is derived from population based (i.e., large-scale) observational and field studies (epidemiological) as well as controlled laboratory studies involving human subjects and animals. There have been an increasing number of studies focusing on the mechanisms (that is, on learning how specific organs, cell types, and biochemicals are involved in the human body's response to air pollution) and specific pollutants responsible for individual effects. Yet the underlying biological pathways for these effects are not always clearly understood.

¹³ SCAQMD, *Final 2016 AQMP*, 2017, Page Preface. <http://www.aqmd.gov/home/air-quality/clean-air-plans/air-quality-mgt-plan/final-2016-aqmp>. Accessed August 2019.

¹⁴ SCAQMD, *Final 2016 AQMP*, 2017, Page Appendix I-1. <http://www.aqmd.gov/home/air-quality/clean-air-plans/air-quality-mgt-plan/final-2016-aqmp>. Accessed August 2019. Included as Attachment 1 of this memorandum.

Although individuals inhale pollutants as a mixture under ambient conditions, the regulatory framework and the control measures developed are mostly pollutant-specific. Individual pollutants usually differ in their sources, their times and places of occurrence, the kinds of health effects they may cause, and their overall levels of health risk. To meet the air quality standards, comprehensive plans are developed, including the Air Quality Management Plan (AQMP) and Regional Transportation Plan/Sustainable Communities Strategy (RTP/SCS). These plans examine multiple pollutants, cumulative effects, and transport issues related to attaining healthful air quality in the region. In addition, a host of regulatory standards function to identify and limit exposure of air pollutants and toxic air contaminants.

HEALTH EFFECTS ADDRESSED IN PLANS AND REGULATORY STANDARDS

As previously stated, the NAAQS and CAAQS have been set at levels considered safe to protect public health. These standards are informed by and revised based on evolving scientific evidence of air pollution health effects. The SCAQMD (together with SCAG) has the responsibility for ensuring that national and state ambient air quality standards are achieved and maintained throughout the Air Basin. Failure to comply with these standards puts state and local agencies at risk for penalties such as: lawsuits, fines, a federal takeover of state implementation plans, and a loss of funds from federal agencies such as the Federal Highway Administration and Federal Transit Administration.

Criteria Pollutants

To meet the standards, the SCAQMD has adopted a series of AQMPs, which serve as a regional blueprint to develop and implement an emission reduction strategy that will bring the area into attainment with the standards in a timely manner. The 2016 AQMP includes strategies to ensure that rapidly approaching attainment deadlines for ozone and PM_{2.5} are met and that public health is protected to the maximum extent feasible. The most significant air quality challenge in the Air Basin is to reduce NO_x emissions¹⁵ sufficiently to meet the upcoming ozone standard deadlines, as NO_x plays a critical role in the creation of ozone. The AQMP's strategy to meet the 8-hour ozone standard in 2023 should lead to sufficient NO_x emission reductions to attain the 1-hour

¹⁵ NO_x emissions are a precursor to the formation of both ozone and secondary PM_{2.5}.

ozone standard by 2022. Since NO_x emissions also lead to the formation of $\text{PM}_{2.5}$, the NO_x reductions needed to meet the ozone standards will likewise lead to improvement of $\text{PM}_{2.5}$ levels and attainment of $\text{PM}_{2.5}$ standards.¹⁶¹⁷

The SCAQMD's strategy to meet national and state standards distributes the responsibility for emission reductions across federal, state and local levels and industries. The 2016 AQMP is composed of stationary and mobile source emission reductions from traditional regulatory control measures, incentive-based programs, co-benefits from climate programs, mobile source strategies, and reductions from federal sources, which include aircraft, locomotives and ocean-going vessels. These strategies are to be implemented in partnership with the CARB and U.S. EPA. In addition, SCAG recently approved their 2016-2040 Regional Transportation Plan/Sustainable Communities Strategies (2016-2040 RTP/SCS) Plan¹⁸ which includes transportation programs, measures, and strategies generally designed to reduce vehicle miles traveled (VMT), which are contained in the AQMP.

Pursuant to California Health and Safety Code Section 40460, SCAG has the responsibility of preparing and approving the portions of the AQMP relating to the regional demographic projections and integrated regional land use, housing, employment, and transportation programs, measures, and strategies. The SCAQMD combines its portion of the Plan with those prepared by SCAG.¹⁹ The RTP/SCS and Transportation Control Measures, included as Appendix IV-C of the 2016 AQMP for the Air Basin, are based on SCAG's 2016-2040 RTP/SCS.

The 2016 AQMP forecasts the 2031 emissions inventories "with growth" based on SCAG's 2016-2040 RTP/SCS. The region is projected to see a 12 percent growth in population, 16 percent growth in housing units, 23 percent growth in employment, and 8 percent growth in vehicle miles traveled between 2012 and 2031. Despite this regional growth, air quality has improved substantially over the years, primarily due to the effects of air quality control programs at the local, state and federal levels. Figure 1, provided below, shows the trends since 1990 of the 8-hour ozone levels, the 1-hour ozone levels, and annual average $\text{PM}_{2.5}$ concentrations (since 1999), compared to the regional gross domestic product, total employment and population. Human activity in the region has an impact on achieving reductions in emissions. However, the ozone and particulate matter levels continue

¹⁶ Estimates are based on the inventory and modeling results and are relative to the baseline emission levels for each attainment year (see Final 2016 AQMP for detailed discussion).

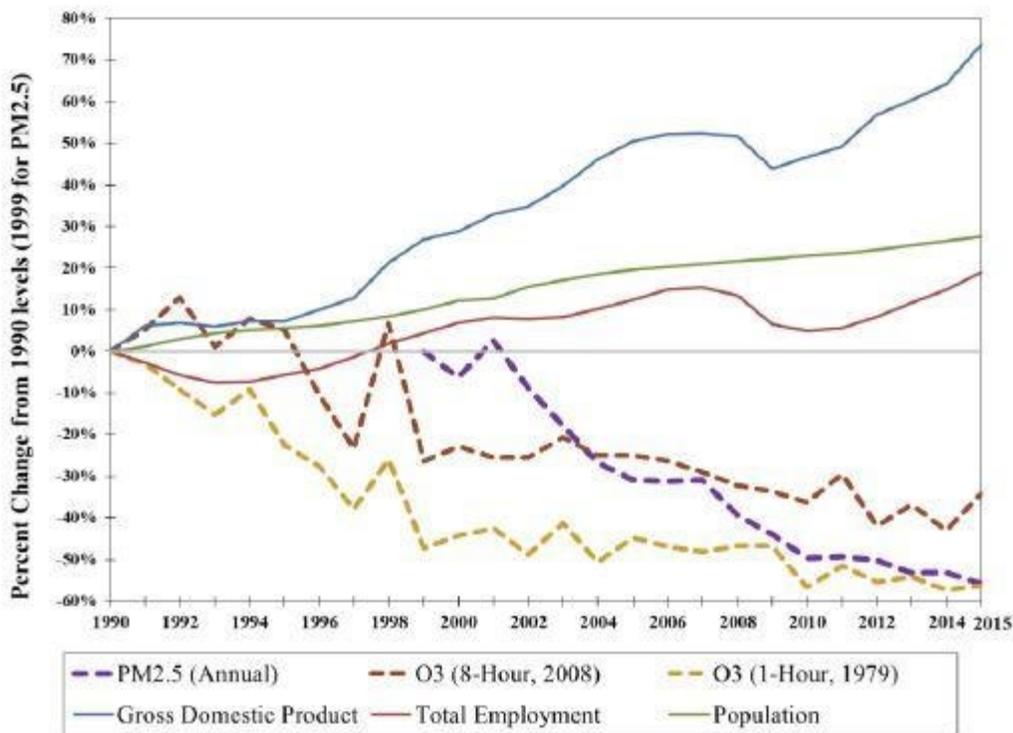
¹⁷ SCAQMD, *Final 2016 AQMP*, 2017. Page ES-2. <http://www.aqmd.gov/home/air-quality/clean-air-plans/air-quality-mgt-plan/final-2016-aqmp>. Accessed August 2019.

¹⁸ SCAG, *Final 2016 RTP/SCP*, 2016 <http://scagrtpscs.net/Pages/FINAL2016RTPSCS.aspx>. Accessed August 2019.

¹⁹ SCAQMD, *Final 2016 AQMP*, 2017. Page ES-2. <http://www.aqmd.gov/home/air-quality/clean-air-plans/air-quality-mgt-plan/final-2016-aqmp>. Accessed August 2019.

to trend downward as the economy and population increase, demonstrating that it is possible to maintain a healthy economy while improving public health through air quality improvements.²⁰

Figure 1:
Percent Change in Air Quality Along with
Demographic Data for the 4-County Region (1990-2015)



Source: SCAQMD, Figure 1-4 of the Final 2016 AQMP.

Consistency with AQMP and 2016-2040 RTP/SCS Growth Assumptions

As discussed above, the 2016 AQMP incorporates the SCAG 2016-2040 RTP/SCS and updated emission inventory methodologies for various source categories to demonstrate attainment with applicable state and federal standards. With regard to land use, the 2016-2040 RTP/SCS land use control measures (i.e., goals and policies) focus on the reduction of vehicle trips and VMT.

The City's EIRs provide an analysis of a project's consistency with both the AQMP and the 2016-2040 RTP/SCS. The 2016-2040 RTP/SCS is expected to help SCAG reduce VMT, with reductions in per capita transportation emissions of 18 percent by 2035 and 21-percent by 2040. In addition, the 2016-2040 RTP/SCS provides a 2012 Base Year projected daily Total VMT per capita of 21.5 and 18.4 daily Total VMT per capita for the

²⁰ SCAQMD, *Final 2016 AQMP*, 2017. Page 1-6. <http://www.aqmd.gov/home/air-quality/clean-air-plans/air-quality-mgt-plan/final-2016-aqmp>. Accessed August 2019.

2040 Plan Year. As the AQMP control strategy is based on projections from local General Plans, projects which are consistent with local General Plans are considered consistent with the growth assumptions of the air quality related regional plans and their emissions are assumed to be accounted for in the AQMP emissions inventory. Projects which include amendments to General or Specific Plans, or are considered significant projects, undergo further scrutiny for AQMP consistency.

Toxic Air Contaminants

In addition, the state's California Air Toxics Program is an established two-step process of risk identification and risk management to address potential health effects from exposure to toxic substances in the air. In the risk identification step, CARB and OEHHA determine if a substance should be formally identified, or "listed," as a TAC in California. In the risk management step, CARB reviews emission sources of an identified TAC to determine whether regulatory action is needed to reduce risk. Based on results of that review, CARB has promulgated a number of ATCMs, both for mobile and stationary sources. These ATCMs include measures such as limits on heavy-duty diesel motor vehicle idling and emission standards for off-road diesel construction equipment in order to reduce public exposure to diesel PM and other TACs. These actions are also supplemented by the AB 2588 Air Toxics "Hot Spots" program and SB 1731, which require facilities to report their air toxics emissions, assess health risks, notify nearby residents and workers of significant risks if present, and reduce their risk through implementation of a risk management plan. SCAQMD has further adopted two rules to limit cancer and non-cancer health risks from facilities located within its jurisdiction. Rule 1401 (New Source Review of Toxic Air Contaminants) regulates new or modified facilities, and Rule 1402 (Control of Toxic Air Contaminants from Existing Sources) regulates facilities that are already operating. Rule 1402 incorporates requirements of the AB 2588 program, including implementation of risk reduction plans for significant risk facilities.

City EIRs acknowledge that these plans and regulatory standards have been set at levels considered safe to protect public health and are part of the regulatory environment when considering local plan and project-level impacts.

HEALTH EFFECTS OF CRITERIA POLLUTANTS AND TOXIC AIR CONTAMINANTS

A summary discussion of the health effects due to exposure of pollutants exceeding SCAQMD's significance thresholds is provided in City EIRs and an expanded discussion is provided below (substantially drawn from reviews presented in the SCAQMD's Final 2016 Air Quality Management Plan, Chapter 2 (Air Quality and Health Effects), March 2017). A more detailed discussion of the health effects of these pollutants is provided in Attachment 1 to this memorandum (SCAQMD Final 2016 Air Quality Management Plan, Appendix I: Health Effects)

Ozone (O₃)

Ozone is a gas that is formed when volatile organic compounds (VOCs) and NO_x—both byproducts of internal combustion engine exhaust—undergo slow photochemical reactions in the presence of sunlight. Ozone concentrations are generally highest during the summer months when direct sunlight, light wind, and warm temperature conditions are favorable. Ozone is one of the most important air pollutants affecting human health in regions like Southern California. Ozone is a molecule built of three atoms of oxygen linked together in a very energetic combination. When ozone comes into contact with a surface it rapidly releases this extra force in the form of chemical energy. When this happens in biological systems, such as the respiratory tract, this energy can cause damage to sensitive tissues in the upper and lower airways.

The major subgroups of the population considered to be at increased risk from ozone exposure are outdoor exercising individuals including children and people with preexisting respiratory disease(s) such as asthma. The database identifying the former group as being at increased risk to ozone exposure is much stronger and more quantitative than that for the latter group, probably because of a larger number of studies conducted were with healthy individuals. The adverse effects reported with short-term ozone exposure are greater with increased activity because activity increases the breathing rate and the volume of air reaching the lungs, resulting in an increased amount of ozone reaching the lungs. Children may be a particularly vulnerable population to air pollution effects because they spend more time outdoors, are generally more active, and have a higher ventilation rate than adults. A number of adverse health effects associated with ambient ozone levels have been identified from laboratory and epidemiological studies. These include increased respiratory symptoms, damage to cells of the respiratory tract, decreases in lung function, increased susceptibility to respiratory infection, and increased risk of hospitalization.

The Children's Health Study, conducted by researchers at the University of Southern California, followed a cohort of children that live in 12 communities in southern California with differing levels of air pollution for several years. A publication from this study found that school absences in fourth graders for respiratory illnesses were associated with ambient ozone levels. An increase of 20 ppb ozone was associated with an 83 percent increase in illness related absence rates.²¹ However, it is not recommended to base assumptions of health impacts off of a single example or study. It should also be noted that the study is based on one specific subgroup and may not apply to the general population. Furthermore, the study analyzed changes in regional air quality, and these region-wide changes could not be reasonably attributable to a single project or local plan based on existing science and models.

The number of hospital admissions and emergency room visits for all respiratory causes (infections, respiratory failure, chronic bronchitis, etc.) including asthma show a consistent increase as ambient ozone levels increase in a community. These excess hospital admissions and emergency room visits are observed when hourly ozone concentrations are as low as 0.08 to 0.10 ppm.

Numerous recent studies have found positive associations between increases in ozone levels and excess risk of mortality. These associations persist even when other variables including season and levels of particulate matter are accounted for. This indicates that ozone mortality effects are independent of other pollutants.²²

Several population-based studies suggest that asthmatics are more adversely affected by ambient ozone levels, as evidenced by increased hospitalizations and emergency room visits. Laboratory studies have attempted to compare the degree of lung function change seen in age and gender-matched healthy individuals versus asthmatics and those with chronic obstructive pulmonary disease. While the degree of change evidenced did not differ significantly, that finding may not accurately reflect the true impact of exposure on these respiration-compromised individuals. Since the respiration-compromised group may have lower lung function to begin with, the same degree of change may represent a substantially greater adverse effect overall.

A publication from the Children's Health Study focused on children and outdoor exercise. In communities with high ozone concentrations, the relative risk of developing asthma in children playing three or more sports was found to be over three times higher than in children playing no sports.²³ These findings indicate that new cases of asthma in children are associated with heavy exercise in communities with high levels of ozone. While

²¹ Gilliland FD, Berhane K, Rappaport EB, Thomas DC, Avol E, Gauderman WJ, London SJ, Margolis HG, McConnell R, Islam KT, Peters JM. *The Effects of Ambient Air Pollution on School Absenteeism Due to Respiratory Illnesses*. *Epidemiology*, 2001. 12(1):43-54.

²² Bell ML, McDermott A, Zeger SL, Samet, JM, Dominici, F. *Ozone and Short-Term Mortality in 95 US Urban Communities, 1987-2000*. 2004. *JAMA* 292:2372-2378.

²³ McConnell R, Berhane K, Gilliland F, London SJ, Islam T, Gauderman WJ, Avol E, Margolis HG, Peters JM. *Asthma in exercising children exposed to ozone: a cohort study*. 2002. *Lancet*, 359:386-91.

it has long been known that air pollution can exacerbate symptoms in individuals with respiratory disease, this is among the first studies that indicate ozone exposure may be causally linked to asthma.

Some lung function responses (volume and airway resistance changes) observed after a single exposure to ozone exhibit attenuation or a reduction in magnitude with repeated exposures. Although it has been argued that the observed shift in response is evidence of a probable adaptation phenomenon, it appears that while functional changes may exhibit adaptation, biochemical and cellular changes which may be associated with episodic and chronic exposure effects may not exhibit similar adaptation. That is, internal damage to the respiratory system may continue with repeated ozone exposures, even if externally observable effects (chest symptoms and reduced lung function) disappear.

In a laboratory, exposure of human subjects to low levels of ozone causes reversible decrease in lung function as assessed by various measures such as respiratory volumes, airway resistance and reactivity, irritative cough and chest discomfort. Lung function changes have been observed with ozone exposure as low as 0.08 to 0.12 ppm for 6-8 hours under moderate exercising conditions. Similar lung volume changes have also been observed in adults and children under ambient exposure conditions (0.10 - 0.15 ppm). The responses reported are indicative of decreased breathing capacity and are reversible.

In laboratory studies, cellular and biochemical changes associated with respiratory tract inflammation have also been consistently reported in the airway lining after low level exposure to ozone. These changes include an increase in specific cell types and in the concentration of biochemical mediators of inflammation and injury such as cytokines and fibronectin. These inflammatory changes can be observed in healthy adults exposed to ozone in the range of 0.08 to 0.10 ppm.

The susceptibility to ozone observed under ambient conditions could be due to the combination of pollutants that coexist in the atmosphere or ozone may actually sensitize these subgroups to the effects of other pollutants. Some animal studies show results that indicate possible chronic effects including functional and structural changes of the lung. These changes indicate that repeated inflammation associated with ozone exposure over a lifetime may result in sufficient damage to respiratory tissue such that individuals later in life may experience a reduced quality of life in terms of respiratory function and activity level achievable. An autopsy study involving Los Angeles County residents provided supportive evidence of lung tissue damage (structural changes) attributable to air pollution. A study of birth outcomes in southern California found an increased risk for birth defects in the aortic and pulmonary arteries associated with ozone exposure in the second month of pregnancy.²⁴ This is the first study linking ambient air pollutants to birth defects in humans. Confirmation by further studies is needed. In summary, acute adverse effects associated with ozone exposures have been well

²⁴ Ritz B, Yu F, Chapa G, Fruin S. *Effect of Air Pollution on Preterm Birth Among Children Born in Southern California between 1989 and 1993*. 2002. *Epidemiology*, 11(5)502-11.

documented, although the specific causal mechanism is still somewhat unclear. Additional research efforts are required to evaluate the long-term effects of air pollution and to determine the role of ozone in influencing chronic effects.

Particulate Matter (PM₁₀ and PM_{2.5})

The human body naturally prevents the entry of larger particles into the body. However, small particles, with an aerodynamic diameter equal to or less than ten microns (PM₁₀) and even smaller particles with an aerodynamic diameter equal to or less than 2.5 microns (PM_{2.5}), can enter the body and are trapped in the nose, throat, and upper respiratory tract. These small particulates could potentially aggravate existing heart and lung diseases, change the body's defenses against inhaled materials, and damage lung tissue. The elderly, children, and those with chronic lung or heart disease are most sensitive to PM₁₀ and PM_{2.5}. Lung impairment can persist for two to three weeks after exposure to high levels of particulate matter. Some types of particulates could become toxic after inhalation due to the presence of certain chemicals and their reaction with internal body fluids. The U.S. Environmental Protection Agency and the California Air Resources Board have recognized adverse health effects that may be associated with exposure to PM₁₀ and PM_{2.5}, including:²⁵ (1) Increased respiratory symptoms, such as the irritation of the airways; (2) Coughing, or difficulty breathing; (3) Decreased lung function, particularly in children; (4) Aggravated asthma; (5) Development of chronic bronchitis; (6) Irregular heartbeat; (7) Increased respiratory and cardiovascular hospitalizations; and (8) Premature death in people with heart or lung disease.

Epidemiological studies have provided continued and consistent evidence for most of the effects listed above. An association between increased daily or several-day-average concentrations of PM₁₀ and excess mortality and morbidity is consistently reported from studies involving communities across the U.S. as well as in Europe, Asia, and South America.

A number of studies have evaluated the association between particulate matter exposure and indices of morbidity such as hospital admissions, emergency room visits or physician office visits for respiratory and cardiovascular diseases. The effects estimates are generally higher than the effects for mortality. The effects are associated with measures of PM₁₀ and PM_{2.5}. Thus, it appears that when a relatively small number of people experience severe effects, larger numbers experience milder effects, which may relate either to the coarse or to the fine fraction of airborne particulate matter.

²⁵ See, e.g., U.S. Environmental Protection Agency, *Health and the Environment*, www.epa.gov/air/particlepollution/health.html. Accessed July 30, 2008; U.S. Environmental Protection Agency, *Particle Pollution and Your Health*, www.epa.gov/airnow/particles-bw.pdf. Accessed July 30, 2008.; California Air Resources Board, *Health Effects of Particulate Matter and Ozone Air Pollution*, January 2004.

In the National Morbidity, Mortality, and Air Pollution Study (NMMAPS), hospital admissions for those 65 years or older were assessed in 14 cities. Hospital admissions for these individuals showed an increase of 6 percent for cardiovascular diseases and a 10 percent increase for respiratory disease admissions, per 50 $\mu\text{g}/\text{m}^3$ increase in PM_{10} . The excess risk for cardiovascular disease ranges from 3-10 percent per 50 $\mu\text{g}/\text{m}^3$ PM_{10} . However, as noted below, this study analyzed indirect indicators of health impacts rather than direct health impacts, and other studies have demonstrated greater variability of the effects of PM increases in terms of number of medical visits.

Similarly, school absences, lost workdays and restricted activity days have also been used in some studies as indirect indicators of acute respiratory conditions. The results are suggestive of both immediate and delayed impact on these parameters following elevated particulate matter exposures. These observations are consistent with the hypothesis that increased susceptibility to infection follows particulate matter exposures.

Some studies have reported that short-term particulate matter exposure is associated with changes in lung function (lung capacity and breathing volume); upper respiratory symptoms (hoarseness and sore throat); and lower respiratory symptoms (increased sputum, chest pain and wheeze). The severity of these effects is widely varied and is dependent on the population studied, such as adults or children with and without asthma. Sensitive individuals, such as those with asthma or pre-existing respiratory disease, may have increased or aggravated symptoms associated with short-term particulate matter exposures. Several studies have followed the number of medical visits associated with pollutant exposures. A range of increases from 3 to 42 percent for medical visits for respiratory illnesses was found corresponding to a 50 $\mu\text{g}/\text{m}^3$ change in PM_{10} . A limited number of studies also looked at levels of $\text{PM}_{2.5}$. The findings suggest that both the fine and coarse fractions may have associations with some respiratory symptoms.

While most studies have evaluated the acute effects, some studies specifically focused on evaluating the effects of chronic exposure to PM_{10} and $\text{PM}_{2.5}$. Studies have analyzed the mortality of adults living in different U.S. cities. After adjusting for important risk factors, these studies found a consistent positive association of deaths and exposure to particulate matter. A similar association was observable in both total number of deaths and deaths due to cardiorespiratory causes. A shortening of lifespan was also reported in these studies.

Significant associations for $\text{PM}_{2.5}$ for both total mortality and cardiorespiratory mortality were reported in a study using data from the American Cancer Society. A re-analysis of the data from this study confirmed the finding.²⁶ The Harvard Six Cities Study evaluated several size ranges of particulate matter and reported significant associations with PM_{15} , $\text{PM}_{2.5}$, sulfates, and non-sulfate particles, but not with coarse particles (PM_{15} -

²⁶ Krewski D, Burnett RT, Goldberg MS, Hoover K, Siemiatycki J, Abrahamowicz M, White WH, et al. *Reanalysis of the Harvard Six Cities Study and the American Cancer Society Study of Particulate Air Pollution and Mortality. A Special Report of the Institute's Particle Epidemiology Reanalysis Project*. 2000. Health Effects Institute.

PM_{2.5}). An extension of the Harvard Six Cities Cohort confirmed the association of mortality with PM_{2.5} levels.²⁷ These studies provide evidence that the fine particles, as measured by PM_{2.5}, may be more strongly associated with mortality effects from long-term particulate matter exposures than are coarse compounds.

A follow-up study of the American Cancer Society cohort confirmed and extended the findings in the initial study. The researchers estimated that, on average, a 10 µg/m³ increase in fine particulates was associated with an approximately 4 percent increase in total mortality, a 6 percent increase in cardiopulmonary mortality, and an 8 percent increase risk of lung cancer mortality.²⁸ The magnitude of effects is larger in the long-term studies than in the short-term investigations, and therefore demonstrates variability and unreliability of a specific numeric indicator (as indicated above) for the general population. Furthermore, an analysis of the American Cancer Society Cohort from the Los Angeles area used a more detailed estimate of long-term PM_{2.5} exposures and found that the risk of mortality was up to three times higher than estimated with the national cohort.²⁹ These findings indicate that long-term exposures may be more important in terms of overall health effects.

Despite data gaps, the extensive body of epidemiological studies has both qualitative and quantitative consistency suggestive of causality. A considerable body of evidence from these studies suggests that ambient particulate matter, alone or in combination with other coexisting pollutants, is associated with significant increases in mortality and morbidity in a community.

In summary, the scientific literature indicates that an increased risk of mortality and morbidity is associated with particulate matter at ambient levels. The evidence for particulate matter effects is mostly derived from population studies with supportive evidence from clinical and animal studies. Although most of the effects are attributable to particulate matter, co-pollutant effects cannot be ruled out on the basis of existing studies. The difficulty of separating the effects may be due to the fact that particulate levels co-vary with other combustion source pollutants. That is, the particle measurements serve as an index of overall exposure to combustion-related pollution, and some component(s) of combustion pollution other than particles might be at least partly responsible for the observed health effects. In addition, limitations of applying the results of a singular study to determine a specific project's health effects are described above, as well as subsequent discussion (see "Relating Adverse Air Quality Impacts and Health Effects" on page 27). Therefore, at this time, there is no specific numeric indicator that can reliably indicate specific health effects from particulate matter.

²⁷ Laden F, Schwartz J, Speizer FE, Dockery DW. *Reduction in Fine Particulate Air Pollution and Mortality*. 2006. *Am J Respir Crit Care Med*, 173:667-672.

²⁸ Pope III CA, Burnett RT, Thun MJ, Calle E, Krewski D, Kazuhiko I, Thurston G. *Lung Cancer, Cardiopulmonary Mortality, and Long-Term Exposure to Fine Particulate Air Pollution*. 2002. *JAMA*, 287:1132-1141.

²⁹ Jerrett M, Burnett RT, Ma R, Pope CA III, Krewski D, Newbold KB, Thurston G, Shi Y, Finkelstein N, Calle EE, Thun MJ. *Spatial Analysis of Air Pollution and Mortality in Los Angeles*. 2005. *Epidemiology*, 15(6):727-736.

Carbon Monoxide (CO)

Carbon monoxide is primarily emitted from combustion processes and motor vehicles due to incomplete combustion of fuel. Elevated concentrations of CO weaken the heart's contractions and lower the amount of oxygen carried by the blood. It is especially dangerous for people with chronic heart disease. Inhalation of CO can cause nausea, dizziness, and headaches at moderate concentrations and can be fatal at high concentrations.

Individuals with a deficient blood supply to the heart are the most susceptible to the adverse effects of CO exposure. The effects observed include earlier onset of chest pain with exercise, and electrocardiograph changes indicative of worsening oxygen supply delivery to the heart. Inhaled CO has no known direct toxic effect on the lungs, but exerts its effect on tissues by interfering with oxygen transport, by competing with oxygen to combine with hemoglobin present in the blood to form carboxyhemoglobin (COHb). Hence, people with conditions requiring an increased oxygen supply can be adversely affected by exposure to CO. Individuals most at risk include patients with diseases involving heart and blood vessels, fetuses, and patients with chronic hypoxemia (oxygen deficiency), such as is seen at high altitudes. Reductions in birth weight and impaired neurobehavioral development have been observed in animals chronically exposed to CO resulting in COHb levels similar to those observed in smokers. Recent studies have found increased risks for adverse birth outcomes with exposure to elevated CO levels, including preterm births and heart abnormalities. The U.S. EPA concluded in their most recent review that the evidence linking long-term CO exposures with reproductive health outcomes was suggestive of a causal relationship³⁰.

Nitrogen Dioxide (NO₂)

NO₂ is a byproduct of fuel combustion and major sources include power plants, large industrial facilities, and motor vehicles. NO₂ is a gaseous air pollutant that serves as an indicator of gaseous oxides of nitrogen, such as nitric oxide (NO) and other related compounds (NO_x). NO₂ absorbs blue light and results in a brownish-red cast to the atmosphere and reduced visibility. NO₂ also contributes to the formation of PM₁₀. Nitrogen oxides irritate the nose and throat, and increase one's susceptibility to respiratory infections, especially in people with asthma. NO_x is also a precursor to the formation of ozone.

The adverse effects of ambient nitrogen dioxide air pollution exposure on health were reviewed in the 2008 U.S. EPA Integrated Science Assessment for Oxides of Nitrogen—Health Criteria³¹, and more recently in the

³⁰ U.S. EPA. *Integrated Science Assessment for Carbon Monoxide (Final Report)*. 2010.

<https://cfpub.epa.gov/ncea/risk/recorddisplay.cfm?deid=218686>. Accessed August 2019.

³¹ U.S. EPA. *Integrated Science Assessment for Oxides of Nitrogen—Health Criteria (Final Report)*. 2008.

<http://cfpub.epa.gov/ncea/isa/recorddisplay.cfm?deid=194645>. Accessed August 2019.

2016 U.S. EPA Integrated Science Assessment for Oxides of Nitrogen—Health Criteria.³² The 2016 U.S. EPA review noted the respiratory effects of NO₂, and evidence suggestive of effects on cardiovascular health, mortality and cancer.

Experimental studies have found that NO₂ exposures increase responsiveness of airways, pulmonary inflammation, and oxidative stress, and can lead to the development of allergic responses. These biological responses provide evidence of a plausible mechanism for NO₂ to cause asthma. Additionally, results from controlled exposure studies of asthmatics demonstrate an increase in the tendency of airways to contract in response to a chemical stimulus (airway responsiveness) or after inhaled allergens. Animal studies also provide evidence that NO₂ exposures have negative effects on the immune system, and therefore increase the host's susceptibility to respiratory infections. Epidemiological studies showing associations between NO₂ levels and hospital admissions for respiratory infections support such a link, although the studies examining respiratory infections in children are less consistent.

The Children's Health Study in Southern California found associations of NO₂ with respiratory symptoms in asthmatics.³³ Particles and NO₂ were correlated, and it was determined that NO₂ plays a stronger role. Ambient levels of NO₂ were also associated with a decrease in lung function growth in a group of children followed for eight years. In addition to NO₂, the decreased growth was also associated with particulate matter and airborne acids. The study authors postulated that these may be a measure of a package of pollutants from traffic sources.

Results from controlled exposure studies of asthmatics demonstrated an increase in the tendency of airways to contract in response to a chemical stimulus (bronchial reactivity). Effects were observed with an exposure to 0.3 parts per million (ppm) NO₂ for a period ranging from 30 minutes to 3 hours. A similar response is reported in some studies with healthy subjects at higher levels of exposure (1.5 - 2.0 ppm). Mixed results have been reported when people with chronic obstructive lung disease are exposed to low levels of NO₂.

Toxic Air Contaminants

In addition to criteria pollutants, a number of TACs have the potential to impact human health, including diesel particulate matter (DPM), a pollutant associated with heavy equipment and truck traffic. TACs refer to a diverse group of "non-criteria" air pollutants that can affect human health, but have not had ambient air quality standards established for them. This is not because they are fundamentally different from the pollutants

³² U.S. EPA. *Integrated Science Assessment for Oxides of Nitrogen—Health Criteria (Final Report)*. 2016. <https://cfpub.epa.gov/ncea/isa/recordisplay.cfm?deid=310879>. Accessed August 2019.

³³ McConnell R, Berhane K, Gilliland F, London SJ, Islam T, Gauderman WJ, Avol E, Margolis HG, Peters JM. *Asthma in exercising children exposed to ozone: a cohort study*. 2002. *Lancet*, 359:386-91.

discussed above, but because their effects tend to be local rather than regional. TACs are classified as carcinogenic and non-carcinogenic, where carcinogenic TACs can cause cancer and non-carcinogenic TAC can cause acute and chronic impacts to different target organ systems (e.g., eyes, respiratory, reproductive, developmental, nervous, and cardiovascular).

DPM, which is emitted in the exhaust from diesel engines, was listed by the state as a TAC in 1998. DPM has historically been used as a surrogate measure of exposure for all diesel exhaust emissions. DPM consists of fine particles (fine particles have a diameter less than 2.5 micrometer (μm)), including a subgroup of ultrafine particles (ultrafine particles have a diameter less than 0.1 μm). Collectively, these particles have a large surface area which makes them an excellent medium for absorbing organics. The visible emissions in diesel exhaust include carbon particles or “soot.” Diesel exhaust also contains a variety of harmful gases and cancer-causing substances.

Exposure to DPM may be a health hazard, particularly to children whose lungs are still developing and the elderly who may have other serious health problems. DPM levels and resultant potential health effects may be higher in close proximity to heavily traveled roadways with substantial truck traffic or near industrial facilities. According to CARB, DPM exposure may lead to the following adverse health effects: (1) aggravated asthma; (2) chronic bronchitis; (3) increased respiratory and cardiovascular hospitalizations; (4) decreased lung function in children; (5) lung cancer; and (6) premature deaths for people with heart or lung disease.^{34 35} OEHHA’s HARP model and Air Toxics Hot Spots Program Guidance Manual (Guidance Manual) for the Preparation of Health Risk Assessments includes an ability to link certain TACs with metrics for cancer-rates or non-cancer effects on certain organ groups.

RELATING ADVERSE AIR QUALITY IMPACTS AND HEALTH EFFECTS

The feasibility of determining a connection between air pollutant emissions and human health is different for a site-specific project, such as for a development project or local area plan, than it is for a larger regional scale analysis of an area-wide project, such as an analysis for a regulation change for the entire Air Coast Basin. As discussed below, directly correlating a single project’s emissions in a typical City EIR to quantifiable human

³⁴ CARB, *Diesel Exhaust and Health*, www.arb.ca.gov/research/diesel/diesel-health.htm, Accessed August 2019.

³⁵ CARB, *Fact Sheet: Diesel Particulate Matter Health Risk Assessment Study for the West Oakland Community: Preliminary Summary of Results*, March 2008.

health consequences is currently not scientifically feasible, as it is not possible to conduct such an analysis that would provide reliable or meaningful results. As further discussed below, it is also infeasible to correlate regional emissions from local area-wide projects or plans identified in City EIRs to quantified human health consequences in any reliable or meaningful way, for many of the same reasons, and with additional challenges associated with separating and anticipating reasonably foreseeable emissions from other sources.

It should also be noted that in April 2019, the Sacramento Metropolitan Air Quality Management District (SMAQMD) published an Interim Recommendation on implementing the Friant Ranch decision in the review and analysis of proposed projects under CEQA in Sacramento County (Attachment 4). The SMAQMD is to date the only California air district to formally release, as guidance, an Interim Recommendation (April 2019) for lead agencies and practitioners preparing CEQA documents for projects within Sacramento County to comply with the Friant Ranch decision. Consistent with the expert opinions submitted to the Court in Friant Ranch by the San Joaquin Valley Air Pollution Control District (SJVAPCD) (Attachment 3) and SCAQMD (Attachment 2), the SMAQMD guidance confirms the absence of an acceptable or reliable quantitative methodology that would correlate the expected criteria air pollutant emissions of projects to the likely health consequences to people of project-generated criteria air pollutant emissions. The SMAQMD guidance explains that while it is in the process of developing a methodology to assess these impacts, lead agencies should follow the Friant Court's advice to explain in meaningful detail why this analysis is not yet feasible.

The following information is therefore provided to explain that for most projects and local level plans analyzed in City EIRs, it is currently not scientifically feasible to provide a reliable quantitative analysis directly correlating a project's significant pollutant emissions and human health.

Existing Models and Tools

As previously described, a number of existing models and tools exist for quantifying both project emissions and pollutant concentrations. Certain federal and state public health standards for air quality are set in terms of acceptable regional concentration levels of pollutants. The SCAQMD demonstrates attainment of these concentration standards, in part, by setting CEQA thresholds for amounts of construction and operational emissions produced by individual projects or plans. In compliance with CEQA and the identified thresholds, City EIRs for individual development projects and local-level plans disclose and analyze project *emissions* for criteria pollutants and pollutant concentrations for TACs. For CEQA purposes, *concentrations* of criteria pollutants are typically not calculated. While it may be possible to utilize a project's emission data to determine concentration amounts, this would hinge the analysis on an additive range of assumptions and uncertainties, thus contributing to a higher margin of error. In addition, an accurate model of the data would also require a complex set of input data which may not be readily available or would otherwise contribute further to the

unreliability of the results. Furthermore, additional limitations exist for utilizing both regional and local models for this purpose. As such, modeling these concentrations of criteria pollutants utilizing existing tools would result in unreliable data, as discussed in further detail below.

Modeling Concentrations v. Emissions

In order to relate a project's emissions to human health effects, it would first be necessary to model the air pollutant concentrations resulting from a project. As discussed above, studies which link health effects with exposure to pollutants are primarily based on the ultimate ambient or regional concentrations of pollutants. This is especially true for secondary pollutants such as ozone and PM. The lack of correlation between the direct *quantity* of precursor pollutants and the *concentration* of ozone or secondary PM formed is important because it is not necessarily the *quantity* of precursor pollutants (such as NO_x, SO₂, VOCs, etc.) that causes human health effects; rather, it is the *concentration* of resulting ozone and secondary PM that causes these effects. Indeed, the ambient air quality standards for ozone, which are statutorily required to be set by USEPA (at levels that are requisite to protect the public health with a margin of safety) and by CARB (at levels that are requisite to protect the health of the most sensitive groups) are established as concentrations of ozone and not as quantity (i.e., tonnages) of ozone precursor pollutants.^{36 37} Furthermore, since the ambient air quality standards are focused on achieving a particular concentration region-wide, the regional models and health impact analysis tools (i.e., BenMAP-CE, CAMx, CMAQ) and plans for attaining the ambient air quality standards are also regional in nature. However, as further described below (pages 31-32), these regional models are not useful for analysis of the health impacts of specific projects on any given geographic location.

Complexities of Modeling Concentrations

In requiring a health risk type analysis for criteria air pollutants, it is important to understand how criteria pollutants are formed, dispersed, and regulated. As an example, ground level ozone (smog) is not directly emitted into the air, but is instead formed when precursor pollutants such as NO_x and VOC are emitted into the atmosphere and undergo complex chemical reactions in the process of sunlight.³⁸ Once formed, ozone can be transported long distances by wind.³⁹ Due to the complexity of ozone formation, a specific tonnage amount of NO_x

³⁶ U.S. EPA, *Table of Ozone National Ambient Air Quality Standards*, <https://www.epa.gov/ground-level-ozone-pollution/table-historical-ozone-national-ambient-air-quality-standards-naaqs>. Accessed August 2019.

³⁷ CARB, *California Ambient Air Quality Standards*, <https://ww2.arb.ca.gov/resources/california-ambient-air-quality-standards>. Accessed August 2019.

³⁸ SJVAPCD, *Application for Leave to File Amicus Curiae Brief of SJVAPCD in Support of Defendant and Respondent, County of Fresno and Real Party in Interest and Respondent, Friant Ranch, L.P.*, April 13, 2015. Page 4. Included as Attachment 2 of this memorandum.

³⁹ U.S. EPA, *Ground-level Ozone: Basic Information*, www.epa.gov/airquality/ozonepollution/basic.html. Accessed August 2019.

or VOCs emitted in a particular area does not equate to a particular concentration of ozone in that area.⁴⁰ In fact, even rural areas that have relatively low emissions of NO_x or VOCs can have high ozone concentrations simply due to wind transport and other meteorological conditions such as temperature inversion and high pressure systems. Conversely, areas that have substantially more NO_x and VOC emissions could experience lower concentrations of ozone simply because sea breezes disperse the emissions.⁴¹

For those projects where regional construction and operational emissions exceed the SCAQMD's recommended daily significance thresholds, this does not mean that one can determine with accuracy the concentration of ozone that will be created at or near the Project Site on a particular day or month of the year, or the specific human health effects that may occur. Meteorology, the presence of sunlight, geographical distribution of emissions, and other complex photochemical factors all combine to determine the ultimate concentrations and locations of ozone. This is especially true for the typical development project where most of the criteria pollutant emissions derive not from a single "point source," but from area wide sources (consumer products, paint, etc.) or mobile sources (cars and trucks) driving to, from and around the Project Site.

As another example, particulate matter can be divided into two categories: directly emitted PM and secondary PM. While directly emitted PM can have a localized impact, the tonnage emitted does not always equate to a specific local PM concentration because it can be transported long distances by wind.⁴² Secondary PM, like ozone, is formed via complex chemical reactions in the atmosphere between precursor chemicals such as sulfur dioxide and NO_x. Due to the complexity of secondary PM formation, the tonnage of PM-forming precursor emissions in an area does not necessarily result in an equivalent concentration of secondary PM in that area.

Furthermore, for modeling to produce reliable results, it is necessary to have data regarding the sources and types of toxic air contaminants, location of emission points, velocity of emissions, the meteorology and topography of the area, and the location of receptors (worker and residence).⁴³ Not all of these specific details or factors may be known at the time that a project or plan is undergoing CEQA review. For example, it may not be

⁴⁰ SJVAPCD, *Application for Leave to File Amicus Curiae Brief of SJVAPCD in Support of Defendant and Respondent, County of Fresno and Real Party in Interest and Respondent, Friant Ranch, L.P.*, April 13, 2015. Page 4. Included as Attachment 2 of this memorandum.

⁴¹ SJVAPCD, *2007 Ozone Plan, Executive Summary*. Page ES-6. www.valleyair.org/Air_Quality_Plans/AQ_Final_Adopted_Ozone2007.htm. Accessed August 2019.

⁴² U.S. EPA, *Particulate Matter: Basic Information*, www.epa.gov/airquality/particulatepollution/basic.html. Accessed August 2019.

⁴³ SCAQMD, *Application of the SCAQMD for Leave to File Brief of Amicus Curiae in Support of Neither Party and Brief of Amicus Curiae*, April 6, 2015. Pages 9, 10. Included as Attachment 2 of this memorandum.

feasible to perform a health risk assessment for airborne toxics that will be emitted by a generic industrial building that was built on "speculation" (i.e., without knowing the future tenant(s)).⁴⁴

Purposes and Limitations of Regional Models

As described above, local, state, and federal standards are set with the purpose of attaining ambient air quality standards within the region for the protection of public health. In part to meet these ambient standards, the SCAQMD has set numeric thresholds for land-use projects to determine significant air quality impacts. These thresholds are based on regional project emissions, which refer to the actual *quantity* of pollutants generated by the project, and are measured in pounds per day. These pollutant sources (e.g., onsite natural gas usage and offsite vehicular exhaust across the regional roadway network) can be estimated, measured, and quantified. However, once a project's emissions enter the environment, these emissions are subject to a number of complex factors and variables, including chemical changes, dispersal, and weather variation, and ultimately combine with other existing conditions to result in the regional ambient air quality and concentrations of pollutants.

The SCAQMD (and other regional air quality management and air pollution control districts) conducts regional-scale modeling in order to evaluate regional-scale air pollution, including modeling for the AQMP, modeling attainment demonstrations, and the Multiple Air Toxics Exposure Study (MATES) studies. This involves a regional scale photochemical model such as CAMx and CMAQ, which have a modeling domain on the order of hundreds of kilometers. Mobile source emissions are estimated using EMFAC and SCAG RTP/SCS VMT data and traffic data obtained from Caltrans for the entire basin. The effort, resources, and availability of necessary input data required to perform this type of analysis is complex and extensive, and is infeasible for smaller projects.

Unreliability of Using Regional Models at Smaller Scale

As noted in the Brief of Amicus Curiae by the South Coast Air Quality Management District in the Friant Ranch case (Attachment 2), SCAQMD has among the most sophisticated air quality modeling and health impact evaluation capability of any of the air districts in the State, and thus it is uniquely situated to express an opinion on how lead agencies should correlate air quality impacts with specific health outcomes.⁴⁵ The computer models (e.g., CMAQ modeling platform)⁴⁶ used to simulate and predict an attainment date for ozone are based on regional inventories of precursor pollutants and meteorology within an air basin. At a very basic level, based on

⁴⁴ SCAQMD, *Application of the SCAQMD for Leave to File Brief of Amicus Curiae in Support of Neither Party and Brief of Amicus Curiae*, April 6, 2015. Page 10. Included as Attachment 2 of this memorandum.

⁴⁵ SCAQMD, *Application of the SCAQMD for Leave to File Brief of Amicus Curiae in Support of Neither Party and Brief of Amicus Curiae*, April 6, 2015. Pages 9, 10. Included as Attachment 2 of this memorandum.

⁴⁶ The SCAQMD 2016 AQMP ozone attainment demonstration was developed using the U.S. EPA recommended CMAQ (version 5.0.2) modeling platform with SAPRC07 chemistry, and the Weather Research and Forecasting Model (WRF) (version 3.6) meteorological fields.

gross assumptions appropriate for regional-scale analyses, the models simulate future ozone levels based on predicted changes in precursor emissions basin wide. It should be noted that it takes a large amount of additional precursor emissions to cause a modeled increase in ambient ozone levels over an entire region.⁴⁷ The computer models are not designed to determine whether the emissions generated by an individual development project, or even emissions from most relatively small-scale areas such as specific plan areas or community plan areas, will affect the date that the air basin attains the ambient air quality standards. Instead, the models help inform regional planning strategies based on the extent all of the emission-generating sources within the air basin must be controlled in order to reach attainment.⁴⁸

In addition, this modeling is inappropriate for project-level or local plan-level analysis, as small changes in modeling results could be well within the normal gross margin of error of the CMAQ model performance. For example, SCAQMD states the expected margin of error for comparing CMAQ modeled daily maximum air pollutant concentrations to monitored concentrations is 20 percent.⁴⁹ However, even the expected 20 percent margin of error is exceeded in regional scale analyses. SCAQMD found that when maximum values equal or exceed 60 ppb, the normalized gross maximum error ranges from 15.7 to 19.8 percent for the coastal region, 11.5 to 22.3 percent for the San Fernando region, 12.1 to 25.2 for the foothills region, 14.7 to 18.2 for the urban source region, 12.5 to 20.9 percent for the urban receptor region, and 9.6 to 16.8 for the Coachella Valley.⁵⁰ The quarterly error statistic for PM_{2.5} ranges from 54 percent to 95.7 percent for the coastal region, 30.1 to 60.6 percent for the San Fernando region, 30.7 to 81.6 percent for the foothills region, 41.1 to 81.6 percent for the urban source region, 23.5 to 53 percent for the urban receptor region, and 38 to 59.6 percent for the Coachella Valley region.⁵¹

Therefore, using these regional models at the project-level or local plan-level scale would not yield reliable results, as the emissions from a localized project would be small in comparison, falling within margins of error of the regional models. Therefore, results regarding project or local plan-level emissions would not be meaningful or statistically significant.

⁴⁷ SCAQMD, *Final 2012 AQMP*, February 2013, [https://www.aqmd.gov/docs/default-source/clean-air-plans/air-quality-management-plans/2012-air-quality-management-plan/final-2012-aqmp-\(february-2013\)/appendix-v-final-2012.pdf](https://www.aqmd.gov/docs/default-source/clean-air-plans/air-quality-management-plans/2012-air-quality-management-plan/final-2012-aqmp-(february-2013)/appendix-v-final-2012.pdf), Appendix V, pages v-4-2, v-7-4, v-7-24. Accessed August 2019.

⁴⁸ SJVAPCD, *Application for Leave to File Amicus Curiae Brief of SJVAPCD in Support of Defendant and Respondent, County of Fresno and Real Party in Interest and Respondent, Friant Ranch, L.P.*, April 13, 2015. Page 6-7. Included as Attachment 2 of this memorandum.

⁴⁹ SCAQMD, *Final 2016 AQMP*, 2017. Appendix V-2-3. <https://www.aqmd.gov/docs/default-source/clean-air-plans/air-quality-management-plans/2016-air-quality-management-plan/final-2016-aqmp/appendix-v.pdf?sfvrsn=10>. Accessed August 2019.

⁵⁰ SCAQMD, *Final 2016 AQMP*, 2017. Appendix V, Tables V-5-3 through V-5-8. <https://www.aqmd.gov/docs/default-source/clean-air-plans/air-quality-management-plans/2016-air-quality-management-plan/final-2016-aqmp/appendix-v.pdf?sfvrsn=10>. Accessed August 2019.

⁵¹ *Ibid.* Table V-6-3

Purposes and Limitations of Localized Models

Certain models (such as AERMOD and HARP) may be able to direct certain pollutant concentrations locally with reliable accuracy. However, these are used to prepare project-level health risk assessments (HRAs) for pollutants like DPM and other TACs, and do not address secondary pollutants such as ozone. Regarding the use of other potential localized models such as CALINE-4, the City's CEQA documents currently provide CO hotspot analyses where appropriate. However, per guidance from the SCAQMD and Caltrans, further modeling of other pollutants would be inappropriate using CALINE-4.⁵² In addition, while these models are able to estimate concentrations for certain pollutants, no methods have been demonstrated to reliably and meaningfully connect these pollutant concentrations to specific health effects.

If an attempt were made to potentially utilize a localized model to determine a project's resulting pollutant concentrations, most likely an analysis would follow a methodology similar to how localized air quality analyses are currently performed for CEQA (e.g., freeway HRAs). For example, a project's vehicle emissions could be determined using CalEEMod or EMFAC. The project-related traffic emissions within a ¼ mile of the project site could then be combined with project-related emissions from on-site sources and analyzed for receptors in the vicinity using AERMOD on a microscale basis. The analysis could load traffic emissions along the roadway network consistent with the traffic study. This approach could be used for CO, NO₂, PM₁₀, and PM_{2.5}; however, this would not address other pollutants, these models include additional limitations, and a number of uncertainties would be included in the modeling assumptions. Some of the limitations and uncertainties of this approach would include:

Pollutant Emissions. CalEEMod generates total daily regional-wide emissions from a project. These emissions account for different trip lengths based on the trip generation (residential vs. commercial, commute vs. delivery, etc.) and trip type (primary, diverted, pass-by). It would be speculative to assume on a regional basis where these emissions were to occur. It would also be speculative to assume which types of vehicles would use specific roadways (e.g., diesel delivery trips associated with a Project would likely use different routes than commuter trips).

Spatial and temporal data. It would be speculative to assume when and where vehicles would be travelling. AERMOD assumes steady state conditions and may not be able to account for variations in meteorology as well as seasonal variations.

⁵² Caltrans, *Project-Level Air Quality Analysis*. <https://dot.ca.gov/programs/environmental-analysis/air-quality/project-level-air-quality-analysis>. Accessed August 2019.

Ambient data. Health impacts are highly dependent on ambient air quality levels. While data at ambient monitoring stations may be available, nearby localized sources (e.g., stationary emissions and major roadways) are not known and are not accounted for.

Chemistry. AERMOD is unable to process chemical reactions related to secondary PM and ozone formation.

The combination and compounding of the uncertainties from each component and step of the modeling analysis, particularly in the context of the very small increment of change in regional ambient air pollutant concentrations that a single project would be predicted to cause, would likely result in large margins of error for the overall modeled outcomes. That is, even if a model reports a certain outcome, the actual outcome may be in a relatively broad range surrounding the reported outcome. When these uncertainties are factored into the modeling analysis, the results would not be able to provide a meaningful estimate of health impacts. Furthermore, as described in further detail below, even if reliable pollutant concentration data were available, the concentration information could not be reliably and directly related to a health impact at this time.

Metrics for Determining Health Effects

CEQA Thresholds and Relationship to Specific Health Effects

As one of the many paths that the SCAQMD has established to lead the district towards achieving acceptable levels of pollutant concentrations region-wide, the agency has set CEQA thresholds of significance for project emission quantities. These SCAQMD thresholds are related to basin-wide emissions, are cumulative in nature, and do not indicate thresholds for project-specific concentrations related to particular health effects. Therefore, it should be noted that the SCAQMD regional significance thresholds are not direct indicators of specific health effects.

For example, with respect to ozone precursor emissions, the SCAQMD has set its operational CEQA significance threshold for NO_x and VOC at 10 tons per year (expressed as 55 pounds per day). This is based on the federal Clean Air Act, which defines a major stationary source for extreme ozone nonattainment areas such as the SCAQMD as one emitting 10 tons per year. Under the federal Clean Air Act, such sources are subject to enhanced control requirements, thus SCAQMD determined that 55 pounds (less than .03 tons) per day was an appropriate threshold for making a CEQA significance finding and requiring feasible mitigation. For context, according to the most recent EPA-approved SCAQMD basin-wide emissions inventory, the VOC inventory for emissions is 500 tons per day and for NO_x emissions is 522 tons per day for the baseline year of 2012.⁵³ The

⁵³ SCAQMD, *Final 2016 AQMP*, 2017. Figure 3-3. <http://www.aqmd.gov/home/air-quality/clean-air-plans/air-quality-mgt-plan/final-2016-aqmp>. Accessed August 2019.

threshold quantity of 55 pounds per day therefore represents a very small percentage (approximately .005 percent) of total daily basin-wide emissions. It should also be noted that from a scientific standpoint, it takes a large amount of additional precursor emissions to cause a statistically significant increase in ambient ozone levels over an entire region. In the case of ozone, the SCAQMD's 2012 AQMP showed that reducing baseline year 2008 NO_x by 432 tons per day and reducing VOC by 187 tons per day would only reduce ozone levels at the SCAQMD's monitor site with the highest levels by 9 parts per billion.⁵⁴ Therefore, the SCAQMD has stated that "...a project source that emits 10 tons/year of NO_x or VOC is small enough that its regional impact on ambient ozone levels may not be detected in the regional air quality models that are currently used to determine ozone levels. Thus, in this case it would not be feasible to directly correlate project emissions of VOC or NO_x with specific health impacts from ozone."⁵⁵ Therefore, the SCAQMD has stated that the agency does not currently know of a way to accurately quantify ozone-related health impacts caused by VOC or NO_x emissions from relatively small projects⁵⁶, although this type of analysis may potentially be feasible for regional-scaled projects with very high emissions of ozone precursors.

Lack of Established Metrics by Expert Agencies

Furthermore, both the SCAQMD and SJVAPCD have indicated that it is not feasible to quantify project-level health effects from ozone and secondary-formed pollutants based on available modeling techniques.^{57 58} The SCAQMD Brief also cites the author of the CARB methodology, which reported that a PM_{2.5} methodology is not suited for small projects and may yield unreliable results.⁵⁹ In addition, it would be infeasible to determine, with any degree of reliability, the impact on attainment of the ambient air quality standards and the number of nonattainment days that may result when a Project exceeds regional thresholds, and any findings would be speculative. As discussed above, the currently available regional models and health impact analysis tools (i.e., BenMAP-CE, CAMx, CMAQ) are equipped to model the impact of all emission sources in an air basin to demonstrate attainment.

⁵⁴ SCAQMD, *Final 2012 AQMP*, February 2013, [https://www.aqmd.gov/docs/default-source/clean-air-plans/air-quality-management-plans/2012-air-quality-management-plan/final-2012-aqmp-\(february-2013\)/appendix-v-final-2012.pdf](https://www.aqmd.gov/docs/default-source/clean-air-plans/air-quality-management-plans/2012-air-quality-management-plan/final-2012-aqmp-(february-2013)/appendix-v-final-2012.pdf), Appendix V, pages v-4-2, v-7-4, v-7-24. Accessed August 2019.

⁵⁵ SCAQMD, *Application of the SCAQMD for Leave to File Brief of Amicus Curiae in Support of Neither Party and Brief of Amicus Curiae*, April 6, 2015. Page 12. Included as Attachment 2 of this memorandum.

⁵⁶ SCAQMD, *Application of the SCAQMD for Leave to File Brief of Amicus Curiae in Support of Neither Party and Brief of Amicus Curiae*, April 6, 2015. Page 12. Included as Attachment 2 of this memorandum.

⁵⁷ SCAQMD, *Application of the SCAQMD for Leave to File Brief of Amicus Curiae in Support of Neither Party and Brief of Amicus Curiae*, April 6, 2015. Included as Attachment 2 of this memorandum.

⁵⁸ SJVAPCD, *Application for Leave to File Amicus Curiae Brief of SJVAPCD in Support of Defendant and Respondent, County of Fresno and Real Party in Interest and Respondent, Friant Ranch, L.P.*, April 13, 2015. Included as Attachment 2 of this memorandum.

⁵⁹ SCAQMD, *Application of the SCAQMD for Leave to File Brief of Amicus Curiae in Support of Neither Party and Brief of Amicus Curiae*, April 6, 2015. Page 14. Included as Attachment 2 of this memorandum.

Even if a metric could be calculated, it would not be reliable because the models attempt to evaluate the impact of all emission sources in an air basin on attainment and would likely not yield information with sufficient statistical certainty or a measurable increase in ozone concentrations sufficient to quantify health effects for an individual project. The SCAQMD Brief concludes, with respect to the Friant Ranch EIR, that although it may have been technically possible to plug the data into a methodology, the results would not have been reliable or meaningful.⁶⁰ No expert agency, including the SCAQMD and CARB, have approved a quantitative method to reliably and meaningfully translate mass emission estimates of criteria pollutants to specific health effects.

Limitations of Extrapolating Metrics from Health Impact Assessments

Current HRA tools are able to provide some insight into potential health effects from project TACs and these tools have been specifically designed to evaluate how toxic emissions are released, how they disperse throughout an area, and the potential for those toxic pollutants to impact human health. However, these tools for TAC analysis do not address criteria pollutants and their related specific health effects, and also present their own limitations. HRAs typically include three separate components: an emissions inventory, dispersion modeling, and health risk calculations. OEHHA's HARP model and Air Toxics Hot Spots Program Guidance Manual (Guidance Manual) for the Preparation of Health Risk Assessments includes an ability to link certain air quality compounds with metrics for cancer-rates or non-cancer effects on certain organ groups.

The Guidance Manual identifies Response Exposure Levels (RELs) for various pollutants, which are concentration levels at (or below) which no adverse non-cancer health effects are anticipated for a specific exposure duration, usually specific to certain target organs. Exceeding the REL does not automatically indicate an adverse health impact, as the REL is not the threshold where population health effects would first be seen. However, increasing concentrations above the REL value increases, with an undefined probability, the likelihood that the health effect will occur.⁶¹ These RELs are developed by OEHHA based on a highly technical and robust research process, including data gathering, modeling, determining appropriate parameters, making extrapolation adjustments, addressing variables and factors of uncertainty, consulting with expert agencies and the public, and undergoing scientific review. As such, the HARP model has become an accepted industry standard in evaluating health impacts from TACs and providing reliable and meaningful analysis, although the limitations of this analysis is also disclosed in HRA documents.

It should also be noted that the process of assessing health risks and impacts itself includes a degree of uncertainty, dependent on the availability of data and the extent to which assumptions are relied upon in cases

⁶⁰ SCAQMD, *Application of the SCAQMD for Leave to File Brief of Amicus Curiae in Support of Neither Party and Brief of Amicus Curiae*, April 6, 2015. Page 15. Included as Attachment 2 of this memorandum.

⁶¹ OEHHA. *Air Toxics Hot Spots Program Guidance Manual*. February 2015. page 6-2.
<https://oehha.ca.gov/media/downloads/crnrr/2015guidancemanual.pdf>. Accessed August 2019.

where the data are incomplete or unknown. In general, sources of uncertainty that may lead to an overestimation or an underestimation of the risk include: extrapolation of toxicity data in animals to humans, uncertainty in the estimation of the emissions, uncertainty in the air dispersion models, and uncertainty in the exposure estimates.⁶² In addition to uncertainty, there is a natural range or variability in measured parameters defining the exposure scenario, including variation among the human population. Risk estimates generated by an HRA should therefore not be interpreted as the *expected* rates of disease in the exposed population but rather as *estimates* of potential for disease, based on current knowledge and a number of assumptions.⁶³

For criteria pollutants, OEHHA guidance for health risk has only been identified for short-term one-hour peak exposures (acute inhalation) for CO, H₂S, NO₂, Ozone, SO_x, and SO₂, and otherwise the guidance lacks cancer potency factors or RELs for any longer-term exposure of any criteria pollutant. Even so, the HARP model which utilizes these factors or RELs is utilized for stationary sources and does analyze health impacts from mobile source emissions. As emissions from projects analyzed in City local-plan or project EIRs are usually heavily comprised of mobile source emissions, utilization of the HARP model for this analysis would not be useful to provide meaningful information regarding health impacts. Therefore, existing models utilizing these RELs for acute inhalation are not able to provide sufficient information about direct health impacts or probability of specific adverse health effects from criteria pollutants for City EIR projects.

In general, health impact assessments also use Concentration-Response (C-R) functions. C-R functions determine the relationship between the change in pollutant concentration and change in health impacts (baseline vs. project). It should be noted that not all C-R functions are linear. Using AERMOD or Cal3QHC/CALINE4, there is no reliable method to estimate baseline conditions at a project's buildout. While ambient monitoring data is available throughout the air basin, this does not account for nearby related projects or other stationary sources.

There are also many C-R functions based on pollutants, specific health impacts, age, race, pollutant uptake rates, sensitivity to specific pollutants, and other criteria. When calculating health impacts, the appropriate C-R functions would need to be selected. Due to the level of speculation required to make these assumptions, this could expose a project to potential challenges, as experts may debate about the correct C-R function used for analyses. As discussed above, while a microscale model could be used for some aspects of projects to address localized roadway impacts, linking specific health effect to concentrations would be speculative under CEQA due to the uncertainties in such an analysis, as discussed above.

⁶² Ibid. page I-5.

⁶³ Ibid. page I-6.

Limitations on Extrapolating Metrics from Existing Health Studies

In the absence of an adopted metric by an expert agency identifying emission or concentration levels with a particular health effect, there is information on this topic available within a body of health research and series of independent studies, as generally described in previous sections and in Attachment 1 (SCAQMD Final 2016 AQMP, Appendix I: Health Effects). However, utilizing this body of work can also be problematic if attempting to make reliable or meaningful conclusions relating project emissions to specific health impacts. For example, many of the health studies rely on specific population subgroups or provide limited sample sizes, and therefore have conclusions which would not apply to health effects on the general public. In addition, within the universe of these studies, there exists a broad range of findings and at times, inconsistent conclusions between studies. Research in this field is also subject to other limitations, including the scientific infeasibility of parsing out specific pollutants from other variables with an acceptable degree of certainty, which results in weak causal relationships between particular pollutants and specific health effects. Therefore, it would be speculative to use a limited study to relate concentrations of any specific pollutant to specific health impacts for a number of reasons. While pollutant increments could be compared to relevant data identified from a specific study, it is not recommended to base findings of a specific health-related impact on any single limited study. Therefore, even if a project's pollutant concentrations could be determined with an acceptable degree of accuracy, existing available information could still only provide a range or general idea of health impacts to the population at large.

Health Effects from Regional Emissions Generated by Local Plans or Projects are Likely Nominal

The SCAQMD also conducted pollutant modeling for proposed Rule 1315 in which the CEQA analysis accounted for essentially all of the increases in emissions due to new or modified sources in the District between 2010 and 2030, or an approximate increase of 6,620 pounds per day of NO_x and 89,947 pounds per day of VOC. At this regional scale, the SCAQMD was able to correlate this very large emissions increase to expected health outcomes from ozone and particulate matter. The results of the analysis showed that this increase of regional pollutant emissions would contribute to only a small increase in the air basin wide ozone concentrations in 2030 of 2.6 ppb and less than 1 ppb of NO₂.⁶⁴

Comparatively, a typical City project emits much lower amounts of pollutant emissions. For City projects that generate emissions exceeding SCAQMD's operational significance thresholds, (e.g., peak daily regional

⁶⁴ SCAQMD, *Final Program Environmental Assessment for Re-Adoption of Proposed Rule 1315*, 2011. Page 1-11.
<https://www.aqmd.gov/home/research/documents-reports/lead-agency-scaqmd-projects/aqmd-projects---year-2011/re-adoption-of-proposed-rule-1315>.

emissions of 150 pounds per day of PM₁₀ and 55 pounds per day of NO_x, VOC or PM_{2.5}), these projects also typically represent relatively small amounts of pollutant emissions, with regional impacts which may not even be detected by current regional air quality models. For example, when comparing the Rule 1315 analysis to a large City project, such as the Olympia Project (a mixed-use development with 1.8 million square feet of floor area on a 3.3-acre site), Olympia's regional operational emissions would result in approximately 2 pounds of VOC and 12 pounds of NO_x over the SCAQMD's significance thresholds, or approximately 0.06 and 1.0 percent of the emissions analyzed by SCAQMD related to Rule 1315, respectively.

As a further comparison to a local plan or community plan-level City project, such as the Hollywood Community Plan Update (which anticipates an approximate 27 percent increase for both housing/population and employment within a 22 square mile regional center within the City), the plan's regional operational emissions would result in an increase of 472 lbs. per day in VOCs and a decrease of 2,763 lbs. per day of NO_x, or approximately 0.5 percent of the VOC emissions analyzed by SCAQMD related to Rule 1315. NO_x emissions would decrease under the Community Plan and would therefore not exceed any significant thresholds. This demonstrates that most City projects studied in project and plan-level EIRs would result in emissions at much lower rates than those necessary to be able to correlate project emissions with specific health effects. Furthermore, construction and operational emissions are typically more regional (e.g., emitted by mobile sources distributed across region's roadway network) and different than the identified stationary sources as modeled in SCAQMD's analysis of Rule 1315, which would add to the difficulties of modeling project-related emissions.

Running the regional-scale photochemical grid model used for predicting ozone attainment with the emissions from any individual project or even a relatively small-scale area project would not yield reliable information regarding a measurable increase in ozone concentrations sufficient to accurately quantify ozone-related health effects. Any modeled increase in ozone concentrations would not be useful for a meaningful analysis, as the increase would be so comparatively small that it would be well within the margin of error of such models. Similarly, it would also not be feasible to identify a Project's impact on the days of nonattainment per year. Based on this information, a general description of the adverse health effects resulting from the pollutants at issue is all that can be feasibly provided at this time.

CONCLUSION

Federal and state ambient air quality standards are designed to prevent the harmful effects of air pollution. These standards are continually updated based on evolving research, including research which relates air quality impacts with health effects. At the regional level, plans such as the SCAQMD's AQMP and SCAG's RTP/SCS work to ensure that the South Coast Air Basin reaches and maintains attainment with these federal and state standards. Locally, the City's EIRs evaluate a plan or project's consistency with applicable policies identified in the SCAQMD's AQMP and SCAG's RTP/SCS. City EIRs also identify regulatory compliance measures which work to limit risk and exposure to TACs. In addition, in evaluating air quality impacts on a plan- or project-level, the City's EIRs utilize thresholds guidance and air quality models established by the SCAQMD, which have been developed to implement these regional plans for attainment and protection of public health. Improvements to air quality in the region attest to the efficacy of these plans and local implementation practices.

For local plans or projects that exceed any identified SCAQMD air quality threshold, City EIR documents typically identify and disclose generalized health effects of certain air pollutants but are currently unable to establish a reliable connection between any local plan or project and a particular health effect. In addition, no expert agency has yet to approve a quantitative method to reliably and meaningfully do so. A number of factors contribute to this uncertainty, including the regional scope of air quality monitoring and planning, technological limitations for modeling at a local plan- or project-level, and the intrinsically complex nature between air pollutants and health effects in conjunction with local environmental variables. Therefore, at the time, it is infeasible for City EIRs to directly link a plan's or project's significant air quality impacts with a specific health effect. However, as air quality modeling and research on health effects advances over time, the City will continue to seek the latest guidance from local air quality agencies and experts and refine its approach based on future information as it becomes available.

SCAQMD FINAL 2016 AQMP -

APPENDIX I

HEALTH EFFECTS

SOUTH COAST AIR QUALITY MANAGEMENT DISTRICT



Appendix I

Health Effects

2016 AIR QUALITY MANAGEMENT PLAN



March 2017

**FINAL 2016 AQMP
APPENDIX I**

HEALTH EFFECTS

MARCH 2017

**SOUTH COAST AIR QUALITY MANAGEMENT DISTRICT
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Supervisor, Second District
County of San Bernardino

EXECUTIVE OFFICER:

WAYNE NASTRI

CONTRIBUTORS

South Coast Air Quality Management District

Wayne Nastri
Executive Officer
Executive Office

Jill Whynot
Chief Operating Officer
Executive Office

Philip Fine, Ph.D.
Deputy Executive Officer
Planning, Rule Development, and Area Sources

Susan Nakamura
Acting Assistant Deputy Executive Officer
Planning, Rule Development, and Area Sources

Author

Jo Kay Ghosh, Ph.D.
Health Effects Officer

In conjunction with:
California Office of Environmental Health Hazard Assessment

And

In consultation with:
California Air Resources Board

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ATTACHMENT

Publications from Health Related Research Projects Funded by SCAQMD

INTRODUCTION

This document presents a summary of scientific findings on the health effects of ambient air pollutants. The California Health and Safety Code Section 40471(b) requires that the South Coast Air Quality Management District (SCAQMD) prepare a report on the health impacts of particulate matter in the South Coast Air Basin (SCAB) in conjunction with the preparation of the Air Quality Management Plan (AQMP) revisions. This document, which was prepared to satisfy that requirement, also includes sections discussing the health effects of the other major pollutants. The intention of this document is to provide a brief summary of the conclusions of scientific reviews conducted by U.S. EPA and other scientific agencies, with some additional information from more recently published studies.

In addition to the air pollutant health effects summaries, there is an Attachment to this Appendix, which is a list of publications that have resulted from health-related research projects sponsored by SCAQMD over the past several years. Some of these studies are discussed in this Appendix, as appropriate, although there are many other studies referenced here. The studies funded by SCAQMD also help inform the SCAQMD's work in characterizing the air pollution and its effects in our local region and the influences of sources of air pollution in the Basin.

While information on ambient air quality statistics, attainment status, spatial distribution of air pollutants, environmental justice, socioeconomic impacts, control strategies, and cost-effectiveness are important issues that may relate to health effects, these issues are not the focus of this Appendix, and are instead discussed in detail in other chapters and appendices of the AQMP, or in the AQMP Socioeconomic Report.

HEALTH EFFECTS OF AIR POLLUTION

Ambient air pollution is a major public health concern. Excess deaths and increases in illnesses associated with high air pollution levels have been documented in several episodes as early as 1930 in Meuse Valley, Belgium; 1948 in Donora, Pennsylvania; and 1952 in London. Although levels of pollutants that occurred during these acute episodes are now unlikely in the United States, ambient air pollution continues to be linked to increases in illness and other health effects (morbidity) and increases in death rates (mortality).

Adverse health outcomes linked to air pollution include cardiovascular effects, premature mortality, respiratory effects, cancer, reproductive effects, neurological effects, and other health outcomes. The evidence linking these effects to air pollutants is derived from population-based observational and field studies (epidemiological), toxicological studies, as well as controlled laboratory studies involving human subjects and animals. There have been an increasing number of studies focusing on the mechanisms (that is, on learning how specific organs, cell types, and biomarkers are involved in

the human body's response to air pollution). Yet the underlying biological pathways for these effects are not always clearly understood.

Although individuals inhale pollutants as a mixture under ambient conditions, the regulatory framework and the control measures developed are pollutant-specific for six major outdoor pollutants covered under Sections 108 and 109 of the Clean Air Act. This is appropriate, in that different pollutants can differ in their sources, their times and places of occurrence, the kinds of health effects they may cause, and their overall levels of health risk. Different pollutants, from the same or different sources, oftentimes occur together. While the combined effects of multiple air pollutants that occur simultaneously may be important, the air quality standards address each criteria pollutant separately, and thus, this Appendix is divided into sections by pollutant. To meet the air quality standards, comprehensive plans are developed such as the Air Quality Management Plan (AQMP); and to minimize exposure to toxic air contaminants in the South Coast AQMD, a local air toxics control plan is also prepared. These plans examine multiple pollutants, cumulative impacts, and transport issues related to attaining healthful air quality. A brief overview of the effects observed and attributed to various air pollutants is presented in this Appendix. Because the SCAB exceeds the federal standards for ozone and PM_{2.5}, this Appendix focuses more attention in the discussion of these two pollutants, since the health impacts within the SCAB are potentially greater for these two pollutants compared to the health impacts of the other criteria pollutants. For the other pollutants, a brief summary of the associated health effects is provided.

This summary is drawn substantially from reviews presented previously (South Coast Air Quality Management District 1996; South Coast Air Quality Management District 2003; South Coast Air Quality Management District 2007; South Coast Air Quality Management District 2013b), and from the most recent U.S. EPA Integrated Science Assessment (ISA) reviews for Ozone (U.S. EPA 2013b), Carbon Monoxide (U.S. EPA 2010), Particulate Matter (U.S. EPA 2009), Nitrogen Oxides (U.S. EPA 2016), Sulfur Dioxide (U.S. EPA 2008), and Lead (U.S. EPA 2013a). Additional reviews prepared by the California Air Resources Board and the California EPA Office of Environmental Health Hazard Assessment for Particulate Matter (California Air Resources Board and Office of Environmental Health Hazard Assessment 2002), for Ozone (California Air Resources Board and Office of Environmental Health Hazard Assessment 2005) and for Nitrogen Dioxide (California Air Resources Board and Office of Environmental Health Hazard Assessment 2007) were included in the summary. In addition, several large review articles on the health effects of air pollution also helped inform this Appendix (American Thoracic Society 1996a; Brunekreef et al. 2002). More detailed citations and discussions on air pollution health effects can be found in these references.¹ Additionally, a supplemental literature review of mortality and morbidity impacts of PM_{2.5}, ozone, NO₂, and SO₂ was conducted for the AQMP Socioeconomic Evaluation to identify more recent studies (Industrial Economics Inc. 2016b; Industrial Economics Inc. 2016a); this health effects summary also draws upon this literature review to discuss these more recent studies, particularly those published since the

¹ Most of the studies referred to in this Appendix are cited in the above sources. Only specific selected references to provide examples of the types of health effects are cited in this summary.

most recent ISA's. This summary highlights studies that were conducted in the South Coast Air Basin or in Southern California, or alternatively, in California, if few studies from our local region are available on the specific topic. Studies conducted in Southern California give an important "local perspective" in understanding and evaluating the health effects of air pollution. However, studies conducted in other locations also provide critical information that is pertinent to advancing the scientific understanding of the health effects of air pollution, including effects on our local population. As such, this summary also discusses key studies that were conducted in other locations.

Over the decades of national reviews of outdoor air pollution and their health impacts, the U.S. EPA has developed a list of five criteria by which the strength and credibility of data can be judged. This five-tier weight-of-evidence approach provides an objective basis for assessing the breadth, specificity, and consistency of evidence concerning a particular health outcome. Table I-1 shows the five descriptors used by the U.S. EPA for assessing causality, using a weight-of-evidence approach. Within each section discussing a specific pollutant are tables showing summaries of the U.S. EPA conclusions regarding the causality of air pollution health effects, which are the conclusions of their scientific evaluation of the research studies they have reviewed. For the criteria pollutants, the discussion in this Appendix will focus only on those categories of health effects for which the U.S. EPA has determined there is a causal or likely causal relationship with the pollutant, while other health effects may be discussed briefly. In particular, because of the relatively long time gap since the latest U.S. EPA ISA for PM (in 2009), and because the SCAB currently exceeds the federal standards for PM_{2.5}, some additional health endpoints that are emerging as areas of interest with regard to PM exposure are discussed briefly in this Appendix.

It is important to note that the U.S. EPA is tasked with assessing new and emerging air quality science, including health studies, as part of the process of setting the federal air quality standards. In other words, the U.S. EPA's role is to assess the causal relationships between the pollutants and the different types of health endpoints. It is SCAQMD's role to describe the public health impacts of poor air quality in our region, as well as to develop and implement an emission reduction strategy to attain the federal and state ambient air quality standards. Therefore, it is not the intention of this Appendix to assess whether there is or is not an effect of a specific air pollutant on any particular health endpoint, but rather to summarize the health effects and causal determinations as assessed by U.S. EPA and other scientific agencies, to discuss some recent studies published since the latest U.S. EPA reviews, to give some quantitative estimates of the health impacts of particulate matter air pollution in the South Coast Air Basin, and to present a "local perspective" by highlighting studies conducted in the South Coast Air Basin, Southern California, or California.

TABLE I-1

U.S. EPA's Weight of Evidence Descriptions for Causal Determination of Health Effects

| DETERMINATION | WEIGHT OF EVIDENCE |
|---|---|
| Causal Relationship | Evidence is sufficient to conclude that there is a causal relationship with relevant pollutant exposures. That is, the pollutant has been shown to result in health effects in studies in which chance, bias, and confounding could be ruled out with reasonable confidence. For example: (a) controlled human exposure studies that demonstrate consistent effects; or (b) observational studies that cannot be explained by plausible alternatives or are supported by other lines of evidence (e.g., animal studies or mode of action information). Evidence includes replicated and consistent high-quality studies by multiple investigators. |
| Likely To Be A Causal Relationship | Evidence is sufficient to conclude that a causal relationship is likely to exist with relevant pollutant exposures, but important uncertainties remain. That is, the pollutant has been shown to result in health effects in studies in which chance and bias can be ruled out with reasonable confidence but potential issues remain. For example: (a) observational studies show an association, but co-pollutant exposures are difficult to address and/or other lines of evidence (controlled human exposure, animal, or mode of action information) are limited or inconsistent; or (b) animal toxicological evidence from multiple studies from different laboratories that demonstrate effects, but limited or no human data are available. Evidence generally includes replicated and high-quality studies by multiple investigators. |
| Suggestive Of A Causal Relationship | Evidence is suggestive of a causal relationship with relevant pollutant exposures, but is limited because chance, bias, and confounding cannot be ruled out. For example, at least one high-quality epidemiologic study shows an association with a given health outcome but the results of other studies are inconsistent. |
| Inadequate To Infer A Causal Relationship | Evidence is inadequate to determine that a causal relationship exists with relevant pollutant exposures. The available studies are of insufficient quantity, quality, consistency or statistical power to permit a conclusion regarding the presence or absence of an effect. |
| Not Likely To Be A Causal Relationship | Evidence is suggestive of no causal relationship with relevant pollutant exposures. Several adequate studies, covering the full range of levels of exposure that human beings are known to encounter and considering susceptible populations, are mutually consistent in not showing an effect at any level of exposure. |

(Adapted from U.S. EPA, 2009)

OZONE

Ozone is a gaseous air pollutant that is a highly reactive compound and a strong oxidizing agent. When ozone comes into contact with the respiratory tract, it can react with tissues and cause damage in the airways. Ozone, or its reaction products, can penetrate into the gas exchange region of the deep lung. Both short-term and long-term exposures to ozone have been linked to respiratory effects. Ozone from man-made sources is formed by photochemical reactions when pollutants such as volatile organic compounds, nitrogen oxides, and carbon monoxide react with sunlight. The main sources of such ozone precursors are discussed in detail in the draft 2016 AQMP Chapter 3. Additionally, a discussion of the spatial distribution of ozone is provided in the draft 2016 AQMP Chapter 2.

In 1997, the U.S. EPA established the first federal standard for ozone averaged over 8 hours, at 0.08 ppm. In 2005, the California Air Resources Board (CARB) established standards of 0.09 ppm averaged over one hour and at 0.070 ppm averaged over eight hours. In 2008, the U.S. EPA lowered the federal standard for ozone to 0.075 ppm averaged over eight hours. On the basis of recent evaluations of ozone health effects, U.S. EPA's Clean Air Scientific Advisory Committee recommended in 2015 that the National Ambient Air Quality Standard (NAAQS) for ozone be reduced and recommended a range in which 0.070 ppm would be the upper limit. In 2015, the U.S. EPA concluded that the current national standard was not adequate to protect public health and lowered the 8-hour ozone standard to 0.070 ppm (U.S. EPA 2015b). While the federal standards must be attained within a specified time frame, the California standards do not have specific defined deadlines, but must be attained by the earliest practicable date.

The table below provides the overall U.S. EPA staff conclusions on the causality of short-term (i.e. hours, days, weeks) and long-term (i.e. months, years) ozone health effects for the health outcomes evaluated (U.S. EPA 2013b).

TABLE I-2

Summary of U.S. EPA's Causal Determinations for Health Effects of Ozone

| SHORT-TERM EXPOSURES | |
|--|---|
| Health Outcome | Causality Determination |
| Respiratory Effects | Causal relationship |
| Cardiovascular Effects | Likely to be a causal relationship |
| Central Nervous System Effects | Suggestive of a causal relationship |
| Effects on Liver and Xenobiotic Metabolism | Inadequate to infer a causal relationship |
| Effects on Cutaneous and Ocular Tissues | Inadequate to infer a causal relationship |
| Mortality | Likely to be a causal relationship |
| LONG-TERM EXPOSURES | |
| Health Outcome | Causality Determination |
| Respiratory Effects | Likely to be a causal relationship |
| Cardiovascular Effects | Suggestive of a causal relationship |
| Reproductive and Developmental Effects | Suggestive of a causal relationship |
| Central Nervous System Effects | Suggestive of a causal relationship |
| Cancer | Inadequate to infer a causal relationship |
| Mortality | Suggestive of a causal relationship |

(From U.S. EPA, 2013a Table 1-1)

Short-Term Exposure Effects of Ozone

The adverse effects reported with short-term ozone exposure are greater with increased activity because activity increases the breathing rate, the depth of the breaths, and the volume of air reaching the lungs, resulting in an increased amount of ozone reaching deeper into the lungs. Children are considered to be a particularly vulnerable population to air pollution effects because their lungs are still growing, they typically spend more time outdoors, are generally more physically active, and have a higher ventilation rate relative to their body weight, compared to adults (U.S. EPA 2013b).

A number of adverse health effects associated with ambient ozone levels have been identified from laboratory and epidemiological studies (American Thoracic Society 1996b; U.S. EPA 2006; U.S. EPA 2013b). These include increased respiratory symptoms, damage to cells of the respiratory tract,

decrease in lung function, increased susceptibility to respiratory infection, an increased risk of hospitalization, and increased risk of mortality. For short-term ozone exposures, the U.S. EPA determined in the most recent ISA that the evidence supports a causal relationship for respiratory effects, and a likely causal relationship for cardiovascular effects and mortality.

In the laboratory, exposure of human subjects to low levels of ozone causes reversible decreases in lung function as assessed by various measures such as respiratory volumes, airway resistance and reactivity, irritative cough and chest discomfort. The results of several studies where human volunteers were exposed to ozone for 6.6 hours at levels between 0.04 and 0.12 ppm were summarized by Brown (Brown et al. 2008). As shown in Figure I-1, there is an increasing response on lung function with increasing exposure levels in moderately exercising subjects. A study published after the analysis by Brown et al. exposed healthy young adults for 6.6 hours under intermittent moderate exercise to each of the following: filtered air, and ozone at 0.06, 0.07, 0.08, and 0.087 ppm (Schelegle et al. 2009). The study found decreases in lung function (forced expiratory volume in 1 second, or FEV1) with each of the different levels of ozone exposure, although the decrease in lung function at 0.06 ppm was not statistically different from exposure to filtered air. Lung function (FEV1) decreases were approximately 5 percent, 7 percent, and 11 percent at ozone exposure levels of 0.07, 0.08, and 0.087 ppm. A more recent study (Kim et al. 2011) exposed young healthy adults to ozone in the range of 0.06 to 0.10 ppm for 6.6 hours while engaging in intermittent moderate exercise, and found that the study participants exhibited an approximately 2 percent reduction in lung function (FEV1) and an increase in pulmonary inflammation after exposure to ozone at the 0.06 ppm concentration.

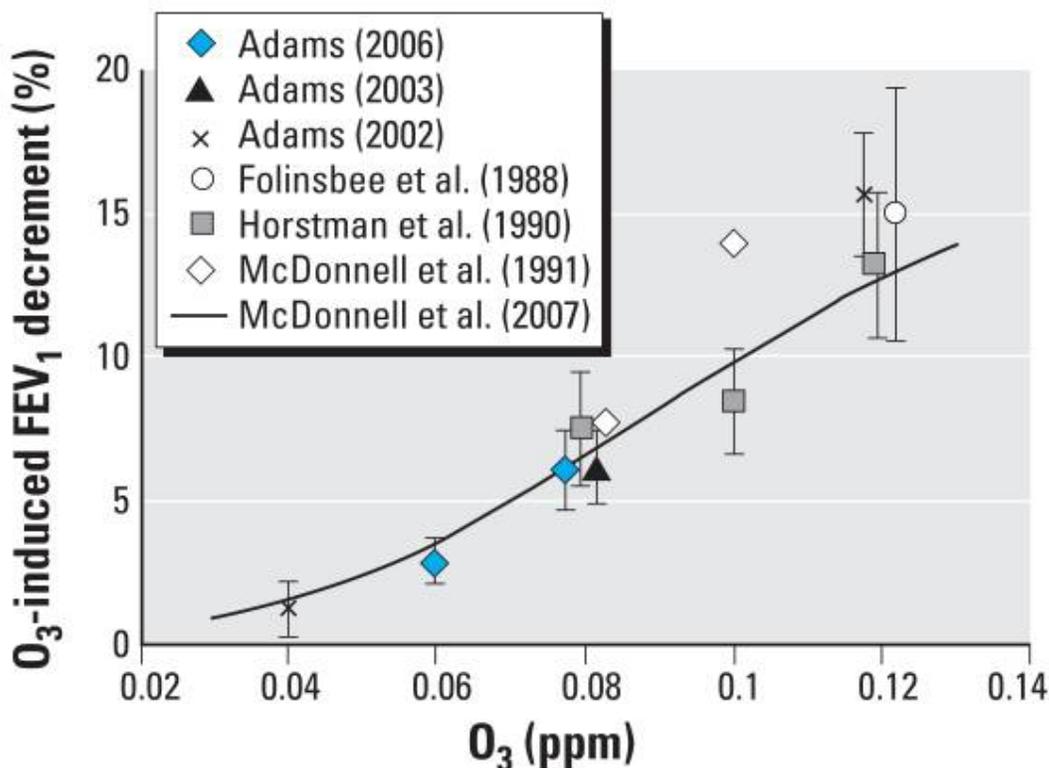


FIGURE I-1

Comparison of mean ozone-induced decrements in lung function following 6.6 hours of ozone exposure. Error bars represent the standard error. McDonnell et al. (2007) was a summary of results from several studies, and is represented by the line in the graph. (From: (Brown et al. 2008))

Some changes in lung function (volume and airway resistance changes) observed after study participants were exposed to ozone only once exhibit attenuated responses or a reduction in magnitude of responses when exposures are repeated, although there were a range of individual human responses observed, including some non-responders (Linn et al. 1988). Although it has been argued that the observed shift in response is evidence of a probable development of tolerance, it appears that while functional changes may exhibit attenuation, biochemical and cellular changes which may be associated with episodic and chronic exposure effects may not exhibit an attenuation. That is, internal damage to the respiratory system may continue with repeated ozone exposures, even if externally observable effects (chest symptoms and reduced lung function) disappear. An additional argument against toleration is that after several days or weeks without ozone exposures, the responsiveness (in terms of lung function as well as symptoms) returns, which is evidence that any tolerance developed is relatively short-lived (U.S. EPA 2013b).

Laboratory studies have also compared the degree of lung function change seen in healthy individuals versus asthmatics and those with chronic obstructive pulmonary disease (COPD). In several

laboratory studies of individuals with COPD, the percent decreases in lung function from short-term ozone exposures ≤ 0.30 ppm among patients with COPD generally did not differ from the lung function decrements experienced by healthy patients (Linn et al. 1982; Solic et al. 1982; Linn et al. 1983; Kehrl et al. 1985). That finding, however, may not accurately reflect the true impact of exposure on these respiration-compromised individuals. Since the respiration-compromised group may have lower lung function to begin with, the same total percent change in lung function may represent a substantially greater relative adverse effect overall. Other studies have found that subjects with asthma are more sensitive to the short-term effects of ozone in terms of lung function and inflammatory response, as evidenced by measuring changes in lung function, increased hospitalizations, and emergency room visits for respiratory conditions (U.S. EPA 2013b). This evidence supports the hypothesis that asthmatics are a particularly sensitive population to the health effects of ozone.

In laboratory studies of animals, cellular and biochemical changes associated with respiratory tract inflammation have also been consistently found in the airway lining after low-level exposure to ozone. These changes include an increase in specific cell types and in the concentration of biochemical mediators of inflammation and injury such as Interleukin-1, Interleukin-6, Interleukin-8, Tumor Necrosis Factor α (TNF- α), and fibronectin (Van Bree et al. 2002; Johnston et al. 2007; U.S. EPA 2013b).

In addition to controlled laboratory conditions, epidemiological studies of individuals exercising outdoors, including children attending summer camp, have shown associations of reduced lung function with ozone exposure. There were wide ranges in responses among individuals. U.S. EPA's 2013 ISA indicated that most studies found reductions in lung function (FEV₁) in the range of approximately <1 to 2 percent when standardized to an increase of 0.04 ppm for a 1-hour maximum, an increase of 0.03 ppm for an 8-hour maximum, and an increase of 0.02 ppm for a 24-hour average (U.S. EPA 2013b). Somewhat greater decrements in lung function (4.9 to 7.3 percent) were found in children with asthma who had respiratory infections or were using corticosteroid medication.

Epidemiologic studies have found that increases in short-term ozone levels are associated with impacts on children's respiratory health, including increases in respiratory symptoms in children with asthma, and increased numbers of absences from school. Studies conducted in various cities in the U.S. and in other countries have reported increased respiratory symptoms among children with asthma, including wheeze, cough, difficulty breathing, and chest symptoms/tightness (U.S. EPA 2013b). The Children's Health Study, conducted by researchers at the University of Southern California, followed for several years a cohort of children that live in 12 communities in Southern California with differing levels of air pollution. A publication from this study reported that school absences in fourth graders for respiratory illnesses were positively associated with short-term increases in ambient ozone levels. An increase of 20 ppb (0.02 ppm) ozone was associated with a 63 percent increase in illness-related absence rates and an 83 percent increase in respiratory illnesses (Gilliland et al. 2001). A small panel study of Hispanic children with asthma living in the Huntington Park neighborhood of Los Angeles, California reported that a 10.8 ppb increase in ozone averaged

over 8 hours nearly doubled the odds of having asthma symptoms that interfered with daily activities (Delfino et al. 2003). Despite these studies, and some others linking ozone exposures with school absences, the U.S. EPA concluded that only limited evidence is currently available linking these ozone exposures to respiratory-related school absences (U.S. EPA 2013b).

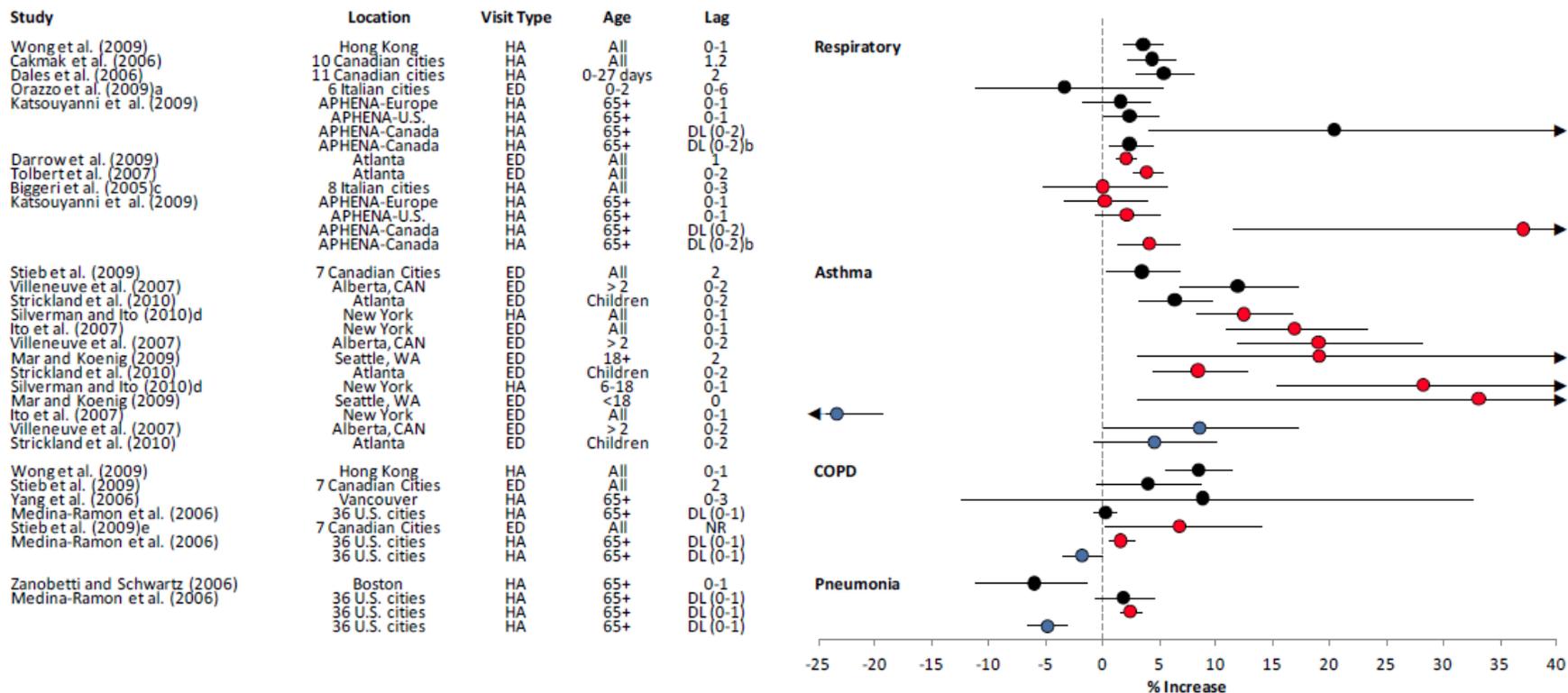
Numerous studies have found associations of short-term ozone levels and hospital admissions and emergency department admissions for respiratory conditions, and the U.S. EPA concluded in the latest ISA that the most recent epidemiological studies conducted in both single cities and multiple cities continue to provide evidence supporting a causal relationship between short-term ozone exposures and respiratory effects (U.S. EPA 2013b). The studies generally found stronger associations for asthma and COPD in the warm season or in the summer months, compared to the cold season, and also provided evidence that children are at greatest risk of ozone-related respiratory health effects. Several of these studies reviewed in the ISA had average ozone concentrations well below 60 ppb averaged over 8 hours and still reported associations with respiratory outcomes. One study of asthma emergency department visits reported ozone effects at concentrations as low as 30 ppb (Strickland et al. 2010). Figure I-2 presents examples of studies regarding all-year and seasonal analysis of ozone exposure and hospital admissions or emergency department visits. This figure illustrates the associations found between ambient ozone exposure and key respiratory outcomes (asthma, COPD and pneumonia), and shows the stronger effects with summertime ozone exposures. Recently, a study in California reported that short-term ozone exposures were associated with emergency department visits for asthma, acute respiratory infections, pneumonia, COPD, and upper respiratory tract infections, with more consistent associations during the warm season (Malig et al. 2016). This California study provides additional supporting evidence for ozone-related respiratory effects.

The potential cardiovascular effects of short-term ozone exposure have been studied in toxicological, human exposure, and epidemiological studies. Controlled human exposure studies have found that ozone exposures produce changes in heart function (as measured by heart rate variability) and increases in biomarkers in the blood for systemic inflammation and oxidative stress. The limited number of toxicological studies on this topic provide evidence of cardiovascular effects. The effects observed include increased heart rate variability, arrhythmias, vascular disease, and inflammation and oxidative stress leading to atherosclerosis, which can lead to tissue damage due to ischemia and reperfusion (i.e. having the blood supply cut off and then restored to the tissues) (U.S. EPA 2013b). The controlled human exposure and toxicological studies provide evidence of cardiovascular effects of ozone, and some plausible mechanisms for these effects. Epidemiological studies, including some recent multi-city studies show relatively consistent associations between short-term ozone exposures and cardiovascular mortality (these studies are discussed further below). However, epidemiological studies do not provide consistent evidence of cardiovascular morbidity with short-term ozone exposures. Studies conducted in the Los Angeles area or in California also do not provide consistent evidence of short-term ozone effects on cardiovascular morbidity. A study of elderly non-smokers in the Los Angeles area with a history of heart disease found no associations between ozone exposure and blood pressure nor ST-segment depression, a measure of cardiac ischemia (Delfino et

al. 2010; Delfino et al. 2011). A Los Angeles-based study of cardiovascular hospital admissions did not find increased risk with ozone exposures (Linn et al. 2000). However, a biomarker study of students at UC Berkeley who spent their summer vacation in either the Los Angeles or San Francisco Bay Area found that ozone exposures over a period of 2 weeks or 1 month were associated with increases in a biomarker of lipid peroxidation, but no association was found for a biomarker of antioxidant capacity (Chen et al. 2007). Lipid peroxidation is an indicator of oxidative stress, which may be triggered by pulmonary inflammation caused by ozone exposure. Given the strong evidence of cardiovascular morbidity from experimental studies and the consistent positive associations reported in epidemiological studies of cardiovascular mortality, but the lack of consistent evidence from epidemiological studies of cardiovascular morbidity, the U.S. EPA determined that there is a likely causal relationship between short-term ozone exposures and cardiovascular effects (U.S. EPA 2013b).

For mortality effects, the U.S. EPA 2013 ISA concluded that there was a likely causal relationship for short-term ozone exposures. This determination is supported by numerous studies have found positive associations between short-term increases in ozone levels and excess risk of mortality from all non-accidental causes, cardiovascular causes, and respiratory causes (Bell et al. 2004; Bell et al. 2005; Huang et al. 2005; Ito et al. 2005; Levy et al. 2005; Bell et al. 2008; Zanobetti et al. 2008). Studies conducted across multiple cities in the U.S. Canada, Europe and Asia reported increased cardiovascular and respiratory mortality risks with increased short-term ozone exposures, and several studies additionally reported increased mortality risk for summer season ozone exposures (Katsouyanni et al. 2009; Samoli et al. 2009; Stafoggia et al. 2010; Wong et al. 2010). Some studies have also demonstrated that these associations persist even when other variables including season and levels of particulate matter are accounted for, indicating that ozone mortality effects may be independent of other pollutants, although there is some variability across studies with regard to the sensitivity of the ozone associations to adjustment for PM (Bell et al. 2004; Huang et al. 2005; Katsouyanni et al. 2009; Stafoggia et al. 2010). With regard to respiratory effects, the substantial evidence supporting a causal relationship between short-term ozone exposures and respiratory morbidity provides strong support for the recent evidence from epidemiological studies linking such exposures to respiratory mortality. For cardiovascular effects, while there is strong evidence linking cardiovascular mortality with short-term ozone exposures, the epidemiological studies of non-fatal outcomes do not provide consistent evidence for a coherent mechanism linking ozone exposures to cardiovascular mortality (U.S. EPA 2013b).

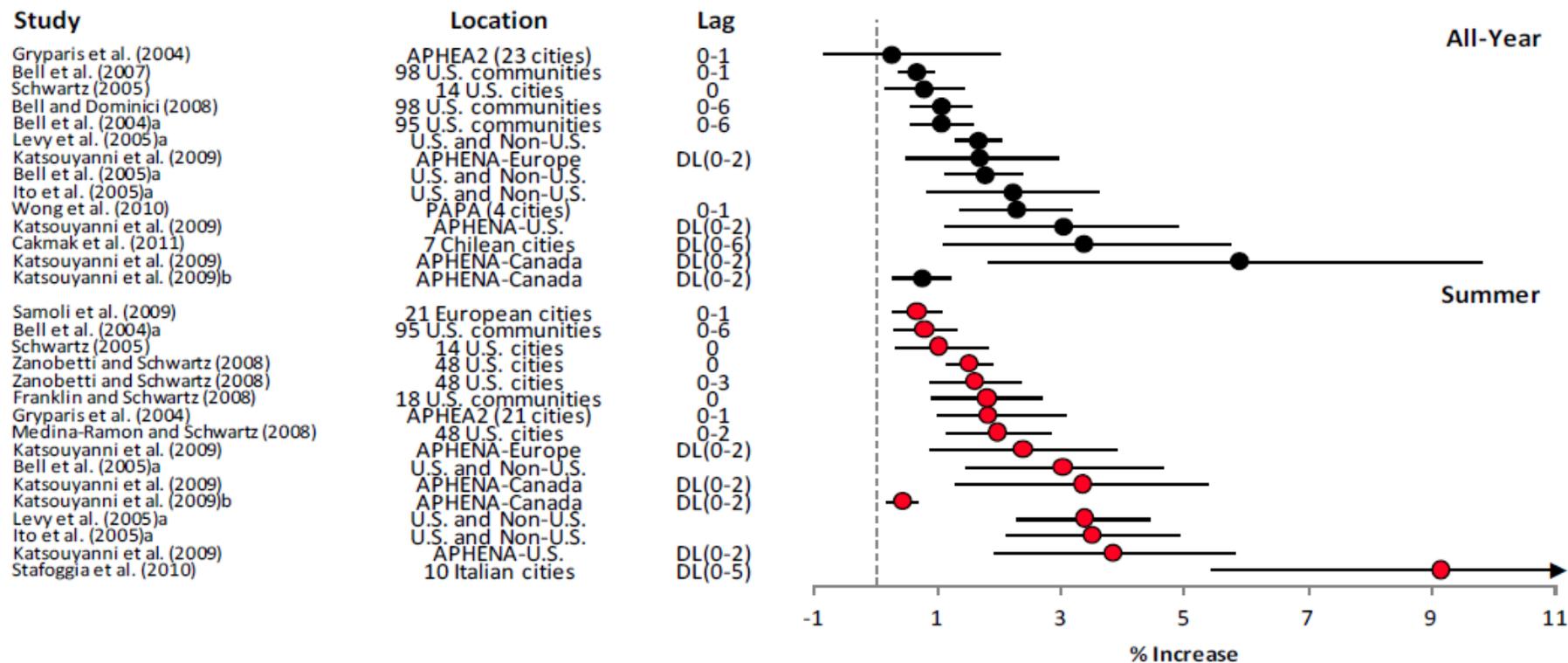
Examples of studies showing the relative change in mortality risks for all-year and summer-only analyses are shown in Figure I-3.



Note: Effect estimates are for a 20 ppb increase in 24-hour; 30 ppb increase in 8-hour max; and 40 ppb increase in 1-hour max O₃ concentrations. HA=hospital admission; ED=emergency department. Black=All-year analysis; Red=Summer only analysis; Blue=Winter only analysis. (From (U.S. EPA 2013b) Figure 6-19)

FIGURE I-2

Change in respiratory-related hospital admission and emergency department visits in studies that presented all-year and/or seasonal results.



Note: Effect estimates are for a 40 ppb increase in 1-hr max, 30 ppb increase in 8-hr max, and 20 ppb increase in 24-hr average O₃ concentrations. (From (U.S. EPA 2013b) Figure 6-27)

FIGURE I-3

Summary of mortality risk estimates for short-term O₃ exposure and all-cause (nonaccidental) mortality.

Long-Term Exposure Effects of Ozone

The U.S. EPA 2013 ISA for Ozone concluded that there was a likely causal relationship between long-term ozone exposure and respiratory effects (U.S. EPA 2013b). Evidence supporting this determination comes from epidemiological and toxicological studies, particularly studies of asthma and related symptoms, asthma-related hospital admissions, lung function, lung inflammation and oxidative stress. Other health effects of long-term ozone exposure were determined to have “suggestive” or “inadequate” evidence of causality, although the few studies of respiratory mortality provide support to the respiratory health effects of ozone.

The Adventist Health and Smog Study (AHSMOG) and Children’s Health Study cohorts are two large long-term studies conducted in California that examined several aspects of long-term ozone effects in adults and children, respectively. Several of these studies focused on asthma development and exacerbation. The AHSMOG study included adult, non-smoking, non-Hispanic white Seventh Day Adventists living in California. The 10-year follow-up AHSMOG study reported that a 10 ppb increase in annual mean ozone exposures increased the risk of asthma development in males by three-fold (relative risk 3.12, 95 percent confidence interval: 1.16, 5.85), but no effect was seen among females (relative risk 0.94, 95 percent confidence interval: 0.65, 1.34) (Greer et al. 1993). The 15-year follow-up AHSMOG study used an ozone metric focusing on 8-hour average exposures, and reported that a 10 ppb increase was associated with a 30 percent increased risk of developing asthma in males (relative risk 1.31, 95 percent confidence interval: 1.01, 1.71), and these effects persisted even after accounting for other pollutants (McDonnell et al. 1999). The latter study also found no effect in females, although this may reflect a greater potential for misclassification of air pollution exposure in females compared to males, due to different time-activity patterns resulting in greater time spent outdoors among males (U.S. EPA 2013b). In the Children’s Health Study, among children living in 12 Southern California communities with high ozone concentrations, the relative risk of developing asthma in children playing three or more sports was found to be over three times higher than in children playing no sports (McConnell et al. 2002). The high ozone communities had a 4-year mean daytime ozone concentration of 59.6 ppb, compared to 40.0 ppb for the low-ozone communities. These findings indicate that new cases of asthma in children may be associated with performance of heavy exercise in communities with high levels of ozone. While it has long been known that air pollution can exacerbate symptoms in individuals with preexisting respiratory disease, this is among the first studies that indicate ozone exposure may contribute to asthma onset. However, three more recent Southern California studies did not find an association between ozone exposures and childhood asthma incidence, but did report increased risks of asthma onset with higher exposures to particulate matter or NO₂ (Islam et al. 2007; McConnell et al. 2010; Nishimura et al. 2013). These studies did not examine whether genetic factors may have played a role in making some people more susceptible than others to the respiratory effects of ozone exposure. Some analyses from the Children’s Health Study identified specific genetic variants that, when combined with ambient ozone exposure, either increase or decrease the risk of developing asthma (Islam et al. 2008; Islam et al. 2009; Salam et al. 2009). These genetic variants are involved with antioxidant and/or anti-

inflammatory pathways, and are likely involved in key elements of asthma development (U.S. EPA 2013b).

Other studies examined the impact of long-term ozone exposures and respiratory symptoms, particularly among asthmatics. Studies have linked long-term ozone exposures to increased risk of having poorly-controlled asthma, increased asthma symptoms, and respiratory-related school absences (Gilliland et al. 2001; Akinbami et al. 2010; Jacquemin et al. 2012). An analysis from the CHS found no association between long-term ozone exposures and chronic lower respiratory tract symptoms, and another found an increased risk of bronchitic symptoms within a community, although the association was reduced when accounting for other pollutants (McConnell et al. 1999; McConnell et al. 2003). However, two studies from the CHS demonstrated gene-environment interactions for genes that are involved in inflammation or antioxidant pathways. One study found that asthmatic children with a particular genetic variant that reduces expression of the cytokine TNF- α (as part of an inflammatory response) had reduced risk of bronchitic symptoms for children in low-ozone communities, but not for children in high-ozone communities (Lee et al. 2009). A second study found that a particular genetic variant reduced the risk of respiratory-related school absences among children living in communities with high levels of ozone (defined in this study as being above the median value of 46.9 ppb) (Wenten et al. 2009).

Results of epidemiologic studies of hospital admissions and emergency department visits support the relationship between ozone exposure and respiratory effects. In a 2007 study conducted in Southern California, an increased risk of having poorly-controlled asthma was associated with living in areas above the 90th percentile ozone level (28.7 ppb, annual average) among men and elderly individuals (Meng et al. 2007). A study in the South Coast Air Basin found that ozone was associated with increased hospital discharges for asthma among children (Moore et al. 2008). Another study in the South Coast Air Basin looked at infants hospitalized for bronchiolitis. This study found a reduced risk of infant bronchiolitis hospitalization with increased ozone exposure, although there was no association for ozone when accounting for the effect of PM_{2.5}, which was positively associated with this respiratory outcome (Karr et al. 2007). A study of people with asthma was conducted in the San Joaquin Valley of California, and found that a 10 ppb increase in ozone exposures averaged over one year increased the odds of asthma-related hospital admissions and emergency department visits by approximately 50 percent, and the odds of asthma symptoms among adults by about 40 percent (Meng et al. 2010). Studies conducted in other locations have also reported increases in asthma hospitalizations (U.S. EPA 2013b).

Some animal studies show results that indicate possible chronic effects including functional and structural changes of the lung. However, morphological, developmental, and immunological differences make it difficult to apply these results to humans experiencing ambient exposures. These changes observed in airway responsiveness provide support for the long-term effects of ozone in asthma development or exacerbation (U.S. EPA 2013b). However, epidemiologic studies examining long-term ozone exposures and lung function deficits have reported mixed results. For example, an analysis of the first CHS cohort found that PM_{2.5} and NO₂ exposures were associated with decreased

lung function, but did not find an association for ozone (Gauderman et al. 2004). An autopsy study involving Los Angeles County residents who died between ages 14 and 25 years due to violent death, although conducted many years ago when pollutant levels were higher than currently measured, provided supportive evidence of lung tissue damage (structural changes), which the authors suggested were attributable to air pollution (Sherwin 1991), although many uncertainties remain about the extent to which air pollution explains the findings.

Unlike short-term ozone exposures, there is limited evidence linking long-term ozone exposures with mortality. A large study based on the American Cancer Society Cancer Prevention Study II (CPS-II) cohort included 96 metropolitan statistical areas in the U.S., and reported that a 10 ppb increase in daily maximum 1-hour ozone concentrations averaged between April and September (warm season) was associated with a relative risk of 1.040 (95 percent confidence interval: 1.010, 1.067) for respiratory deaths, but no association with cardiovascular deaths (Jerrett et al. 2009). A U.S. study of Medicare enrollees reported increased risk of mortality with higher ozone exposures averaged over the warm season, among patients who had previously been hospitalized for congestive heart failure, myocardial infarction, COPD and diabetes (Zanobetti et al. 2011). A recent large-scale study found increased risk of all-cause, cardiovascular, and respiratory mortality with long-term ozone exposures, even after accounting for the effects of PM_{2.5} and NO₂, as well as other behavioral and demographic factors, including smoking (Turner et al. 2016). Other studies have found temperature to be an important potential risk factor for mortality, and may confound or modify the associations between air pollution exposure and mortality (Basu et al. 2002; Cheng et al. 2008). The Turner 2016 study examined the role of temperature, and found that the associations between ozone and mortality differed based on average daily maximum temperatures (Turner et al. 2016). While the U.S. EPA determination in the latest ISA was that the evidence was suggestive of long-term ozone exposure causing mortality, the studies of respiratory mortality support the evidence for the respiratory effects of ozone exposure, for which U.S. EPA has concluded there is a causal relationship.

For non-respiratory health endpoints, the U.S. EPA causal determinations were “suggestive of a causal relationship” (for cardiovascular, reproductive and developmental, central nervous system and mortality effects) or “inadequate to infer a causal relationship” (for cancer). Some studies conducted in California have examined reproductive or developmental effects, including birth defects, low birth weight or birth weight reductions, stillbirth and autism (Ritz et al. 2002; Ritz et al. 2007; Morello-Frosch et al. 2010; Becerra et al. 2013; Mobasher et al. 2013; Trasande et al. 2013; Laurent et al. 2014; Green et al. 2015; Symanski et al. 2016). Other recent studies have examined cardiovascular effects (Koken et al. 2003; Ensor et al. 2013; Rodopoulou et al. 2014). While many of these studies have reported associations with ambient ozone levels, the most recent U.S. EPA determination in 2013 was that the evidence was suggestive of a causal determination, but did not yet rise to a higher level.

Sensitive Populations for Ozone-Related Health Effects

A number of population groups are potentially at increased risk for ozone exposure effects. In the most recent ISA for ozone in 2013, the U.S. EPA has identified several populations as having adequate evidence for increased risk from ozone exposures. These include children, older adults, outdoor workers, and individuals with asthma, certain variations in genes related to oxidative metabolism or inflammation, or reduced intake of certain nutrients such as Vitamins C and E (Kreit et al. 1989; Horstman et al. 1995; Sienna-Monge et al. 2004; Romieu et al. 2012; U.S. EPA 2013b; Bell et al. 2014). There is suggestive evidence for other potential factors, such as a person's sex, socioeconomic status, and obesity (U.S. EPA 2013b). Some other factors that could affect sensitivity to ozone have also been studied; however, there was inadequate evidence to conclude whether these were risk factors for ozone sensitivity. The table below summarizes the evidence for factors affecting sensitivity to ozone from the 2013 ISA for ozone.

TABLE I-3

Summary of Evidence for Potential Increased Susceptibility to Ozone-Related Health Effects

| Evidence Classification | Potential At Risk Factor |
|-------------------------|---|
| Adequate evidence | Genetic factors Asthma Children Older adults Diet Outdoor worker |
| Suggestive evidence | Sex SES Obesity |
| Inadequate evidence | Influenza/infection COPD Cardiovascular disease Diabetes Hyperthyroidism Race/ethnicity Smoking Air conditioning use |
| Evidence of no effect | -- |

From (U.S. EPA 2013b) Table 8-6

As previously mentioned, one group that has been recognized as being particularly sensitive to the effects of ozone is young children with asthma, because their lungs are still developing, their potential for increased exposure due to time spent exercising outdoors, and their high ventilation rates relative to body weight (U.S. EPA 2013b). Some factors that may contribute to the increased sensitivity among people with asthma include having an altered innate immune function and factors that decrease their antioxidant defenses (Alexis et al. 2014). Ozone creates secondary oxidation products that are electrophilic, and certain genetic factors influence a person's ability to metabolize

these electrophiles, which can affect respiratory function (U.S. EPA 2013b). Asthma exacerbations are more prevalent and severe in young boys than in girls, but the evidence on whether boys are more susceptible than girls to the effects of air pollution on asthma symptoms is not consistent (Guarnieri et al. 2014).

Summary – Ozone Health Effects

In summary, outdoor ozone exposures have been associated with a range of negative human health effects. The strongest evidence for negative health impacts are on the respiratory system, and are measured by decreased lung function performance and increased cell injury. In addition, the 2013 ISA also concluded that there was a likely causal relationship between short-term ozone exposures and cardiovascular effects (such as changes in heart function, and increased systemic inflammation and oxidative stress) as well as respiratory mortality. Although the specific mechanisms of action for ozone effects on the various health endpoints have not been fully identified, there is evidence of the important roles of oxidation of key enzymes and proteins, inflammatory responses, changes in immune response, and modification and activation of neural reflex pathways (U.S. EPA 2013b).

The previous U.S. EPA review of ozone in the 2006 Air Quality Criteria Document (AQCD) had already concluded that there was clear, consistent evidence that acute ozone exposure is causally associated with respiratory effects (U.S. EPA 2006). Additionally, the 2006 AQCD for ozone concluded that the evidence was highly suggestive of ozone causing mortality, but that there was limited evidence for ozone causing cardiovascular effects. In the 2013 ISA, the U.S. EPA cited that several lines of evidence provide support for the respiratory effects of ozone, including human exposure studies, epidemiology and toxicology, which led to the conclusion that there was a causal relationship with short-term ozone exposures, and a likely causal relationship with long-term ozone exposures. In humans, respiratory effects were detected in laboratory studies at 0.06 ppm ozone concentrations, and in epidemiological studies with average ozone concentrations as low as 0.03 ppm (Strickland et al. 2010; Kim et al. 2011). Some populations are more sensitive to the health effects of ozone than others, including elderly persons, children, outdoor workers and persons with asthma.

PARTICULATE MATTER

Airborne particulates are a complex group of pollutants that vary in physical, chemical, and biological dimensions. Physically, particles can vary by size, surface area and roughness, shape, and mass. Chemically, they vary by chemical composition. Biologically, they can vary by toxicity. In addition, particles vary by source, and can come from anthropogenic (man-made, such as from combustion of fuels, or frictional abrasion) or “natural” (plants – for example, pollens and spores) origins. The composition of particulate matter can vary across sub-regions, and a description of the spatial differences in PM composition can be found in the draft 2016 AQMP Chapter 2 and Appendix II.

The National Ambient Air Quality Standard for particulate matter was established in 1971, and set limits on the ambient level of Total Suspended Particulates (TSP). In 1987, the national particulate matter standards were revised to focus on particles sized 10 μm (micrometers) aerodynamic diameter and smaller. These can be inhaled and deposited throughout the upper and lower

respiratory system, depositing in both airways and gas-exchange areas of the lung. These particles are referred to as PM₁₀. U.S. EPA initially promulgated ambient air quality standards for PM₁₀ of 150 µg/m³ averaged over a 24-hour period, and 50 µg/m³ for an annual average. U.S. EPA has since rescinded the annual PM₁₀ standard, but kept the 24-hour standard.

As more health research data has become available, concerns have centered on smaller and smaller particles. Additional focus has been placed on particles having an aerodynamic diameter of 2.5 µm or less (PM_{2.5}). A greater fraction of particles in this size range can penetrate and deposit deep in the lungs. The U.S. EPA established standards for PM_{2.5} in 1997 and in 2006 lowered the air quality standards for PM_{2.5} to 35 µg/m³ for a 24-hour average and reaffirmed 15 µg/m³ for an annual average standard. There was considerable controversy and debate surrounding the review of particulate matter health effects and the consideration of ambient air quality standards (Kaiser 1997; Vedal 1997) when the U.S. EPA promulgated the initial PM_{2.5} standards in 1997. In 2002, the California Air Resources Board adopted an air quality standard for PM_{2.5} at a level of 12 µg/m³, in the form of an annual average.

Since that time, additional studies have been published and some of the key studies were closely scrutinized and the data reanalyzed by additional investigators. The reanalyses confirmed the original findings, and there are now additional data confirming and extending the range of the adverse health effects of PM_{2.5} exposures. In 2012, the U.S. EPA revised the PM_{2.5} annual average standard to 12.0 µg/m³ (U.S. EPA 2013c). This federal standard is set at same level as the current California PM_{2.5} annual standard, although the California standard does not have a specified attainment date. In 2014, the U.S. EPA announced it is preparing an ISA as part of the review of the federal PM standards (the process is described briefly in the draft AQMP Chapter 8). The draft AQMP Chapter 2 and Appendix II provide additional information about how PM levels in the South Coast Air Basin compare to the federal and state standards.

There have been several reviews of the health effects of ambient particulate matter (American Thoracic Society 1996a; Brunekreef et al. 2002; U.S. EPA 2004; U.S. EPA 2009; Brook et al. 2010). In addition, the California Air Resources Board (CARB) and the Office of Environmental Health and Hazard Assessment (OEHHA) have reviewed the adequacy of the California Air Quality Standards for Particulate Matter (California Air Resources Board and Office of Environmental Health Hazard Assessment 2002).

The major types of health effects associated with particulate matter include:

- Increased mortality
- Exacerbation of respiratory disease and of cardiovascular disease as evidenced by increases in:
 - Respiratory symptoms, exacerbation of asthma
 - Cardiovascular symptoms, non-fatal myocardial infarction
 - Hospital admissions and emergency room visits

- Physician office visits
- School absences
- Adverse birth outcomes
- Effects on lung function
- Changes in lung morphology

In the 2009 Integrated Science Assessment for Particulate Matter, the U.S. EPA presented conclusions on the particulate matter causal determination of several health effects based on an updated review of scientific studies (U.S. EPA 2009). The conclusions are presented separately for particulates in the size range of 2.5 to 10 micrometers (μm) in aerodynamic diameter (PM_{10-2.5}, often referred to as the coarse fraction) and those $\leq 2.5 \mu\text{m}$ (PM_{2.5}, or fine particles). Of note, there is currently no federal or California standard for PM_{10-2.5}, although a PM₁₀ standard remains in effect. These conclusions are depicted in the following tables.

TABLE I-4Summary of U.S. EPA's Causal Determinations for Health Effects of PM_{10-2.5}

| SHORT-TERM EXPOSURES | |
|--------------------------------|---|
| Health Outcome | Causality Determination |
| Cardiovascular effects | Suggestive of a causal relationship |
| Respiratory effects | Suggestive of a causal relationship |
| Mortality | Suggestive of a causal relationship |
| LONG-TERM EXPOSURES | |
| Health Outcome | Causality Determination |
| Cardiovascular effects | Inadequate to infer a causal relationship |
| Respiratory effects | Inadequate to infer a causal relationship |
| Mortality | Inadequate to infer a causal relationship |
| Reproductive and developmental | Inadequate to infer a causal relationship |

(From (U.S. EPA 2009) Table 2-3 and Section 2.3.4)

There are also differences in the composition and sources of particles in the different size ranges that may have implications for health effects. The particles in the coarse fraction (PM_{10-2.5}) are mostly produced by mechanical processes. These include automobile tire wear, industrial processes such as cutting and grinding, and resuspension of particles from the ground or road surfaces by wind and human activities, such as agricultural, mining, and construction operations, which may be particularly important in rural areas.

TABLE I-5Summary of U.S. EPA's Causal Determinations for Health Effects of PM_{2.5}

| SHORT-TERM EXPOSURES | |
|------------------------------------|---|
| Health Outcome | Causality Determination |
| Cardiovascular effects | Causal relationship |
| Respiratory effects | Likely to be a causal relationship |
| Central nervous system | Inadequate to infer a causal relationship |
| Mortality | Causal relationship |
| LONG-TERM EXPOSURES | |
| Health Outcome | Causality Determination |
| Cardiovascular effects | Causal relationship |
| Respiratory effects | Likely to be a causal relationship |
| Mortality | Causal relationship |
| Reproductive and developmental | Suggestive of a causal relationship |
| Cancer, Mutagenicity, Genotoxicity | Suggestive of a causal relationship |

(From (U.S. EPA 2009) Tables 2-1 and 2-2)

In contrast, particles smaller than 2.5 μm are mostly derived from combustion sources, such as automobiles, trucks, and other vehicle exhaust, as well as from stationary combustion sources. The particles are either directly emitted or are formed in the atmosphere from gases that are emitted. Components from material in the earth's crust, such as dust, are also present, with the amount varying in different locations.

Attention to another range of very small particles has been increasing over the last several years. These are generally referred to as "ultrafine" particles, with diameters of 0.1 μm or less. Ultrafine particles are mainly composed of particles from fresh emissions of combustion sources, but are also formed in the atmosphere by condensation of vapors that are emitted or by chemical or photochemical reactions with other contaminants in the air.

Ultrafine particles have relatively short half-lives (minutes to hours) and the particle size rapidly grows through condensation and coagulation processes into particles within the PM_{2.5} size range. Ultrafine particles are garnering interest since a limited number of epidemiological and some laboratory studies, though not all, indicate that their toxicity may be higher on a mass basis than larger particles. There is also evidence that these small particles, or toxic components carried on their surface, can translocate from the lung to the blood and to other organs of the body, or through the olfactory bulb into the brain (U.S. EPA 2009). Currently, there are no federal or California

standards for ultrafine particles. As such, the health effects of ultrafine particles is discussed in a separate section following the discussion of PM10 and PM2.5.

The current federal and California standards for particulate matter are listed in Table I-6.

TABLE I-6

Ambient Air Quality Standards for Particulate Matter

| STANDARD | FEDERAL | CALIFORNIA |
|-----------------------|------------------------------|-----------------------------|
| PM10 24-Hour average | 150 $\mu\text{g}/\text{m}^3$ | 50 $\mu\text{g}/\text{m}^3$ |
| PM10 Annual Average | -- | 20 $\mu\text{g}/\text{m}^3$ |
| PM2.5 24-Hour Average | 35 $\mu\text{g}/\text{m}^3$ | -- |
| PM2.5 Annual Average | 12 $\mu\text{g}/\text{m}^3$ | 12 $\mu\text{g}/\text{m}^3$ |

Short-Term Exposure Effects of PM

Epidemiological studies have provided evidence for most of the effects listed above. In an extensive report focusing on the history of particulate matter research, the U.S. EPA reviewed several well-conducted studies that reported an association between mortality and increased daily or several-day-average concentrations of PM10 (U.S. EPA 2004). In addition, excess mortality and morbidity are reported in many studies involving communities across the U.S. as well as in Europe, Asia, and South America (U.S. EPA 2009; Lu et al. 2015; Shah et al. 2015; Cai et al. 2016), although there are some studies that show no effect for the specific exposures and outcomes evaluated (Milojevic et al. 2014; Wang et al. 2015; Zu et al. 2016). While there were some studies conducted in California, the importance of assessing results from studies from many different locations around the world should not be understated. The repeatability and consistency of results across many locations strengthens the weight of evidence in the determination of causality.

A review and analysis of epidemiological literature for acute adverse effects of particulate matter was published by the American Thoracic Society in 1996, where several adverse effects were listed as associated with daily PM10 exposures (Table I-7). The review also reported that individuals who are elderly or have preexisting lung or heart disease are more susceptible than others to the adverse effects of PM10 (American Thoracic Society 1996a).

TABLE I-7

Combined Effect Estimates of Daily Mean Particulate Pollution (PM10)

| | % CHANGE IN HEALTH INDICATOR PER EACH 10 µg/m³ INCREASE IN PM10 |
|--|---|
| Increase in Daily Mortality | |
| Total deaths | 1.0 |
| Respiratory deaths | 3.4 |
| Cardiovascular deaths | 1.4 |
| Increase in Hospital Usage (all respiratory diagnoses) | |
| Admissions | 1.4 |
| Emergency department visits | 0.9 |
| Exacerbation of Asthma | |
| Asthmatic attacks | 3.0 |
| Bronchodilator use | 12.2 |
| Emergency department visits* | 3.4 |
| Hospital admissions | 1.9 |
| Increase in Respiratory Symptom Reports | |
| Lower respiratory | 3.0 |
| Upper respiratory | 0.7 |
| Cough | 2.5 |
| Decrease in Lung Function | |
| Forced expiratory volume | 0.15 |
| Peak expiratory flow | 0.08 |

* One study only

(From: (American Thoracic Society 1996a))

Since then, many more recent studies have provided additional evidence that excess mortality and morbidity are associated with short-term exposure to PM10 and PM2.5 (Pope et al. 2006).

Estimates of mortality effects from studies of PM10 exposures range from 0.3 to 1.7 percent increase for a 10 µg/m³ increase in PM10 levels. The National Morbidity, Mortality, and Air Pollution Study (NMMAPS), a study of 20 of the largest U.S. cities, determined a combined risk estimate of about a 0.5 percent increase in total mortality for a 10 µg/m³ increase in PM10 (Samet et al. 2000a). This

study also analyzed the effects of gaseous co-pollutants. When the gaseous pollutants were included in the analyses, the estimated associations between PM₁₀ and mortality remained, though they were somewhat reduced. These results suggest that the effects reported in the study are likely due to the particulate exposures; they cannot readily be explained by coexisting weather stresses or other pollutants.

An expansion of the NMMAPS study to 90 U.S. cities also reported association with PM₁₀ levels and mortality (Samet et al. 2000b; Health Effects Institute 2003). After the study was published, it was discovered that some of the study analyses had been performed with incorrect default values. The strong positive association between acute PM₁₀ exposure and mortality remained, both upon reanalysis using revised software and using alternative modeling approaches (Dominici et al. 2002; Health Effects Institute 2003).

Studies of short-term exposures to PM_{2.5} have also found associations with increases in mortality. The NMMAPS study conducted a national analysis of PM_{2.5} mortality association for 1999-2000. The risk estimates were 0.29 percent for all-cause mortality and 0.38 percent for cardio-respiratory mortality (Dominici et al. 2007). In its 2009 review, U.S. EPA determined that estimates for PM_{2.5} generally are in the range of 0.29 to 1.21 percent increase in total deaths per 10 µg/m³ increase in 24-hour PM_{2.5} levels. The estimates for cardiovascular related mortality range from 0.03 to 1.03 percent per 10 µg/m³, and for respiratory mortality estimates range from 1.01 to 2.2 percent per 10 µg/m³ 24-hour PM_{2.5} (U.S. EPA 2009). Figure I-4 shows a summary of U.S. and Canadian studies of mortality and short-term PM_{2.5} exposures, which shows that the most consistent positive associations were seen with cardiovascular and all-cause deaths. Positive associations for respiratory deaths were also seen in several of these studies, although the precision of the estimates for respiratory deaths was lower relative to that of all-cause or cardiovascular deaths.

Several studies have attempted to assess the relative importance of particles smaller than 2.5 µm and those between 2.5 µm and 10 µm (PM_{10-2.5}). While some studies report that PM_{2.5} levels are better predictors of mortality effects, others suggest that PM_{10-2.5} is also important. Most of the studies found higher mortality associated with PM_{2.5} levels than with PM_{10-2.5}. For example, a study of six cities in the U.S. found that particulate matter less than 2.5 µm was associated with increased mortality, but that the larger particles were not. In the U.S. EPA review (U.S. EPA 2009), several studies were presented that found associations of PM_{10-2.5} and mortality. Some of the studies showed differences by region of the U.S. In one study of 47 U.S. cities that had both PM_{2.5} and PM₁₀ data available to calculate PM_{10-2.5} as a difference, overall, the study found a significant association between the computed PM_{10-2.5} and all-cause, cardiovascular, and respiratory mortality. The study also reported differences by season and climate area (Zanobetti et al. 2009).

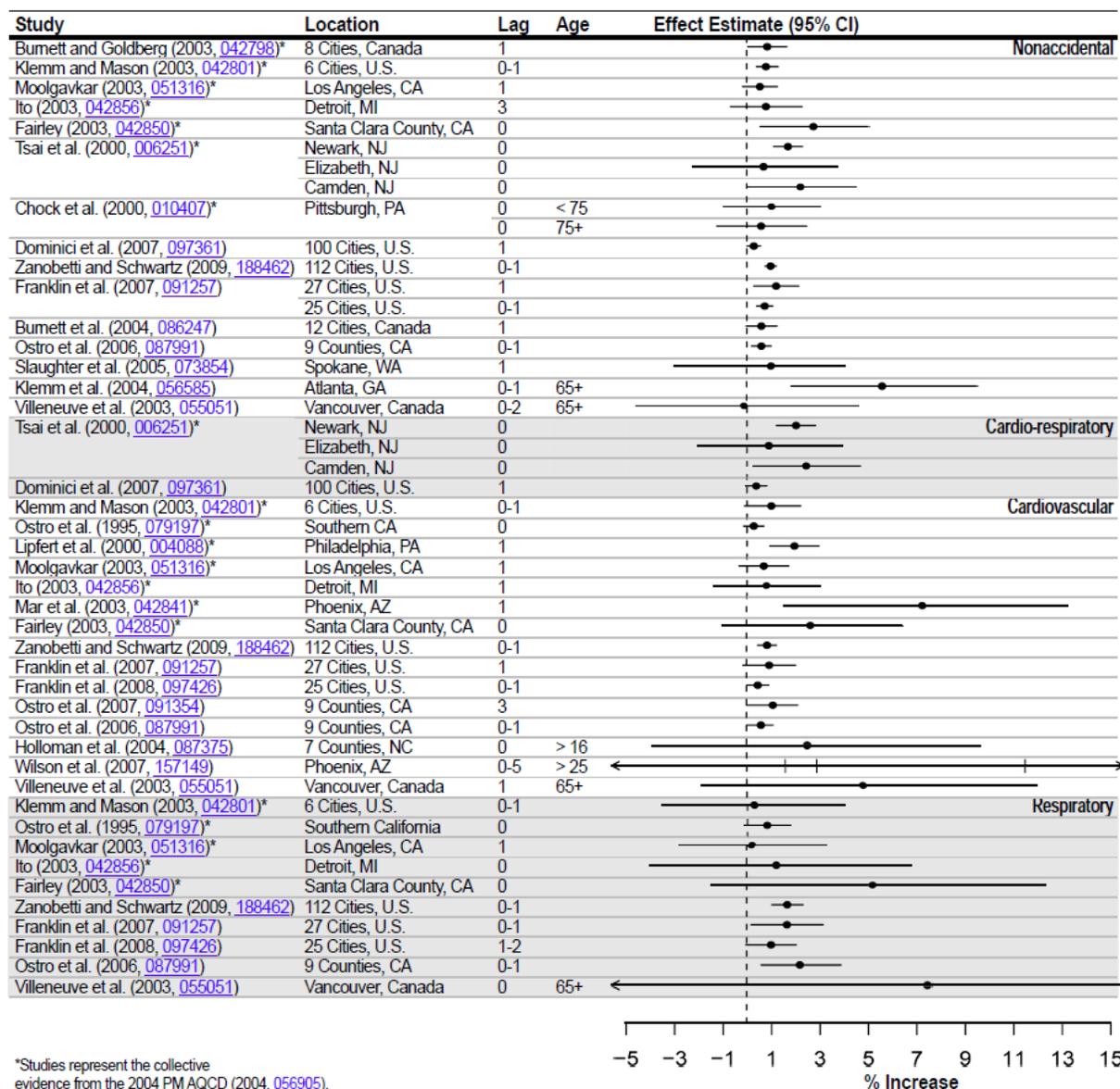


FIGURE I-4

Summary of Non-accidental All-Cause and Cause-Specific Mortality per 10 µg/m³ Increase in PM_{2.5} Short-term Exposures, for U.S.- and Canadian-based studies (from (U.S. EPA 2009), Figure 6-27). “Lag” indicates the number of days between the exposure and the outcome assessed.

A major knowledge gap in understanding the relative importance of “fine” PM (PM_{2.5}) and “coarse” PM (PM_{10-2.5}) is the relative lack of direct measurements of PM_{10-2.5}. Most estimates are made by subtracting PM_{2.5} from PM₁₀ measured at co-located samplers, a process that is subject to errors that are inherent in the subtracting of one relatively large number from another. More research is needed to better assess the relative effects of coarse (PM_{10-2.5}) fractions of particulate matter on mortality. A graph from the U.S. EPA review is included in the figure below to demonstrate ranges

of mortality findings associated with coarse particulates. Consistent positive associations are seen, particularly for cardiovascular and nonaccidental all-cause mortality, with varying degrees of precision across the different studies.

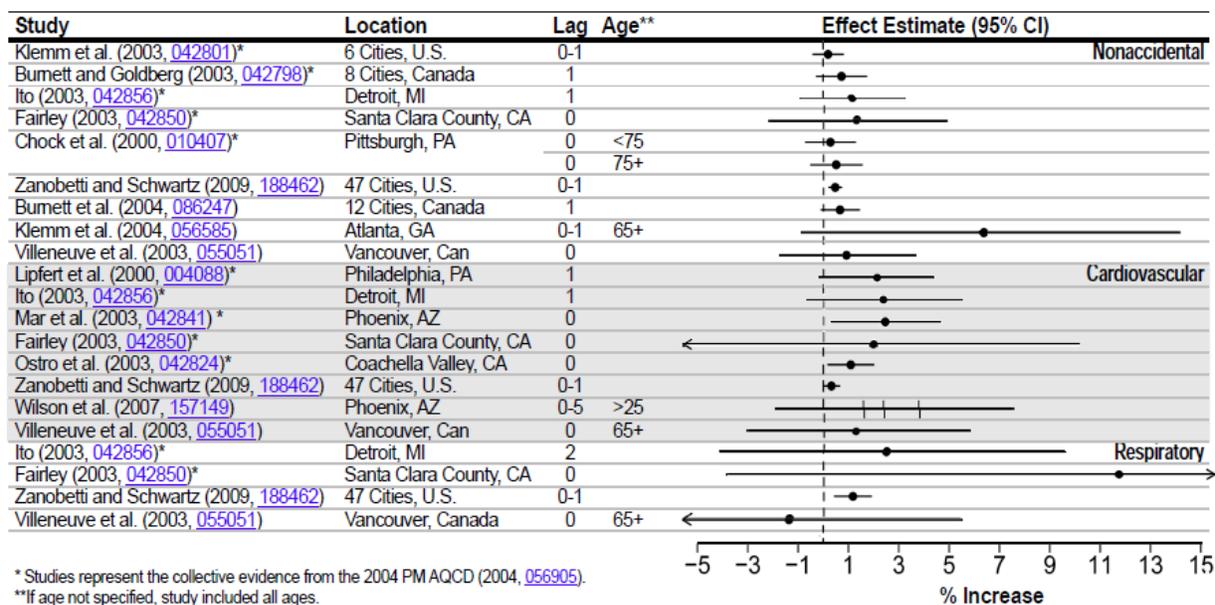


FIGURE I-5

Summary of Percent Increase in Total (Nonaccidental) and Cause-Specific Mortality Per 10 $\mu\text{g}/\text{m}^3$ Increase in PM_{10-2.5} Short-term Exposure (from (U.S. EPA 2009), Figure 6-30). “Lag” indicates the number of days between the exposure and the outcome assessed.

A number of studies have evaluated the association between particulate matter exposure and indices of morbidity such as hospital admissions, emergency room visits or physician office visits for respiratory and cardiovascular diseases. The effect estimates for these various morbidities are generally higher than the estimates for mortality. Observed effects have been associated with PM₁₀, PM_{2.5} and PM_{10-2.5}.

In the NMMAPS study, hospital admissions for those 65 years or older were assessed in 14 U.S. cities. Several models were compared to estimate associations of hospital admissions for specific disease categories and short-term PM₁₀ levels. Hospital admissions showed an increase ranging from 0.68 – 1.47 percent for cardiovascular diseases, a range of 1.46 – 2.88 percent increase for COPD, and a range of 1.31 – 2.86 percent increase for pneumonia per 10 $\mu\text{g}/\text{m}^3$ increase in PM₁₀ (Samet et al. 2000b). In the reanalysis of the study (Health Effects Institute 2003), it was found that when using different models, the pollution coefficients were generally lower. However, the authors note that most of the conclusions of associations with PM₁₀ exposures and hospital admissions held. Two recent Southern California studies evaluated associations between short-term PM_{2.5} levels and asthma-related hospital or emergency admissions. One study, based in Orange County, reported

increased risk of asthma-related hospital encounters with increased ozone and PM_{2.5} in the warm seasons, and with CO, NO_x, and PM_{2.5} in the cool seasons (Delfino et al. 2014). The second study, conducted in Los Angeles County, reported monthly average PM_{2.5}, CO, and NO₂ levels were positively associated with asthma hospitalization rates (Delamater et al. 2012).

Similarly, school absences, lost workdays, and restricted activity days have also been used in some studies as indirect indicators of acute respiratory conditions (Ostro 1987; Ostro 1990; Ransom et al. 1992; Gilliland et al. 2001; Park et al. 2002; Hales et al. 2016). These observations help support the hypotheses that particulate matter exposures increase inflammation in the respiratory tissues and may also increase susceptibility to infection (U.S. EPA 2009).

Some studies have reported that short-term particulate matter exposure is associated with changes in lung function (lung capacity and breathing volume); upper respiratory symptoms (hoarseness and sore throat); and lower respiratory symptoms (increased sputum, chest pain and wheeze). The severity of these effects is widely varied and is dependent on the population studied, such as adults or children with and without asthma. Sensitive individuals, such as those with asthma or pre-existing respiratory disease, may have increased or aggravated symptoms associated with short-term particulate matter exposures. Several studies have followed the number of medical visits associated with pollutant exposures. A range of increases from 1 to 4 percent for medical visits for respiratory illnesses was found corresponding to a 10 µg/m³ change in PM₁₀. A number of studies also looked at levels of PM_{2.5} or PM_{10-2.5}. The findings suggest that both the fine and coarse fractions may have associations with some respiratory symptoms (U.S. EPA 2009). Among the newer health endpoints evaluated in recent studies of short-term effects of PM_{2.5} is stroke. One recent meta-analysis evaluated 16 studies of short-term PM_{2.5} exposures and estimated a 5 percent increased risk of stroke for each 10 µg/m³ increase in PM_{2.5} (Shin et al. 2014).

The biological mechanisms by which particulate matter can produce health effects have been investigated in laboratory studies. Brook et al. (Brook et al. 2010) summarized three likely pathways by which PM exerts its effects on cardiovascular health outcomes: (1) PM can activate inflammatory pathways and cause systemic oxidative stress, leading to the production of pro-inflammatory cytokines; (2) PM can disrupt the autonomic nervous system leading to increased blood pressure, increased arrhythmic potential, and decreased heart rate variability; and (3) PM, particularly UFPs or particle constituents such as organic compounds and metals, can enter the bloodstream and cause increased constriction of the blood vessels and increased blood pressure. Each of these pathways may also lead to the formation of reactive oxygenated species (ROS, or free radicals) that can cause DNA oxidation and systemic inflammation. Inflammatory responses in the respiratory system in humans and animals can lead to inflammation in fat tissues and in the liver, which can lead to vascular dysfunction (e.g. atherosclerosis), changes in metabolic function (e.g. insulin resistance), and increased thrombotic potential (Brook et al. 2010). Several reviews discuss mechanistic studies in detail (Brunekreef et al. 2002; Brook et al. 2004; Brook et al. 2010). A study in cells using ambient air samples in communities near railyards in the South Coast Air Basin found that the PM_{2.5} phase of ambient air pollution contains prooxidant components, primarily metals, which can trigger an

inflammatory response in the cells (Eiguren-Fernandez et al. 2015; Cho 2016). The same study noted that vapor phase pollutants, which contain most of the electrophiles, may trigger a different biological response in the cells, suppressing inflammatory responses and could result in a reduced ability to fight off infections.

Some studies have examined the health effects of short-term exposures to specific PM constituents and sources (Lippmann 2014; Basagana et al. 2015; Atkinson et al. 2016). While there is some evidence suggesting possible links with specific constituents or sources, such as diesel exhaust, sulfates (related to coal combustion), and certain metals, the U.S. EPA determined that there were not enough studies evaluating short-term constituent- or source-specific exposures at the time of the previous Integrated Science Assessment to be able to make a causal determination (U.S. EPA 2009).

Long-Term Exposure Effects of PM

Numerous studies have evaluated the health effects of long-term (months to years) or chronic exposure to particulate matter, with the largest number of studies examining cardiovascular and respiratory health endpoints, as well as mortality. Other health outcomes that have been linked to long-term PM exposures include reproductive effects, cancer outcomes, and, more recently, metabolic syndromes and neurological effects. The U.S. EPA 2009 Integrated Science Assessment for Particulate Matter (ISA for PM) concluded that sufficient evidence is available to support a causal determination for long-term PM_{2.5} exposures and cardiovascular and mortality effects, and a likely causal relationship for respiratory effects. A summary of the evidence is presented below, focusing on the long-term effects of PM_{2.5} exposures.

Many research studies, including some recent studies, have evaluated the health effects of exposures to air pollutants from traffic emissions using a variety of exposure modeling techniques (Hart et al. 2014; Harris et al. 2015; Kingsley et al. 2015; Rice et al. 2015; Danysh et al. 2016). In general, these articles are not discussed in detail here, because of the difficulty in attributing the observed effects to a specific pollutant or combination of pollutants. However, these studies do provide supporting evidence that air pollutants from traffic exhaust are linked to health effects in humans.

Long-Term Particulate Matter Exposures and Mortality

Since the initial promulgation by U.S. EPA of the National Ambient Air Quality Standards for PM_{2.5}, controversy has remained over the association of mortality and exposures to PM_{2.5}. Several large, prospective cohort studies conducted in the U.S. and Canada were used to evaluate long-term PM exposures and mortality, including total number of deaths and deaths due to specific causes. The strongest and most consistent evidence of long-term PM_{2.5} effects are for cardiovascular mortality, particularly ischemic heart disease, and there is evidence that ambient PM_{2.5} exposure is associated with and lung cancer mortality (Dominici et al. 2006; Krewski et al. 2009; Jerrett et al. 2013; International Agency for Research on Cancer 2015). Below is a brief discussion of the evidence linking

PM and mortality reviewed in the U.S. EPA 2009 ISA along with more recently published studies, with a focus on large prospective studies and studies conducted in California or Southern California.

In the assessment of evidence for mortality outcomes linked to long-term PM exposures, the 2009 U.S. EPA ISA for PM reviewed 15 studies evaluating PM_{2.5} exposures, 2 studies evaluating PM_{10-2.5} exposures, and 5 studies evaluating PM₁₀ exposure. The majority of these studies were conducted in the United States, and 3 of the studies of PM_{2.5} exposures were conducted in California or Southern California. Previous reviews conducted in 1996 and 2004 by U.S. EPA assessed evidence primarily from large prospective cohort studies, such as the Harvard Six Cities Study (Dockery et al. 1993), the American Cancer Society (ACS) Study (Pope et al. 1995; Pope et al. 2002), and the Seventh-Day Adventist Health Air Pollution (AHSMOG) Study (Abbey et al. 1999; McDonnell et al. 2000). The U.S. EPA 2004 PM Air Quality Criteria Document concluded that there was strong evidence linking long-term PM_{2.5} exposures to all-cause and cardiopulmonary mortality, but not enough evidence for a link with PM_{10-2.5}. The 2009 U.S. EPA ISA for PM similarly concluded that the newer studies provide additional evidence to support a causal determination for long-term PM_{2.5} exposures and increased mortality risk, but there continues to be insufficient evidence supporting such a link with particles in the coarse fraction. This most recent U.S. EPA review evaluated the additional updated analyses of the previously-established large cohort studies (Harvard Six Cities, ACS, AHSMOG, and Veterans studies), and noted two new major cohorts that provide further evidence linking PM_{2.5} and mortality: the Women's Health Initiative (WHI) study (Miller et al. 2007) and the Medicare Cohort Studies (Eftim et al. 2008).

The American Cancer Society Cancer Prevention Study II (ACS) is a large, prospective national cohort study of over one million participants in the U.S. recruited from all 50 states, the District of Columbia and Puerto Rico, and followed over many years. Over the past two decades, studies using data from this cohort have reported associations for PM_{2.5} for both total mortality and cardiorespiratory mortality (Pope et al. 1995; Krewski 2000; Pope et al. 2002; Jerrett et al. 2005; Krewski et al. 2009; Jerrett et al. 2013; Pope et al. 2015). The survey included several measures of smoking and exposure to second-hand smoke, which were included in the statistical models to account for the potential confounding effects of smoking. The original study reported that long-term exposures to fine particulate air pollution were associated with cardiopulmonary and lung cancer mortality (Pope et al. 1995). In a reanalysis of the data (Krewski 2000), mortality rates and PM_{2.5} levels were analyzed for 50 metropolitan areas of the U.S. Average (median) levels from monitors in each metropolitan area were used to estimate PM_{2.5} exposures. At these levels of aggregation, regional differences in the association of PM_{2.5} and mortality were noted, with higher mortality risks in the Northeast and Midwest, and more moderate mortality risks in the West.

Another follow-up study of the American Cancer Society cohort confirmed and extended the findings in the initial study. The researchers estimated that, on average, a 10 µg/m³ increase in fine particulates was associated with approximately a 4 percent increase in total mortality, a 6 percent increase in cardiopulmonary mortality, and an 8 percent increase in risk of lung cancer mortality (Pope et al. 2002). In an additional reanalysis and extension of the American Cancer Society cohort

from 1982 to 2000 (Krewski et al. 2009), and including additional metropolitan areas for the most recent years, effects estimates on mortality were similar, though somewhat higher than those reported previously. The extended analyses included an additional 11 years of cohort follow-up compared to the original study. The authors reported positive and significant association between a 10 $\mu\text{g}/\text{m}^3$ change in PM_{2.5} level and all-cause, cardiopulmonary disease, and ischemic heart disease deaths. Mortality from ischemic heart disease was associated with the largest risk estimates.

Subsets of the ACS study data have also been evaluated to estimate effects in California and the metropolitan Los Angeles area (Jerrett et al. 2005; Jerrett et al. 2013). These results are discussed further below, along with results of other California or Southern California-based studies.

The Harvard Six Cities Study is a large prospective cohort study of adults in six U.S. cities, and began in the year 1974. The original analysis and a subsequent reanalysis found positive associations between particulate matter and sulfate in relation to mortality, after controlling for potential confounding factors such as smoking status, sex, age, and other factors (Dockery et al. 1993)(Krewski 2000). An extension of the Harvard Six Cities Cohort confirmed the association of mortality with PM_{2.5} levels, and reported that improvements in PM_{2.5} levels over the study time period were associated with decreased mortality risk (Laden et al. 2006). An update to this study covering the years 1974 to 2009 found a linear relationship of PM_{2.5} levels and mortality from all causes, cardiovascular causes, and from lung cancer (Lepeule et al. 2012). According to the authors, the PM_{2.5} levels decreased over time, but no evidence of a threshold for these effects was found.

AHSMOG is a cohort study of non-Hispanic white Seventh-day Adventists in California, with participants followed starting from the late 1970's. Confounding due to smoking in this study is unlikely due to very low smoking rates in this population; however, the study is limited in its ability to apply the findings to other population groups. The study has linked long-term PM₁₀ exposures and other air pollutants to deaths from all natural causes and deaths due to lung cancer among males (Abbey et al. 1999), although the authors concluded that these associations were likely due to exposures to fine particles rather than the coarse fraction of PM₁₀ (McDonnell et al. 2000). In a re-analysis of the data, the study found PM_{2.5} was associated with an increased risk of coronary heart disease mortality among females but not among males (Chen et al. 2005). Similar associations among females only were found for coarse particles and PM₁₀.

Other cohort studies include an analysis of mortality and PM_{2.5} exposures in a Medicare enrollee population. Zeger et al. (Zeger et al. 2008) assembled a Medicare enrollee cohort by including all Medicare enrollees residing in over 4,500 zip codes with centroids within six miles of a PM_{2.5} monitor. PM_{2.5} data was obtained from the monitoring stations, and mean annual levels were calculated for the zip codes within six miles of each monitor. The authors found that long-term exposures to PM_{2.5} was associated with all-cause mortality for the eastern and central portions of the U.S., and these mortality risk estimates were similar to those previously published in the Six Cities Study and the American Cancer Society cohorts. The authors reported that there were no statistically significant associations between zip code levels of PM_{2.5} and all-cause mortality rates in the western

region of the U.S. This finding was attributed largely to the higher PM_{2.5} levels in Los Angeles area counties compared to other western urban areas, but there were not higher mortality rates in the Los Angeles area counties. Several factors could explain this finding. The authors note that the toxicity of the PM mixture may differ by location, e.g. with higher PM_{2.5} sulfate levels in the eastern region. In addition, the use of ecological data rather than individual-level data for exposure assessment and some confounding factors, and the assessment of all-cause mortality rather than cause-specific mortality may have impacted the results of this study. For example, the authors used county-level COPD risk as an estimate of smoking prevalence, because individual-level measures of smoking were not available. The authors further reported that they found no associations of PM_{2.5} with all-cause mortality in persons aged 85 years or higher, which may reflect other competing causes of death in this age group not related to air pollution exposures.

The Women's Health Initiative (WHI) Study is a nationwide cohort of post-menopausal women in 36 metropolitan areas of the U.S. who had no history of cardiovascular disease (Miller et al. 2007). The study found that long-term exposure to PM_{2.5} was associated with a 24 percent increased risk of cardiovascular disease and a 76 percent increased risk of death from cardiovascular causes for each additional 10 µg/m³ of PM_{2.5}; these relative risk estimates are larger than those reported in the ACS and Six Cities Studies, but differences in health status, PM composition, and overall mortality risk in these distinct populations may account for such differences in the effect estimates. The WHI study results accounted for the potential confounding effects of several factors, including medical risk factors for cardiovascular disease, measures of socioeconomic status, and cigarette smoking. Another large cohort study focusing on women is the Nurses' Health Study, which found that PM₁₀ exposures were associated with all-cause mortality and fatal coronary heart disease, with exposures 24 months prior to death having the strongest effects (Puett et al. 2008). These results accounted for several potential confounders, including smoking status and history, medical risk factors for cardiovascular disease, and area-level measures of socioeconomic status. This study did not evaluate PM_{2.5} exposures.

A recent pooled analysis of 22 European cohorts and including over 350,000 participants evaluated long-term air pollution exposures and exposure to PM_{2.5}, PM₁₀, and nitrogen oxides, using land use regression models to estimate exposures (Beelen et al. 2014). The authors reported that a 5 µg/m³ increase in PM_{2.5} was associated with approximately a 7 percent increase in mortality from natural causes.

Estimates of mortality risks associated with long-term PM_{2.5} levels from recent studies are shown in the figure below. The recent evidence is consistent with past studies, showing increased risk of premature death with increased PM_{2.5} exposures. For cause-specific mortality, consistent positive associations are seen with cardiovascular mortality endpoints and with lung cancer deaths, but weak associations are seen with overall respiratory mortality.

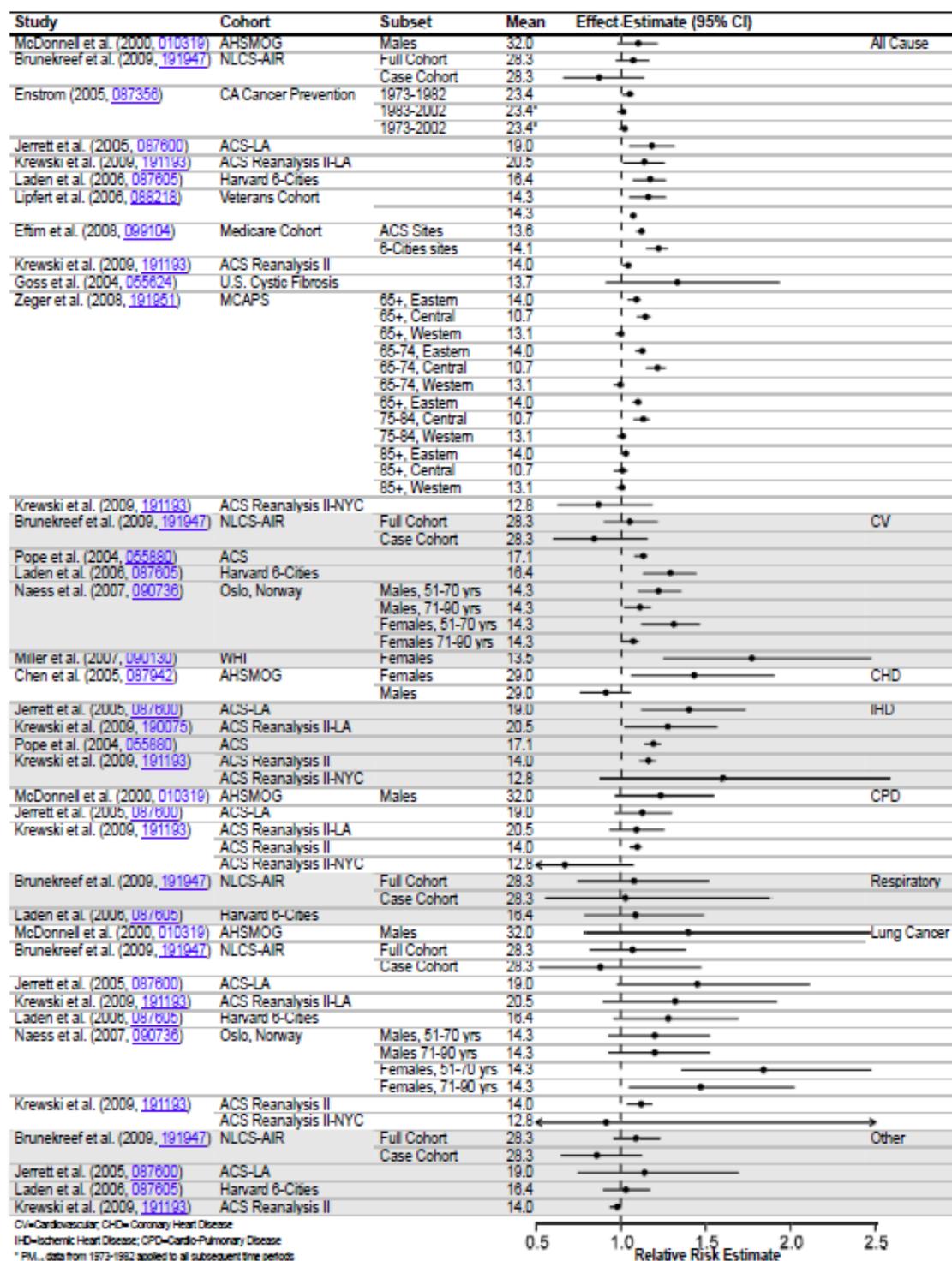


FIGURE I-6

Mortality Risk Estimates, Long-Term Exposure to PM_{2.5} in Cohort Studies (From (U.S. EPA 2009), Figure 7-7). “Mean”=mean PM_{2.5} exposure estimates in the study. CV=cardiovascular, CHD=coronary heart disease, IHD=ischemic heart disease, CPD=cardiopulmonary disease.

In addition to the AHSMOG study, other analyses of mortality and PM_{2.5} levels specific to California have also been reported, including an analysis of a subset of the ACS II data. An analysis of the ACS II study (Jerrett et al. 2013) followed individuals in California from that cohort recruited starting in 1982, with follow-up to 2000. PM_{2.5} levels at subject residences were estimated using land use regression models. Over 40 potential confounders were included in the statistical models, and included individual-level variables (e.g. smoking, diet, demographic, and other factors) and neighborhood-level variables (e.g. unemployment, poverty, income inequality, racial composition). The authors noted that mortality rates differ in urban areas compared to non-urban areas, and adjusted for urban/rural status in the model to estimate pollution effects on mortality. All-cause mortality, mortality from cardiovascular disease, and mortality from ischemic heart disease were positively associated with PM_{2.5} levels in single-pollutant models. These associations with PM_{2.5} remained after additional adjustment for ozone levels. Because of moderate correlations across pollutants, it may not be possible to draw conclusions about which pollutant(s) in this mixture cause the observed effects. Positive associations of all-cause and certain cause-specific mortality rates with estimated NO₂ and ozone levels were also found. The authors concluded that these results indicate that several components of combustion-related pollutant mixture are associated with mortality.

A study analyzed data from the California Teachers Study cohort of over 100,000 active and retired school teachers recruited in 1995, and followed through 2005 (Lipsett et al. 2011). Pollutant exposures at the subject residences were estimated using data from ambient monitors, and extrapolated using a distance-weighted method. The authors reported that a 10 µg/m³ increase in PM_{2.5} was associated with a 20 percent risk increase in mortality from ischemic heart disease, but no associations were found with all-cause, cardiovascular, or lung cancer mortality. A 10 µg/m³ increase in PM₁₀ was associated with increased risk of ischemic heart disease and incident stroke. These results accounted for several individual- and neighborhood-level factors, including smoking, second-hand smoke, medical risk factors for cardiovascular disease, and indicators of socioeconomic status.

A more recent analysis of the California Teachers Study cohort from 2001 through 2007 estimated the association between particulate pollutants and all-cause, cardiovascular, ischemic heart disease, and respiratory mortality (Ostro et al. 2015). Exposure data at the residential level were estimated by a chemical transport model that computed pollutant concentrations from over 900 sources in California. Besides particle mass, monthly concentrations of 11 species and 8 sources or primary particles were generated at 4-km grids. The results were reported as finding statistically significant associations of ischemic heart disease mortality with PM_{2.5} mass and several of its components (Figure I-7). The study also found significant positive associations between ischemic heart disease mortality and ultrafine particle mass as well as several ultrafine particulate components including elemental carbon, organic carbon, copper, metals, meat cooking, and mobile source derived components. An earlier study using data from the same cohort had used monitoring data to estimate mortality risk, and similarly reported increased risk of all-cause, cardiopulmonary, and ischemic heart disease mortality with higher exposures to PM_{2.5} mass. This study also reported increased ischemic heart disease risk with higher exposures to PM_{2.5} constituents such as organic carbon, sulfates, and

nitrate (Ostro et al. 2010). Both studies adjusted for several individual- and neighborhood-level covariates, including smoking status and indicators of socioeconomic status.

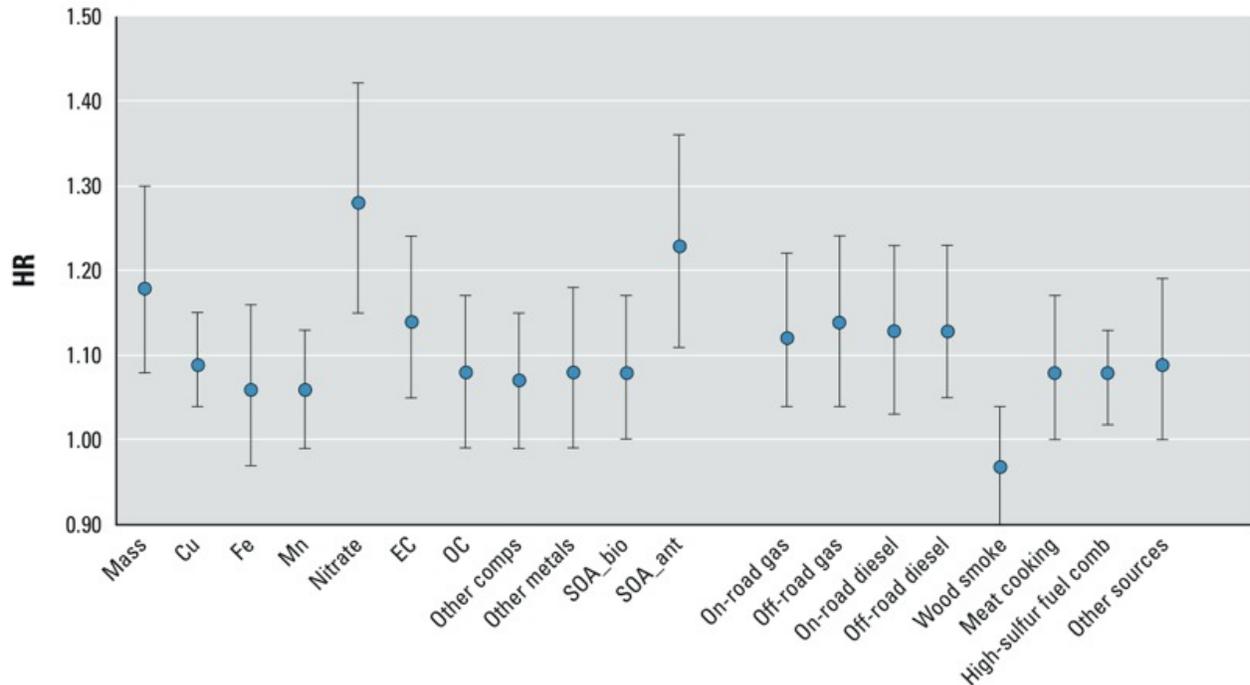


FIGURE I-7

Association of PM_{2.5} constituents and sources with Ischemic Heart Disease mortality (Hazard Ratios and 95 percent Confidence Intervals) using interquartile range. Abbreviations: comb = combustion; comps = components; SOA_bio= secondary organic aerosols from biogenic sources (derived from long-chain alkanes, xylenes, toluenes, and benzene and their oligomers); SOA_ant=secondary organic aerosols from biogenic sources (derived from isoprenes, monoterpenes, and sesquiterpenes and their oligomers). (From (Ostro et al. 2015))

A cohort of elderly individuals (average age of 65 years in 1973) recruited from 11 California counties was followed over several years (Enstrom 2005). A positive association for long-term PM_{2.5} exposure with all-cause deaths was reported from 1973–1982. However, no significant association was found in the later time period of 1983–2002. PM_{2.5} levels were obtained from measurements made during 1979–1983 by the EPA as part of the Inhalable Particle Monitoring Network and the cohort was confined to those participants in the American Cancer Society Cancer Prevention Study I who were living in the 11 counties that had one of the monitors. Pollutant levels were estimated using data from these monitors and averaged over each county, which may lead to exposure misclassification and bias toward finding no effect. The study adjusted for several potential confounding factors, including demographic factors, smoking, body mass index, and other factors.

The California Air Resources Board recently conducted a cross-sectional study of long-term PM_{2.5} exposures in rural and urban areas within California, using ambient monitoring data from 116

stations in the monitoring network, and calculating zip code-level exposure estimates (Garcia et al. 2016). The study observed larger effect sizes for increased PM_{2.5}-related mortality risk in rural compared to urban areas from all causes, cardiovascular disease and cardiopulmonary disease. In urban areas, the study found PM_{2.5} exposures to be associated with increased risk of cardiovascular disease, ischemic heart disease, and cardiopulmonary disease; however, for all-cause non-accidental mortality risk, only an exposure model restricted to people living within 10 km of a monitoring station in urban areas showed an association with PM_{2.5}. This study did not control for the potential confounding effects of smoking.

A recent study analyzed data from the National Institutes of Health AARP Diet and Health cohort, including about 160,000 participants in California (Thurston et al. 2016). Census tract-level PM_{2.5} exposures were estimated based on land use regression models. For the California cohort, PM_{2.5} levels were associated with an approximately 10 percent increase in cardiovascular disease mortality risk for each additional 10 µg/m³ of PM_{2.5}. A small but positive effect estimate was found for all-cause mortality in California, and no association was found for respiratory mortality in the California cohort, although the estimates indicated uncertainty in the magnitude and direction of these effects. This study adjusted for several potential confounders, including demographic factors, smoking, and indicators of socioeconomic status.

A few studies have focused on particulate matter exposure and health effects in residents of Southern California. Two analyses of the American Cancer Society II cohort, for example, focused specifically on the Los Angeles Metropolitan area using methods to estimate exposures on a finer geographical scale than previous studies that used geographic scales at the county or metropolitan area. Improved exposure estimation methods reduce potential bias from exposure misclassification. Using data from monitoring stations in the Los Angeles area, one study applied interpolation methods (Jerrett et al. 2005) and another applied land use regression techniques (Krewski et al. 2009) to estimate PM_{2.5} exposures to the study participants. Significant associations of PM_{2.5} with mortality from all causes and cardiopulmonary disease were reported, with the magnitude of risks being higher than those from the national studies of the American Cancer Society II cohort. Such improved exposure estimation techniques can reduce misclassification bias in epidemiological studies. It should be noted that various analyses were presented in these as well as other studies to estimate the influence of various individual-level and ecologic variables that might also be related to health effects risks. Including such variables helps control for potential confounding, but generally reduces the estimated association between PM_{2.5} and all-cause mortality. It may be illustrative to describe some of the estimates from the various calculations as presented by the authors of the Los Angeles area cohort (Krewski et al. 2009). In the descriptions in Table I-9, HR refers to the “hazard ratio” expressed for a 10 µg/m³ change in PM_{2.5} exposure, followed by the 95 percent Confidence Interval. For example, if the hazard ratio is 2, the risk would be twice as high; and, conversely if the hazard ratio is 0.5, the risk would be one-half of that of the reference group. Several of the analyses results follow as excerpted from Krewski, 2009. Table I-8 includes PM_{2.5}, plus various additional individual and ecological variables. Similar effects of covariate adjustment were seen for hazard ratios for

mortality from ischemic heart disease, although effect estimates were stronger for ischemic heart disease mortality compared to those for all-cause mortality.

TABLE I-8

Influence of Adding Confounding Variables on All-Cause Mortality

| VARIABLE INCLUDED | HAZARD RATIO per 10 µg/m ³ change in PM2.5 exposure |
|---|---|
| PM2.5 alone (stratified for age, sex, and race) | 1.197 (95% CI, 1.082–1.325); |
| PM2.5 with 44 individual-level covariates* | 1.143 (95% CI, 1.033–1.266) |
| PM2.5 with 44 individual-level covariates and the ecologic covariate of unemployment | 1.127 (95% CI, 1.015–1.252) |
| PM2.5 with 44 individual-level covariates and social factors extracted from the principal component analysis (which account for 81% of the total variance in the social variables) | 1.142 (95% CI, 1.026–1.272). |
| PM2.5 with 44 individual-level covariates and all ecologic covariates that were individually associated with mortality in bivariate models with PM2.5 exposure | 1.115 (95% CI, 1.003–1.239) |
| PM2.5 parsimonious model that included 44 individual-level covariates and ecologic confounder variables that both reduced the pollution coefficient and had associations with mortality | 1.126 (95% CI, 1.014–1.251) |

*These covariates included several measures of smoking.
(From Krewski, 2009)

U.S. EPA also released a Regulatory Impact Analysis (U.S. EPA 2012) which looked at the costs and benefits of alternate PM2.5 standard levels. As part of the analysis, U.S. EPA looked at California-specific studies regarding PM2.5 and mortality published in the scientific literature. The U.S. EPA analysis concluded “most of the cohort studies conducted in California report central effect estimates similar to the (nation-wide) all-cause mortality risk estimate we applied from Krewski et al. (2009) and Laden et al. (2006) albeit with wider confidence intervals. A couple of cohort studies conducted in California indicate higher risks than the risk estimates we applied.” Thus, in U.S. EPA’s judgment, the California-related studies provided estimates of mortality consistent with or higher than those from the national studies.

At the time of the 2009 ISA, few studies had examined long-term exposures to chemical-specific PM constituents or compared source-specific PM effects on mortality (U.S. EPA 2009). The 2009 ISA discussed only two studies that used direct measurements of PM constituents other than sulfates: the Veteran's Cohort (Lipfert et al. 2006) and the Netherlands Cohort Study (Beelen et al. 2008). These studies found mortality associations with long-term exposures to traffic pollutants, nitrates and sulfates.

With measures adopted to control emissions of air pollutants, ambient levels of PM_{2.5} have been decreasing. These reductions in particulate matter have been associated with reductions in mortality. For example, studies have found that increases in life expectancy are associated with reductions in air pollution levels, and that a portion of this increase can be attributed to reductions in PM_{2.5} exposures (Correia et al. 2013; Pope et al. 2013).

Long-Term Particulate Matter Exposures and Cardiovascular Effects

Studies of cardiovascular mortality provide the strongest evidence of an association between PM_{2.5} exposures and cardiovascular effects. The U.S. EPA 2009 ISA review determined that the evidence is sufficient to infer a causal relationship between long-term PM_{2.5} exposures and cardiovascular effects. In addition to the studies of mortality, other epidemiological studies provide additional evidence of sub-clinical and clinical cardiovascular effects, while toxicological studies suggest a plausible biological mechanism for such effects (Fanning et al. 2009; U.S. EPA 2009).

Epidemiological studies of subclinical effects typically have used subclinical measures of atherosclerosis, which is an underlying disease contributing to many clinical cardiovascular outcomes such as myocardial infarction, sudden cardiac death, stroke, and vascular aneurysms (U.S. EPA 2009). A study in Southern California residents used the carotid intima-media thickness (CIMT) as a measure of subclinical atherosclerosis (Kunzli et al. 2005). The subjects' residential areas were geocoded and a geospatial extrapolation of ambient monitoring data was used to assign annual mean concentrations of ambient PM_{2.5}. The authors report results of an association between atherosclerosis and ambient air pollution as measured by PM_{2.5}. The associations of PM_{2.5} and CIMT were strongest in women ≥ 60 years of age. The Multi-Ethnic Study of Atherosclerosis (MESA) is a population-based study of people living in 6 U.S. cities or counties, including Los Angeles, CA (Diez Roux et al. 2008). The MESA study reported that 20-year average PM_{2.5} exposures corresponded to a small increase in CIMT, although the magnitude of the increase was much smaller than the Kunzli 2005 study. The study accounted for the potential influence of sociodemographic factors, lipid status, smoking, diabetes, body mass index, and geographical location. Such differences may be attributable to differences in the study populations. Other sub-clinical outcome measures for atherosclerosis in the MESA study were weakly associated or not associated with PM exposures.

Clinical cardiovascular outcomes have also been examined in several epidemiological studies, including two that were based on prospective cohort studies: the Women's Health Initiative (WHI) Observational Study (Miller et al. 2007) and the Nurses' Health Study (Puett et al. 2008). Both these studies also examined cardiovascular mortality, and found links with long-term particulate matter

exposures. The WHI study included only women who were free of cardiovascular disease at enrollment, and estimated PM_{2.5} exposures using a nearest monitor approach. The study found PM_{2.5} exposures to be associated with cardiovascular disease outcomes, including myocardial infarction, revascularization, stroke, coronary heart disease death, and cerebrovascular disease, and accounted for the several potential confounding factors, such as sociodemographic factors, medical risk factors for cardiovascular disease, and cigarette smoking (Miller et al. 2007). An analysis of the Nurses' Health Study included women without a history of myocardial infarction and who lived in certain metropolitan areas in the northeastern U.S. (Puett et al. 2008). Long-term PM₁₀ exposures were estimated using land use regression models as well as air pollution monitoring data, and the results accounted for potential confounding by smoking status and history, medical risk factors for cardiovascular disease, and area-level measures of socioeconomic status. This study found positive associations with the risk of all-cause and coronary heart disease mortality, and the results were suggestive of a link to coronary heart disease events although there was a great deal of uncertainty in this result. Other studies conducted in the U.S. and Europe have examined clinical cardiovascular outcomes with varying results (U.S. EPA 2009).

The U.S. EPA 2009 ISA concluded that epidemiologic studies, along with toxicological evidence linking PM exposures to atherosclerosis and other cardiovascular outcomes, provides evidence linking PM to cardiovascular effects and mortality. While the associations between PM and subclinical and clinical measures have inconsistent results, the consistency of the studies linking PM exposures to cardiovascular mortality and the coherence of the toxicological studies provide support for U.S. EPA's causal determination.

Long-Term Particulate Matter Exposures and Respiratory Effects

The U.S. EPA 2009 ISA review determined that the evidence for long-term particulate matter exposures on respiratory effects is likely to be causal. Several studies, including prospective cohort studies, have assessed the effects of long-term particulate matter exposure on respiratory symptoms and lung function changes. Consistent, positive associations have been found with respiratory symptoms, such as bronchitis, poorly controlled asthma, and decreased lung function in children (U.S. EPA 2009; Guarnieri et al. 2014). Since many of the studies of children included survey measures, these studies typically controlled for the potential confounding effect of tobacco smoking by the child and exposure to second-hand smoke at home, and some studies were also able to account for exposure to maternal smoking *in utero*.

The Southern California Children's Health Study established cohorts of school children from 12 Southern California communities, and followed these participants over time. One of the early studies from this cohort reported positive associations of particulate matter with prevalent bronchitis or phlegm among children with asthma. These effects were also associated with NO₂ and acid vapor levels (McConnell et al. 1999). Another study based on this cohort reported a lower rate of growth in lung function in children living in areas with higher levels of particulate pollution (Gauderman et al. 2000). Decreases in lung function growth were associated with PM₁₀, PM_{2.5}, PM_{10-2.5}, acid

vapor, and NO₂. There was no association with ozone levels. The investigators were not able to identify independent effects of the pollutants but noted that motor vehicle emissions are a major source of the pollutants.

A follow-up study on a second cohort of children confirmed the findings that decreased lung function growth was associated with particulates, nitric oxides, and elemental carbon levels (Gauderman et al. 2002). Elemental carbon is often used as a measure for diesel particulate. Additionally, children who moved to areas with less air pollution were found to show improvement in lung function growth rate, while those who moved to areas with higher PM₁₀ and NO₂ showed declines in lung function growth rates (Avol et al. 2001). By the time the fourth graders graduated from high school, a significant number showed lower lung function. The risk of lower lung function was about four times higher in children with the highest PM_{2.5} exposure when compared to the lowest exposure communities (Gauderman et al. 2004).

A follow-up report from the Children's Health Study assessed whether improving air quality in Southern California over the past decade has led to beneficial changes in health (Gauderman et al. 2015). It was reported that as the levels of nitrogen oxide and fine particulates were reduced as the result of reductions in air pollution emissions, the deficits in lung function growth were also of a smaller magnitude. Recently, the Children's Health Study cohort data were also used to evaluate associations with bronchitic symptoms in children (Berhane et al. 2016). The study found that reductions in NO_x, ozone, and PM₁₀ and PM_{2.5} were associated with decreases in bronchitic symptoms, with stronger effects observed in children with asthma. These results indicate that improvements in air quality, as measured by fine particulate and nitrogen oxides, are associated with improvements in children's health in Southern California.

A limited number of studies have linked PM exposures to asthma incidence. In an analysis of the Children's Health Study in Southern California, Islam et al. found that while children with better lung function are generally at lower risk of developing asthma, living in an area with long-term average PM_{2.5} levels $\geq 13.7 \mu\text{g}/\text{m}^3$ offset this protective characteristic; in other words, this study related high PM_{2.5} levels with new-onset asthma in children (Islam et al. 2007). The U.S. EPA 2009 ISA report also reviewed two European studies that linked PM_{2.5} with asthma onset in children (Brauer et al. 2007) and adults (Kunzli et al. 2009). Two recent studies were identified in our literature search: the first study used the Sister Study national cohort and found that a $3.6 \mu\text{g}/\text{m}^3$ increase in PM_{2.5} was associated with a 20 percent increased risk of incident asthma and a 14 percent increase in incident wheeze among adult females (Young et al. 2014); the second study was a study of Medicaid-enrolled children in Harris County, Texas, and found PM_{2.5} was associated with new-onset asthma in single-pollutant models (Wendt et al. 2014). However, accounting for the potential effects of other pollutants added substantial uncertainty in the overall effect estimates for PM_{2.5}, meaning that it is difficult to distinguish in this study whether the effects are due to PM_{2.5} or other pollutant exposures.

The U.S. EPA 2009 ISA also noted that studies from many different locations, including Mexico City, Sweden, and a national cohort in the U.S. provide additional coherent and consistent evidence of respiratory effects associated with PM exposures.

Long-Term Particulate Matter Exposures and Emerging Areas of Interest

Beyond cardiovascular, respiratory and mortality effects, the U.S. EPA 2009 ISA review concluded that the evidence available at the time was suggestive of a causal relationship between long-term exposures to PM and reproductive/developmental effects, as well as cancer. Since the 2009 ISA, there have been several studies conducted that evaluated these health endpoints in relation to PM exposures, as well as studies of metabolic syndrome and neurological health outcomes. Because of the relatively long time gap since the latest ISA for PM, and because the SCAB exceeds the federal standards for PM_{2.5}, these health endpoints are discussed briefly here, with a focus on studies conducted since the 2009 ISA, and studies conducted in California or in the SCAB.

Cancer

The U.S. EPA 2009 ISA review concluded that existing evidence is suggestive of a link between PM_{2.5} and cancer, with studies of lung cancer providing the strongest evidence. More recently, the International Agency for Research on Cancer (IARC) recently designated outdoor air pollution and particulate matter as carcinogenic to humans (Group 1 carcinogens), and a meta-analysis provided quantitative evidence for the associations between particulate matter and lung cancer risk (Hamra et al. 2014; International Agency for Research on Cancer 2015). The IARC review included studies evaluating associations between outdoor air pollution and lung cancer, urinary bladder cancer, breast cancer, leukemia and lymphoma, childhood cancers, and total cancers. Among these cancers, the IARC Working Group concluded that outdoor air pollution and particulate matter cause lung cancer, and that positive associations were observed between outdoor air pollution and urinary bladder cancer. The IARC Working Group also noted that associations with childhood leukemia were suggestive of an association, and, while there were some inconsistencies across studies, an association could not be ruled out. To estimate overall lung cancer risk, the meta-analysis included 14 studies reporting on PM_{2.5} and 9 studies reporting on PM₁₀; the vast majority of these were cohort studies from North America and Europe. The meta-analysis found positive associations for both PM₁₀ and PM_{2.5} and lung cancer risk, with the PM_{2.5} results being more consistent. Additionally, the study analyzed whether the association between PM_{2.5} and lung cancer differed by smoking status, and found positive associations for each smoking status group (current smokers, former smokers, and never-smokers).

A recent study from the Adventist Health and Smog Study-2 (AHSMOG-2) cohort in the U.S. and Canada reported that a 10 ug/m³ increase in ambient PM_{2.5} increased the risk of lung cancer incidence by about 40 percent, after accounting for ozone exposures (Gharibvand et al. 2016). Because all participants are non-smokers, with over 80 percent never having smoked, and with the former smokers having an average of 24 years between quitting smoking and being diagnosed with lung cancer, the likelihood of confounding by smoking in this cohort is much lower than in most other

populations. Another recent study conducted in California evaluated air pollution in relation to survival after being diagnosed with lung cancer, and found that patients living in areas with higher NO₂, PM_{2.5} and PM₁₀ had shorter survival times, particularly for those patients who were diagnosed at earlier stages of lung cancer (Eckel et al. 2016). Few other studies have evaluated air pollution effects on lung cancer survival, so this study represents a relatively newer area of research.

Reproductive Health Outcomes

The U.S. EPA 2009 ISA review concluded that existing evidence is suggestive of a link between PM_{2.5} and reproductive health effects. Numerous studies report evidence indicating that particulate matter exposure during pregnancy may be associated with adverse birth outcomes, with relatively consistent evidence linking PM_{2.5} and PM₁₀ exposures to low birth weight or decreases in birth weight (Bobak et al. 1999; Sram et al. 2005; Stieb et al. 2012). Among the studies reviewed in the 2009 U.S. EPA ISA for particulate matter or in the literature search for more recent and/or local studies, several studies of low birth weight (defined as <2,500g or approximately 5.5 pounds at birth) or reductions in birth weight were conducted in California or in the Southern California region (Basu et al. 2004; Parker et al. 2005; Salam et al. 2005; Wilhelm et al. 2005; Morello-Frosch et al. 2010; Wilhelm et al. 2012; Basu et al. 2014; Laurent et al. 2014). Two of these studies were conducted in Los Angeles County and were published since the last AQMP in 2012, and both examined low birth weight among full-term babies (“term low birth weight”). Laurent et al. reported that a 5.82 µg/m³ increase in PM_{2.5} exposures during pregnancy was linked to a 2.5 percent increased risk of term low birth weight (Laurent et al. 2014). The second study evaluated PM_{2.5} exposures by source, and found increased odds of term low birth weight with increased exposure to PM_{2.5} from diesel sources, gasoline, geological sources, as well as elemental carbon (Wilhelm et al. 2012). Studies from the U.S., Brazil, Mexico, the Czech Republic, South Korea, Japan, and Taiwan have reported that neonatal and early postnatal exposure to particulate matter may lead to increased infant mortality (U.S. EPA 2009). Among these studies, one was conducted in Southern California, and found increased risks for deaths among infants between one and 12 months old associated with exposures to particulates and other pollutants; however, no effect was seen for neonatal mortality (defined as mortality in the first month after birth) (Ritz et al. 2006). Some newer research has also linked particulate matter exposures to risk of certain birth defects and stillbirth. A California-based study used monitoring station data and traffic density measures to evaluate potential associations with a variety of birth defects in the San Joaquin Valley (Padula et al. 2013a; Padula et al. 2013b; Padula et al. 2013c; Padula et al. 2015). One of these studies reported evidence suggesting that PM₁₀ and PM_{2.5} may increase the risk of certain congenital heart defects (Padula et al. 2013b). For neural tube defects, increased risks were linked to higher exposures to carbon monoxide and nitrogen oxide (Padula et al. 2013a), but higher risks for spina bifida with PM₁₀ exposures were found only among mothers living in lower socioeconomic status neighborhoods (Padula et al. 2015). An earlier study conducted in Los Angeles County used ambient monitoring data to estimate exposures, and reported increased risk of certain congenital heart defects with higher exposures to carbon monoxide, but not for PM₁₀; PM_{2.5} was not evaluated in this study (Ritz et al. 2002). A couple of recent studies evaluated PM_{2.5} exposures during gestation and risk of stillbirth. A recent study conducted in Ohio used monitoring station data

to evaluate stillbirth risk, and found that higher levels of PM_{2.5} exposure in the third trimester was linked to a 42 percent increased risk of stillbirth (DeFranco et al. 2015). A California-based study similarly found an increased risk of stillbirth with higher PM_{2.5} exposures averaged over the entire pregnancy, but the association may have been confounded by co-occurring nitrogen dioxide exposures (Green et al. 2015). A third study, conducted in Taiwan, found that higher PM₁₀ and sulfur dioxide exposures in the first trimester were associated with increased risk of stillbirth among babies who were born preterm; PM_{2.5} was not assessed in this study (Hwang et al. 2011).

In the U.S. EPA review, it was noted that stronger associations with birth weight reductions are observed with PM_{2.5} compared to PM₁₀, and animal toxicological studies provide supportive evidence, although a specific mechanism is not known (U.S. EPA 2009). These results and many other studies provide evidence that fetuses and infants are subgroups affected by particulate matter exposures.

Neurological Health Outcomes

A 2012 review conducted by a panel of research scientists convened by the National Institute of Environmental Health Sciences identified several studies that reported links between outdoor air pollution and central nervous system effects, such as decreased cognitive function, Alzheimer's disease, Parkinson's disease, and impacts on behavioral testing and development in childhood (Block et al. 2012). Toxicological studies suggest that the damage may be caused through an oxidative stress pathway, and demonstrate that PM can be inhaled into the lungs and translocated to the brain, and that ultrafine particles to reach the brain through the olfactory nerve (Peters et al. 2006). Some more recent studies have evaluated neurological impacts of PM, ranging from studies of older adults to prenatal exposures. The Normative Aging Study evaluated older men in Boston, MA, and reported an association between black carbon (a marker of traffic exhaust) and cognitive function, as measured through cognitive tests (Power et al. 2011). A study conducted in the Los Angeles Basin used monitoring data to evaluate long-term exposures in a middle-aged and older adult population, and reported PM_{2.5} exposure was associated with decreased verbal learning (Gatto et al. 2014). A study of school children in Spain reported that children attending schools with higher levels of air pollution, as measured by elemental carbon (a marker of diesel exhaust), NO₂, and ultrafine particles, experienced smaller growth in several cognitive measures (Sunyer et al. 2015). Three recent studies reported that PM_{2.5} exposures during the prenatal period were associated with autism in childhood. One study was conducted in Los Angeles County, and reported that 7 percent increased odds of autism with a 4.68 µg/m³ increase in PM_{2.5}; the effect estimate increased to 15 percent when accounting for ozone in the statistical models (Becerra et al. 2013). A California-based study found that an 8.7 µg/m³ increase in PM_{2.5} during the prenatal period or in the first year of life doubled the odds of autism (Volk et al. 2013). The third study was based on the Nurses' Health Study II cohort, and reported an increased risk of autism with prenatal PM_{2.5} exposures, but not with exposures before pregnancy or after delivery (Raz et al. 2015). These studies provide emerging evidence of health effects of air pollution on neurological health outcomes.

Metabolic Syndrome

Metabolic syndrome, which is the clustering of several known risk factors for cardiovascular disease (Huang 2009), is a relatively new health outcome to be studied in relation to air pollution exposure. The U.S. EPA 2009 ISA reviewed only one epidemiological study and one toxicological study. These studies provided some evidence that particulate matter exposures may be linked to markers of metabolic syndrome, such as insulin resistance, hypertension, high cholesterol, or obesity, or that having a metabolic syndrome may increase susceptibility to the effects of PM₁₀ exposures on cardiovascular outcomes (U.S. EPA 2009). More recently, a Swiss epidemiological study reported that long-term PM₁₀ exposures were associated with increased risk of metabolic syndrome (Eze et al. 2015). Two other human studies found that people with metabolic syndrome exposed to particulate matter air pollution experienced cardiovascular effects and worsening insulin resistance (Devlin et al. 2014; Brook et al. 2016). Some recent animal studies have also reported impacts of PM on the development of obesity and metabolic syndrome, and that animals with pre-existing metabolic syndrome may be more sensitive to the cardiovascular effects of PM exposure (Brocato et al. 2014; Wagner et al. 2014; Wei et al. 2016).

Ultrafine Particles

As noted above, numerous studies have found associations between particulate matter levels and adverse health effects, including mortality, hospital admissions, and respiratory disease symptoms. The vast majority of these studies used particle mass of PM₁₀, PM_{2.5}, or PM_{10-2.5} as the measure of exposure. Some researchers have postulated, however, that ultrafine particles may be responsible for some of the observed associations of particulate matter and health outcomes (Oberdorster et al. 1995; Seaton et al. 1995). Ultrafine particles are typically defined as particles with aerodynamic diameters of less than 0.1 μm or 100 nm. Ultrafine particles are formed as a result of combustion processes as well as secondary atmospheric transformations. Vehicle emissions, especially diesel exhaust, are major sources of ultrafine particles; therefore, proximity to a major roadway is an important factor that affects an individual's exposure to ultrafine particles (Zhu et al. 2002; HEI Review Panel on Ultrafine Particles 2013). There is currently no federal or California standard for ultrafine particles.

U.S. EPA staff has presented conclusions on causal determination of several health effects of ultrafine PM based on a recent review of the available scientific studies (U.S. EPA 2009). These causal determinations are depicted in Table I-9.

TABLE I-9

Summary of U.S. EPA's Causal Determination of Ultrafine PM by Exposure Duration and Health Outcome

| SHORT-TERM EXPOSURES | |
|------------------------------------|---|
| Health Outcome | Causality Determination |
| Cardiovascular effects | Suggestive of a causal relationship |
| Respiratory effects | Suggestive of a causal relationship |
| Central nervous system | Inadequate to infer a causal relationship |
| Mortality | Inadequate to infer a causal relationship |
| LONG-TERM EXPOSURES | |
| Health Outcome | Causality Determination |
| Cardiovascular effects | Inadequate to infer a causal relationship |
| Respiratory effects | Inadequate to infer a causal relationship |
| Mortality | Inadequate to infer a causal relationship |
| Reproductive and developmental | Inadequate to infer a causal relationship |
| Cancer, Mutagenicity, Genotoxicity | Inadequate to infer a causal relationship |

(From (U.S. EPA 2009) Table 2-4 and Chapters 6 and 7)

In 2013, a review of the health effects of ultrafine particles concluded that current available evidence does not support that exposures to ultrafine particles alone account for the adverse health effects that have been associated with other ambient pollutants such as PM_{2.5}, although the report noted several limitations in the exposure data relating to ultrafine particles (HEI Review Panel on Ultrafine Particles 2013). However, a more recent assessment of the studies published since that time suggest that UFP's may be more harmful compared to health compared to PM₁₀ and PM_{2.5} (Li et al. 2016). Several potential mechanisms have been brought forward to suggest that the ultrafine portion may be important in determining the toxicity of ambient particulates, some of which are discussed below.

Smaller particles can also be inhaled deeper into the lungs, although the relationship between deposition fraction and particle size is complex. The ultrafine particles between 20-30 nm generally have higher fractional deposition in the alveolar region of the lung, where air exchange takes place. Because ultrafine particles are cleared from the lung more slowly compared to larger particles, the ultrafine particles can accumulate in the lung tissue where they can also translocate into the blood and to other organs (HEI Review Panel on Ultrafine Particles 2013). Ultrafine particles can also enter the brain tissues through the olfactory nerve (Peters et al. 2006). For a given mass concentration, ultrafine particles have much higher numbers of particles and surface area compared to larger particles. Particles can act as carriers for other adsorbed agents, such as trace metals and organic

compounds; and the larger surface area may transport more of such toxic agents than larger particles. Combined with the slower clearance of UFP's from the alveolar region of the lung, these small particles can deliver a greater amount of toxics to this part of the lung, causing increased inflammation (Li et al. 2016).

Exposures of laboratory animals to ultrafine particles have found cardiovascular and respiratory effects. Using an animal model of atherosclerotic disease, mice exposed to concentrated ultrafine particles (defined as less than 0.18 μm) near a roadway in Southern California showed larger early atherosclerotic lesions than mice exposed to concentrated PM_{2.5} or to filtered air (Araujo et al. 2008). In a mouse allergy model, exposures to concentrated ultrafine particles (less than 0.18 μm) resulted in a greater response to antigen challenge to ovalbumin (Li et al. 2010), indicating that vehicular traffic exposure could exacerbate allergic inflammation in already-sensitized animals. More specifically, ambient UFP's with a higher polycyclic aromatic hydrocarbon (PAH) content and higher oxidant potential triggered greater allergic inflammation in mice compared to a mixture of fine and ultrafine particles (Li et al. 2009). A related study identified specific proteins that are up-regulated among the exposed mice, which were proteins involved in allergic airway inflammation and immune system response (Kang et al. 2010). These results suggest that UFP's may play a role in the development or exacerbation of asthma, and point to an oxidative stress pathway. Additionally, some experiments using engineered nanoparticles found that the particle exposure led to a suppressed immune response to infections (Li et al. 2016).

Controlled exposures of human volunteers to ultrafine particles either laboratory-generated or as products of combustion, such as diesel exhaust containing particles, have found physiological changes related to vascular effects. Mills et al., for example found exposure to diesel exhaust particulate at 300 $\mu\text{g}/\text{m}^3$ attenuated both acetylcholine and sodium-nitroprusside-induced vasorelaxation (Mills et al. 2011). These exposures were higher than typical ambient concentrations, although the authors state that such concentrations can be found regularly in heavy traffic, occupational settings, and in some of the most polluted cities in the world. This study showed that diesel exhaust particulates had impacts on vascular function while carbon nanoparticles did not change vascular function, providing evidence that is complementary to the epidemiological studies linking particulate matter exposure to cardiovascular outcomes. Several other human exposures studies have reported effects of UFP's on inflammatory markers, lung function, heart rate and heart rate variability, including effects on people with asthma, diabetes, or metabolic syndrome (Li et al. 2016).

There is a lack of long-term studies of human population exposure to ultrafine particles, as there is currently no ultrafine monitoring network in the U.S. As noted above, however, a recent study from California estimated exposures to PM_{2.5} and ultrafine particles among members of the California Teachers Study cohort. Positive, statistically significant associations of ischemic heart disease mortality were observed with modeled PM_{2.5} and with ultrafine particle mass concentrations derived from chemical transport models using California emissions inventories (Ostro et al. 2015). Other epidemiological studies have reported links between UFP exposures both indoors and

outdoors with decreased microvascular function and increased systemic inflammation in adults (Karottki et al. 2014; Olsen et al. 2014), and with oxidative DNA damage in children (Song et al. 2013).

There have been several cross-sectional epidemiological studies of ultrafine particles, mainly from Europe. Some of these studies found effects on hospital admissions and emergency department visits for respiratory and cardiovascular effects, whereas other studies did not find such effects (U.S. EPA 2009). A recent study conducted in Rochester, NY reported that ambient UFP exposures in the prior week were associated with increased risk of asthma-related medical visits indicative of asthma exacerbation; the study did not find associations with accumulation mode PM, PM_{2.5}, black carbon, or sulfur dioxide (Evans et al. 2014). Concentrations of ultrafine particles can vary geographically, and it is not clear how well the central-site monitors used in these studies reflect actual exposures.

Additional discussion on the sources and health effects of ultrafine particles can be found in Chapter 9 of the 2012 AQMP.

Sensitive Populations for PM-Related Health Effects

Certain populations may be more sensitive to the health effects of particulate air pollution, and evidence to assess susceptibility comes from epidemiological, controlled human exposure, and toxicological studies of PM_{2.5} and PM₁₀ exposures. The U.S. EPA 2009 ISA for PM concluded that there is evidence supporting increased susceptibility to the effects of PM among children (for respiratory effects) and older adults (for cardiovascular effects), individuals with pre-existing cardiovascular or respiratory conditions, individuals with lower socioeconomic status (sometimes assessed using proxy measures such as educational attainment or residential location), and individuals with certain genetic polymorphisms that control antioxidant response, regulate enzyme activity, or regulate procoagulants (U.S. EPA 2009). In addition, there is some limited evidence that additional factors may increase a person's susceptibility to PM health effects, including chronic inflammatory conditions (e.g. diabetes, obesity) and life stage, with pregnant women and fetuses *in utero* being potentially more susceptible. Table I-10 summarizes the U.S. EPA's 2009 ISA assessment of susceptibility factors for particulate matter.

TABLE I-10

Summary of Evidence for Potential Increased Susceptibility to PM-Related Health Effects

| Assessment of Evidence | Potential At Risk Factor |
|--|--|
| Increased susceptibility to PM | Older Adults (≥ 65 years) Children (< 18 years) Genetic factors Cardiovascular diseases Respiratory illnesses Socioeconomic status (SES) Educational attainment (surrogate of SES) Residential location (surrogate of SES) |
| Increased susceptibility to PM, but limited studies available | Pregnancy and developmental effects Diabetes Obesity Health status, e.g. nutrition (surrogate of SES) |
| Did not increase susceptibility to PM | Gender Race/ethnicity |
| Did not increase susceptibility to PM, but limited studies available | Respiratory contributions to cardiovascular effects |

Adapted From (U.S. EPA 2009) Table 8-2

Summary - Particulate Matter Health Effects

A considerable body of scientific evidence from epidemiologic, controlled human exposure and toxicological studies support the causal determinations for particulate matter and several categories of health endpoints, with the strongest evidence supporting a causal relationship for PM_{2.5} exposures with cardiovascular effects and mortality. Specific cardiovascular effects include cardiovascular deaths, hospital admissions for ischemic heart disease and congestive heart failure, changes in heart rate variability and markers of oxidative stress, and markers of atherosclerosis. The scientific evidence also supported a likely causal relationship for PM_{2.5} exposure with respiratory effects, such as hospital admissions for COPD or respiratory infections, asthma development, asthma or allergy exacerbation, lung cancer, impacts on lung function, lung inflammation, oxidative stress, and airway hyperresponsiveness. Both short-term and long-term particulate matter exposures are linked to health effects in humans. Young children, older adults, and people with pre-existing respiratory or cardiovascular health conditions are among those who may be more susceptible to the adverse effects of PM.

Estimates of the Health Burden of Particulate Matter in the South Coast Air Basin

In terms of estimating health burdens of air pollution exposure, CARB has conducted analyses in the past estimating exposures and quantitative health effects from exposures to particulate matter as well as other pollutants. A recent assessment focused on premature mortality and PM_{2.5}, and

estimated the deaths associated with exposures above $5.8 \mu\text{g}/\text{m}^3$, which is an estimate of background PM_{2.5} (California Air Resources Board 2010a). The analysis used the U.S. EPA's risk assessment methodology for calculating premature mortality and used ambient air quality measurements averaged over a three-year period of 2006-2008. An update to this analysis using ambient air quality data from 2009-2011 indicated that PM_{2.5}-related premature deaths in California due to cardiopulmonary causes as 7,200 deaths per year with an uncertainty range of 5,600 – 8,700. Estimates were also made for the California Air Basins. For the South Coast Air Basin, the estimate was 4,000 cardiopulmonary deaths per year with an uncertainty range of 3,200–4,900. These estimates were calculated using the associations of cardiopulmonary mortality and PM_{2.5} from the second exposure period from Krewski (Krewski et al. 2009).

Another analysis of health impacts in the South Coast was conducted as part of the Socioeconomic Report for the 2012 AQMP. The analysis estimated the anticipated costs and benefits of adopting the measures in the Final 2012 AQMP, which included the projected public health benefits associated with lower PM_{2.5} concentrations as a result of the 2012 plan (South Coast Air Quality Management District 2012). Based on that analysis, the projected annual number of averted deaths due to PM_{2.5} reductions from the 2012 AQMP was 668 deaths in year 2014, and 275 deaths in year 2023. In addition, estimated numbers of health conditions prevented per year due to the 2012 AQMP were shown for several other health endpoints, including respiratory and cardiovascular outcomes. The estimates of cases averted in year 2014 were 597 cases of acute bronchitis, 29 to 261 non-fatal heart attacks, 18,384 person-days for lower and upper respiratory symptoms, 153 respiratory emergency room visits, 151 hospital admissions, 287,447 person-days of minor restricted activity, 48,805 work loss days, and 26,910 person-days of asthma attacks. Importantly, these estimates of prevented mortality and morbidity should not be compared to the estimates of deaths attributable to PM_{2.5} conducted by CARB, because these analyses are intended to answer different questions. The SCAQMD estimates address the question of “how many cases are averted due to the adoption of the 2012 AQMP?” while the CARB estimates address the question of “how many deaths are attributable to PM_{2.5} exposures above $5.8 \mu\text{g}/\text{m}^3$?”. Both analyses provide important information regarding the health impacts of PM_{2.5}.

NITROGEN DIOXIDE

Nitrogen dioxide (NO₂) is a gaseous air pollutant that serves as an indicator of gaseous oxides of nitrogen, such as nitric oxide (NO) and other related compounds (NO_x). These gases can undergo photochemical reactions to form ground-level ozone, and are important contributors to ozone pollution levels in the SCAB. Evidence of the health effects of NO₂ is derived from human and animal studies, which link NO₂ with respiratory effects such as decreased lung function and increases in airway responsiveness and pulmonary inflammation (U.S. EPA 2016). The U.S. EPA in 2010 retained the existing standards of 53 ppb for NO₂ averaged over one year, and adopted a new short-term standard of 100 ppb (0.1 ppm) averaged over one hour. The standard was designed to protect against increases in airway reactivity in individuals with asthma based on controlled exposure studies, as well as respiratory symptoms observed in epidemiological studies. The revised standard also requires additional monitoring for NO₂ near roadways.

In the current U.S. EPA Integrated Science Assessment for Nitrogen Oxides (U.S. EPA 2016), the staff conclusion for causal relationships between exposures and health effects are shown in the following table.

TABLE I-11

Summary of U.S. EPA's Causal Determination for Health Effects of Nitrogen Dioxide

| SHORT-TERM EXPOSURES | |
|--|---|
| Health Outcome | Causality Determination |
| Respiratory effects | Causal relationship |
| Cardiovascular and related metabolic effects | Suggestive of a causal relationship |
| Total mortality | Suggestive of a causal relationship |
| LONG-TERM EXPOSURES | |
| Health Outcome | Causality Determination |
| Respiratory effects | Likely to be a causal relationship |
| Cardiovascular and related metabolic effects | Suggestive of a causal relationship |
| Reproductive and developmental effects | Fertility, Reproduction, and Pregnancy: Inadequate to infer a causal relationship Birth Outcomes: Suggestive of a causal relationship Postnatal Development: Inadequate to infer a causal relationship |
| Total Mortality | Suggestive of a causal relationship |
| Cancer | Suggestive of a causal relationship |

(From (U.S. EPA 2016), Table ES-1)

Since the previous U.S. EPA Integrated Science Assessment (ISA) for Nitrogen Oxides from 2008, the causal determination for short-term and long-term respiratory effects have been updated in the 2016 ISA to reflect the stronger evidence now available pointing to a causal or likely causal relationship. For non-respiratory outcomes, the U.S. EPA also updated their assessment of the weight of evidence to show that the evidence for several short- and long-term outcomes is suggestive, but not sufficient to infer a causal relationship. Evidence for low-level nitrogen dioxide (NO₂) exposure effects is derived from laboratory studies of asthmatics and from epidemiological studies. Additional evidence is derived from animal studies. In the 2016 ISA, the U.S. EPA cited the coherence of the results from a variety of studies, and a plausible biological mechanism (whereby NO₂ reacts with the respiratory lining and forms secondary oxidation products that increase airway responsiveness and allergic

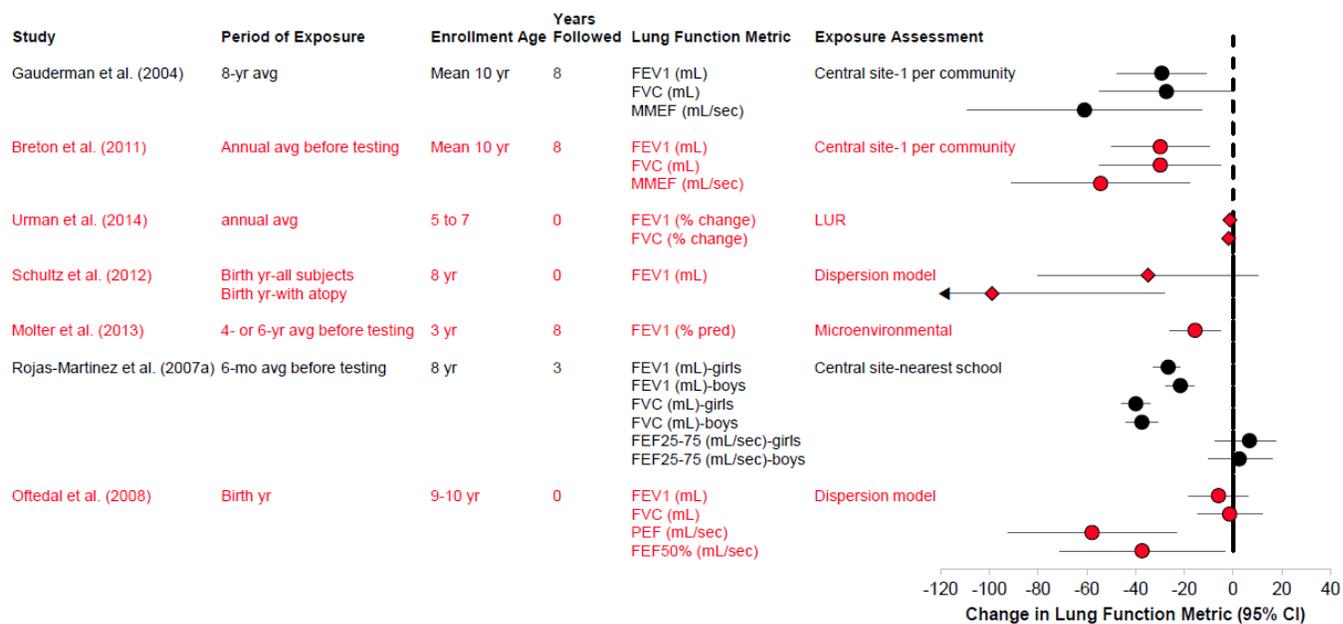
inflammation) to support the determination of a causal relationship between short-term NO₂ exposures and asthma exacerbations (“asthma attacks”). The long-term link with respiratory outcomes was strengthened by recent experimental and epidemiological studies, and the strongest evidence available is from studies of asthma development.

Several studies related to outdoor exposure have found health effects associated with ambient NO₂ levels, including respiratory symptoms, respiratory illness, decreased lung function, pulmonary inflammation, increased emergency room visits for asthma, and cardiopulmonary mortality. However, since traffic exhaust is an important source of NO₂ and several other pollutants, such as particulate matter, exposure generally occurs in the presence of other pollutants, making it more difficult for these studies to distinguish the specific role of NO₂ in causing effects independent of other pollutants. However, studies linking NO₂ to asthma exacerbations and human experimental studies provided support for the U.S. EPA determination that this causal relationship exists for short-term NO₂ exposures independent of other traffic-related pollutants (U.S. EPA 2016). The report also concludes that epidemiological studies do not rule out the possible influence of other traffic-related pollutants on the observed health effects.

The Children’s Health Study in Southern California has evaluated a variety of health endpoints in relation to air pollution exposures, including lung function, lung development, school absences, and asthma. The study found associations between long-term exposure to air pollution, including NO₂, PM₁₀, and PM_{2.5}, and respiratory symptoms in asthmatic children (McConnell et al. 1999). Particles and NO₂ levels were correlated, and independent effects of individual pollutants could not be discerned. A subsequent analysis using more refined exposure estimation methods indicated consistent associations between long-term NO₂ exposures and respiratory symptoms in children with asthma (McConnell et al. 2003).

Ambient levels of NO₂ were also associated with a decrease in lung function growth in a group of children followed for eight years, including children with no history of asthma. In addition to NO₂, the decreased growth was also associated with particulate matter and airborne acids. The study authors postulated this may be a result of a package of pollutants from traffic sources (Gauderman et al. 2004).

A number of studies have since reported deficits in lung function associated with nitrogen oxides exposures. Examples are shown in Figure I-8.



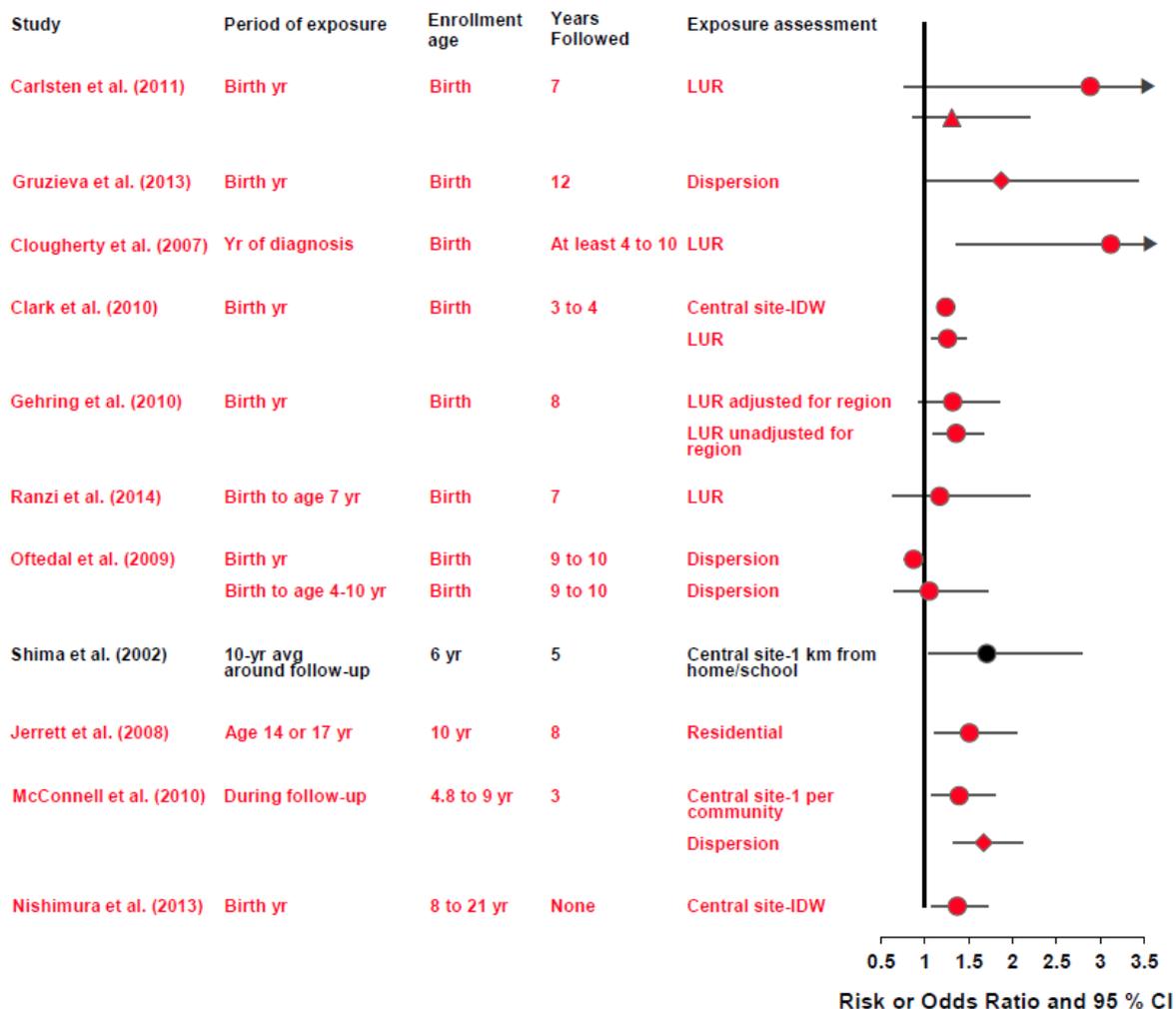
Note: Studies in red are recent studies. Studies in black were included in the 2008 ISA for Oxides of Nitrogen. Circles = NO₂; Diamonds = NO_x. All mean changes in this plot are standardized to a 10-ppb increase in NO₂ and a 20-ppb increase in NO_x concentration. Effect estimates from studies measuring NO_x in µg/m₃ (Schultz et al., 2012) have not been standardized.

FIGURE I-8

Associations of nitrogen dioxide (NO₂) or the sum of nitric oxide and NO₂ (NO_x) with lung function indices from prospective studies of children (From (U.S. EPA 2016), Figure 6-5).

A follow-up report from the Children’s Health Study has assessed whether improving air quality in Southern California over the past several decades has led to beneficial changes in health among children (Gauderman et al. 2015). It was reported that as the levels of nitrogen oxide and fine particulates came down as the result of air pollution emissions reductions, the deficits in lung function growth were also of a smaller magnitude. Such improvements were observed in children with asthma as well as in those without asthma. These results indicate that improvements in air quality are associated with improvements in children’s health.

In recent years, the most compelling evidence of long-term effects of NO₂ has been from prospective cohort studies that link NO₂ exposures to the development of asthma, primarily in children. The U.S. EPA included several recent studies in their review, as shown in the Figure I-9. The vast majority of these studies found that higher NO₂ exposures were linked to an increased risk or odds of developing asthma among children.



Effect estimates are standardized to a 10-ppb increase in NO₂, with the exception of Gruzieva et al. (2013) who examined NO_x in µg/m³ and Ofstedal et al (2009) who did not report increments for the effect estimates for the birth to age 4 years or birth to age 10 years exposure periods. Note: Black symbols = studies evaluated in the 2008 Integrated Science Assessment for Oxides of Nitrogen; Red symbols = recent studies. Circles=NO₂; triangles=NO; diamonds=NO_x.

FIGURE I-9

Associations of ambient nitrogen dioxide (NO₂) concentrations with asthma incidence in longitudinal cohort studies of children (From (U.S. EPA 2016), Figure 6-1).

Among the studies of childhood asthma incidence reviewed in the 2016 U.S. EPA ISA for Oxides of Nitrogen, two studies were conducted in Southern California. Both studies were based on the Children's Health Study cohort, but one study used a smaller subset of the cohort and estimated NO₂ exposures using monitors at the children's homes (Jerrett et al. 2008). The second study examined over 2000 children and used data from air monitoring stations as well as modeled NO₂ levels to estimate exposures (McConnell et al. 2010). Both studies found a positive association between NO₂ exposures and the onset of asthma in these children, however, because NO₂ is often strongly

correlated with PM_{2.5} and other components of traffic-related air pollution, it is possible that the effects observed are due to some other component of traffic exhaust for which NO₂ serves as a proxy measure. The consistency of the effects found linking NO₂ exposure and asthma development in children, the use of prospective longitudinal study designs following children for several years, and the use of several different methods to estimate exposures are noted strengths of such studies. Experimental studies have found that NO₂ exposures increase responsiveness of airways, pulmonary inflammation, and oxidative stress, and can lead to the development of allergic responses. These biological responses provide evidence of a plausible mechanism for NO₂ to cause asthma.

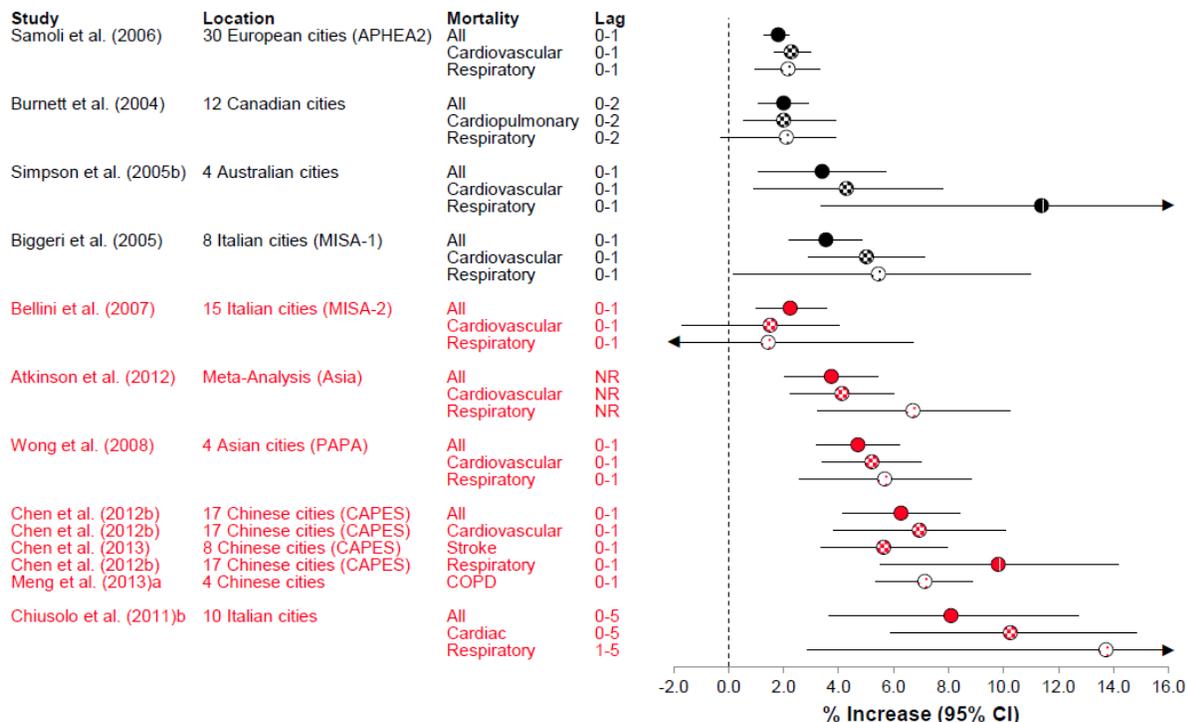
Results from controlled exposure studies of asthmatics demonstrate an increase in the tendency of airways to contract in response to a chemical stimulus (airway responsiveness) or after inhaled allergens (U.S. EPA 2016). Effects were observed among adult volunteers with asthma when exposed to 100 ppb NO₂ for 60 minutes and to 200-300 ppb for 30 minutes, with approximately 70 percent of study participants experiencing an increase in airway responsiveness. A similar response was reported in some studies with healthy subjects at higher levels of exposure (1.5 - 2.0 ppm), although these changes in healthy adults are likely of little or no clinical significance. Increased airway responsiveness among people with asthma can lead to worse symptoms and reduced lung function. Mixed results have been reported from controlled human exposure studies of people with chronic obstructive lung disease, with some studies reporting no change in symptom score while other studies reporting increased symptom scores when participants were exposed to NO₂ while exercising (U.S. EPA 2016).

Short-term controlled studies of rats exposed to NO₂ over a period of several hours indicate cellular changes associated with allergic and inflammatory responses that can lead to liver damage and reduced hepatic function. Rodent models exposed to NO₂ repeatedly for 4 to 14 days demonstrated increased airway responsiveness with high levels of exposure (4000 ppb). Animal studies also provide evidence that NO₂ exposures have negative effects on the immune system, and therefore increase the host's susceptibility to respiratory infections. Epidemiological studies showing associations between NO₂ levels and hospital admissions for respiratory infections also support such a link (U.S. EPA 2016).

Several epidemiological studies conducted in California have examined associations between NO₂ exposures and other health effects, including some recent studies evaluating cardiovascular effects (Coogan et al. 2012; Bartell et al. 2013; Wittkopp et al. 2013), mortality (Lipsett et al. 2011; Bartell et al. 2013; Jerrett et al. 2013), birth outcomes (Ghosh et al. 2012; Laurent et al. 2014; Padula et al. 2014; Ritz et al. 2014; Green et al. 2015), and cancer (Ghosh et al. 2013). Many studies conducted in other geographic areas have also found links with these health outcomes, and the latest assessment by U.S. EPA is that the existing studies are suggestive of a causal relationship for some of these endpoints or inadequate to infer a causal relationship for other endpoints (U.S. EPA 2016). In addition, some of the newer outcomes evaluated in relation to NO₂ exposures include neurological outcomes such as Parkinson's disease (Ritz et al. 2016), Alzheimer's disease (Oudin et al. 2016), and autism (Becerra et al. 2013; Volk et al. 2013), as well as metabolic diseases such as diabetes and obesity (Coogan et al. 2012; Robledo et al. 2015; White et al. 2016). However, many of these studies

use NO₂ exposures as a proxy measure for traffic-related air pollutants, and do not aim to identify a specific pollutant within the mix of pollutants from this source. Thus, there is uncertainty on whether NO₂ exposure has independent relationships with non-respiratory related health effects, or whether NO₂ is simply a marker of near-road air pollution exposure, which includes a mixture of air pollutants, including some air toxics.

Examples of studies reporting an association of mortality with short-term NO₂ exposures are shown in the figure below.



Note: Black symbols = multicity studies evaluated in the 2008 Integrated Science Assessment for Oxides of Nitrogen; Red symbols = recent studies. Filled circle = total mortality; Crosshatch = cardiovascular mortality; Vertical lines = respiratory mortality.

FIGURE I-10

Percentage increase in total, cardiovascular, and respiratory mortality from multi-city studies for a 20-ppb increase in 24-hour average or 30-ppb increase in one-hour maximum nitrogen dioxide concentrations (From (U.S. EPA 2016), Figure 5-23).

SULFUR DIOXIDE

Sulfur dioxide (SO₂) is a gaseous air pollutant that has been linked to a variety of respiratory effects, such as decreased lung function and increased airway resistance. Controlled laboratory studies involving human volunteers have clearly identified asthmatics as a very sensitive group to the effects of ambient sulfur dioxide (SO₂) exposures. Healthy subjects have failed to demonstrate any short-term respiratory functional changes at exposure levels up to 1.0 ppm over 1-3 hours. In exercising asthmatics, brief exposure (5-10 minutes) to SO₂ at levels between 0.2-0.6 ppm can result in increases in airway resistance and decreases in breathing capacity. The response to SO₂ inhalation is

observable within two minutes of exposure, increases further with continuing exposure up to five minutes, then remains relatively steady as exposure continues. SO₂ exposure is generally not associated with any delayed reactions or repetitive asthmatic attacks (U.S. EPA 2008). In 2010, the U.S. EPA SO₂ air quality standard was set at 75 ppb (0.075 ppm) averaged over one hour to protect against acute asthma attacks in sensitive individuals.

The EPA assessment based on the 2008 Integrated Science Assessment for Sulfur Oxides is shown in the table below (U.S. EPA 2008). The U.S. EPA recently released a draft of the revised ISA for SO₂ (U.S. EPA 2015a) which evaluates recent evidence assessing links to mortality and cardiovascular, respiratory, carcinogenic, and reproductive effects (Brunekreef et al. 2009; Hart et al. 2011; Pascal et al. 2013; Chen et al. 2014; Gianicolo et al. 2014; Milojevic et al. 2014; Moridi et al. 2014; Stingone et al. 2014; Straney et al. 2014; Wang et al. 2014; Winqvist et al. 2014; Yang et al. 2014; Ancona et al. 2015; Green et al. 2015; Rich et al. 2015; Shah et al. 2015; Yorifuji et al. 2015).

TABLE I-12

Summary of U.S. EPA’s Causal Determinations for Health Effects of Sulfur Oxides

| SHORT-TERM EXPOSURES | |
|--------------------------------|---|
| Health Outcome | Causality Determination |
| Respiratory morbidity | Causal relationship |
| Cardiovascular morbidity | Inadequate to infer a causal relationship |
| Mortality | Suggestive of a causal relationship |
| LONG-TERM EXPOSURES | |
| Health Outcome | Causality Determination |
| Respiratory morbidity | Inadequate to infer a causal relationship |
| Carcinogenic effects | Inadequate to infer a causal relationship |
| Prenatal and neonatal outcomes | Inadequate to infer a causal relationship |
| Mortality | Inadequate to infer a causal relationship |

(From (U.S. EPA 2008) Chapter 3)

In epidemiologic studies of children and adults, associations of short-term variations in SO₂ levels with increases in respiratory symptoms, emergency department visits, and hospital admissions for respiratory-related causes have been reported. There is uncertainty as to whether SO₂ is associated with the effects or whether other co-occurring pollutants may explain the observed effects, although some studies indicated that the SO₂ effects remained even after accounting for the effects of other pollutants, including PM_{2.5}. Coupled with the human clinical studies, these data suggest that SO₂ can trigger asthmatic episodes in individuals with pre-existing asthma (U.S. EPA 2008).

Animal studies have shown SO₂ effects on pulmonary inflammation with acute exposure at concentrations consistent with ambient SO₂ levels. Toxicological studies using animals found that repeated exposures to concentrations of SO₂ as low as 0.1 ppm promoted allergic sensitization and airway inflammation. Such evidence, combined with human clinical studies and epidemiological studies in people with asthma support the U.S. EPA determination of a causal relationship between short-term SO₂ exposure and respiratory morbidity. One of these studies was conducted in the Los Angeles area, and found that higher ambient SO₂ levels were associated with increased odds of asthma symptoms among Hispanic children with asthma (Delfino et al. 2003).

Some epidemiological studies indicate that the cardiovascular mortality effects associated with short-term exposures to ambient SO₂ were generally reduced when accounting for other pollutants, although the evidence is still suggestive of a causal relationship. Few epidemiological studies are available to assess the potential confounding effects of other co-occurring pollutants in studies of long-term effects. For example, there is some evidence that sulfates, which are formed when SO₂ oxidizes rapidly in the atmosphere, may be associated with lung function changes, although the evidence is not consistent (Reiss et al. 2007). Sulfates are positively correlated with SO₂ levels, so it is difficult to distinguish the effect of one individual pollutant. Based on a level determined necessary to protect the most sensitive individuals, the California Air Resources Board (CARB) in 1976 adopted a standard of 25 µg/m³ (24-hour average) for sulfates. There is no federal air quality standard for sulfates.

CARBON MONOXIDE

Carbon monoxide (CO) is a gaseous air pollutant that has a high affinity to bond with oxygen-carrying proteins (hemoglobin and myoglobin). The resulting reduction in oxygen supply in the bloodstream is responsible for the toxic effects of CO, which are typically manifested in the oxygen-sensitive organ systems. The effects have been studied in controlled laboratory environments involving exposure of humans and animals to CO, as well as in population-based studies of ambient CO exposure effects. People with deficient blood supply to the heart (ischemic heart disease) are known to be susceptible to the effects of CO. Protection of this group is the basis of the existing National Ambient Air Quality Standards for CO at 35 ppm for one hour and 9 ppm averaged over eight hours. The health effects of ambient CO have been recently reviewed by U.S. EPA, with the strongest evidence supporting a likely causal link between short-term CO exposures and cardiovascular outcomes, although studies have linked both short-term and long-term CO exposures to several other health outcomes (Table I-13) (U.S. EPA 2010).

TABLE I-13

Summary of U.S. EPA's Causal Determinations for Health Effects of Carbon Monoxide

| SHORT-TERM EXPOSURES | |
|--|---|
| Health Outcome | Causality Determination |
| Cardiovascular morbidity | Likely to be a causal relationship |
| Central nervous system | Suggestive of a causal relationship |
| Respiratory morbidity | Suggestive of a causal relationship |
| Mortality | Suggestive of a causal relationship |
| LONG-TERM EXPOSURES | |
| Health Outcome | Causality Determination |
| Cardiovascular morbidity | Inadequate to infer a causal relationship |
| Central nervous system | Suggestive of a causal relationship |
| Birth outcomes and developmental effects | Suggestive of a causal relationship |
| Respiratory morbidity | Inadequate to infer a causal relationship |
| Mortality | Not likely to be a causal relationship |

(From (U.S. EPA 2010) Table 2-1)

Inhaled CO has no known direct toxic effect on lungs but rather exerts its effects by interfering with oxygen transport—through the formation of carboxyhemoglobin (COHb, a chemical complex of CO and hemoglobin)), which reduces the amount of oxygen the blood can carry to the tissues. Exposure to CO is often evaluated in terms of COHb levels in blood, measured as percentage of total hemoglobin bound to CO. Endogenous COHb is estimated to be <1 percent in healthy individuals, but COHb levels are sensitive to health status and metabolic state, with higher levels among smokers and persons with inflammatory diseases. Estimates based on a large prospective study of adults conducted in the 1970s showed a dose-response relationship between the average number of cigarettes smoked per day and the COHb concentrations (never smokers: 1.59±1.72 percent, former smokers: 1.96±1.87 percent, 1-5 cigarettes/day: 2.31±1.94 percent, 6–14 cigarettes/day: 4.39±2.48 percent, 15–24 cigarettes/day: 5.68±2.64 percent, ≥25 cigarettes/day: 6.02±2.86 percent) (Hart et al. 2006).

Under controlled laboratory conditions, healthy subjects exposed to CO sufficient to result in 5 percent COHb levels exhibited reduced duration of maximal exercise performance due to the inability to deliver sufficient oxygen to the heart and other muscles. Studies involving subjects with coronary artery disease who engaged in exercise during CO exposures have shown that COHb levels as low as

2.4 percent can lead to earlier onset of electrocardiograph changes indicative of deficiency of oxygen supply to the heart. Other effects of inadequate oxygen delivery to the body tissues include earlier onset of chest pain, increase in the duration of chest pain, headache, confusion and drowsiness (U.S. EPA 2000).

A number of epidemiological studies have found associations between short-term ambient CO levels and increased hospital admissions and emergency department visits for ischemic heart disease, including myocardial infarction (U.S. EPA 2010). In studies reporting results stratified by age and sex, larger effects were generally observed among older adults and among males. Examples of such studies, including information on number of days of lag time between exposure and hospital admissions for key cardiovascular outcomes, are shown in the figure below.

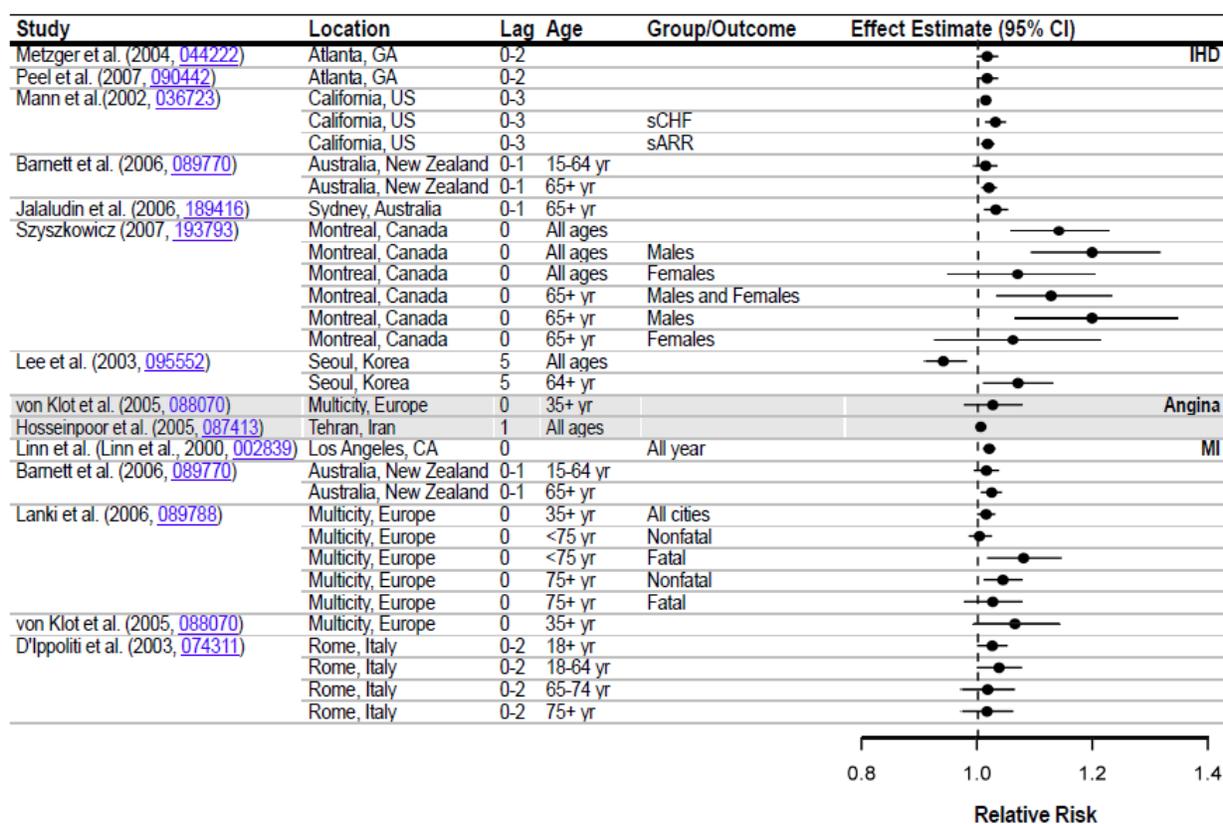


FIGURE I-11

Effect estimates (95 percent confidence intervals) associated with hospital admissions for various forms of heart disease. Effect estimates have been standardized to a 1 ppm increase in ambient CO for 1-h max CO concentrations, 0.75 ppm for 8-h max CO concentrations, and 0.5 ppm for 24-h average CO concentrations (From (U.S. EPA 2010), Figure 5-2). Lag time is the time between the exposure and the outcome measured. The closed circle on the diagram indicates the effect estimate, while the bar indicates the 95 percent confidence interval.

Research studies have also evaluated ambient CO exposures in relation to reproductive health outcomes. Epidemiological studies conducted in Southern California have reported an association

between with CO exposure during pregnancy and increases in pre-term births (Ritz et al. 2000; Wilhelm et al. 2005; Ritz et al. 2007). The increases in the pre-term births were also associated with PM10 or PM2.5 levels. There are very few studies examining CO exposure and birth defects, but one Southern California study found increased risks for cardiac-related birth defects with carbon monoxide exposure in the second month of pregnancy (Ritz et al. 2002). Toxicological studies in laboratory animals with higher than ambient levels of CO have also reported decrements in birth weight and prenatal growth, as well as impaired neurobehavior in the offspring of exposed animals (U.S. EPA 2010). The U.S. EPA concluded in their most recent review that the evidence linking long-term CO exposures with reproductive health outcomes was suggestive of a causal relationship.

LEAD

Lead (Pb) is a toxic air contaminant that is recognized to exert an array of deleterious effects on multiple organ systems. There are a number of potential public health effects at low level exposures, and there is no recognized lower threshold for health effects (U.S. EPA 2013a). The health implications are generally indexed by blood lead levels which are related to lead exposures both from inhalation as well as from ingestion. Effects include impacts on population IQ as well as heart disease and kidney disease. The initial air quality standard for lead was established by U.S. EPA in 1978 at a level of $1.5 \mu\text{g}/\text{m}^3$ averaged over a calendar quarter. U.S. EPA revised the NAAQS for lead in 2008 to a level of $0.15 \mu\text{g}/\text{m}^3$ averaged over a rolling three-month period to protect against lead toxicity. The SCAB's attainment status for lead is described in the draft 2016 AQMP Chapter 2.

The U.S. EPA has recently reviewed the health effects of ambient lead exposures in conjunction with an Integrated Science Assessment and a review of the NAAQS for lead (U.S. EPA 2013a; U.S. EPA 2015c). Lead can accumulate and be stored in the bone, and this lead in bone can be released into the blood when the bone is metabolized, which happens naturally and continuously. Blood lead is the most common measure of lead exposure, and it represents recent exposure and may be an indicator of total body burden of lead (U.S. EPA 2013a). The following table gives the summary of causality conclusions from the U.S. EPA review, which illustrates the wide range of health effects associated with lead exposure.

TABLE I-14

Summary of U.S. EPA's Causal Determinations for Health Effects of Lead

| HEALTH OUTCOME | CAUSALITY DETERMINATION |
|---|---|
| Children - Nervous System Effects | |
| Cognitive Function Decrements | Causal relationship |
| Externalizing Behaviors: Attention, Impulsivity and Hyperactivity | Causal relationship |
| Externalizing Behaviors: Conduct Disorders in Children and Young Adults | Likely to be a causal relationship |
| Internalizing Behaviors | Likely to be a causal relationship |
| Auditory Function Decrements | Likely to be a causal relationship |
| Visual Function Decrements | Inadequate to infer a causal relationship |
| Motor Function Deficits | Likely to be a causal relationship |
| Adults – Nervous System Effects | |
| Cognitive Function Decrements | Likely to be a causal relationship |
| Psychopathological Effects | Likely to be a causal relationship |
| Cardiovascular effects | |
| Hypertension | Causal relationship |
| Subclinical Atherosclerosis | Suggestive of a causal relationship |
| Coronary Heart Disease | Causal relationship |
| Cerebrovascular Disease | Inadequate to infer a causal relationship |
| Renal Effects | |
| Reduced Kidney Function | Suggestive of a causal relationship |
| Immune System Effects | |
| Atopic and Inflammatory Response | Likely to be a causal relationship |
| Decreased Host Resistance | Likely to be a causal relationship |
| Autoimmunity | Inadequate to infer a causal relationship |
| Hematologic Effects | |
| Decreased Red Blood Cell Survival and Function | Causal relationship |
| Altered Heme Synthesis | Causal relationship |
| Reproductive and Developmental Effects | |
| Development | Causal relationship |
| Birth Outcomes (low birth weight, spontaneous abortion) | Suggestive of a causal relationship |
| Male Reproductive Function | Causal relationship |
| Female Reproductive Function | Suggestive of a causal relationship |
| Cancer | |
| Cancer | Likely to be a causal relationship |

(From (U.S. EPA 2013a) Table ES-1)

Children appear to be sensitive to the neurological toxicity of lead, with effects observed at blood lead concentration ranges of 2–8 µg/dL. No clear threshold has been established for such effects. According to the U.S. EPA review, the most important effects observed are neurotoxic effects in children and cardiovascular effects in adults. The effects in children include impacts on intellectual

attainment and school performance. Figure I-12 provides a summary of the lowest levels of blood lead that have been associated with certain neurological, hematological and immune effects in children.

| Lowest Observed Effect Blood Lead Level | Neurological Effects | Hematological Effects | Immune Effects |
|---|--|--|--|
| 30 µg/dL | | Increased urinary δ-aminolevulinic acid | |
| 15 µg/dL | Behavioral disturbances (e.g., inattention, delinquency) Altered electrophysiological responses | Erythrocyte protoporphyrin (EP) elevation | |
| 10 µg/dL | Effects on neuromotor function CNS cognitive effects (e.g., IQ deficits) | Inhibition of δ-aminolevulinic acid dehydratase (ALAD) ↓ Pyrimidine-5'-nucleotidase (Py5N) activity inhibition | Effects on humoral (↑ serum IgE) and cell-mediated (↓ T-cell abundance) immunity |
| 5 µg/dL | ↓ (???) | ↓ (???) | |
| 0 µg/dL | | | |

Note: Arrows depict cases where weight of overall evidence strongly substantiates likely occurrence of type of effect in association with blood-Pb concentrations in range of 5-10 µg/dL, or possibly lower, as implied by (???). Although no evident threshold has yet been clearly established for those effects, the existence of such effects at still lower blood-Pb levels cannot be ruled out based on available data.

Source: Adapted/updated from Table 1-17 of U.S. Environmental Protection Agency (1986a).

FIGURE I-12

Summary of Lowest Observed Effect Levels for Key Lead-Induced Health Effects in Children (From (U.S. EPA 2007), Table 3-1)

Figures I-12 and I-13, taken from the U.S. EPA review (U.S. EPA 2007), depict the health effects of lead in relation to blood levels. In the figure, the question marks indicate that there are no demonstrated threshold blood lead levels for health effects. The Centers for Disease Control (CDC) has recently revised their lead hazard information and replaced their level of concern for adverse effects of 10 µg/dL blood lead level with a childhood blood lead level reference value of 5 µg/dL to identify children and environments associated with lead-exposure hazards (Centers for Disease Control and Prevention 2016).

Figure I-13 provides a summary of the lowest levels of blood lead that have been associated with key health effects in adults. For adults, evidence supports a causal relationship between lead and increased blood pressure and hypertension, as well as coronary heart disease (myocardial infarction, ischemic heart disease, and heart rate variability). Other health effects among adults are also relatively high on the causal scale, including neurological, hematological, and renal effects.

| Lowest Observed Effect Blood Lead Level | Neurological Effects | Hematological Effects | Cardiovascular Effects | Renal Effects |
|---|-------------------------------------|--|-------------------------|--|
| 30 µg/dL | Peripheral sensory nerve impairment | Erythrocyte protoporphyrin (EP) elevation in males | | Impaired Renal Tubular Function |
| 20 µg/dL | Cognitive impairment | | | |
| 15 µg/dL | Postural sway | Erythrocyte protoporphyrin (EP) elevation in females | | |
| | | Increased urinary δ-aminolevulinic acid | | |
| 10 µg/dL | | Inhibition of δ-aminolevulinic acid dehydratase (ALAD) | Elevated blood pressure | |
| | | | ↓ (???) | |
| 5 µg/dL | | | | Elevated serum creatine (↓ creatine clearance) |
| 0 µg/dL | | | | |

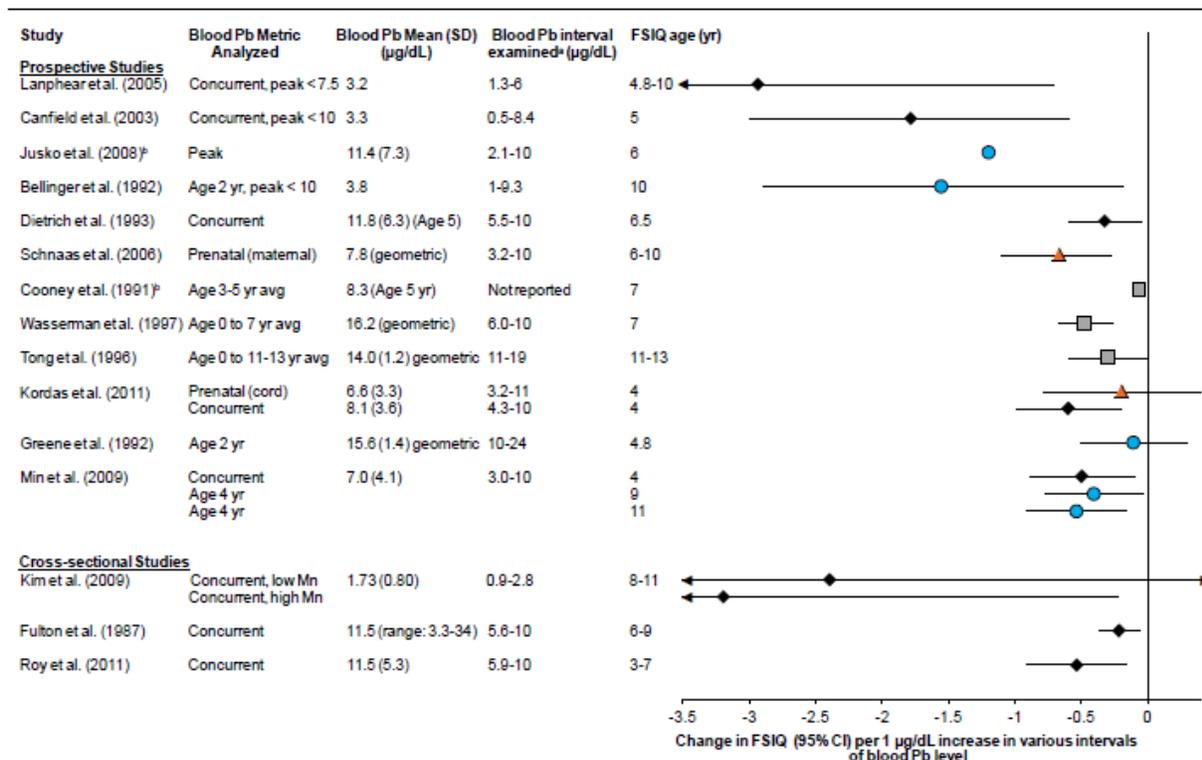
Note: Arrows depict cases where weight of overall evidence strongly substantiates likely occurrence of type of effect in association with blood-Pb concentrations in range of 5-10 µg/dL, or possibly lower, as implied by (???). Although no evident threshold has yet been clearly established for those effects, the existence of such effects at still lower blood-Pb levels cannot be ruled out based on available data.

Source: Adapted/updated from Table 1-16 of U.S. Environmental Protection Agency (1986a).

FIGURE I-13

Summary of Lowest Observed Effect Levels for Key Lead-Induced Health Effects in Adults (From U.S. EPA 2007), Table 3-2)

In its most recent review of lead health effects, the U.S. EPA confirmed its previous conclusion regarding the cognitive decline in children as the most sensitive adverse effect associated with lead exposures. The effects as measured by a reduction in IQ from a number of studies are shown in the following figure. According to the review, the currently available evidence supports a median estimate of -1.75 IQ points for a change of 1 µg/dL blood lead to describe the neurocognitive impacts on young children (U.S. EPA 2015c).



^aSee Table 4-3 for explanation of the blood Pb level interval examined. Effect estimates were calculated for the lowest range examined in the study or the 10th percentile of blood Pb level to a blood Pb level of 10 µg/dL.

^bSufficient data were not available to calculate 95% CI.

Note: Mn = manganese. Results are presented for most of the cohorts examined in the literature and generally are grouped according to strength of study design, representativeness of the study population characteristics and blood Pb levels examined, and extent of consideration for potential confounding. There is not necessarily a continuum of decreasing strength across studies. Results usually are presented for the oldest age examined in cohorts. Multiple results from a cohort are grouped together. To facilitate comparisons among effect estimates across studies with different distributions of blood Pb levels and model structures (e.g., linear, log-linear), effect estimates are standardized to a 1 µg/dL increase for the lowest range of blood Pb levels examined in the study or the interval from the 10th percentile of blood Pb level to 10 µg/dL. For populations with 10th percentiles near or above 10 µg/dL, the effect estimate was calculated for the 10th to 90th percentile of blood Pb level. The percentiles are estimated using various methods and are only approximate values. Effect estimates are assumed to be linear within the blood Pb level interval evaluated. The various tests used to measure FSIQ are scored on a similar scale (approximately 40-160 FSIQ points). Black diamonds, blue circles, orange triangles, and gray squares represent effect estimates for concurrent, earlier childhood, prenatal, and lifetime average blood Pb levels, respectively. The horizontal lines associated with point estimates represent 95% confidence intervals (CI).

FIGURE I-14

Associations of Blood Pb Levels with Full-Scale IQ (FSIQ) in Children (From (U.S. EPA 2013a), Figure 4-2)

TOXIC AIR CONTAMINANTS

Toxic air contaminants are pollutants for which there generally are no ambient air quality standards. The Toxic Air Contaminant Identification and Control Act (AB 1807, Tanner, 1983) created California’s first program to reduce exposures to air toxics by requiring CARB to adopt Air Toxics Control measures. Air Districts must either enforce these measures or adopt their own equally or more stringent measures. The Air Toxics “Hot Spots” Information and Assessment Act (AB 2588, Connelly,

1987) supplements the earlier program by requiring air toxics inventories for certain facilities, notification of people's exposure to significant health risks, and facility plans to reduce these risks. Under California's Air Toxics Program, the Office of Environmental Health Hazard Assessment (OEHHA) assesses the health effects of substances that may pose a risk of adverse health effects, and CARB assesses the potential for humans to be exposed to these substances. These effects are usually an increased risk for cancer, adverse birth outcomes, or respiratory effects. After review by the state Scientific Review Panel, CARB holds a public hearing on whether to formally list substances that may pose a significant risk to public health as a Toxic Air Contaminant. Chapter 9 of the draft 2016 AQMP describes the Air Toxics Control Plan for the SCAQMD.

Air toxics include many different types of chemicals, and the discussion here will not address all air toxics in a comprehensive manner. However, this section will discuss very briefly diesel particulate matter and volatile organic compounds (VOC's), because diesel particulate matter is the most significant contributor to cancer risk in the South Coast Air Basin, and because some VOC's are air toxics, and are part of the control measures proposed in the current Air Quality Management Plan.

Diesel Particulate Matter

The California Air Resources Board listed diesel particulate matter as a Toxic Air Contaminant in 1998, based on the determination that it was a human carcinogen (California Air Resources Board 2010b). The International Agency for Research on Cancer, an arm of the World Health Organization, classified diesel exhaust as probably carcinogenic to humans in 1989 (International Agency for Research on Cancer 1989). More recently, IARC convened an international panel of scientists to review the published literature since the initial classification regarding the carcinogenicity of diesel combustion emissions. The panel concluded that diesel exhaust is a substance that causes lung cancer in humans (International Agency for Research on Cancer 2012b).

OEHHA also establishes potency factors for air toxics that are carcinogenic. The potency factors can be used to estimate the additional cancer risk from ambient levels of toxics. This estimate represents the chance of contracting cancer in an individual over a lifetime exposure to a given level of an air toxic and is usually expressed in terms of additional cancer cases per million people exposed.

SCAQMD conducted studies on the ambient concentrations and estimated the potential health risks from air toxics (South Coast Air Quality Management District 2000; South Coast Air Quality Management District 2008; South Coast Air Quality Management District 2015). In the latest SCAQMD Multiple Air Toxics Exposure Study, MATES IV, a one-year monitoring program was undertaken at 10 sites throughout the SCAB over the time period July 2012 – June 2013 (South Coast Air Quality Management District 2015). Over 30 substances were measured, which included the toxics that contributed the most to health risks in the Basin. The results showed that the overall lifetime risk for excess cancer from a 70-year lifetime exposure to the levels of air toxics calculated from the regional model was 367 in a million. This reflects a greater than 50 percent reduction in exposures and risks compared to the MATES III Study that was conducted from 2004 -2006. The largest contributor to this risk was diesel particulate matter, accounting for 68 percent of the air

toxics risk. The average measured levels were also compared to the non-cancer chronic Reference Exposure Levels (RELs), and found to be below the established RELs for the over 30 substances measured.

In 2015, OEHHA updated the calculation procedure to estimate cancer risks from air toxics exposures (Dodge et al. 2015). The revisions to the calculation methodology included accounting for higher risks attributable to early life exposures (up to age 16 years), updates to the population distribution of breathing rates by age, and a reduction in the time of household residence. In combination, these changes resulted in risk estimates in the MATES IV study to be about 2.5 times higher than the previous methodology employed in the MATES studies. The average lifetime risk for excess cancer cases is estimated to be 897 per million using the updated procedure (South Coast Air Quality Management District 2015). However, it is important to note that results from the MATES IV study still represent approximately a 50 percent reduction in air toxics levels and cancer risk compared to MATES III. In addition to the maps in the MATES IV final report (South Coast Air Quality Management District 2015), an interactive map of the MATES IV cancer risks from air toxics calculated using the 2015 OEHHA guidelines is available through this website: <http://www.aqmd.gov/home/tools/public>.

In 2009, the Advanced Collaborative Emissions Study (ACES) reported that newer diesel engine technologies are very effective in reducing the amount of emissions from diesel trucks, as required by recent regulations (Khalek et al. 2009). In a long-term exposure study published in 2015, rats breathing the lower emissions did not develop cancer, while the rats breathing the higher emissions from older diesel engines (in previous studies) did develop cancer (McDonald et al. 2015). However, the 2015 study did not evaluate whether the PM from the newer engines was any more or less toxic compared to the older engines on a gram per gram basis; the study was not designed to determine such differences. Therefore, without any additional data on the toxicity of PM from the newer diesel engines, the analysis done in the MATES IV study used the same risk factor for both, applied to the mass of PM. For example, whether a person is exposed to 10 $\mu\text{g}/\text{m}^3$ of particulate matter from a single old diesel engine or several new diesel engines, the cancer risk would be the same because it is calculated based on 10 $\mu\text{g}/\text{m}^3$ of exposure.

In the Particulate Matter section of this Appendix, the vast majority of the studies described evaluated the health effects of total PM_{2.5} exposures by mass, regardless of whether they were from newer diesel engines, older diesel engines, or other sources. While this new diesel technology is very effective in terms of reducing the amount of emissions from diesel trucks, what people are being exposed to is a total concentration of PM from many sources. Health studies generally use this total concentration to analyze whether or not there is an effect on the specific health outcomes evaluated. In addition, it is important to note that direct PM_{2.5} emissions from diesel engines represent a small portion of overall PM_{2.5} exposure. NO_x emissions from diesel engines that eventually lead to PM_{2.5} formation in the atmosphere, however, represent a larger component of PM_{2.5} exposure (South Coast Air Quality Management District 2013a; Harley 2014).

Volatile Organic Compounds

VOC's are a class of air pollutants that undergo photochemical reactions in the air to form ozone. It should be noted that there are no state or national ambient air quality standards for VOCs because they are not classified as criteria pollutants. VOCs are regulated, however, because limiting VOC emissions reduces the rate of photochemical reactions that contribute to the formation of ozone.

VOCs are also transformed into organic aerosols in the atmosphere, contributing to higher PM and lower visibility levels. In addition, VOC's that have toxic properties are also regulated as air toxics. Chapter 3 of the draft 2016 AQMP presents data on VOC sources and emissions in the South Coast Air Basin.

Some examples of VOC's that are known to cause health effects include benzene, toluene, ethylbenzene and xylenes (abbreviated BTEX), 1,3-butadiene, formaldehyde, and perchloroethylene. Several of these VOC's are carcinogenic. Based on the MATES IV analysis, benzene, 1,3-butadiene, and carbonyls (formaldehyde and acetaldehyde) together account for approximately 21 percent of the total cancer risk from air toxics in the SCAB. Not all carcinogenic VOC's are known to cause the same types of cancers, although several are associated with blood cancers. For example, the cancers most closely associated with long-term benzene exposure are leukemias. Formaldehyde is linked to nasopharyngeal cancer and leukemias, while 1,3-butadiene causes cancers in both the blood and lymphatic systems (International Agency for Research on Cancer 2012a).

Many VOC's can also cause non-cancer health effects. For these types of health outcomes, OEHHA has developed acute and chronic Reference Exposure Levels (RELs). RELs are concentrations in the air below which adverse health effects are not likely to occur. Acute RELs refer to short-term exposures, generally of one-hour duration. Chronic RELs refer to long-term exposures of several years. OEHHA has also established eight-hour RELs for several substances. The ratio of ambient concentration to the appropriate REL can be used to calculate a Hazard Index. A Hazard Index of less than one would not be expected to result in adverse effects (Dodge et al. 2015).

In the MATES IV assessment of chronic non-cancer health risks, the monitored air toxics levels were found to be below the chronic RELs. In other words, the general levels of air toxics in the SCAB are not expected to cause adverse non-cancer health effects. Importantly, the MATES IV monitoring network was designed to characterize the air toxics exposures in the basin overall. Given that ambient monitoring is necessarily conducted at a limited number of locations, and modeling is limited to a spatial resolution of 2km, there may be higher exposures not captured by the fixed-site monitoring. To address this limitation, particularly in some communities with environmental justice concerns, the MATES IV study also included local-scale studies in 3 communities very close to known industrial sources or large mobile source facilities, with a focus on ultrafine particles and diesel PM emissions. Details of these study results can be found in the MATES IV final report (South Coast Air Quality Management District 2015).

ODORS

Environmental odors are recognized as having the potential to cause health effects and/or quality of life impacts. The theory of “miasma” dates back to Hippocrates in ancient Greek times, and related bad odors to disease. The health effects of environmental odors can vary widely, and depend on the compound causing the odor, the level of the compound, as well as the sensitivity and physiological responses of the person detecting the odor.

Different levels of odor exposure can cause a range of responses and health effects, and the science of odor as a potential health issue was summarized previously by Schiffman and Williams (Schiffman et al. 2005b). There are two key nerves in the nasal cavity involved in odor effects: the olfactory nerve provides the sense of smell, while the trigeminal nerve provides the sense of irritation. At very low levels, an odor can be detected (i.e. odor threshold), and at slightly higher levels, an odor can be recognized and identified. At levels higher than detection or recognition levels, an odor can cause annoyance or intolerance, and at even higher levels, an odor can cause irritation or possible toxicity, if the odor is caused by a compound that is also an air toxic (Schiffman et al. 2005b).

Schiffman and Williams proposed three mechanisms of action for odor symptoms (Schiffman et al. 2005b). In the first mechanism, an odor substance can be at the level that can produce irritation, which triggers the trigeminal nerve. This mechanism is considered a toxic effect because symptoms appear when the chemical concentration is at or above the irritation level; here, the odor serves only as the marker of the toxic effect. In the second mechanism, the odor compound is below the irritation level but above odor detection thresholds, which can result in odor annoyance. This mechanism is relatively common among environmental odors, and has been studied in communities exposed to odors from landfills, hazardous waste sites or concentrated animal feeding operations (CAFO’s) (Shusterman et al. 1991; Schiffman et al. 2005a; Heaney et al. 2011; Schinasi et al. 2011; Blanes-Vidal et al. 2012; Hooiveld et al. 2015). In this mechanism, the health effect is not a toxicological effect, and the dose does not necessarily correlate well with the effect in these instances. Genetic factors, previous exposure (“learning”), and beliefs about the safety of the odor may play important roles in these odors causing health symptoms (Shusterman 2001). The third proposed mechanism is when an odor substance is present along with a co-pollutant or endotoxin that is capable of producing health effects. In this mechanism, the effect is also a toxic effect, but the odor serves as a marker of the presence of a mixture that includes a toxic compound; if the co-pollutant were not present, no health effect would be expected in this scenario.

Individual characteristics can play important roles in altering an individual’s response to an odor. Factors that can influence odor perception include age, genetics, gender, medical history (including mental health, neurological conditions, and other health conditions), health-related behaviors (tobacco, alcohol), and occupational and environmental factors (Greenberg et al. 2013; Wilson et al. 2014; Agency for Toxic Substances and Disease Registry 2016). Additionally, an individual’s cognitive associations with the odor prior to an exposure can result in increased reporting of health-related symptoms after exposure (Shusterman et al. 1991; Shusterman 2001; Greenberg et al. 2013). Common symptoms associated with environmental odor exposures include headache, nasal

congestion, eye, nose and throat irritation, hoarseness or sore throat, cough, chest tightness, shortness of breath, wheezing heart palpitations, nausea, drowsiness, and mental depression (Agency for Toxic Substances and Disease Registry 2016). If the concentrations of the odor compound are below irritation levels, then the symptoms are not expected to persist once the person is no longer exposed; however, being exposed to odor levels at or above irritation levels for longer periods of time may cause symptoms that persist after moving out of the exposure area (Agency for Toxic Substances and Disease Registry 2016).

CONCLUSIONS

A large body of scientific evidence shows that the adverse impacts of air pollution on human and animal health are clear. A considerable number of population-based and laboratory studies have established a link between air pollution and increased morbidity and, in some instances, premature mortality. Importantly, the health effects of air pollution extend beyond respiratory effects, and there is substantial evidence that air pollution (including particulate matter and ozone) exposures cause cardiovascular morbidity and mortality. Some air pollutants, such as diesel PM, lead, and several other air toxics, have been linked to increased cancer risk. Health studies have also identified populations who may be more susceptible to the adverse effects of air pollution, such as children, older adults, low SES communities, people with certain pre-existing health conditions, and people with certain genetic factors. Understanding the impacts of air pollution on these more susceptible populations can help inform policies that better protect public health, for example, in setting standards for criteria air pollutants, and in the development of methods to evaluate air toxics health risks. Continued research on the effects of specific PM constituents and ultrafine particles will be important in furthering the understanding of how these pollutants affect human health.

As the scientific methods for the study of air pollution health effects have progressed over the past decades, adverse effects have been shown to occur at lower levels of exposure. For some pollutants, no clear thresholds for effects have been demonstrated. The new findings have, in turn, led to the revision and lowering of National Ambient Air Quality Standards (NAAQS) which, in the judgment of the Administrator of the U.S. EPA, are necessary to protect public health. Chapter 8 of the draft 2016 AQMP provides an overview of the extensive, multi-year, public process involved in setting federal air quality standards. Assessments of the scientific evidence from health studies is an important part of the process, and has helped inform revisions to the federal air pollution standards. Figures I-15 and I-16 are meant to convey some of the historical context to recent revisions to the NAAQS for ozone and for particulate matter, with regard to key developments in the understanding of the health effects of these pollutants.

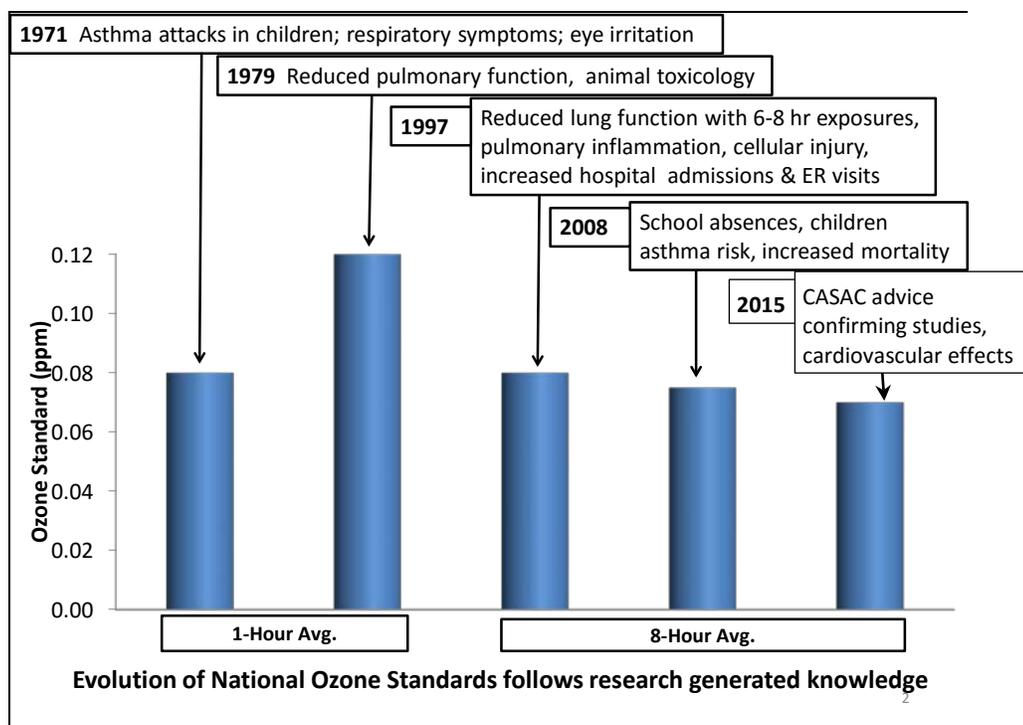


FIGURE I-15

Historical Context to Revisions of NAAQS for Ozone

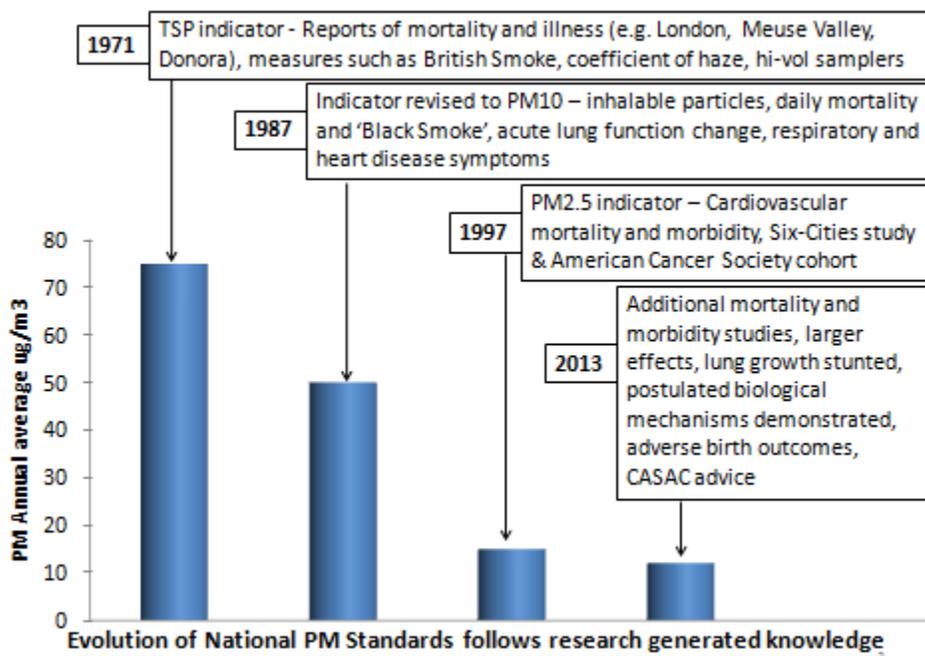


FIGURE I-16

Historical Context to Revisions of NAAQS for PM

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SCAQMD

SIERRA CLUB v. COUNTY OF FRESNO

AMICUS BRIEF

S219783

IN THE SUPREME COURT OF CALIFORNIA

SIERRA CLUB, REVIVE THE SAN JOAQUIN, and
LEAGUE OF WOMEN VOTERS OF FRESNO,

Plaintiffs and Appellants,

v.

COUNTY OF FRESNO,

Defendant and Respondent,

and,

FRIANT RANCH, L.P.,

Real Party in Interest and Respondent.

SUPREME COURT
FILED

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After a Published Decision by the Court of Appeal, filed May 27, 2014
Fifth Appellate District Case No. F066798

Appeal from the Superior Court of California, County of Fresno
Case No. 11CECG00726
Honorable Rosendo A. Pena, Jr.

**APPLICATION OF THE SOUTH COAST AIR QUALITY
MANAGEMENT DISTRICT FOR LEAVE TO FILE
BRIEF OF *AMICUS CURIAE* IN SUPPORT OF NEITHER PARTY
AND [*PROPOSED*] BRIEF OF *AMICUS CURIAE***

Kurt R. Wiese, General Counsel (SBN 127251)
*Barbara Baird, Chief Deputy Counsel (SBN 81507)
SOUTH COAST AIR QUALITY MANAGEMENT DISTRICT
21865 Copley Drive, Diamond Bar, CA 91765
Telephone: 909-396-2302; Facsimile: 909-396-2961
Email: bbaird@aqmd.gov
Counsel for [Proposed] Amicus Curiae,
SOUTH COAST AIR QUALITY MANAGEMENT DISTRICT

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**TO THE HONORABLE CHIEF JUSTICE AND JUSTICES OF THE
SUPREME COURT:**

APPLICATION FOR LEAVE TO FILE *AMICUS CURIAE* BRIEF

Pursuant to Rule 8.520(f) of the California Rules of Court, the South Coast Air Quality Management District (SCAQMD) respectfully requests leave to file the attached *amicus curiae* brief. Because SCAQMD's position differs from that of either party, we request leave to submit this *amicus* brief in support of neither party.

HOW THIS BRIEF WILL ASSIST THE COURT

SCAQMD's proposed *amicus* brief takes a position on two of the issues in this case. In both instances, its position differs from that of either party. The issues are:

- 1) Does the California Environmental Quality Act (CEQA) require an environmental impact report (EIR) to correlate a project's air pollution emissions with specific levels of health impacts?
- 2) What is the proper standard of review for determining whether an EIR provides sufficient information on the health impacts caused by a project's emission of air pollutants?

This brief will assist the Court by discussing the practical realities of correlating identified air quality impacts with specific health outcomes. In short, CEQA requires agencies to provide detailed information about a project's air quality impacts that is sufficient for the public and decisionmakers to adequately evaluate the project and meaningfully understand its impacts. However, the level of analysis is governed by a rule of reason; CEQA only requires agencies to conduct analysis if it is reasonably feasible to do so.

With regard to health-related air quality impacts, an analysis that correlates a project's air pollution emissions with specific levels of health impacts will be feasible in some cases but not others. Whether it is feasible depends on a variety of factors, including the nature of the project and the nature of the analysis under consideration. The feasibility of analysis may also change over time as air districts and others develop new tools for measuring projects' air quality related health impacts. Because SCAQMD has among the most sophisticated air quality modeling and health impact evaluation capability of any of the air districts in the State, it is uniquely situated to express an opinion on the extent to which the Court should hold that CEQA requires lead agencies to correlate air quality impacts with specific health outcomes.

SCAQMD can also offer a unique perspective on the question of the appropriate standard of review. SCAQMD submits that the proper standard of review for determining whether an EIR is sufficient as an informational document is more nuanced than argued by either party. In our view, this is a mixed question of fact and law. It includes determining whether additional analysis is feasible, which is primarily a factual question that should be reviewed under the substantial evidence standard. However, it also involves determining whether the omission of a particular analysis renders an EIR insufficient to serve CEQA's purpose as a meaningful, informational document. If a lead agency has not determined that a requested analysis is infeasible, it is the court's role to determine whether the EIR nevertheless meets CEQA's purposes, and courts should not defer to the lead agency's conclusions regarding the legal sufficiency of an EIR's analysis. The ultimate question of whether an EIR's analysis is "sufficient" to serve CEQA's informational purposes is predominately a question of law that courts should review *de novo*.

This brief will explain the rationale for these arguments and may assist the Court in reaching a conclusion that accords proper respect to a lead agency's factual conclusions while maintaining judicial authority over the ultimate question of what level of analysis CEQA requires.

STATEMENT OF INTEREST OF *AMICUS CURIAE*

The SCAQMD is the regional agency primarily responsible for air pollution control in the South Coast Air Basin, which consists of all of Orange County and the non-desert portions of the Los Angeles, Riverside, and San Bernardino Counties. (Health & Saf. Code § 40410; Cal. Code Regs., tit. 17, § 60104.) The SCAQMD participates in the CEQA process in several ways. Sometimes it acts as a lead agency that prepares CEQA documents for projects. Other times it acts as a responsible agency when it has permit authority over some part of a project that is undergoing CEQA review by a different lead agency. Finally, SCAQMD also acts as a commenting agency for CEQA documents that it receives because it is a public agency with jurisdiction by law over natural resources affected by the project.

In all of these capacities, SCAQMD will be affected by the decision in this case. SCAQMD sometimes submits comments requesting that a lead agency perform an additional type of air quality or health impacts analysis. On the other hand, SCAQMD sometimes determines that a particular type of health impact analysis is not feasible or would not produce reliable and informative results. Thus, SCAQMD will be affected by the Court's resolution of the extent to which CEQA requires EIRs to correlate emissions and health impacts, and its resolution of the proper standard of review.

CERTIFICATION REGARDING AUTHORSHIP AND FUNDING

No party or counsel in the pending case authored the proposed amicus curiae brief in whole or in part, or made any monetary contribution intended to fund the preparation or submission of the brief. No person or entity other than the proposed *Amicus Curiae* made any monetary contribution intended to fund the preparation or submission of the brief.

Respectfully submitted,

DATED: April 3, 2015

SOUTH COAST AIR QUALITY
MANAGEMENT DISTRICT
KURT R. WIESE, GENERAL COUNSEL
BARBARA BAIRD, CHIEF DEPUTY COUNSEL

By: 
Barbara Baird

Attorneys for [proposed] Amicus Curiae
SOUTH COAST AIR QUALITY
MANAGEMENT DISTRICT

BRIEF OF AMICUS CURIAE

SUMMARY OF ARGUMENT

The South Coast Air Quality Management District (SCAQMD) submits that this Court should not try to establish a hard-and-fast rule concerning whether lead agencies are required to correlate emissions of air pollutants with specific health consequences in their environmental impact reports (EIR). The level of detail required in EIRs is governed by a few, core CEQA (California Environmental Quality Act) principles. As this Court has stated, “[a]n EIR must include detail sufficient to enable those who did not participate in its preparation to understand and to consider meaningfully the issues raised by the proposed project.” (*Laurel Heights Improvement Assn. v. Regents of the Univ of Cal.* (1988) 47 Cal.3d 376, 405 [*“Laurel Heights I”*]) Accordingly, “an agency must use its best efforts to find out and disclose all that it reasonably can.” (*Vineyard Area Citizens for Responsible Growth, Inc. v. City of Rancho Cordova* (2007) 40 Cal.4th 412, 428 (quoting CEQA Guidelines § 15144)¹). However, “[a]nalysis of environmental effects need not be exhaustive, but will be judged in light of what is reasonably feasible.” (*Association of Irrigated Residents v. County of Madera* (2003) 107 Cal.App.4th 1383, 1390; CEQA Guidelines §§ 15151, 15204(a).)

With regard to analysis of air quality related health impacts, EIRs must generally quantify a project’s pollutant emissions, but in some cases it is not feasible to correlate these emissions to specific, quantifiable health impacts (e.g., premature mortality; hospital admissions). In such cases, a general description of the adverse health impacts resulting from the pollutants at issue may be sufficient. In other cases, due to the magnitude

¹ The CEQA Guidelines are found at Cal. Code Regs., tit. 14 §§ 15000, *et seq.*

or nature of the pollution emissions, as well as the specificity of the project involved, it may be feasible to quantify health impacts. Or there may be a less exacting, but still meaningful analysis of health impacts that can feasibly be performed. In these instances, agencies should disclose those impacts.

SCAQMD also submits that whether or not an EIR complies with CEQA's informational mandates by providing sufficient, feasible analysis is a mixed question of fact and law. Pertinent here, the question of whether an EIR's discussion of health impacts from air pollution is sufficient to allow the public to understand and consider meaningfully the issues involves two inquiries: (1) Is it feasible to provide the information or analysis that a commenter is requesting or a petitioner is arguing should be required?; and (2) Even if it is feasible, is the agency relying on other policy or legal considerations to justify not preparing the requested analysis? The first question of whether an analysis is feasible is primarily a question of fact that should be judged by the substantial evidence standard. The second inquiry involves evaluating CEQA's information disclosure purposes against the asserted reasons to not perform the requested analysis. For example, an agency might believe that its EIR meets CEQA's informational disclosure standards even without a particular analysis, and therefore choose not to conduct that analysis. SCAQMD submits that this is more of a legal question, which should be reviewed de novo as a question of law.

ARGUMENT

I. RELEVANT FACTUAL AND LEGAL FRAMEWORK.

A. Air Quality Regulatory Background

The South Coast Air Quality Management District (SCAQMD) is one of the local and regional air pollution control districts and air quality

management districts in California. The SCAQMD is the regional air pollution agency for the South Coast Air Basin, which consists of all of Orange County and the non-desert portions of Los Angeles, Riverside, and San Bernardino Counties. (Health & Saf. Code § 40410, 17 Cal. Code Reg. § 60104.) The SCAQMD also includes the Coachella Valley in Riverside County (Palm Springs area to the Salton Sea). (SCAQMD, *Final 2012 AQMP (Feb. 2013)*, <http://www.aqmd.gov/home/library/clean-air-plans/air-quality-mgt-plan/final-2012-air-quality-management-plan>; then follow “chapter 7” hyperlink; pp 7-1, 7-3 (last visited Apr. 1, 2015).) The SCAQMD's jurisdiction includes over 16 million residents and has the worst or nearly the worst air pollution levels in the country for ozone and fine particulate matter. (SCAQMD, *Final 2012 AQMP (Feb. 2013)*, <http://www.aqmd.gov/home/library/clean-air-plans/air-quality-mgt-plan/final-2012-air-quality-management-plan>; then follow “Executive Summary” hyperlink p. ES-1 (last visited Apr. 1, 2015).)

Under California law, the local and regional districts are primarily responsible for controlling air pollution from all sources except motor vehicles. (Health & Saf. Code § 40000.) The California Air Resources Board (CARB), part of the California Environmental Protection Agency, is primarily responsible for controlling pollution from motor vehicles. (*Id.*) The air districts must adopt rules to achieve and maintain the state and federal ambient air quality standards within their jurisdictions. (Health & Saf. Code § 40001.)

The federal Clean Air Act (CAA) requires the United States Environmental Protection Agency (EPA) to identify pollutants that are widely distributed and pose a threat to human health, developing a so-called “criteria” document. (42 U.S.C. § 7408; CAA § 108.) These pollutants are frequently called “criteria pollutants.” EPA must then establish “national ambient air quality standards” at levels “requisite to protect public health”,

allowing “an adequate margin of safety.” (42 U.S.C. § 7409; CAA § 109.) EPA has set standards for six identified pollutants: ozone, nitrogen dioxide, sulfur dioxide, carbon monoxide, particulate matter (PM), and lead. (U.S. EPA, National Ambient Air Quality Standards (NAAQS), <http://www.epa.gov/air/criteria.html> (last updated Oct. 21, 2014).)²

Under the Clean Air Act, EPA sets emission standards for motor vehicles and “nonroad engines” (mobile farm and construction equipment, marine vessels, locomotives, aircraft, etc.). (42 U.S.C. §§ 7521, 7547; CAA §§ 202, 213.) California is the only state allowed to establish emission standards for motor vehicles and most nonroad sources; however, it may only do so with EPA's approval. (42 U.S.C. §§ 7543(b), 7543(e); CAA §§ 209(b), 209(c).) Sources such as manufacturing facilities, power plants and refineries that are not mobile are often referred to as “stationary sources.” The Clean Air Act charges state and local agencies with the primary responsibility to attain the national ambient air quality standards. (42 U.S.C. § 7401(a)(3); CAA § 101(a)(3).) Each state must adopt and implement a plan including enforceable measures to achieve and maintain the national ambient air quality standards. (42 U.S.C. § 7410; CAA § 110.) The SCAQMD and CARB jointly prepare portion of the plan for the South Coast Air Basin and submit it for approval by EPA. (Health & Saf. Code §§ 40460, et seq.)

The Clean Air Act also requires state and local agencies to adopt a permit program requiring, among other things, that new or modified “major” stationary sources use technology to achieve the “lowest achievable emission rate,” and to control minor stationary sources as

² Particulate matter (PM) is further divided into two categories: fine particulate or PM_{2.5} (particles with a diameter of less than or equal to 2.5 microns) and coarse particulate (PM₁₀) (particles with a diameter of 10 microns or less). (U.S. EPA, Particulate Matter (PM), <http://www.epa.gov/airquality/particulatepollution/> (last visited Apr. 1, 2015).)

needed to help attain the standards. (42 U.S.C. §§ 7502(c)(5), 7503(a)(2), 7410(a)(2)(C); CAA §§ 172(c)(5), 173(a)(2), 110(a)(2)(C).) The air districts implement these permit programs in California. (Health & Saf. Code §§ 42300, et seq.)

The Clean Air Act also sets out a regulatory structure for over 100 so-called “hazardous air pollutants” calling for EPA to establish “maximum achievable control technology” (MACT) for sources of these pollutants. (42 U.S.C. § 7412(d)(2); CAA § 112(d)(2).) California refers to these pollutants as “toxic air contaminants” (TACs) which are subject to two state-required programs. The first program requires “air toxics control measures” for specific categories of sources. (Health & Saf. Code § 39666.) The other program requires larger stationary sources and sources identified by air districts to prepare “health risk assessments” for impacts of toxic air contaminants. (Health & Saf. Code §§ 44320(b), 44322, 44360.) If the health risk exceeds levels identified by the district as “significant,” the facility must implement a “risk reduction plan” to bring its risk levels below “significant” levels. Air districts may adopt additional more stringent requirements than those required by state law, including requirements for toxic air contaminants. (Health & Saf. Code § 41508; *Western Oil & Gas Assn. v. Monterey Bay Unified APCD* (1989) 49 Cal.3d 408, 414.) For example, SCAQMD has adopted a rule requiring new or modified sources to keep their risks below specified levels and use best available control technology (BACT) for toxics. (SCAQMD, *Rule 1401-New Source Review of Toxic Air Contaminants*, <http://www.aqmd.gov/home/regulations/rules/scaqmd-rule-book/regulation-xiv>; then follow “Rule 1401” hyperlink (last visited Apr. 1, 2015).)

B. The SCAQMD's Role Under CEQA

The California Environmental Quality Act (CEQA) requires public agencies to perform an environmental review and appropriate analysis for projects that they implement or approve. (Pub. Resources Code § 21080(a).) The agency with primary approval authority for a particular project is generally the “lead agency” that prepares the appropriate CEQA document. (CEQA Guidelines §§ 15050, 15051.) Other agencies having a subsequent approval authority over all or part of a project are called “responsible” agencies that must determine whether the CEQA document is adequate for their use. (CEQA Guidelines §§ 15096(c), 15381.) Lead agencies must also consult with and circulate their environmental impact reports to “trustee agencies” and agencies “with jurisdiction by law” including “authority over resources which may be affected by the project.” (Pub. Resources Code §§ 21104(a), 21153; CEQA Guidelines §§ 15086(a)(3), 15073(c).) The SCAQMD has a role in all these aspects of CEQA.

Fulfilling its responsibilities to implement its air quality plan and adopt rules to attain the national ambient air quality standards, SCAQMD adopts a dozen or more rules each year to require pollution reductions from a wide variety of sources. The SCAQMD staff evaluates each rule for any adverse environmental impact and prepares the appropriate CEQA document. Although most rules reduce air emissions, they may have secondary environmental impacts such as use of water or energy or disposal of waste—e.g., spent catalyst from control equipment.³

³ The SCAQMD's CEQA program for its rules is a “Certified Regulatory Program” under which it prepares a “functionally equivalent” document in lieu of a negative declaration or EIR. (Pub. Resources Code § 21080.5, CEQA Guidelines § 15251(l).)

The SCAQMD also approves a large number of permits every year to construct new, modified, or replacement facilities that emit regulated air pollutants. The majority of these air pollutant sources have already been included in an earlier CEQA evaluation for a larger project, are currently being evaluated by a local government as lead agency, or qualify for an exemption. However, the SCAQMD sometimes acts as lead agency for major projects where the local government does not have a discretionary approval. In such cases, SCAQMD prepares and certifies a negative declaration or environmental impact report (EIR) as appropriate.⁴ SCAQMD evaluates perhaps a dozen such permit projects under CEQA each year. SCAQMD is often also a “responsible agency” for many projects since it must issue a permit for part of the projects (e.g., a boiler used to provide heat in a commercial building). For permit projects evaluated by another lead agency under CEQA, SCAQMD has the right to determine that the CEQA document is inadequate for its purposes as a responsible agency, but it may not do so because its permit program already requires all permitted sources to use the best available air pollution control technology. (SCAQMD, *Rule 1303(a)(1) – Requirements*, <http://www.aqmd.gov/home/regulations/rules/scaqmd-rule-book/regulation-xiii>; then follow “Rule 1303” hyperlink (last visited Apr. 1, 2015).)

Finally, SCAQMD receives as many as 60 or more CEQA documents each month (around 500 per year) in its role as commenting agency or an agency with “jurisdiction by law” over air quality—a natural resource affected by the project. (Pub. Resources Code §§ 21104(a), 21153; CEQA Guidelines § 15366(a)(3).) The SCAQMD staff provides comments on as many as 25 or 30 such documents each month.

⁴ The SCAQMD's permit projects are not included in its Certified Regulatory Program, and are evaluated under the traditional local government CEQA analysis. (Pub. Resources Code §§ 21150-21154.)

(SCAQMD Governing Board Agenda, Apr. 3, 2015, Agenda Item 16, Attachment A, <http://www.aqmd.gov/home/library/meeting-agendas-minutes/agenda?title=governing-board-meeting-agenda-april-3-2015>; then follow “16. Lead Agency Projects and Environmental Documents Received by SCAQMD” hyperlink (last visited Apr. 1, 2015).) Of course, SCAQMD focuses its commenting efforts on the more significant projects.

Typically, SCAQMD comments on the adequacy of air quality analysis, appropriateness of assumptions and methodology, and completeness of the recommended air quality mitigation measures. Staff may comment on the need to prepare a health risk assessment detailing the projected cancer and noncancer risks from toxic air contaminants resulting from the project, particularly the impacts of diesel particulate matter, which CARB has identified as a toxic air contaminant based on its carcinogenic effects. (California Air Resources Board, Resolution 98-35, Aug. 27, 1998, <http://www.arb.ca.gov/regact/diesltac/diesltac.htm>; then follow Resolution 98-35 hyperlink (last visited Apr. 1, 2015).) Because SCAQMD already requires new or modified stationary sources of toxic air contaminants to use the best available control technology for toxics and to keep their risks below specified levels, (SCAQMD Rule 1401, *supra*, note 15), the greatest opportunity to further mitigate toxic impacts through the CEQA process is by reducing emissions—particularly diesel emissions—from vehicles.

II. THIS COURT SHOULD NOT SET A HARD-AND-FAST RULE CONCERNING THE EXTENT TO WHICH AN EIR MUST CORRELATE A PROJECT’S EMISSION OF POLLUTANTS WITH RESULTING HEALTH IMPACTS.

Numerous cases hold that courts do not review the correctness of an EIR's conclusions but rather its sufficiency as an informative document. (*Laurel Heights 1*, *supra*, 47 Cal.3d at p. 392; *Citizens of Goleta Valley v.*

Bd. of Supervisors (1990) 52 Cal.3d 553, 569; *Bakersfield Citizens for Local Control v. City of Bakersfield* (2004) 124 Cal.App.4th 1184, 1197.)

As stated by the Court of Appeal in this case, where an EIR has addressed a topic, but the petitioner claims that the information provided about that topic is insufficient, courts must “draw[] a line that divides *sufficient* discussions from those that are *insufficient*.” (*Sierra Club v. County of Fresno* (2014) 226 Cal.App.4th 704 (superseded by grant of review) 172 Cal.Rptr.3d 271, 290.) The Court of Appeal readily admitted that “[t]he terms themselves – sufficient and insufficient – provide little, if any, guidance as to where the line should be drawn. They are simply labels applied once the court has completed its analysis.” (*Id.*)

The CEQA Guidelines, however, provide guidance regarding what constitutes a sufficient discussion of impacts. Section 15151 states that “the sufficiency of an EIR is to be reviewed in light of what is reasonably feasible.” Case law reflects this: “Analysis of environmental effects need not be exhaustive, but will be judged in light of what was reasonably feasible.” (*Association of Irrigated Residents v. County of Madera, supra*, 107 Cal.App.4th at p. 1390; see also CEQA Guidelines § 15204(a).)

Applying this test, this Court cannot realistically establish a hard-and-fast rule that an analysis correlating air pollution impacts of a project to quantified resulting health impacts is always required, or indeed that it is never required. Simply put, in some cases such an analysis will be “feasible”; in some cases it will not.

For example, air pollution control districts often require a proposed new source of toxic air contaminants to prepare a “health risk assessment” before issuing a permit to construct. District rules often limit the allowable cancer risk the new source may cause to the “maximally exposed individual” (worker and residence exposures). (*See, e.g.*, SCAQMD Rule 1401(c)(8); 1401(d)(1), *supra* note 15.) In order to perform this analysis, it

is necessary to have data regarding the sources and types of air toxic contaminants, location of emission points, velocity of emissions, the meteorology and topography of the area, and the location of receptors (worker and residence). (SCAQMD, *Supplemental Guidelines for Preparing Risk Assessments for the Air Toxics "Hot Spots" Information and Assessment Act (AB2588)*, pp. 11-16; (last visited Apr. 1, 2015) <http://www.aqmd.gov/home/library/documents-support-material>; "Guidelines" hyperlink; AB2588; then follow AB2588 Risk Assessment Guidelines hyperlink.)

Thus, it is feasible to determine the health risk posed by a new gas station locating at an intersection in a mixed use area, where receptor locations are known. On the other hand, it may not be feasible to perform a health risk assessment for airborne toxics that will be emitted by a generic industrial building that was built on "speculation" (i.e., without knowing the future tenant(s)). Even where a health risk assessment can be prepared, however, the resulting maximum health risk value is only a calculation of risk—it does not necessarily mean anyone will contract cancer as a result of the project.

In order to find the "cancer burden" or expected additional cases of cancer resulting from the project, it is also necessary to know the numbers and location of individuals living within the "zone of impact" of the project: i.e., those living in areas where the projected cancer risk from the project exceeds one in a million. (SCAQMD, Health Risk Assessment Summary form, <http://www.aqmd.gov/home/forms>; filter by "AB2588" category; then "Health Risk Assessment" hyperlink (last visited Apr. 1, 2015).) The affected population is divided into bands of those exposed to at least 1 in a million risk, those exposed to at least 10 in a million risk, etc. up to those exposed at the highest levels. (*Id.*) This data allows agencies to calculate an approximate number of additional cancer cases expected from

the project. However, it is not possible to predict which particular individuals will be affected.

For the so-called criteria pollutants⁵, such as ozone, it may be more difficult to quantify health impacts. Ozone is formed in the atmosphere from the chemical reaction of the nitrogen oxides (NO_x) and volatile organic compounds (VOC) in the presence of sunlight. (U.S. EPA, Ground Level Ozone, <http://www.epa.gov/airquality/ozonepollution/> (last updated Mar. 25, 2015).) It takes time and the influence of meteorological conditions for these reactions to occur, so ozone may be formed at a distance downwind from the sources. (U.S. EPA, *Guideline on Ozone Monitoring Site Selection* (Aug. 1998) EPA-454/R-98-002 § 5.1.2, <http://www.epa.gov/ttnamti1/archive/cpreldoc.html> (last visited Apr. 1, 2015).) NO_x and VOC are known as “precursors” of ozone.

Scientifically, health effects from ozone are correlated with increases in the ambient level of ozone in the air a person breathes. (U.S. EPA, *Health Effects of Ozone in the General Population*, Figure 9, <http://www.epa.gov/apti/ozonehealth/population.html#levels> (last visited Apr. 1, 2015).) However, it takes a large amount of additional precursor emissions to cause a modeled increase in ambient ozone levels over an entire region. For example, the SCAQMD's 2012 AQMP showed that reducing NO_x by 432 tons per day (157,680 tons/year) and reducing VOC by 187 tons per day (68,255 tons/year) would reduce ozone levels at the SCAQMD's monitor site with the highest levels by only 9 parts per billion. (South Coast Air Quality Management District, *Final 2012 AQMP (February 2013)*, <http://www.aqmd.gov/home/library/clean-air-plans/air-quality-mgt-plan/final-2012-air-quality-management-plan>; then follow “Appendix V: Modeling & Attainment Demonstrations” hyperlink,

⁵ See discussion of types of pollutants, *supra*, Part I.A.

pp. v-4-2, v-7-4, v-7-24.) SCAQMD staff does not currently know of a way to accurately quantify ozone-related health impacts caused by NO_x or VOC emissions from relatively small projects.

On the other hand, this type of analysis may be feasible for projects on a regional scale with very high emissions of NO_x and VOCs, where impacts are regional. For example, in 2011 the SCAQMD performed a health impact analysis in its CEQA document for proposed Rule 1315, which authorized various newly-permitted sources to use offsets from the districts “internal bank” of emission reductions. This CEQA analysis accounted for essentially *all* the increases in emissions due to new or modified sources in the District between 2010 and 2030.⁶ The SCAQMD was able to correlate this very large emissions increase (e.g., 6,620 pounds per day NO_x (1,208 tons per year), 89,180 pounds per day VOC (16,275 tons per year)) to expected health outcomes from ozone and particulate matter (e.g., 20 premature deaths per year and 89,947 school absences in the year 2030 due to ozone).⁷ (SCAQMD Governing Board Agenda, February 4, 2011, Agenda Item 26, *Assessment for: Re-adoption of Proposed Rule 1315 – Federal New Source Review Tracking System* (see hyperlink in fn 6) at p. 4.1-35, Table 4.1-29.)

⁶ (SCAQMD Governing Board Agenda, February 4, 2011, Agenda Item 26, Attachment G, *Assessment for: Re-adoption of Proposed Rule 1315 – Federal New Source Review Tracking System, Vol. 1, p.4.0-6*, <http://www.aqmd.gov/home/library/meeting-agendas-minutes/agenda?title=governing-board-meeting-agenda-february-4-2011>; the follow “26. Adopt Proposed Rule 1315 – Federal New Source Review Tracking System” (last visited April 1, 2015).)

⁷ The SCAQMD was able to establish the location of future NO_x and VOC emissions by assuming that new projects would be built in the same locations and proportions as existing stationary sources. This CEQA document was upheld by the Los Angeles County Superior Court in *Natural Res. Def. Council v SCAQMD*, Los Angeles Superior Court No. BS110792).

However, a project emitting only 10 tons per year of NO_x or VOC is small enough that its regional impact on ambient ozone levels may not be detected in the regional air quality models that are currently used to determine ozone levels. Thus, in this case it would not be feasible to directly correlate project emissions of VOC or NO_x with specific health impacts from ozone. This is in part because ozone formation is not linearly related to emissions. Ozone impacts vary depending on the location of the emissions, the location of other precursor emissions, meteorology and seasonal impacts, and because ozone is formed some time later and downwind from the actual emission. (EPA Guideline on Ozone Monitoring Site Selection (Aug. 1998) EPA-454/R-98-002, § 5.1.2; <https://www.epa.gov/ttnamti1/archive/cpreldoc.html>; then search “Guideline on Ozone Monitoring Site Selection” click on pdf) (last viewed Apr. 1, 2015).)

SCAQMD has set its CEQA “significance” threshold for NO_x and VOC at 10 tons per year (expressed as 55 lb/day). (SCAQMD, *Air Quality Analysis Handbook*, <http://www.aqmd.gov/home/regulations/ceqa/air-quality-analysis-handbook>; then follow “SCAQMD Air Quality Significance Thresholds” hyperlink (last visited Apr. 1, 2015).) This is because the federal Clean Air Act defines a “major” stationary source for “extreme” ozone nonattainment areas such as SCAQMD as one emitting 10 tons/year. (42 U.S.C. §§ 7511a(e), 7511a(f); CAA §§ 182(e), 182(f).) Under the Clean Air Act, such sources are subject to enhanced control requirements (42 U.S.C. §§ 7502(c)(5), 7503; CAA §§ 172(c)(5), 173), so SCAQMD decided this was an appropriate threshold for making a CEQA “significance” finding and requiring feasible mitigation. Essentially, SCAQMD takes the position that a source that emits 10 tons/year of NO_x or VOC would contribute cumulatively to ozone formation. Therefore, lead agencies that use SCAQMD’s thresholds of significance may determine

that many projects have “significant” air quality impacts and must apply all feasible mitigation measures, yet will not be able to precisely correlate the project to quantifiable health impacts, unless the emissions are sufficiently high to use a regional modeling program.

In the case of particulate matter (PM_{2.5})⁸, another “criteria” pollutant, SCAQMD staff is aware of two possible methods of analysis. SCAQMD used regional modeling to predict expected health impacts from its proposed Rule 1315, as mentioned above. Also, the California Air Resources Board (CARB) has developed a methodology that can predict expected mortality (premature deaths) from large amounts of PM_{2.5}. (California Air Resources Board, *Health Impacts Analysis: PM Premature Death Relationship*, http://www.arb.ca.gov/research/health/pm-mort/pm-mort_arch.htm (last reviewed Jan. 19, 2012).) SCAQMD used the CARB methodology to predict impacts from three very large power plants (e.g., 731-1837 lbs/day). (Final Environmental Assessment for Rule 1315, *supra*, pp 4.0-12, 4.1-13, 4.1-37 (e.g., 125 premature deaths in the entire SCAQMD in 2030), 4.1-39 (0.05 to 1.77 annual premature deaths from power plants.) Again, this project involved large amounts of additional PM_{2.5} in the District, up to 2.82 tons/day (5,650 lbs/day of PM_{2.5}, or, or 1029 tons/year. (*Id.* at table 4.1-4, p. 4.1-10.)

However, the primary author of the CARB methodology has reported that this PM_{2.5} health impact methodology is not suited for small projects and may yield unreliable results due to various uncertainties.⁹ (SCAQMD, *Final Subsequent Mitigated Negative Declaration for: Warren*

⁸ SCAQMD has not attained the latest annual or 24-hour national ambient air quality standards for “PM_{2.5}” or particulate matter less than 2.5 microns in diameter.

⁹ Among these uncertainties are the representativeness of the population used in the methodology, and the specific source of PM and the corresponding health impacts. (*Id.* at p. 2-24.)

E&P, Inc. WTU Central Facility, New Equipment Project (certified July 19, 2011), <http://www.aqmd.gov/home/library/documents-support-material/lead-agency-permit-projects/permit-project-documents---year-2011>; then follow “Final Subsequent Mitigated Negative Declaration for Warren E&P Inc. WTU Central Facility, New Equipment Project” hyperlink, pp. 2-22, 2-23 (last visited Apr. 1, 2015).) Therefore, when SCAQMD prepared a CEQA document for the expansion of an existing oil production facility, with very small PM_{2.5} increases (3.8 lb/day) and a very small affected population, staff elected not to use the CARB methodology for using estimated PM_{2.5} emissions to derive a projected premature mortality number and explained why it would be inappropriate to do so. (*Id.* at pp 2-22 to 2-24.) SCAQMD staff concluded that use of this methodology for such a small source could result in unreliable findings and would not provide meaningful information. (*Id.* at pp. 2-23, 2-25.) This CEQA document was not challenged in court.

In the above case, while it may have been technically possible to plug the data into the methodology, the results would not have been reliable or meaningful. SCAQMD believes that an agency should not be required to perform analyses that do not produce reliable or meaningful results. This Court has already held that an agency may decline to use even the “normal” “existing conditions” CEQA baseline where to do so would be misleading or without informational value. (*Neighbors for Smart Rail v. Exposition Metro Line* (2013) 57 Cal.4th 439, 448, 457.) The same should be true for a decision that a particular study or analysis would not provide reliable or meaningful results.¹⁰

¹⁰ Whether a particular study would result in “informational value” is a part of deciding whether it is “feasible.” CEQA defines “feasible” as “capable of being accomplished in a successful manner within a reasonable period of time, taking into account economic, environmental, social, and

Therefore, it is not possible to set a hard-and-fast rule on whether a correlation of air quality impacts with specific quantifiable health impacts is required in all cases. Instead, the result turns on whether such an analysis is reasonably feasible in the particular case.¹¹ Moreover, what is reasonably feasible may change over time as scientists and regulatory agencies continually seek to improve their ability to predict health impacts. For example, CARB staff has been directed by its Governing Board to reassess and improve the methodology for estimating premature deaths. (California Air Resources Board, *Health Impacts Analysis: PM Mortality Relationship*, <http://www.arb.ca.gov/research/health/pm-mort/pm-mort.htm> (last reviewed Dec. 29, 2010).) This factor also counsels against setting any hard-and-fast rule in this case.

III. THE QUESTION OF WHETHER AN EIR CONTAINS SUFFICIENT ANALYSIS TO MEET CEQA'S REQUIREMENTS IS A MIXED QUESTION OF FACT AND LAW GOVERNED BY TWO DIFFERENT STANDARDS OF REVIEW.

A. Standard of Review for Feasibility Determination and Sufficiency as an Informative Document

A second issue in this case is whether courts should review an EIR's informational sufficiency under the “substantial evidence” test as argued by Friant Ranch or the “independent judgment” test as argued by Sierra Club.

technological factors.” (Pub. Resources Code § 21061.1.) A study cannot be “accomplished in a *successful* manner” if it produces unreliable or misleading results.

¹¹ In this case, the lead agency did not have an opportunity to determine whether the requested analysis was feasible because the comment was non-specific. Therefore, SCAQMD suggests that this Court, after resolving the legal issues in the case, direct the Court of Appeal to remand the case to the lead agency for a determination of whether the requested analysis is feasible. Because Fresno County, the lead agency, did not seek review in this Court, it seems likely that the County has concluded that at least some level of correlation of air pollution with health impacts is feasible.

As this Court has explained, “a reviewing court must adjust its scrutiny to the nature of the alleged defect, depending on whether the claim is predominantly one of improper procedure or a dispute over the facts.” (*Vineyard Area Citizens v. City of Rancho Cordova, supra*, 40 Cal.4th at 435.) For questions regarding compliance with proper procedure or other legal questions, courts review an agency’s action de novo under the “independent judgment” test. (*Id.*) On the other hand, courts review factual disputes only for substantial evidence, thereby “accord[ing] greater deference to the agency’s substantive factual conclusions.” (*Id.*)

Here, Friant Ranch and Sierra Club agree that the case involves the question of whether an EIR includes sufficient information regarding a project’s impacts. However, they disagree on the proper standard of review for answering this question: Sierra Club contends that courts use the independent judgment standard to determine whether an EIR’s analysis is sufficient to meet CEQA’s informational purposes,¹² while Friant Ranch contends that the substantial evidence standard applies to this question.

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¹² Sierra Club acknowledges that courts use the substantial evidence standard when reviewing predicate factual issues, but argues that courts ultimately decide as a matter of law what CEQA requires. (Answering Brief, pp. 14, 23.)

SCAQMD submits that the issue is more nuanced than either party contends. We submit that, whether a CEQA document includes sufficient analysis to satisfy CEQA's informational mandates is a mixed question of fact and law,¹³ containing two levels of inquiry that should be judged by different standards.¹⁴

The state CEQA Guidelines set forth standards for the adequacy of environmental analysis. Guidelines Section 15151 states:

An EIR should be prepared with a sufficient degree of analysis to provide decision makers with information which enables them to make a decision which intelligently takes account of environmental consequences. An evaluation of the environmental effects of a proposed project need not be exhaustive, but the sufficiency of an EIR is to be reviewed in light of what is reasonably feasible. Disagreement among experts does not make an EIR inadequate, but the EIR should summarize the main points of disagreement among the experts. The courts have looked not for perfection, but for adequacy, completeness, and a good-faith effort at full disclosure.

In this case, the basic question is whether the underlying analysis of air quality impacts made the EIR "sufficient" as an informative document. However, whether the EIR's analysis was sufficient is judged in light of what was reasonably feasible. This represents a mixed question of fact and law that is governed by two different standards of review.

¹³ Friant Ranch actually states that the claim that an EIR lacks sufficient relevant information is, "most properly thought of as raising mixed questions of fact and law." (Opening Brief, p. 27.) However, the remainder of its argument claims that the court should apply the substantial evidence standard of review to all aspects of the issue.

¹⁴ Mixed questions of fact and law issues may implicate predominantly factual subordinate questions that are reviewed under the substantial evidence test even though the ultimate question may be reviewed by the independent judgment test. *Crocker National Bank v. City and County of San Francisco* (1989) 49 Cal.3d 881, 888-889.

SCAQMD submits that an EIR's sufficiency as an informational document is ultimately a legal question that courts should determine using their independent judgment. This Court's language in *Laurel Heights I* supports this position. As this Court explained: "The court does not pass upon the correctness of the EIR's environmental conclusions, but only upon its *sufficiency as an informative document.*" (*Laurel Heights I, supra*, 47 Cal.3d at 392-393) (emphasis added.) As described above, the Court in *Vineyard Area Citizens v. City of Rancho Cordova, supra*, 40 Cal.4th at 431, also used its independent judgment to determine what level of analysis CEQA requires for water supply impacts. The Court did not defer to the lead agency's opinion regarding the law's requirements; rather, it determined for itself what level of analysis was necessary to meet "[t]he law's informational demands." (*Id.* at p. 432.) Further, existing case law also holds that where an agency fails to comply with CEQA's information disclosure requirements, the agency has "failed to proceed in the manner required by law." (*Save Our Peninsula Comm. v. Monterey County Bd. of Supervisors* (2001) 87 Cal.App.4th 99, 118.)

However, whether an EIR satisfies CEQA's requirements depends in part on whether it was reasonably feasible for an agency to conduct additional or more thorough analysis. EIRs must contain "a detailed statement" of a project's impacts (Pub. Res. Code § 21061), and an agency must "use its best efforts to find out and disclose all that it reasonably can." (CEQA Guidelines § 15144.) Nevertheless, "the sufficiency of an EIR is to be reviewed in light of what is reasonably feasible." (CEQA Guidelines § 15151.)

SCAQMD submits that the question of whether additional analysis or a particular study suggested by a commenter is "feasible" is generally a question of fact. Courts have already held that whether a particular alternative is "feasible" is reviewed by the substantial evidence test.

(*Uphold Our Heritage v. Town of Woodside* (2007) 147 Cal.App.4th 587, 598-99; *Center for Biological Diversity v. County of San Bernardino* (2010) 185 Cal.App.4th 866, 883.) Thus, if a lead agency determines that a particular study or analysis is infeasible, that decision should generally be judged by the substantial evidence standard. However, SCAQMD urges this Court to hold that lead agencies must explain the basis of any determination that a particular analysis is infeasible in the EIR itself. An EIR must discuss information, including issues related to the feasibility of particular analyses “in sufficient detail to enable meaningful participation and criticism by the public. ‘[W]hatever is required to be considered in an EIR must be in that formal report; what any official might have known from other writings or oral presentations cannot supply what is lacking in the report.’” (*Laurel Heights I, supra*, 47 Cal.3d at p. 405 (quoting *Santiago County Water District v. County of Orange* (1981) 118 Cal.App.3d 818, 831) (discussing analysis of alternatives).) The evidence on which the determination is based should also be summarized in the EIR itself, with appropriate citations to reference materials if necessary. Otherwise commenting agencies such as SCAQMD would be forced to guess where the lead agency's evidence might be located, thus thwarting effective public participation.

Moreover, if a lead agency determines that a particular study or analysis would not result in reliable or useful information and for that reason is not feasible, that determination should be judged by the substantial evidence test. (See *Neighbors for Smart Rail v. Exposition Metro Line Construction Authority, supra*, 57 Cal.4th 439, 448, 457:

whether “existing conditions” baseline would be misleading or uninformative judged by substantial evidence standard.¹⁵)

If the lead agency’s determination that a particular analysis or study is not feasible is supported by substantial evidence, then the agency has not violated CEQA’s information disclosure provisions, since it would be infeasible to provide additional information. This Court’s decisions provide precedent for such a result. For example, this Court determined that the issue of whether the EIR should have included a more detailed discussion of future herbicide use was resolved because substantial evidence supported the agency’s finding that “the precise parameters of future herbicide use could not be predicted.” *Ebbetts Pass Forest Watch v. California Dept. of Forestry & Fire Protection* (2008) 43 Cal.4th 936, 955.

Of course, SCAQMD expects that courts will continue to hold lead agencies to their obligations to consult with, and not to ignore or misrepresent, the views of sister agencies having special expertise in the area of air quality. (*Berkeley Keep Jets Over the Bay v. Board of Port Commissioners* (2007) 91 Cal.App.4th 1344, 1364 n.11.) In some cases, information provided by such expert agencies may establish that the purported evidence relied on by the lead agency is not in fact “substantial”. (*Id.* at pp. 1369-1371.)

In sum, courts retain ultimate responsibility to determine what CEQA requires. However, the law does not require exhaustive analysis, but only what is reasonably feasible. Agencies deserve deference for their factual determinations regarding what type of analysis is reasonably feasible. On the other hand, if a commenter requests more information, and the lead agency declines to provide it but does *not* determine that the

¹⁵ The substantial evidence standard recognizes that the courts "have neither the resources nor the scientific expertise" to weigh conflicting evidence on technical issues. (*Laurel Heights I, supra*, 47 Cal.3d 376, 393.)

requested study or analysis would be infeasible, misleading or uninformative, the question becomes whether the omission of that analysis renders the EIR inadequate to satisfy CEQA's informational purposes. (*Id.* at pp. 1370-71.) Again, this is predominantly a question of law and should be judged by the de novo or independent judgment standard of review. Of course, this Court has recognized that a "project opponent or reviewing court can always imagine some additional study or analysis that might provide helpful information. It is not for them to design the EIR. That further study...might be helpful does not make it necessary." (*Laurel Heights I, supra*, 47 Cal.3d 376, 415 – see also CEQA Guidelines § 15204(a) [CEQA "does not require a lead agency to conduct every test. . . recommended or demanded by commenters."].) Courts, then, must adjudicate whether an omission of particular information renders an EIR inadequate to serve CEQA's informational purposes.¹⁶

¹⁶ We recognize that there is case law stating that the substantial evidence standard applies to "challenges to the scope of an EIR's analysis of a topic" as well as the methodology used and the accuracy of the data relied on in the document "because these types of challenges involve factual questions." (*Bakersfield Citizens for Local Control v. City of Bakersfield, supra*, 124 Cal.App.4th 1184, 1198, and cases relied on therein.) However, we interpret this language to refer to situations where the question of the scope of the analysis really is factual—that is, where it involves whether further analysis is feasible, as discussed above. This interpretation is supported by the fact that the *Bakersfield* court expressly rejected an argument that a claimed "omission of information from the EIR should be treated as inquiries whether there is substantial evidence supporting the decision approving the project." *Bakersfield, supra*, 124 Cal.App.4th at p. 1208. And the *Bakersfield* court ultimately decided that the lead agency must analyze the connection between the identified air pollution impacts and resulting health impacts, even though the EIR already included some discussion of air-pollution-related respiratory illnesses. *Bakersfield, supra*, 124 Cal.App.4th at p. 1220. Therefore, the court must not have interpreted this question as one of the "scope of the analysis" to be judged by the substantial evidence standard.

B. Friant Ranch's Rationale for Rejecting the Independent Judgment Standard of Review is Unsupported by Case Law.

In its brief, Friant Ranch makes a distinction between cases where a required CEQA topic is not discussed at all (to be reviewed by independent judgment as a failure to proceed in the manner required by law) and cases where a topic is discussed, but the commenter claims the information provided is insufficient (to be judged by the substantial evidence test). (Opening Brief, pp. 13-17.) The Court of Appeal recognized these two types of cases, but concluded that both raised questions of law. (*Sierra Club v. County of Fresno* (2014) 226 Cal.App.4th 704 (superseded by grant of review) 172 Cal.Rptr.3d 271, 290.) We believe the distinction drawn by Friant Ranch is unduly narrow, and inconsistent with cases which have concluded that CEQA documents are insufficient. In many instances, CEQA's requirements are stated broadly, and the courts must interpret the law to determine what level of analysis satisfies CEQA's mandate for providing meaningful information, even though the EIR discusses the issue to some extent.

For example, the CEQA Guidelines require discussion of the existing environmental baseline. In *County of Amador v. El Dorado County Water Agency* (1999) 76 Cal.App.4th 931, 954-955, the lead agency had discussed the environmental baseline by describing historic month-end water levels in the affected lakes. However, the court held that this was not an adequate baseline discussion because it failed to discuss the timing and amounts of past actual water releases, to allow comparison with the proposed project. The court evidently applied the independent judgment test to its decision, even though the agency discussed the issue to some extent.

Likewise, in *Vineyard Area Citizens* (2007) 40 Cal.4th 412, this Court addressed the question of whether an EIR's analysis of water supply impacts complied with CEQA. The parties agreed that the EIR was required to analyze the effects of providing water to the development project, "and that in order to do so the EIR had, in some manner, to identify the planned sources of that water." (*Vineyard Area Citizens, supra*, at p. 428.) However, the parties disagreed as to the level of detail required for this analysis and "what level of uncertainty regarding the availability of water supplies can be tolerated in an EIR" (*Id.*) In other words, the EIR had analyzed water supply impacts for the project, but the petitioner claimed that the analysis was insufficient.

This Court noted that neither CEQA's statutory language or the CEQA Guidelines specifically addressed the question of how precisely an EIR must discuss water supply impacts. (*Id.*) However, it explained that CEQA "states that '[w]hile foreseeing the unforeseeable is not possible, an agency must use its best efforts to find out and disclose all that it reasonably can.'" (*Id.*, [Guidelines § 15144].) The Court used this general principle, along with prior precedent, to elucidate four "principles for analytical adequacy" that are necessary in order to satisfy "CEQA's informational purposes." (*Vineyard Area Citizens, supra*, at p. 430.) The Court did not defer to the agency's determination that the EIR's analysis of water supply impacts was sufficient. Rather, this Court used its independent judgment to determine for itself the level of analysis required to satisfy CEQA's fundamental purposes. (*Vineyard Area Citizens, supra*, at p. 441: an EIR does not serve its purposes where it neglects to explain likely sources of water and "... leaves long term water supply considerations to later stages of the project.")

Similarly, the CEQA Guidelines require an analysis of noise impacts of the project. (Appendix G, “Environmental Checklist Form.”¹⁷) In *Gray v. County of Madera* (2008) 167 Cal.App.4th 1099, 1123, the court held that the lead agency’s noise impact analysis was inadequate even though it had addressed the issue and concluded that the increase would not be noticeable. If the court had been using the substantial evidence standard, it likely would have upheld this discussion.

Therefore, we do not agree that the issue can be resolved on the basis suggested by Friant Ranch, which would apply the substantial evidence standard to *every* challenge to an analysis that addresses a required CEQA topic. This interpretation would subvert the courts’ proper role in interpreting CEQA and determining what the law requires.

Nor do we agree that the Court of Appeal in this case violated CEQA’s prohibition on courts interpreting its provisions “in a manner which imposes procedural or substantive requirements beyond those explicitly stated in this division or in the state guidelines.” (Pub. Resources Code § 21083.1.) CEQA requires an EIR to describe *all* significant impacts of the project on the environment. (Pub. Resources Code § 21100(b)(2); *Vineyard Area Citizens, supra*, at p. 428.) Human beings are part of the environment, so CEQA requires EIRs to discuss a project’s significant impacts on human health. However, except in certain particular circumstances,¹⁸ neither the CEQA statute nor Guidelines specify the precise level of analysis that agencies must undertake to satisfy the law’s requirements. (see, e.g., CEQA Guidelines § 15126.2(a) [EIRs must describe “health and safety problems caused by {a project’s} physical changes”].) Accordingly, courts must interpret CEQA as a whole to

¹⁷ Association of Environmental Professionals, 2015 CEQA Statute and Guidelines (2015) p.287.

¹⁸ E.g., Pub. Resources Code § 21151.8(C)(3)(B)(iii) (requiring specific type of health risk analysis for siting schools).

determine whether a particular EIR is sufficient as an informational document. A court determining whether an EIR's discussion of human health impacts is legally sufficient does not constitute imposing a new substantive requirement.¹⁹ Under Friant Ranch's theory, the above-referenced cases holding a CEQA analysis inadequate would have violated the law. This is not a reasonable interpretation.

IV. COURTS MUST SCRUPULOUSLY ENFORCE THE REQUIREMENTS THAT LEAD AGENCIES CONSULT WITH AND OBTAIN COMMENTS FROM AIR DISTRICTS

Courts must "scrupulously enforce" CEQA's legislatively mandated requirements. (*Vineyard Area Citizens, supra*, 40 Cal.4th 412, 435.) Case law has firmly established that lead agencies must consult with the relevant air pollution control district before conducting an initial study, and must provide the districts with notice of the intention to adopt a negative declaration (or EIR). (*Schenck v. County of Sonoma* (2011) 198 Cal.App.4th 949, 958.) As *Schenck* held, neither publishing the notice nor providing it to the State Clearinghouse was a sufficient substitute for sending notice directly to the air district. (*Id.*) Rather, courts "must be satisfied that [administrative] agencies have fully complied with the procedural requirements of CEQA, since only in this way can the important public purposes of CEQA be protected from subversion." *Schenck*, 198 Cal.App.4th at p. 959 (citations omitted).²⁰

¹⁹ We submit that Public Resources Code Section 21083.1 was intended to prevent courts from, for example, holding that an agency must analyze economic impacts of a project where there are no resulting environmental impacts (see CEQA Guidelines § 15131), or imposing new procedural requirements, such as imposing additional public notice requirements not set forth in CEQA or the Guidelines.

²⁰ Lead agencies must consult air districts, as public agencies with jurisdiction by law over resources affected by the project, *before* releasing an EIR. (Pub. Resources Code §§ 21104(a); 21153.) Moreover, air

Lead agencies should be aware, therefore, that failure to properly seek and consider input from the relevant air district constitutes legal error which may jeopardize their project approvals. For example, the court in *Fall River Wild Trout Foundation v. County of Shasta*, (1999) 70 Cal.App.4th 482, 492 held that the failure to give notice to a trustee agency (Department of Fish and Game) was prejudicial error requiring reversal. The court explained that the lack of notice prevented the Department from providing any response to the CEQA document. (*Id.* at p. 492.) It therefore prevented relevant information from being presented to the lead agency, which was prejudicial error because it precluded informed decision-making. (*Id.*)²¹

districts should be considered “state agencies” for purposes of the requirement to consult with “trustee agencies” as set forth in Public Resources Code § 20180.3(a). This Court has long ago held that the districts are not mere “local agencies” whose regulations are superseded by those of a state agency regarding matters of statewide concern, but rather have concurrent jurisdiction over such issues. (*Orange County Air Pollution Control District v. Public Util. Com.* (1971) 4 Cal.3d 945, 951, 954.) Since air pollution is a matter of statewide concern, *Id.* at 952, air districts should be entitled to trustee agency status in order to ensure that this vital concern is adequately protected during the CEQA process.

²¹ In *Schenck*, the court concluded that failure to give notice to the air district was not prejudicial, but this was partly because the trial court had already corrected the error before the case arrived at the Court of Appeal. The trial court issued a writ of mandate requiring the lead agency to give notice to the air district. The air district responded by concurring with the lead agency that air impacts were not significant. (*Schenck*, 198 Cal.App.4th 949, 960.) We disagree with the *Schenck* court that the failure to give notice to the air district would not have been prejudicial (even in the absence of the trial court writ) merely because the lead agency purported to follow the air district’s published CEQA guidelines for significance. (*Id.*, 198 Cal.App.4th at p. 960.) In the first place, absent notice to the air district, it is uncertain whether the lead agency properly followed those guidelines. Moreover, it is not realistic to expect that an air district’s published guidelines would necessarily fully address all possible air-quality related issues that can arise with a CEQA project, or that those

Similarly, lead agencies must obtain additional information requested by expert agencies, including those with jurisdiction by law, if that information is necessary to determine a project's impacts. (*Sierra Club v. State Bd. Of Forestry* (1994) 7 Cal.4th 1215, 1236-37.) Approving a project without obtaining that information constitutes a failure to proceed in the manner prescribed by CEQA. (*Id.* at p. 1236.)

Moreover, a lead agency can save significant time and money by consulting with the air district early in the process. For example, the lead agency can learn what the air district recommends as an appropriate analysis on the facts of its case, including what kinds of health impacts analysis may be available, and what models are appropriate for use. This saves the lead agency from the need to do its analysis all over again and possibly needing to recirculate the document after errors are corrected, if new significant impacts are identified. (CEQA Guidelines § 15088.5(a).) At the same time, the air district's expert input can help the lead agency properly determine whether another commenter's request for additional analysis or studies is reasonable or feasible. Finally, the air district can provide input on what mitigation measures would be feasible and effective.

Therefore, we suggest that this Court provide guidance to lead agencies reminding them of the importance of consulting with the relevant air districts regarding these issues. Otherwise, their feasibility decisions may be vulnerable to air district evidence that establishes that there is no substantial evidence to support the lead agency decision not to provide specific analysis. (*See Berkeley Keep Jets Over the Bay, supra*, 91 Cal.App.4th 1344, 1369-1371.)

guidelines would necessarily be continually modified to reflect new developments. Therefore we believe that, had the trial court not already ordered the lead agency to obtain the air district's views, the failure to give notice would have been prejudicial, as in *Fall River, supra*, 70 Cal.App.4th 482, 492.

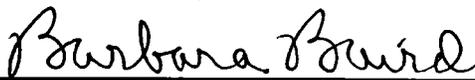
CONCLUSION

The SCAQMD respectfully requests this Court *not* to establish a hard-and-fast rule concerning whether CEQA requires a lead agency to correlate identified air quality impacts of a project with resulting health outcomes. Moreover, the question of whether an EIR is “sufficient as an informational document” is a mixed question of fact and law containing two levels of inquiry. Whether a particular proposed analysis is feasible is predominantly a question of fact to be judged by the substantial evidence standard of review. Where the requested analysis is feasible, but the lead agency relies on legal or policy reasons not to provide it, the question of whether the EIR is nevertheless sufficient as an informational document is predominantly a question of law to be judged by the independent judgment standard of review.

Respectfully submitted,

DATED: April 3, 2015

SOUTH COAST AIR QUALITY
MANAGEMENT DISTRICT
KURT R. WIESE, GENERAL COUNSEL
BARBARA BAIRD, CHIEF DEPUTY COUNSEL

By: 
Barbara Baird

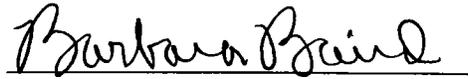
Attorneys for Amicus Curiae
SOUTH COAST AIR QUALITY MANAGEMENT DISTRICT

CERTIFICATE OF WORD COUNT

Pursuant to Rule 8.520(c)(1) of the California Rules of Court, I hereby certify that this brief contains 8,476 words, including footnotes, but excluding the Application, Table of Contents, Table of Authorities, Certificate of Service, this Certificate of Word Count, and signature blocks. I have relied on the word count of the Microsoft Word Vista program used to prepare this Certificate.

DATED: April 3, 2015

Respectfully submitted,


Barbara Baird

PROOF OF SERVICE

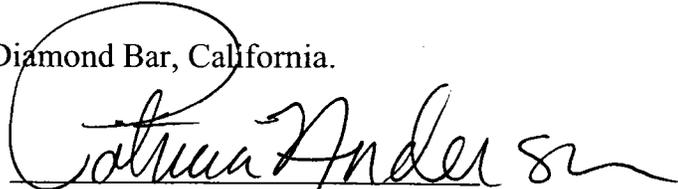
I am employed in the County of Los Angeles, California. I am over the age of 18 years and not a party to the within action. My business address is 21865 Copley Drive, Diamond Bar, California 91765.

On April 3, 2015 I served true copies of the following document(s) described as **APPLICATION OF THE SOUTH COAST AIR QUALITY MANAGEMENT DISTRICT FOR LEAVE TO FILE BRIEF OF *AMICUS CURIAE* IN SUPPORT OF NEITHER PARTY AND [PROPOSED] BRIEF OF *AMICUS CURIAE*** by placing a true copy of the foregoing document(s) in a sealed envelope addressed as set forth on the attached service list as follows:

BY MAIL: I enclosed the document(s) in a sealed envelope or package addressed to the persons at the addresses listed in the Service List and placed the envelope for collection and mailing following our ordinary business practices. I am readily familiar with this District's practice for collection and processing of correspondence for mailing. Under that practice, the correspondence would be deposited with the United States Postal Service, with postage thereon fully prepaid at Diamond Bar, California, in the ordinary course of business. I am aware that on motion of the party served, service is presumed invalid if postal cancellation date or postage meter date is more than one day after date of deposit for mailing in affidavit.

I declare under penalty of perjury under the laws of the State of California that the foregoing is true and correct.

Executed on April 3, 2015 at Diamond Bar, California.


Patricia Anderson

SERVICE LIST

James G. Moose, Tiffany K. Wright,
Laura M. Harris
REMY MOOSE MANLEY, LLP
555 Capitol Mall, Suite 800
Sacramento, CA 95814

Attorneys for Real Party in
Interest and Respondent *Friant
Ranch, L.P.*

Bryan N. Wagner
WAGNER & WAGNER
7110 N. Fresno St, Suite 340
Fresno, CA 93720

Attorney for Real Party in Interest
and Respondent *Friant Ranch,
L.P.*

Sara Hedgpeth-Harris
LAW OFFICE OF SARA
HEDGPETH-HARRIS
5445 E. Lane Avenue
Fresno, CA 93727

Attorney for Plaintiffs and
Appellants *Sierra Club, et al*

Daniel C. Cederborg
Bruce B. Johnson, Jr.
Zachary Stephen Redmond
OFFICE OF THE FRESNO COUNTY
COUNSEL
2220 Tulare Street, Suite 500
Fresno, CA 93721

Attorneys for Respondents
County of Fresno

Clerk of the Court
California Court of Appeal
Fifth Appellate District
2424 Ventura Street
Fresno, CA 93721
(via U.S. Mail & Electronic Transmission)

Clerk of the Court
Superior Court of California
County of Fresno
1130 O Street
Fresno, CA 93721

SJVAPCD

SIERRA CLUB v. COUNTY OF FRESNO

AMICUS BRIEF

SUPREME COURT COPY

CASE NO. S219783

IN THE SUPREME COURT OF CALIFORNIA

SIERRA CLUB, REVIVE THE SAN JOAQUIN, and
LEAGUE OF WOMEN VOTERS OF FRESNO,
Plaintiffs and Appellants

v.

COUNTY OF FRESNO,
Defendant and Respondent

FRIANT RANCH, L.P.,
Real Party in Interest and Respondent

SUPREME COURT
FILED

APR 13 2015

Frank A. McGuire, Clerk
Deputy

After a Decision by the Court of Appeal, filed May 27, 2014
Fifth Appellate District Case No. F066798

Appeal from the Superior Court of California, County of Fresno
Case No. 11CECG00726

**APPLICATION FOR LEAVE TO FILE AMICUS CURIAE BRIEF OF
SAN JOAQUIN VALLEY UNIFIED AIR POLLUTION CONTROL DISTRICT IN
SUPPORT OF DEFENDANT AND RESPONDENT, COUNTY OF FRESNO AND
REAL PARTY IN INTEREST AND RESPONDENT, FRIANT RANCH, L.P.**

CATHERINE T. REDMOND (State Bar No. 226957)
261 High Street
Duxbury, Massachusetts 02332
Tel. (339) 236-5720
Catherineredmond22@gmail.com

SAN JOAQUIN VALLEY UNIFIED AIR POLLUTION CONTROL DISTRICT
Annette Ballatore-Williamson, District Counsel (State Bar. No. 192176)
1990 E. Gettysburg Avenue
Fresno, California 93726
Tel. (559) 230-6033
Annette.Ballatore-Williamson@valleyair.org

Counsel for San Joaquin Valley Unified Air Pollution Control District

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CATHERINE T. REDMOND (State Bar No. 226957)
261 High Street
Duxbury, Massachusetts 02332
Tel. (339) 236-5720
Catherinetredmond22@gmail.com

SAN JOAQUIN VALLEY UNIFIED AIR POLLUTION CONTROL DISTRICT
Annette Ballatore-Williamson, District Counsel (State Bar. No. 192176)
1990 E. Gettysburg Avenue
Fresno, California 93726
Tel. (559) 230-6033
Annette.Ballatore-Williamson@valleyair.org

Counsel for San Joaquin Valley Unified Air Pollution Control District

APPLICATION

Pursuant to California Rules of Court 8.520(f)(1), proposed Amicus Curiae San Joaquin Valley Unified Air Pollution Control District hereby requests permission from the Chief Justice to file an amicus brief in support of Defendant and Respondent, County of Fresno, and Defendant and Real Parties in Interest Friant Ranch, L.P. Pursuant to Rule 8.520(f)(5) of the California Rules of Court, the proposed amicus curiae brief is combined with this Application. The brief addresses the following issue certified by this Court for review:

Is an EIR adequate when it identifies the health impacts of air pollution and quantifies a project's expected emissions, or does CEQA further require the EIR to *correlate* a project's air quality emissions to specific health impacts?

As of the date of this filing, the deadline for the final reply brief on the merits was March 5, 2015. Accordingly, under Rule 8.520(f)(2), this application and brief are timely.

1. Background and Interest of San Joaquin Valley Unified Air Pollution Control District

The San Joaquin Valley Unified Air Pollution Control District ("Air District") regulates air quality in the eight counties comprising the San Joaquin Valley ("Central Valley"): Kern, Tulare, Madera, Fresno, Merced, San Joaquin, Stanislaus, and Kings, and is primarily responsible for attaining air quality standards within its jurisdiction. After billions of dollars of investment by Central Valley businesses, pioneering air quality regulations, and consistent efforts by residents, the Central Valley air basin has made historic improvements in air quality.

The Central Valley's geographical, topographical and meteorological features create exceptionally challenging air quality

conditions. For example, it receives air pollution transported from the San Francisco Bay Area and northern Central Valley communities, and the southern portion of the Central Valley includes three mountain ranges (Sierra, Tehachapi, and Coastal) that, under some meteorological conditions, effectively trap air pollution. Central Valley air pollution is only a fraction of what the Bay Area and Los Angeles produce, but these natural conditions result in air quality conditions that are only marginally better than Los Angeles, even though about ten times more pollution is emitted in the Los Angeles region. Bay Area air quality is much better than the Central Valley's, even though the Bay Area produces about six times more pollution. The Central Valley also receives air pollution transported from the Bay Area and northern counties in the Central Valley, including Sacramento, and transboundary anthropogenic ozone from as far away as China.

Notwithstanding these challenges, the Central Valley has reduced emissions at the same or better rate than other areas in California and has achieved unparalleled milestones in protecting public health and the environment:

- In the last decade, the Central Valley became the first air basin classified by the federal government under the Clean Air Act as a “serious nonattainment” area to come into attainment of health-based National Ambient Air Quality Standard (“NAAQS”) for coarse particulate matter (PM10), an achievement made even more notable given the Valley’s extensive agricultural sector. Unhealthy levels of particulate matter can cause and exacerbate a range of chronic and acute illnesses.
- In 2013, the Central Valley became the first air basin in the country to improve from a federal designation of “extreme” nonattainment to

actually attain (and quality for an attainment designation) of the 1-hour ozone NAAQS; ozone creates “smog” and, like PM10, causes adverse health impacts.

- The Central Valley also is in full attainment of federal standards for lead, nitrogen dioxide, sulfur dioxide, and carbon monoxide.
- The Central Valley continues to make progress toward compliance with its last two attainment standards, with the number of exceedences for the 8-hour ozone NAAQS reduced by 74% (for the 1997 standard) and 38% (for the 2008 standard) since 1991, and for the small particulate matter (PM2.5) NAAQS reduced by 85% (for the 1997 standard) and 61% (for the 2006 standard).

Sustained improvement in Central Valley air quality requires a rigorous and comprehensive regulatory framework that includes prohibitions (e.g., on wood-burning fireplaces in new residences), mandates (e.g., requiring the installation of best available pollution reduction technologies on new and modified equipment and industrial operations), innovations (e.g., fees assessed against residential development to fund pollution reduction actions to “offset” vehicular emissions associated with new residences), incentive programs (e.g., funding replacements of older, more polluting heavy duty trucks and school buses)¹, ongoing planning for continued air quality improvements, and enforcement of Air District permits and regulations.

The Air District is also an expert air quality agency for the eight counties and cities in the San Joaquin Valley. In that capacity, the Air District has developed air quality emission guidelines for use by the Central

¹ San Joaquin’s incentive program has been so successful that through 2012, it has awarded over \$ 432 million in incentive funds and has achieved 93,349 tons of lifetime emissions reductions. See SAN JOAQUIN VALLEY AIR POLLUTION CONTROL DISTRICT, 2012 PM2.5 PLAN, 6-6 (2012) available at <http://www.valleyair.org/Workshops/postings/2012/12-20-12PM25/FinalVersion/06%20Chapter%206%20Incentives.pdf>.

Valley counties and cities that implement the California Environment Quality Act (CEQA).² In its guidance, the Air District has distinguished between toxic air contaminants and criteria air pollutants.³ Recognizing this distinction, the Air District's CEQA Guidance has adopted distinct thresholds of significance for *criteria* pollutants (i.e., ozone, PM2.5 and their respective precursor pollutants) based upon scientific and factual data which demonstrates the level that can be accommodated on a cumulative basis in the San Joaquin Valley without affecting the attainment of the applicable NAAQS.⁴ For *toxic air* pollutants, the District has adopted different thresholds of significance which scientific and factual data demonstrates has the potential to expose sensitive receptors (i.e., children, the elderly) to levels which may result in localized health impacts.⁵

The Air District's CEQA Guidance was followed by the County of Fresno in its environment review of the Friant Ranch project, for which the Air District also served as a commenting agency. The Court of Appeal's holding, however, requiring correlation between the project's criteria

² See, e.g., SAN JOAQUIN VALLEY AIR POLLUTION CONTROL DISTRICT, PLANNING DIVISION, GUIDE FOR ASSESSING AND MITIGATING AIR QUALITY IMPACTS (2015), available at http://www.valleyair.org/transportation/GAMAQI_3-19-15.pdf ("CEQA Guidance").

³ Toxic air contaminants, also known as hazardous air pollutants, are those pollutants that are known or suspected to cause cancer or other serious health effects, such as birth defects. There are currently 189 toxic air contaminants regulated by the United States Environmental Protection Agency ("EPA") and the states pursuant to the Clean Air Act. 42 U.S.C. § 7412. Common TACs include benzene, perchloroethylene and asbestos. *Id.* at 7412(b).

In contrast, there are only six (6) criteria air pollutants: ozone, particulate matter, carbon monoxide, nitrogen oxides, sulfur dioxide and lead. Although criteria air pollutants can also be harmful to human health, they are distinguishable from toxic air contaminants and are regulated separately. For instance, while criteria pollutants are regulated by numerous sections throughout Title I of the Clean Air Act, the regulation of toxic air contaminants occurs solely under section 112 of the Act. Compare 42 U.S.C. §§ 7407 – 7411 & 7501 – 7515 with 42 U.S.C. § 7411.

⁴ See, e.g., CEQA Guidance at http://www.valleyair.org/transportation/GAMAQI_3-19-15.pdf, pp. 64-66, 80.

⁵ See, e.g., CEQA Guidance at http://www.valleyair.org/transportation/GAMAQI_3-19-15.pdf, pp. 66, 99-101.

pollutants and local health impacts, departs from the Air District's Guidance and approved methodology for assessing criteria pollutants. A close reading of the administrative record that gave rise to this issue demonstrates that the Court's holding is based on a misunderstanding of the distinction between toxic air contaminants (for which a local health risk assessment is feasible and routinely performed) and criteria air pollutants (for which a local health risk assessment is not feasible and would result in speculative results).⁶ The Air District has a direct interest in ensuring the lawfulness and consistent application of its CEQA Guidance, and will explain how the Court of Appeal departed from the Air District's long-standing CEQA Guidance in addressing criteria pollutants and toxic air contaminants in this amicus brief.

2. How the Proposed Amicus Curiae Brief Will Assist the Court

As counsel for the proposed amicus curiae, we have reviewed the briefs filed in this action. In addition to serving as a "commentary agency" for CEQA purposes over the Friant Ranch project, the Air District has a strong interest in assuring that CEQA is used for its intended purpose, and believes that this Court would benefit from additional briefing explaining the distinction between criteria pollutants and toxic air contaminants and the different methodologies employed by local air pollution control agencies such as the Air District to analyze these two categories of air pollutants under CEQA. The Air District will also explain how the Court of Appeal's opinion is based upon a fundamental misunderstanding of these two different approaches by requiring the County of Fresno to correlate the project's *criteria* pollution emissions with *local* health impacts. In doing

⁶ CEQA does not require speculation. *See, e.g., Laurel Heights Improvement Ass'n v. Regents of Univ. of Cal.*, 6 Cal. 4th 1112, 1137 (1993) (upholding EIR that failed to evaluate cumulative toxic air emission increases given absence of any acceptable means for doing so).

so, the Air District will provide helpful analysis to support its position that at least insofar as criteria pollutants are concerned, CEQA does not require an EIR to correlate a project's air quality emissions to specific health impacts, because such an analysis is not reasonably feasible.

Rule 8.520 Disclosure

Pursuant to Cal. R. 8.520(f)(4), neither the Plaintiffs nor the Defendant or Real Party In Interest or their respective counsel authored this brief in whole or in part. Neither the Plaintiffs nor the Defendant or Real Party in Interest or their respective counsel made any monetary contribution towards or in support of the preparation of this brief.

CONCLUSION

On behalf of the San Joaquin Valley Unified Air Pollution Control District, we respectfully request that this Court accept the filing of the attached brief.

Dated: April 2, 2015



Annette A. Ballatore-Williamson
District Counsel
Attorney for Proposed Amicus Curiae

SAN JOAQUIN VALLEY UNIFIED
AIR POLLUTION CONTROL
DISTRICT

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CATHERINE T. REDMOND (State Bar No. 226957)
261 High Street
Duxbury, Massachusetts 02332
Tel. (339) 236-5720
Catherineredmond22@gmail.com

SAN JOAQUIN VALLEY UNIFIED AIR POLLUTION CONTROL DISTRICT
Annette A. Ballatore-Williamson, District Counsel (State Bar. No. 192176)
1990 E. Gettysburg Avenue
Fresno, California 93726
Tel. (559) 230-6033
Annette.Ballatore-Williamson@valleyair.org
Counsel for San Joaquin Valley Unified Air Pollution Control District

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I. INTRODUCTION.

The San Joaquin Valley Unified Air Pollution Control District (“Air District”) respectfully submits that the Court of Appeal erred when it held that the air quality analysis contained in the Environmental Impact Report (“EIR”) for the Friant Ranch development project was inadequate under the California Environmental Quality Act (“CEQA”) because it did not include an analysis of the correlation between the project’s criteria air pollutants and the potential adverse human health impacts. A close reading of the portion of the administrative record that gave rise to this issue demonstrates that the Court’s holding is based on a misunderstanding of the distinction between toxic air contaminants and criteria air pollutants.

Toxic air contaminants, also known as hazardous air pollutants, are those pollutants that are known or suspected to cause cancer or other serious health effects, such as birth defects. There are currently 189 toxic air contaminants (hereinafter referred to as “TACs”) regulated by the United States Environmental Protection Agency (“EPA”) and the states pursuant to the Clean Air Act. 42 U.S.C. § 7412. Common TACs include benzene, perchloroethylene and asbestos. *Id.* at 7412(b).

In contrast, there are only six (6) criteria air pollutants: ozone, particulate matter, carbon monoxide, nitrogen oxides, sulfur dioxide and lead. Although criteria air pollutants can also be harmful to human health,

they are distinguishable from TACs and are regulated separately. For instance, while criteria pollutants are regulated by numerous sections throughout Title I of the Clean Air Act, the regulation of TACs occurs solely under section 112 of the Act. *Compare* 42 U.S.C. §§ 7407 – 7411 & 7501 – 7515 *with* 42 U.S.C. § 7411.

The most relevant difference between criteria pollutants and TACs for purposes of this case is the manner in which human health impacts are accounted for. While it is common practice to analyze the correlation between an individual facility's TAC emissions and the expected localized human health impacts, such is not the case for criteria pollutants. Instead, the human health impacts associated with criteria air pollutants are analyzed and taken into consideration when EPA sets the national ambient air quality standard ("NAAQS") for each criteria pollutant. 42 U.S.C. § 7409(b)(1). The health impact of a particular criteria pollutant is analyzed on a regional and not a facility level based on how close the area is to complying with (attaining) the NAAQS. Accordingly, while the type of individual facility / health impact analysis that the Court of Appeal has required is a customary practice for TACs, it is not feasible to conduct a similar analysis for criteria air pollutants because currently available computer modeling tools are not equipped for this task.

It is clear from a reading of both the administrative record and the Court of Appeal's decision that the Court did not have the expertise to fully

appreciate the difference between TACs and criteria air pollutants. As a result, the Court has ordered the County of Fresno to conduct an analysis that is not practicable and not likely yield valid information. The Air District respectfully requests that this portion of the Court of Appeal's decision be reversed.

II. THE COURT OF APPEAL ERRED IN FINDING THE FRIANT RANCH EIR INADEQUATE FOR FAILING TO ANALYZE THE SPECIFIC HUMAN HEALTH IMPACTS ASSOCIATED CRITERIA AIR POLLUTANTS.

Although the Air District does not take lightly the amount of air emissions at issue in this case, it submits that the Court of Appeal got it wrong when it required Fresno County to revise the Friant Ranch EIR to include an analysis correlating the criteria air pollutant emissions associated with the project with specific, localized health-impacts. The type of analysis the Court of Appeal has required will not yield reliable information because currently available modeling tools are not well suited for this task. Further, in reviewing this issue de novo, the Court of Appeal failed to appreciate that it lacked the scientific expertise to appreciate the significant differences between a health risk assessment commonly performed for toxic air contaminants and a similar type of analysis it felt should have been conducted for criteria air pollutants.

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A. Currently Available Modeling Tools are not Equipped to Provide a Meaningful Analysis of the Correlation between an Individual Development Project's Air Emissions and Specific Human Health Impacts.

In order to appreciate the problematic nature of the Court of Appeals' decision requiring a health risk type analysis for criteria air pollutants, it is important to understand how the relevant criteria pollutants (ozone and particulate matter) are formed, dispersed and regulated.

Ground level ozone (smog) is not directly emitted into the air, but is formed when precursor pollutants such as oxides of nitrogen (NOx) and volatile organic compounds (VOCs) are emitted into the atmosphere and undergo complex chemical reactions in the process of sunlight.¹ Once formed, ozone can be transported long distances by wind.² Because of the complexity of ozone formation, a specific tonnage amount of NOx or VOCs emitted in a particular area does not equate to a particular concentration of ozone in that area. In fact, even rural areas that have relatively low tonnages of emissions of NOx or VOCs can have high levels of ozone concentration simply due to wind transport.³ Conversely, the San Francisco Bay Area has six times more NOx and VOC emissions per square mile than the San Joaquin Valley, but experiences lower

¹ See United States Environmental Protection Agency, *Ground-level Ozone: Basic Information*, available at: <http://www.epa.gov/airquality/ozonepollution/basic.html> (visited March 10, 2015).

² *Id.*

³ *Id.*

concentrations of ozone (and better air quality) simply because sea breezes disperse the emissions.⁴

Particulate matter (“PM”) can be divided into two categories: directly emitted PM and secondary PM.⁵ While directly emitted PM can have a localized impact, the tonnage emitted does not always equate to the local PM concentration because it can be transported long distances by wind.⁶ Secondary PM, like ozone, is formed via complex chemical reactions in the atmosphere between precursor chemicals such as sulfur dioxides (SO_x) and NO_x.⁷ Because of the complexity of secondary PM formation, the tonnage of PM-forming precursor emissions in an area does not necessarily result in an equivalent concentration of secondary PM in that area.

The disconnect between the *tonnage* of precursor pollutants (NO_x, SO_x and VOCs) and the *concentration* of ozone or PM formed is important because it is not necessarily the tonnage of precursor pollutants that causes human health effects, but the concentration of resulting ozone or PM. Indeed, the national ambient air quality standards (“NAAQS”), which are statutorily required to be set by the United States Environmental Protection

⁴ *San Joaquin Valley Air Pollution Control District 2007 Ozone Plan*, Executive Summary p. ES-6, available at: http://www.valleyair.org/Air_Quality_Plans/docs/AQ_Ozone_2007_Adopted/03%20Executive%20Summary.pdf (visited March 10, 2015).

⁵ United States Environmental Protection Agency, *Particulate Matter: Basic Information*, available at: <http://www.epa.gov/airquality/particlepollution/basic.html> (visited March 10, 2015).

⁶ *Id.*

⁷ *Id.*

Agency (“EPA”) at levels that are “requisite to protect the public health,” 42 U.S.C. § 7409(b)(1), are established as concentrations of ozone or particulate matter and not as tonnages of their precursor pollutants.⁸

Attainment of a particular NAAQS occurs when the concentration of the relevant pollutant remains below a set threshold on a consistent basis throughout a particular region. For example, the San Joaquin Valley attained the 1-hour ozone NAAQS when ozone concentrations remained at or below 0.124 parts per million Valley-wide on 3 or fewer days over a 3-year period.⁹ Because the NAAQS are focused on achieving a particular concentration of pollution region-wide, the Air District’s tools and plans for attaining the NAAQS are regional in nature.

For instance, the computer models used to simulate and predict an attainment date for the ozone or particulate matter NAAQS in the San Joaquin Valley are based on regional inputs, such as regional inventories of precursor pollutants (NO_x, SO_x and VOCs) and the atmospheric chemistry and meteorology of the Valley.¹⁰ At a very basic level, the models simulate future ozone or PM levels based on predicted changes in precursor

⁸ See, e.g., United States Environmental Protection Agency, *Table of National Ambient Air Quality Standards*, available at: <http://www.epa.gov/air/criteria.html#3> (visited March 10, 2015).

⁹ *San Joaquin Valley Unified Air Pollution Control District 2013 Plan for the Revoked 1-Hour Ozone Standard*, Ch. 2 p. 2-16, available at: http://www.valleyair.org/Air_Quality_Plans/OzoneOneHourPlan2013/02Chapter2ScienceTrendsModeling.pdf (visited March 10, 2015).

¹⁰ *Id.* at Ch. 2 p. 2-19 (visited March 12, 2015); *San Joaquin Valley Unified Air Pollution Control District 2008 PM_{2.5} Plan*, Appendix F, pp. F-2 – F-5, available at: http://www.valleyair.org/Air_Quality_Plans/docs/AQ_Final_Adopted_PM2.5/20%20Appendix%20F.pdf (visited March 19, 2015).

emissions Valley wide.¹¹ Because the NAAQS are set levels necessary to protect human health, the closer a region is to attaining a particular NAAQS, the lower the human health impact is from that pollutant.

The goal of these modeling exercises is not to determine whether the emissions generated by a particular factory or development project will affect the date that the Valley attains the NAAQS. Rather, the Air District's modeling and planning strategy is regional in nature and based on the extent to which *all* of the emission-generating sources in the Valley (current and future) must be controlled in order to reach attainment.¹²

Accordingly, the Air District has based its thresholds of significance for CEQA purposes on the levels that scientific and factual data demonstrate that the Valley can accommodate without affecting the attainment date for the NAAQS.¹³ The Air District has tied its CEQA significance thresholds to the level at which stationary pollution sources permitted by the Air District must "offset" their emissions.¹⁴ This "offset"

¹¹ *Id.*

¹² Although the Air District does have a dispersion modeling tool used during its air permitting process that is used to predict whether a particular project's directly emitted PM will either cause an exceedance of the PM NAAQS or contribute to an existing exceedance, this model bases the prediction on a worst case scenario of emissions and meteorology and has no provision for predicting any associated human health impacts. Further, this analysis is only performed for stationary sources (factories, oil refineries, etc.) that are required to obtain a New Source Review permit from the Air District and not for development projects such as Friant Ranch over which the Air District has no preconstruction permitting authority. See San Joaquin Valley Unified Air Pollution Control District Rule 2201 §§ 2.0; 3.3.9; 4.14.1, available at: <http://www.valleyair.org/rules/currntrules/Rule22010411.pdf> (visited March 19, 2015).

¹³ *San Joaquin Valley Unified Air Pollution Control District Guide to Assessing and Mitigating Air Quality Impacts*, (March 19, 2015) p. 22, available at: <http://www.valleyair.org/transportation/CEQA%20Rules/GAMAQI%20Jan%202002%20Rev.pdf> (visited March 30, 2015).

¹⁴ *Id.* at pp. 22, 25.

level allows for growth while keeping the cumulative effects of all new sources at a level that will not impede attainment of the NAAQS.¹⁵ In the Valley, these thresholds are 15 tons per year of PM, and 10 tons of NOx or VOC per year. *Sierra Club, supra*, 172 Cal.Rptr.3d at 303; AR 4554. Thus, the CEQA air quality analysis for criteria pollutants is not really a localized, project-level impact analysis but one of regional, “cumulative impacts.”

Accordingly, the significance thresholds applied in the Friant Ranch EIR (15 tons per year of PM and 10 tons of NOx or VOCs) are not intended to be indicative of any localized human health impact that the project may have. While the health effects of air pollution are of primary concern to the Air District (indeed, the NAAQS are established to protect human health), the Air District is simply not equipped to analyze whether and to what extent the criteria pollutant emissions of an individual CEQA project directly impact human health in a particular area. This is true even for projects with relatively high levels of emissions of criteria pollutant precursor emissions.

For instance, according to the EIR, the Friant Ranch project is estimated to emit 109.52 tons per year of ROG (VOC), 102.19 tons per year of NOx, and 117.38 tons per year of PM. Although these levels well

¹⁵ *San Joaquin Valley Unified Air Pollution Control District Environmental Review Guidelines* (Aug. 2000) p. 4-11, available at: http://www.valleyair.org/transportation/CEQA%20Rules/ERG%20Adopted%20August%202000_.pdf (visited March 12, 2015).

exceed the Air District's CEQA significance thresholds, this does not mean that one can easily determine the concentration of ozone or PM that will be created at or near the Friant Ranch site on a particular day or month of the year, or what specific health impacts will occur. Meteorology, the presence of sunlight, and other complex chemical factors all combine to determine the ultimate concentration and location of ozone or PM. This is especially true for a project like Friant Ranch where most of the criteria pollutant emissions derive not from a single "point source," but from area wide sources (consumer products, paint, etc.) or mobile sources (cars and trucks) driving to, from and around the site.

In addition, it would be extremely difficult to model the impact on NAAQS attainment that the emissions from the Friant Ranch project may have. As discussed above, the currently available modeling tools are equipped to model the impact of *all* emission sources in the Valley on attainment. According to the most recent EPA-approved emission inventory, the NO_x inventory for the Valley is for the year 2014 is 458.2 tons per day, or 167,243 tons per year and the VOC (or ROG) inventory is 361.7 tons per day, or 132,020.5 tons per year.¹⁶ Running the photochemical grid model used for predicting ozone attainment with the

¹⁶ *San Joaquin Valley Unified Air Pollution Control District 2007 Ozone Plan*, Appendix B pp. B-6, B-9, available at: http://www.valleyair.org/Air_Quality_Plans/docs/AO_Ozone_2007_Adopted/19%20Appendix%20B%20April%202007.pdf (visited March 12, 2015).

emissions solely from the Friant Ranch project (which equate to less than one-tenth of one percent of the total NOx and VOC in the Valley) is not likely to yield valid information given the relative scale involved.

Finally, even once a model is developed to accurately ascertain local increases in concentrations of photochemical pollutants like ozone and some particulates, it remains impossible, using today's models, to correlate that increase in concentration to a specific health impact. The reason is the same: such models are designed to determine regional, population-wide health impacts, and simply are not accurate when applied at the local level.

For these reasons, it is not the norm for CEQA practitioners, including the Air District, to conduct an analysis of the localized health impacts associated with a project's criteria air pollutant emissions as part of the EIR process. When the accepted scientific method precludes a certain type of analysis, "the court cannot impose a legal standard to the contrary." *Kings County Farm Bureau v. City of Hanford* (1990) 221 Cal.App.3d 692, 717 n. 8. However, that is exactly what the Court of Appeal has done in this case. Its decision upends the way CEQA air quality analysis of criteria pollutants occurs and should be reversed.

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B. The Court of Appeal Improperly Extrapolated a Request for a Health Risk Assessment for Toxic Air Contaminants into a Requirement that the EIR contain an Analysis of Localized Health Impacts Associated with Criteria Air Pollutants.

The Court of Appeal's error in requiring the new health impact analysis for criteria air pollutants clearly stems from a misunderstanding of terms of art commonly used in the air pollution field. More specifically, the Court of Appeal (and Appellants Sierra Club et al.) appear to have confused the health risk analysis ("HRA") performed to determine the health impacts associated with a project's toxic air contaminants ("TACs"), with an analysis correlating a project's criteria air pollutants (ozone, PM and the like) with specific localized health impacts.

The first type of analysis, the HRA, is commonly performed during the Air District's stationary source permitting process for projects that emit TACs and is, thus, incorporated into the CEQA review process. An HRA is a comprehensive analysis to evaluate and predict the dispersion of TACs emitted by a project and the potential for exposure of human populations. It also assesses and quantifies both the individual and population-wide health risks associated with those levels of exposure. There is no similar analysis conducted for criteria air pollutants. Thus, the second type of analysis (required by the Court of Appeal), is not currently part of the Air District's process because, as outlined above, the health risks associated

with exposure to criteria pollutants are evaluated on a regional level based on the region's attainment of the NAAQS.

The root of this confusion between the types of analyses conducted for TACs versus criteria air pollutants appears to stem from a comment that was presented to Fresno County by the City of Fresno during the administrative process.

In its comments on the draft EIR, the City of Fresno (the only party to raise this issue) stated:

[t]he EIR must disclose the human health related effects of the Project's air pollution impacts. (CEQA Guidelines section 15126.2(a).) The EIR fails completely in this area. The EIR should be revised to disclose and determine the significance of TAC impacts, and of human health risks due to exposure to Project-related air emissions.

(AR 4602.)

In determining that the issue regarding the correlation between the Friant Ranch project's criteria air pollutants and adverse health impacts was adequately exhausted at the administrative level, the Court of Appeal improperly read the first two sentences of the City of Fresno's comment in isolation rather than in the context of the entire comment. *See Sierra Club v. County of Fresno* (2014) 172 Cal.Rptr.3d 271, 306. Although the comment first speaks generally in terms of "human health related effects" and "air pollution," it requests only that the EIR be revised to disclose "the significance of TACs" and the "human health risks due to exposure."

The language of this request in the third sentence of the comment is significant because, to an air pollution practitioner, the language would only have indicated only that a HRA for TACs was requested, and not a separate analysis of the health impacts associated with the project's criteria air pollutants. Fresno County clearly read the comment as a request to perform an HRA for TACs and limited its response accordingly. (AR 4602.)¹⁷ The Air District submits that it would have read the City's comment in the same manner as the County because the City's use of the terms "human health risks" and "TACs" signal that an HRA for TACs is being requested. Indeed, the Air District was also concerned that an HRA be conducted, but understood that it was not possible to conduct such an analysis until the project entered the phase where detailed site specific information, such as the types of emission sources and the proximity of the sources to sensitive receptors became available. (AR 4553.)¹⁸ The City of Fresno was apparently satisfied with the County's discussion of human health risks, as it did not raise the issue again when it commented on the final EIR. (AR 8944 – 8960.)

¹⁷ Appellants do not challenge the manner in which the County addressed TACs in the EIR. (Appellants' Answer Brief p. 28 fn. 7.)

¹⁸ Appellants rely on the testimony of Air District employee, Dan Barber, as support for their position that the County should have conducted an analysis correlating the project's criteria air pollutant emissions with localized health impacts. (Appellants Answer Brief pp. 10-11; 28.) However, Mr. Barber's testimony simply reinforces the Air District's concern that a risk assessment (HRA) be conducted once the actual details of the project become available. (AR 8863.) As to criteria air pollutants, Mr. Barber's comments are aimed at the Air District's concern about the amount of emissions and the fact that the emissions will make it "more difficult for Fresno County and the Valley to reach attainment which means that the health of Valley residents maybe [sic] adversely impacted." Mr. Barber says nothing about conducting a separate analysis of the localized health impacts the project's emissions may have.

The Court of Appeal's holding, which incorrectly extrapolates a request for an HRA for TACs into a new analysis of the localized health impacts of the project's criteria air pollutants, highlights two additional errors in the Court's decision.

First, the Court of Appeal's holding illustrates why the Court should have applied the deferential substantial evidence standard of review to the issue of whether the EIR's air quality analysis was sufficient. The regulation of air pollution is a technical and complex field and the Court of Appeal lacked the expertise to fully appreciate the difference between TACs and criteria air pollutants and tools available for analyzing each type of pollutant.

Second, it illustrates that the Court likely got it wrong when it held that the issue regarding the criteria pollutant / localized health impact analysis was properly exhausted during the administrative process. In order to preserve an issue for the court, '[t]he "exact issue" must have been presented to the administrative agency....' [Citation.] *Citizens for Responsible Equitable Environmental Development v. City of San Diego*, (2011) 196 Cal.App.4th 515, 527 129 Cal.Rptr.3d 512, 521; *Sierra Club v. City of Orange* (2008) 163 Cal.App.4th 523, 535, 78 Cal.Rptr.3d 1, 13. "[T]he objections must be sufficiently specific so that the agency has the

opportunity to evaluate and respond to them.’ [Citation.]” *Sierra Club v. City of Orange*, 163 Cal.App.4th at 536.¹⁹

As discussed above, the City’s comment, while specific enough to request a commonly performed HRA for TACs, provided the County with no notice that it should perform a new type of analysis correlating criteria pollutant tonnages to specific human health effects. Although the parties have not directly addressed the issue of failure to exhaust administrative remedies in their briefs, the Air District submits that the Court should consider how it affects the issues briefed by the parties since “[e]xhaustion of administrative remedies is a jurisdictional prerequisite to maintenance of a CEQA action.” *Bakersfield Citizens for Local Control v. City of Bakersfield* (2004) 124 Cal.App.4th 1184, 1199, 22 Cal.Rptr.3d 203.

III. CONCLUSION

For all of the foregoing reasons, the Air District respectfully requests that the portion of the Court of Appeal’s decision requiring an analysis correlating the localized human health impacts associated with an individual project’s criteria air pollutant emissions be reversed.

¹⁹ *Sierra Club v. City of Orange*, is illustrative here. In that case, the plaintiffs challenged an EIR approved for a large planned community on the basis that the EIR improperly broke up the various environmental impacts by separate project components or “piecemealed” the analysis in violation of CEQA. In evaluating the defense that the plaintiffs had failed to adequately raise the issue at the administrative level, the Court held that comments such as “*the use of a single document for both a project-level and a program-level EIR [is] ‘confusing’*,” and “[t]he lead agency should identify any potential adverse air quality impacts that could occur from all phases of the project and all air pollutant sources related to the project,” were too vague to fairly raise the argument of piecemealing before the agency. *Sierra Club v. City of Orange*, 163 Cal.App.4th at 537.

correlating the localized human health impacts associated with an individual project's criteria air pollutant emissions be reversed.

Respectfully submitted,

Dated: April 2, 2015



Catherine T. Redmond
Attorney for Proposed Amicus
Curiae

SAN JOAQUIN VALLEY
UNIFIED
AIR POLLUTION CONTROL
DISTRICT

CERTIFICATE OF WORD COUNT

Pursuant to Rule 8.204 of the California Rules of Court, I hereby certify that this document, based on the Word County feature of the Microsoft Word software program used to compose and print this document, contains, exclusive of caption, tables, certificate of word count, signature block and certificate of service, 3806 words.

Dated: April 2, 2015



Annette A. Ballatore-Williamson
District Counsel (SBN 192176)

Sierra Club et al, v. County of Fresno, et al
Supreme Court of California Case No.: S219783
Fifth District Court of Appeal Case No.: F066798
Fresno County Superior Court Case No.: 11CECG00726

PROOF OF SERVICE

I am over the age of 18 years and not a party to the above-captioned action; that my business address is San Joaquin Valley Unified Air Pollution Control District located at 1990 E. Gettysburg Avenue, Fresno, California 93726.

On April 2, 2015, I served the document described below:

**APPLICATION FOR LEAVE TO FILE AMICUS CURIAE BRIEF OF
SAN JOAQUIN VALLEY UNIFIED AIR POLLUTION CONTROL DISTRICT IN
SUPPORT OF DEFENDANT AND RESPONDENT, COUNTY OF FRESNO**

On all parties to this action at the following addresses and in the following manner:

PLEASE SEE ATTACHED SERVICE LIST

- (XX) **(BY MAIL)** I caused a true copy of each document(s) to be laced in a sealed envelope with first-class postage affixed and placed the envelope for collection. Mail is collected daily at my office and placed in a United State Postal Service collection box for pick-up and delivery that same day.
- () **(BY ELECTRONIC MAIL)** I caused a true and correct scanned image (.PDF file) copy to be transmitted via electronic mail transfer system in place at the San Joaquin Valley Unified Air Pollution Control District ("District"), originating from the undersigned at 1990 E. Gettysburg Avenue, Fresno, CA, to the address(es) indicated below.
- () **(BY OVERNIGHT MAIL)** I caused a true and correct copy to be delivered via Federal Express to the following person(s) or their representative at the address(es) listed below.

I declare under penalty of perjury under the laws of the State of California that the foregoing is true and correct and that I executed this document on April 2, 2015, at Fresno, California.



Esthela Soto

SERVICE LIST

Sierra Club et al, v. County of Fresno, et al

Supreme Court of California Case No.: S219783

Fifth District Court of Appeal Case No.: F066798

Fresno County Superior Court Case No.: 11CECG00726

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| <p>Sara Hedgpeth-Harris, Esq. LAW OFFICE OF SARA HEDGPETH-HARRIS 2125 Kern Street, Suite 301 Fresno, California 93721 Telephone: (559) 233-0907 Facsimile: (559) 272-6046 Email: sara.hedgpethharris@shh-law.com</p> | <p>Attorney for Plaintiffs and Appellants, Sierra Club, et al</p> |
| <p>Daniel C. Cederborg, Esq. Bruce B. Johnson, Jr., Esq. OFFICE OF THE FRESNO COUNTY COUNSEL 2220 Tulare Street, Suite 500 Fresno, California 93721 Telephone: (559) 600-3479 Facsimile: (559) 600-3480 Email: bjohnson@co.fresno.ca.us</p> | <p>Attorneys for Defendant and Respondent, County of Fresno</p> |
| <p>Bryan N. Wagner, Esq. WAGNER & WAGNER 7110 N. Fresno Street, Suite 340 Fresno, California 93720 Telephone: (559) 224-0871 Facsimile: (559) 224-0885 Email: bryan@wagnerandwagner.com</p> | <p>Attorneys for Real Party in Interest/Respondent Friant Ranch, L.P.</p> |
| <p>Clerk of the Court Superior Court of California County of Fresno 1130 'O' Street Fresno, California 93721 Telephone: (559) 457-1900</p> | |
| <p>Clerk of the Court Fifth District Court of Appeal 2424 Ventura Street Fresno, California 93721 Telephone: (559) 445-5491</p> | |

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| <p>R. Tyson Sohagim, Esq. THE SOHAGI LAW GROUP 11999 San Vicente Blvd., Suite 150 Los Angeles, California 90049 Telephone: (310) 475-5700 Facsimile: (310) 475-5707 Email: tsohagi@sohagi.com</p> | <p>Attorney for Amici Curiae; League of California Cities, and the California State Association of Counties</p> |
| <p>Marcia L. Scully, Esq. General Counsel METROPOLITAN WATER DISTRICT OF SOUTHERN CALIFORNIA Post Office Box 54153 Los Angeles, California 90054 Telephone: (213) 217-6115</p> | <p>Attorney for Amicus Curiae, The Metropolitan Water District of Southern CA</p> |
| <p>Amy Minter, Esq. CHATEN-BROWN & CARSTENS LLP 2200 Pacific Coast Highway, Suite 318 Hermosa Beach, California 90254 Telephone: (310) 798-2400 Facsimile: (310) 798-2402 Email: ACM@CBCEarthlaw.com</p> | <p>Attorney for Amici Curiae, Association of Irrigated Residents, Medical Advocates for Healthy Air, and Coalition for Clean Air</p> |
| <p>Shanda M. Beltran, Esq. General Counsel BUILDING INDUSTRY LEGAL DEFENSE FOUNDATION 17744 Sky Park Cr., Suite 170 Irvine, California 92614 Telephone: (949) 553-9500 Facsimile: (949) 769-8943 Email: sbeltran@biasec.org</p> | <p>Attorney for Amicus Curiae, Building Industry Legal Defense Foundation</p> |
| <p>Gene Talmadge, President CALIFORNIA ASSOCIATION OF ENVIRONMENTAL PROFESSIONALS 40747 Baranda Court Palm Desert, California 92260 Telephone: (760) 340-4499 Facsimile: (760) 674-2479</p> | <p>Attorney for Amicus Curiae, California Association of Environmental Professionals</p> |
| <p>Jennifer L. Hernandez, Esq. HOLLAND & KNIGHT LLP 50 California Street, Suite 2800 San Francisco, California 94111</p> | <p>On behalf of Amicus Curiae, CEQA Research Council</p> |

| | |
|---|--|
| Telephone: (415) 743-6927 Facsimile: (415) 743-6910 Email: Jennifer.hernandez@hklaw.com | |
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SMAQMD

FRIANT RANCH

INTERIM RECOMMENDATION

Background

The California Supreme Court in the case of *Sierra Club v. County of Fresno* (2018) 6 Cal. 5th 502 regarding the proposed Friant Ranch project determined the air quality analysis in the environmental impact report (EIR) was inadequate because it did not make “a reasonable effort to substantively connect the project’s air quality impacts to likely health consequences.” The Court determined that “the EIR should be revised to relate the expected adverse air quality impacts to likely health consequences or explain in meaningful detail why it is not feasible at the time of drafting to provide such an analysis.”

Need

Lead agencies and practitioners preparing documents to comply with the California Environmental Quality Act (CEQA) have requested guidance from the Sacramento Metropolitan Air Quality Management District (Sac Metro Air District) on implementing the Friant Ranch decision in the review and analysis of proposed projects in Sacramento County.

Interim Recommendation

The Sac Metro Air District does not currently have a methodology that would correlate the expected air quality emissions of projects to the likely health consequences of the increased emissions. The Sac Metro Air District is in the process of developing a methodology to assess these impacts, and anticipates releasing it in the fall of 2019. In the interim, agencies should follow the Friant Court’s advice to explain in meaningful detail why this analysis is not yet feasible.

This explanation should describe the background underlying air regulations, the regional nature of the regulatory approach, and why the approach is not amenable to project level assessments. This should include a discussion of the public health impact analyses that form the basis for the state and federal health-based pollutant concentration standards, and the application of the standards to regions that were established based upon a commonality of factors impacting air quality. Air districts, in turn, have focused on reducing regional emissions from all sectors to meet the health-based concentration standards, thereby reducing the pollutant specific health impacts for the entire population. For example, the Sac Metro Air District prepared plans to attain and maintain the ozone and particulate matter ambient air quality standards. These attainment plans include emissions inventories, air monitoring data, control measures, modeling, future pollutant-level estimates, and general health information. Attainment planning models rely on regional inputs to determine ozone and particulate matter formation and concentrations in a regional context, not a project specific context. Because of the complexity of ozone formation, the pounds or tons of emissions from a proposed project in a specific geographical location does not equate to a specific concentration of ozone formation in a given area, because in addition to emission levels, ozone formation is affected by atmospheric chemistry, geography, and weather. Secondary formation of particulate matter is very similar to the complexity of ozone formation, and localized impacts of directly emitted particulate matter do not always equate to local particulate matter concentrations due to transport of emissions. The analysis should explain that because air district attainment plans and supporting air model tools are regional in nature, they do not allow for analysis of the health impacts of specific projects on any given geographic location. More information is included in the threshold justification documents developed by the Sac Metro Air District, and available at our website at www.airquality.org.

The analysis should also discuss the current models¹ used in CEQA in air quality analyses, which, in contrast to attainment models, are designed to calculate and disclose the mass emissions expected from the construction and operation of a proposed project (pounds/day and tons/year). The estimated emissions are then compared to significance thresholds, which are in turn keyed to reducing emissions to levels that will not interfere with the region’s ability to attain the health-based standards. The Sac Metro Air District adopted operational emission thresholds for ozone precursors, nitrogen oxides (NOx) and reactive organic gasses (ROG), with the goal of obtaining 0.45 tons/year of NOx and 0.49 tons/year of ROG reductions from new

development projects exceeding the thresholds by including emission reducing design features as mitigation.ⁱⁱ More recently, the Sac Metro Air District adopted particulate matter thresholds, PM10 and PM2.5, to align with the new source review permit offset levels, which are designed to prevent new emission sources from affecting attainment progress.ⁱⁱⁱ Sac Metro Air District thresholds are set at 65 pounds/day NOx (11.8 tons/year), 65 pounds/day ROG (11.8 tons/year), 80 pounds/day PM10 (14.6 tons/year), and 82 pounds/day PM2.5 (15 tons/year).^{iv} CEQA thresholds are a tool Sac Metro Air District uses to obtain emission reductions from development projects to support attainment of the Federal and State ambient air quality standards. This protects public health in the overall region, but there is currently no methodology to determine the impact of emissions on concentration levels in specific geographic areas.

The CEQA analysis should consider the degree to which various other tools, such as CalEEMod, EMFAC, OFFROAD, AERMOD, and HARP and CAMx, could assist in assessing specific health impacts of a project, and, where those tools would not be useful, explain why. For example, while CalEEMod may be useful in comparing emissions to significance thresholds, it is not able to assess transport of pollutants or the impacts of external factors (weather, terrain, etc.) on pollutant concentrations at particular locations.

In Sacramento, concentration modeling of ozone has not been an analytical tool used for project level emissions due to the complex nature of pollution concentration formation and numerous regional influences (multiple emission sources, meteorology, atmospheric chemistry and geography). Although some particulate matter concentration modeling has been conducted for project specific emissions for stationary source permitting purposes, concentration modeling has mainly been used to support ozone attainment demonstration.

Outside of these tools, neither the Sac Metro Air District nor any other air district currently have methodologies that would provide Lead Agencies and CEQA practitioners with a consistent, reliable, and meaningful analysis to correlate specific health impacts that may result from a proposed project's mass emissions.

An expanded discussion of health impacts resulting from specific air pollutants may also be warranted for projects with emissions exceeding the Sac Metro Air District's thresholds of significance. There is an array of information on health impacts related to exposure to ozone^v and particulate matter^{vi} emissions published by the US EPA and the California Air Resources Board. Health studies are used by these agencies to set the Federal and State ambient air quality standards. A more general discussion of health impacts related to air pollution is also available on www.sparetheair.com and in the Sac Metro Air District's *Guide to Air Quality Assessment in Sacramento County*.^{vii} None of the health-related information can be directly correlated to the pounds/day or tons/year of emissions estimated from a single, proposed project.

Developing Guidance

The interim recommendation is in place to assist lead agencies and practitioners with CEQA document preparation until Sac Metro Air District develops a methodology that provides a consistent, reliable and meaningful analysis to address the Court's direction on correlating health impacts to a project's emissions.

Sac Metro Air District staff have initiated discussions with the other air district's in the Sacramento Federal Ozone Nonattainment area regarding developing guidance in response to Friant Ranch since we share air quality issues and use the same growth assumptions, mobile source emissions, and modeling efforts to support our ozone and particulate matter attainment plans.

One potentially useful tool in developing a methodology is the US EPA's BenMap tool^{viii}. According to US EPA's website, BenMap is an "open-source computer program that calculates the number and economic value of air pollution-related deaths and illnesses. The software incorporates a database that includes many of the concentration-response relationships, population files, and health and economic data needed to quantify these impacts." BenMap may be able to provide the detailed health information needed for the guidance under development.

Sac Metro Air District is working with its engineering and environmental technical support consultant, Ramboll USA Corporation, to develop a methodology that will provide a consistent, reliable, efficient, and meaningful analysis that correlates health impacts from proposed projects' emissions for the Sacramento region. The current strategy will analyze how various levels of emissions (the CEQA tonnage estimates) impact attainment pollutant concentration levels, and use BenMap to correlate increases in concentration levels to health impacts. Once a methodology is available, Sac Metro Air District staff will inform interested stakeholders and provide updated guidance in this document and in its *Guide to Air Quality Assessment in Sacramento County*.

Contact Information

Lead agencies and CEQA practitioners may contact Mr. Paul Philley, CEQA and Land Use Section Program Supervisor at 916-874-4882 or pphilley@airquality.org regarding Sac Metro Air District's recommendations.

ⁱ CalEEMod, Road Construction Emissions Model, EMFAC, OFFROAD

ⁱⁱ Foundation for a Threshold, Justification for Air Quality Thresholds of Significance In the Sacramento Federal Nonattainment Area, August 15, 2001, Adopted March 28, 2002.

ⁱⁱⁱ Proposed Particulate Matter CEQA Thresholds of Significance, March 19, 2015, Adopted May 28, 2015.

^{iv} Sac Metro Air District, Guide to Air Quality Assessment in Sacramento County, December 2009 (latest update September 2018), Chapter 2, Thresholds of Significance table. <http://www.airquality.org/LandUseTransportation/Documents/CH2ThresholdsTable5-2015.pdf>

^v <https://www.epa.gov/ozone-pollution-and-your-patients-health/health-effects-ozone-general-population>

^{vi} <https://www.arb.ca.gov/research/health/pm-mort/PMmortalityreportFINALR10-24-08.pdf>

^{vii} Sac Metro Air District, Guide to Air Quality Assessment in Sacramento County, December 2009 (latest update September 2018), Chapter 1. <http://www.airquality.org/LandUseTransportation/Documents/Ch1IntroAq%20FINAL12-2016.pdf>

^{viii} <https://www.epa.gov/benmap>