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Predicting real-time within-vehicle air pollution exposure with mass-balance and machine learning approaches using on-road and air quality data

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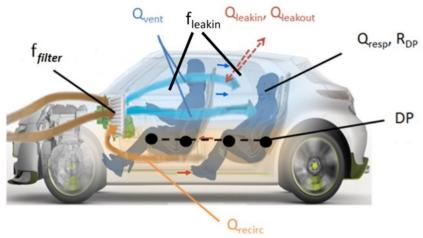


Author contributions

VNM conceived the idea, performed the analysis and wrote the first draft. LDK helped with the development of the idea. LJK and LRC helped with the experimental data collection. WJB supervised the project. VNM and WJB prepared the manuscript with contribution from all authors.

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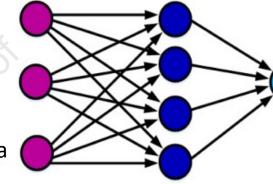
In-vehicle processes



On-road air pollution

Vehicle Characteristics

Air quality monitoring data



In-vehicle air pollution exposure



MACHINE LEARNING

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1	Predicting real-time within-vehicle air pollution exposure with mass-balance and machine learning
2	approaches using on-road and air quality data
3	
4	Vasileios N. Matthaios ^{a*} , Luke D. Knibbs ^{b,c} , Louisa J. Kramer ^{d1} , Leigh R. Crilley ^{d2} and William J. Bloss ^d
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18	
19	Modelling the air pollutant concentrations within-vehicles is an essential step to estimate our
20	daily exposure to air pollution. This is a challenging issue however, since the processes that affect the
21	exposures within-vehicles change with different driving patterns and ventilation settings. This study
22	introduces an innovative approach that combines mass-balance principles and machine learning
23	techniques, leveraging ambient air quality, on-road and within-vehicle measurements of particulate
24	matter (PM10, PM2.5, PM1), nitrogen dioxide (NO2), nitrogen oxides (NOx), aerosol lung surface
25	deposited area (LSDA) and ultrafine particles (UFP) under different ventilation settings to estimate air
26	pollution exposure levels within vehicles. The first model (MB) includes basic physical and chemical
27	processes and follows a mass-balance approach to estimate the within-vehicle concentrations. The
28	second model (ML) applies data driven machine learning algorithms to a training set of observations
29	to predict unseen within-vehicle concentrations. By using a number generator, the whole

30 observational dataset was divided to 80:20 and 80% was used to build and train the ML model, while 31 20% was used for validation. Both models demonstrated good predictions of observations apart from 32 an underestimation in UFP and LSDA. The ML model showed better predictive power than the MB 33 model and had skill in predicting the unseen within-vehicle exposures. The ML model predictions were 34 as good as the MB model for most of the species and improved for NO₂. The ML model demonstrated 35 good index of agreement (IOA > 0.69) and Pearson correlation coefficient (r > 0.80) for all the species. 36 The inclusion of air quality data from nearby monitoring stations instead of on-road (sampled while 37 driving), in the ML model showed promising and new capabilities to within-vehicle exposure 38 predictions. In an era where air pollution is a growing concern, understanding and predicting within-39 vehicle air pollution exposure is of great importance for public health and environmental research. 40 This research not only advances the field of exposure assessment but (at no extra cost) also 41 demonstrates practical implications for real-time exposure mapping and health impact assessment of 42 vehicle occupants with existing infrastructure.

43

Keywords: within-vehicle cabin modelling, daily exposure, air pollution, machine learning, indoor airquality

46

47 Introduction

Road traffic is the dominant source of nitrogen dioxide (NO_2) and a significant contributor to 48 49 particulate matter (PM_{10} , $PM_{2.5}$, PM_1 and ultrafine particles – UFP) in the atmospheres of urban 50 environments. Numerous studies have highlighted the relationship between traffic related air 51 pollution and adverse health effects such as cardiopulmonary disease, respiratory symptoms, reduced 52 lung function changes in cardiac function and increased lung cancer risk (Adam et al., 2015; Hamra et al., 2015; IARC, 2014; Heal et al., 2012; Atkinson et al., 2010; De Hartog et al., 2010; Delfino et al., 53 54 2005). The road traffic dominance of many primary air pollutant emissions in urban areas leads to 55 strong roadside concentration increments relative to urban background and rural areas (Harrison, 56 2018).

57 The interior of vehicles represents a further microenvironment where exposure to traffic 58 related air pollution can occur, enhanced or reduced relative to the roadside environment, moderated 59 through air exchange with the ambient environment, and within-vehicle sources, physical and 60 chemical processing which can affect species concentrations. The significance of within-vehicle 61 exposure varies with travel mode, environment, duration and personal commuting behaviour. In the

62 UK, there are approximately 32 million registered full driving license holders, of which 6% are professional drivers (DfT, 2017) who may be subject to particularly extended and elevated exposures 63 64 of within-vehicle air pollution (Frederickson et al., 2020). Previous studies measuring exposure inside 65 vehicles have found within-vehicle concentrations of PM_{2.5} to be a factor of 2-3 larger than in other 66 transport modes (e.g. De Nazelle et al., 2012; Zuurbier et al., 2010; Kumar et al., 2018), while BC and 67 NO₂ levels inside cars can be 4.5 and 1.4 times greater than ambient concentrations (Delgado-Saborit, 68 2012). Other studies investigated the impact of ventilation settings on within-vehicle exposure and 69 found that exposure was highly dependent on the air intake, vehicle age and air leaks (Kumar et al., 70 2021; Martin et al., 2016; Hudda et al., 2012; Knibbs et al., 2010). To inform policies, studies have also 71 identified filtration media and usage as important factors that can help reduce within-vehicle 72 exposures (Hachem et al., 2021; Lim et al., 2021; Matthaios et al., 2023a; Matthaios et al., 2023b). 73 Limited studies have also directly compared pollutant levels within-vehicle with those immediately 74 outside/adjacent to the vehicle, for both particulate and gaseous species highlighting the potentially 75 greater health impact of NO₂ over PM exposure (Yamada et al., 2016). However, measuring within-76 vehicle exposure to air pollution with direct certified methods is very expensive and challenging and, 77 given that it needs continuous monitoring, only offers a snapshot of the actual exposures. Therefore, 78 alternative indirect approaches, such as the modelling that utilize already available air quality 79 measurements from monitoring sites need to be explored.

80 Knowing that transport microenvironments represent on average 6% of our time, but account 81 for 26% of daily total BC exposure (Dons et al., 2011); modelling the within-vehicle concentrations is 82 an important step to assess and hence minimize personal air pollution exposure. Vehicle use changes 83 not only from region to region but also due to meteorological conditions (e.g. more people may 84 commute by car under cold weather). This increase in vehicle use results in more vehicle emissions 85 not only due to the higher number of vehicles on road, but also due to the way their after-treatment 86 abatement technologies work under cold weather (Matthaios et al., 2019). In turn these elevated 87 vehicle emissions can result in greater exposure for vehicle occupants, depending upon ventilation 88 and filtration media choices.

In light of the range of potential implications of improving the air quality in one of the most common microenvironments, and to provide new capabilities in real-time predicting and regulating the exposure of vehicle occupants, this study reports the development of two innovative and complementary approaches to simulate within-vehicle passenger exposure to air pollutants as a function of outside (ambient) levels and vehicle ventilation conditions. The first approach involves the development of a mass-balance (MB) model, which explicitly represents the aforementioned (predominant) physical and chemical processes which drive changes in within-vehicle air pollutant

96 abundance. The second approach uses machine-learning algorithms (ML model), which seek to 97 replicate the observed within-vehicle data based upon a training set of observations of internal and 98 external (outside, ambient) pollutant concentrations, and which does not include any mechanistic 99 representation. The results from the MB model are compared with time series measurements of 100 within-vehicle concentrations, while the results from the ML model are compared with a subset of 101 observations which were excluded from the training dataset. The performance of both models in 102 estimating within-vehicle air pollution exposure is evaluated using two contrasting measures of 103 outside (ambient) pollutant levels: (i) observations obtained directly outside the test vehicles and (ii) 104 observations from roadside air quality monitoring stations within the same locality as the vehicle, but 105 at some distance away from its immediate location. The objective of this study is not only to evaluate 106 the effectiveness of this approach but to unveil its far-reaching implications for real-time exposure 107 mapping, health impact assessment, and policy development.

108

109 2. Methods

110

111 2.1 Measurements, tested vehicles and ventilation conditions

Model development and validation was supported by measurements of NO, NO₂, O₃, PM₁₀, 112 113 PM_{2.5}, PM₁, ultrafine particle number (UFP) and aerosol lung surface deposited area (LSDA), which 114 were performed concurrently within vehicle cabins (in the breathing zone of the driver) and directly outside (at the side window of) the tested vehicle. CO2 measurements were performed with two LICOR 115 116 LI-820 infra-red analysers, NO_x (NO + NO_2) with chemiluminescent 42i and 42C thermo-scientific 117 analysers, O₃ with 49i thermo-scientific analysers, PM with alphasense OPC-N2, and UFP/LSDA with 118 DiSCmini. Temperature and relative humidity were also measured inside the vehicle cabin using HOBO 119 sensors. Measurements were performed during two periods in 2017 in four study vehicles (see Table 120 1) in Birmingham (UK). Five core ventilation settings were investigated and a sixth setting was applied in two out of four vehicles: (a) front windows (of driver and co-driver) fully open, fans and AC off, (b) 121 122 all windows closed; ventilation fans on (c) all windows closed; ventilation fans on with air-conditioning 123 (AC) (d) all windows closed, ventilations fans on, recirculation mode (no AC) (e) all windows closed, 124 ventilation fans on, recirculation mode, AC on (in two vehicles) and (f) all windows closed, ventilation 125 system off. Fan power (air flow setting) was varied in some vehicles as outlined later. Details of the sampling campaign and quality assurance of the measurements are discussed elsewhere (Matthaios 126 127 et al., 2020).

Vehicle characteristics	Ford Focus	Vauxhall Insignia	Hyundai i800	Ford Transit	
Vehicle type	Estate	Estate	9 seater van	Closed cabin van	
Model year	2013	2016	2017	2009	
AC	Yes	Yes	Yes	No	
Estimated cabin	11.66	13.27	19.03	2.813	
volume (<i>m</i> ³)					
Estimated cabin	34.04	37.92	47.02	14.59	
geometric surface					
area (m^2)					
Internal cabin	2.92	2.86	2.47	5.19	
surface:volume ratio					
Air filter (as supplied)	Pollen	Pollen	Pollen	None	

129

130 Table 1. Vehicles and their characteristics used in this study.

131

132 2.2 Description of within-vehicle processes and modelling

133 Physical air exchange processes are represented schematically in Figure 1. These give rise to 134 an overall cabin air exchange rate from a combination of active ventilation options, passive in-built 135 ventilation and/or leaks. The introduction of ambient pollutants may be further modified by filtering (in the case of the ventilation system). These physical processes may be described by the parameters 136 summarised in Table 2. Considering mechanical flow alone, under recirculatory ventilation conditions, 137 138 Q_{leakin} = Q_{leakout} and Q_{vent} = 0, while under non-recirculatory ventilation settings, Q_{vent} + Q_{leakin} = Q_{leakout} 139 and $Q_{recirc} = 0$. The penetration (or removal) of air pollutants through each cabin entry mechanism can 140 be represented by a dimensionless filtration efficiency, f, which represents the fraction of a given 141 pollutant removed by each entry process. Deposition characterises the rate at which pollutants have 142 losses to surfaces.

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144

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Table 2. Parameters describing the physical processes inside the vehicle cabin. Note that windows
open is considered as a ventilation setting with associated values for Q_{vent} and Q_{leakin}.

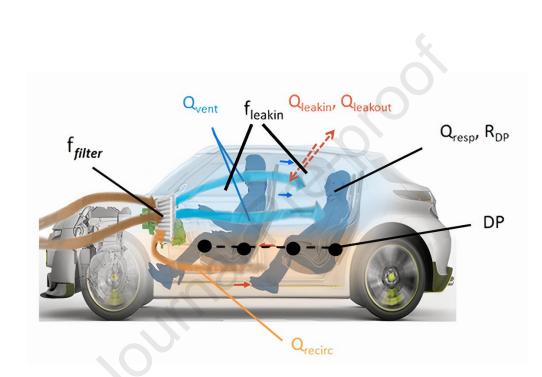
Process	Parameter	Nature	Units	Value Used
Ambient air entering	Q _{vent}	Flow rate	$m^3 h^{-1}$	Vehicle & ventilation
through ventilation				setting specific
system				
Recirculation flow	Q _{recirc}	Flow rate	m ³ h ⁻¹	Vehicle & ventilation
through the				setting specific
ventilations system				
Leakage: Ambient air	Q _{leakin}	Flow rate	<i>m</i> ³ <i>h</i> ⁻¹	Vehicle specific
into cabin				
Leakage: Ambient air	Qleakout	Flow rate	$m^3 h^{-1}$	Vehicle specific
in and out of cabin				
Occupant	Qresp	Flow rate	$m^3 h^{-1}$	Fixed value used for all
Respiration				simulations (2 occupants
				assumed)
Fraction of air	f _{vent}		Dimensionless	Species specific – flow
pollutant species				rate dependent
removed from				
ventilation system				
inflow (non-		20		
recirculatory)				
Fractions of air	frecirc		Dimensionless	Species-specific values
pollutants species	\mathbf{O}			used, recirculation flow
removed during				rate dependent
recirculation				
Fraction of air	f _{leakin}		Dimensionless	Species-specific values
pollutant species				used
removed during leak				
in (penetration)				
Fraction of pollutants	RD _p	Fraction of	Dimensionless	Species-specific values
lost through		air pollutants		used (two occupants
respiration		removed		assumed)
		during		
		inhalation/ex		
		halation		

Losses	through	Dp ₀₃	Species	h-1	Species-specific	values
surface	deposition	Dp _{NO}	deposition		used	
		Dp _{NO2}	rate			
			coefficient			
Vehicle volume		V	volume	m ³	Vehicle specific	

148

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151

Figure 1. Schematic representation of the principal physical air exchange processes inside a typical vehicle cabin with windows closed. f_{filter} : filtration of air supply via cabin air filter; Q_{vent} : ventilation supplied flow (blue arrow). Q_{recirc} : recirculated supplied flow (orange arrow). Q_{resp} : occupant breathing rate; Dp: deposition; f_{leakin} : penetration/leaks of outside pollutants inside and vehicle leaks Q_{Lin} and Q_{Lout} : vehicle leaked flows in and out of the cabin.

157

158 2.3. Mass balance modelling approach (MB)

159 2.3.1 Mechanism

160 The mass balance (MB) model developed in this study predicts air pollutant concentrations 161 within vehicles taking into account the physical processes illustrated in Figure 1 and a representation 162 of the gas-phase NO_x-O₃ photostationary steady state chemistry; no other physical or chemical

163 processes are considered here. For a given time interval, the MB model defines the rate of change of 164 the within-vehicle air pollution concentration (following Xu and Zhu, 2009; Knibbs et al., 2010) as 165 arising from the sum of pollutant inflow from outside (ambient) air, adjusted for filtration factors, 166 pollutant outflow from the vehicle (both ventilation dependent), cabin surface and occupant 167 inhalation deposition, and photochemical formation and removal (for NO_x - O₃). Air is assumed to be 168 instantaneously homogeneously mixed within the vehicle cabin. No chemical processing of PM is 169 considered. The mathematical equation for the MB model is given in Eq (1):

170

$$171 \quad \frac{d(c_{inj}V)}{dt} = C_{outj} \left[Q_{vent}(1 - f_{vent}) + Q_{Lin}f_{leakin_j} \right] - C_{inj} \left[Q_{resp}RD_p + Dp_jV + (Q_{vent} + Q_{Lout}) + \sum_{j=1}^n R_{ij} \right]$$

$$[1],$$

173

where C_{inj} is the *j* concentration inside the vehicle, C_{outj} is the *j* concentration outside the vehicle, 174 Q_{vent} is the mechanical supply flow, Q_L is the leakage flow (in and out as indicated by the subscript), 175 Q_{resp} is the respiratory breathing rate of the vehicle occupants, V is the volume of the vehicle, f_{vent} 176 is the filtration efficiency, f_{leakin_i} is the leak of pollutants that enter the cabin through cracks 177 (penetration factor), RD_p is the deposition rate coefficient of the respiratory system of vehicle 178 179 occupants, Dp is the deposition rate coefficient inside the vehicle, and R_{ij} represents the chemical / 180 photochemical reactions (consumption and production) of species i and j. Equation (1) can be integrated numerically using a time-step approach, initial conditions and knowledge of the (time 181 varying) outside concentrations. The different ventilation options are described in Table S1. For gases, 182 183 only the NO_x-O₃ photostationary steady state reactions were included.

- 184
- 185
- 186

187 **2.3.2** Parameters and initial conditions for Mass Balance (MB) model

188

189 **Ventilation supply flow (** Q_{vent} **)**: The supply flow is calculated by multiplying the number of 190 vents that were used with the surface area of the air vent and the air flow speed. Within the model, 4 191 vents with a constant size of 40 cm^2 were assumed for all vehicles. For full fan power an air flow speed 192 of 6 $m s^{-1}$ was selected, while for intermediate fan power levels a value of 2.5 $m s^{-1}$ was applied from

193 Xu and Zhu, (2009). The calculated mechanical flows were 346 $m^3 h^{-1}$, and 173 $m^3 h^{-1}$ for full and 194 intermediate fan power levels respectively, while for the two front fully open windows a flow of 692 195 $m^3 h^{-1}$ was used (assuming two-fold amplification of the fan full power; Ott et al.,2008; Knibbs et al., 196 2009; Mathai et al., 2021).

197 Leakage flow $(Q_{Lin}; Q_{Lout})$: Leakage flow in and out of the vehicles is driven by the pressure 198 difference between the interior and outdoor environment. The leakage flow depends on the 199 ventilation settings, the vehicle characteristics, and the driving speed of the vehicle. Here leakage Q_L 200 was based upon experiments measuring CO₂ equilibrium inside 50 vehicle cabins as reported by Hudda 201 et al., (2012), assuming a speed of 30 *km/h* as per Eq (2):

202

203 $\ln(Q_L) = 2.79 + (0.019 \times S) + (0.015 \times v. age + 3.3 \times 10^{-3} v. age^2) + (-0.023 \times V + 6.6 \times 10^{-5} V^2) + m,$ [2]

where, S is the vehicle speed, V is the volume of the cabin, v.age is the vehicle's age and m is
the manufacturer adjustment (Hudda et al., 2012).

Human Respiratory inhalation flow (Q_{resp}): The Inhalation flow represents the breathing rate of the vehicle occupants. A breathing rate of 1.38 $m^3 h^{-1}$ for males and 1.16 $m^3 h^{-1}$ for female according to the study of Adams, (1993) was used (to match vehicle occupation during the measurements). Exhalation is a very small source for the (non-VOC) species considered here and may be neglected for most air pollutants (Knibbs et al., 2011).

Respiratory deposition coefficient (RD_p) : Respiratory deposition is the net loss of particles in the human respiratory system. Here, the respiratory deposition coefficient can be considered analogous to filtration efficiency, where it represents the fractional loss of pollutant species during breathing. For UFP and LSDA (median measured value of 50 *nm*) we adopted the RD_p from Hinds, (1999) for light exercise (0.55): For PM₁₀ and PM_{2.5} the equivalent RD_p is 0.65 while for PM₁ it is 0.55. For NO and NO₂ a respiratory deposition coefficient of 0.67 as reported in Postlethwait and Bidani, (1990) was used.

Deposition rate coefficient (D_n) : Dry deposition is a surface loss mechanism inside vehicles 219 (Thutcher et al., 2002). Deposition rate coefficients differ between within-cabin and indoor 220 221 microenvironments, as air exchange rates are much greater inside vehicles (Ott et al., 2007; Knibbs et al., 2010; Hudda et al., 2012) comparing to buildings (Yamamoto et al., 2010) if there is no indoor 222 223 particle source. For UFP and LSDA (50nm size) we used the fixed deposition rate coefficient of 10 h^{-1} , 224 as in Gong et al., (2009). This value was applied for two reasons: 1) the mean size of our UFP and LSDA for particles was 50 nm which is possibly due to the nature of the particles (i.e. coming from diesel 225 226 exhaust) and 2) the deposition rate for particles in the range of 100 - 30 nm in the observational study

of Gong et al., 2009 showed little variation from deposition rate spanning from $9.5 - 11.5 h^{-1}$. For PM deposition values in Table 3 for different ventilation options we used the values provided by Ott et al., (2007). For NO and NO₂ we used values from Nazaroff and Cass, (1987) for indoor NO₂ decay rates in a house. Values were applied to all study vehicles.

231 **Ventilation filtration efficiency** (f_{vent}) : The filtration efficiency is how well the vehicle's air 232 filtration system removes pollutants in the incoming airflow. This filtration efficiency varies for PM₁₀ 233 and PM_{2.5} depending on the experimental conditions and filter characteristics. However, since the 234 filtration efficiency was not tested in this study, values from Qi et al., (2008), who tested vehicle 235 particle filter efficiency in two different velocities representing low and full power fan settings, were 236 adopted (see Table 3). Pollen filter efficacy of 0.10 based on Matthaios et al., (2023a) was applied for 237 gases, as none of the test vehicles had activated charcoal filtration for NO₂ removal (three of the 238 vehicles were equipped with pollen filters and one had no filter).

Fraction of species removed during leak in (penetration) f_{leakin} : f_{leak} determined the transmission efficiency for pollutants during leak entry to the vehicle. The values of f_{leak} for each particle size used in this study are summarized in Table 3 and were adjusted from indoor air quality in buildings (Chen and Zhao, 2011). It has to be noted here that no factors could be found gaseous species therefore we assumed an equivalent behaviour to fine particles (PM_{2.5}).

244 Reaction and Photolysis rates: The only reactions considered here are the (overall) photostationary steady state reactions of $NO_2 + hv \rightarrow NO + 0$, $NO + O_3 \rightarrow NO_2 + O_2$ and $O + O_3 \rightarrow NO_2 + O_2$ 245 $O_2 + M \rightarrow O_3 + M$. The NO + O₃ reaction rate constant was calculated using the Arrhenius 246 expression with the measured temperatures within-cabin, and the O + O₂ recombination reaction was 247 248 assumed to be instantaneous. The photolysis frequency varies based on the window design, vehicle 249 orientation and incident sunlight (time, location). These variations can result in differences in the 250 experienced actinic flux (Carslaw, 2007). A ratio of photolysis frequencies of 1:10 for 251 *j*(NO₂)_{indoor}:*j*(NO₂)_{outdoor} values reported in Carslaw, (2007) for buildings was used. The corresponding outdoor photolysis rates $j(NO_2)$ outdoor were taken from the TUV model (Madronich, 1993) for each 252 253 measurement time / location, assuming clear-sky conditions.

The model was used to simulate the time-varying within-cabin pollutant concentrations for each vehicle, and each ventilation setting. This typically corresponded to a total run-time of 35 minutes, using a model timestep of 1 second. The timescale for PSS reactions is approximately 50s (under typical continental boundary layer daytime conditions), while the typical air residence time inside the vehicle can be as little as 16s (for an inflow of 0.192 m^3/s under windows open) and 31s and 63s (for an inflow of 0.096 m^3/s and 0.048 m^3/s under full and intermediate fan power ventilation settings respectively). In each case, outside pollutant concentrations were set to their actual 261 (measured, time-varying) levels. The model was initiated with actual measured within-cabin pollutant262 concentrations.

263

264 Table 3: Parameters used for the Eq (1), (2) and (3); a) from Ott et al., 2008, b) Calculated in the study, c) Values from Gong et al., (2009) for the median UFP (50nm) size in this study d) Values from Nazaroff 265 266 and Cass, (1987) for indoor NO₂ decay rates in a house e) Values from Thatcher et al., (2003), f) Values from Williams et al., (2003), g) average value from the studies reported in Chen and Zhao, (2011), h) 267 268 According to light exercise and sitting from Hinds (1999) for UFP size 50nm, i) Postlethwait and Bidani, 269 (1990) j) Values from Qi et al., (2008); +: Values used for Windows open, ++: Values used for Fan on, 270 AC on, +++: Values used for All closed, Recirculation on; *: Full fan power, **: Low fan power; ‡: No filter efficiency was applied none of the cars was equipped with charcoal filter. 271

Species	Deposition rate	Penetration	Respiratory deposition	Filter efficiency
	coefficient (Dp)	factor (P)	coefficient (RDp)	(f.ef)
PM ₁₀	123.76 ^{b+} , 27.03 ^{b++} ,	0.6 ^e	0.65 ^h	0.8 ^{j*} , 0.6 ^{j**}
	13.26 ^{b+++}			
PM _{2.5}	72.8 ^{a+} ,15.9 ^{a++} ,7.8 ^{a+++}	0.72 ^f	0.65 ^h	0.65j* <i>,</i> 0.45j**
PM_1	54.82 ^{b+} ,11.93 ^{b++} ,	0.8 ^g	0.55 ^h	0.4 ^j
	5.85 ^{b+++}			
UFP	10 ^c	0.8 ^g	0.55 ^h	0.25 ^j
LSDA	10 ^c	0.8 ^g	0.55 ^h	0.25 ^j
NO ₂	39.6 ^d	0.7	0.67 ⁱ	0.1^{*}
NO	39.6 ^d	0.7	0.67 ⁱ	0.1 [‡]

272

273

Table 4: Parameters changed during the modelling between different vehicles. Q_s : Mechanical supplied air, Q_L : vehicle leakage, **: full fan strength; *: intermediate fan strength; ⁺: front windows fully open; ⁺⁺ leakage at 30 kmh.

346** 692*/346** /	′ 173* 692 ⁺ /346**	* 692 ⁺ /346**/
	/346** 692 ⁺ /346**/	′346** 692 ⁺ /346** / 173* 692 ⁺ /346**

$Q_{Lin;}Q_{Lout}$ ($m^3 h^{-1}$)	28**	27**	25++	39++

277

278

279 **2.4 Machine learning model (ML) and cross validation.**

280 Machine learning (ML) algorithms learn directly from the data and can be broadly categorised 281 into supervised or unsupervised approaches. In the former case, a known dataset is used to combine 282 input variables in such a way as to predict the outcome using classification or regression methods. In 283 unsupervised learning, methods such as clustering are used to recognise patterns in the data without 284 reference to the outputs. The majority of practical machine learning uses supervised learning.

285 There are several supervised ML algorithms that can be used for model training and 286 prediction. As a rule, no single learning algorithm can uniformly outperform other algorithms over all 287 datasets. However, they can be evaluated for their (1) accuracy, (2) speed of learning, (3) speed of 288 classification, (4) ability to deal with discrete/binary and continuous data, (5) danger of overfitting, (6) 289 attempts required for incremental learning, (7) ability to handle model parameters and explain 290 classifications, (8) tolerance to missing values and noise. In this study the k-Nearest Neighbour (kNN) 291 algorithm was used. kNN is a statistical instance-based learning method used for regressions and 292 classifications that matches which already stored instance is mostly similar to the new instance (Cover 293 and Hart, 1975; Weinberger et al., 2006). When a new instance is inputted, the algorithm searches 294 similar instances from memory using the distance metric (Euclidean, Manhattan, Minkowski, etc.) and 295 then matches the new record by identifying the single most frequent label. This method is robust to 296 noisy and large training datasets (Wettschereck et al., 1997) since it considers the query instance when 297 deciding how to generalize beyond the training data, whereas a different machine learning method 298 may have chosen the time where the query instance was observed (Aquilina et al., 2018). However, 299 kNN algorithms require large storage for the model training, are sensitive to the choice of the similarity 300 function (function which is used to compare instances) and lack of universal way to choose the best k 301 (number of nearest neighbour) except through cross-validation (Kotsiantis, 2007).

The machine learning applied in this study used the original 80% of the within-vehicle observations of the complete dataset, selected using a random number generator. The remaining 20% was reserved to validate and test the model's predictability and response (after the ML training) to fresh unseen data. In detail, the ML training dataset used within-vehicle concentrations as the response variable, and the training was built upon the variables of on-road concentrations, time of

307 day, day of week ventilation power (expressed as 0, 50 and 100), ventilation type (expressed from 1 308 to 6), and cabin surface area and cabin volume of the vehicles. The kNN ML training and 309 hyperparameter tuning (number of neighbours (k); distance metric; weighing of neighbours) followed 310 the repeated grid search and k-fold cross validation approach. Mathematical description of the kNN 311 algorithm used here can be found in supplementary information. In this method, after randomly 312 splitting the training data into k-folds (10 in this case), a ML model was trained for k-1 folds (training fold) of the dataset and tested on the kth (testing fold). For each fold/subset that was held out, the 313 314 model was trained on all other subsets. This training process was repeated 1000 times and the final 315 model accuracy was taken as the average of those repeats. More repetitions provide better accuracy for each instance in the dataset, however it should be mentioned that this requires more 316 317 computational power. This process maximizes the training and the testing of the ML algorithm and has the advantage that for a single dataset all the available values are used for training and testing. 318 319 This method is robust for estimating the accuracy of the model and the size of k and tunes the amount 320 of bias in the predictions; Principles which are critical when using a kNN approach (Kotsiantis, 2007). Finally, the ML model (built from k-1 folds and tested on the kth fold with 1000 repeats) was evaluated 321 322 against the 20% of the initially randomly excluded data to assess its performance. A comparison of the 323 three machine learning algorithms tested are listed in Table S2.

324

325 2.5 Model evaluation and real-world application scenarios

326 To evaluate / validate the MB and ML models we used the statistical indices of: 1) Root mean 327 square error (RMSE) between the predicted and observed pollutant concentrations, where the closer 328 the RMSE is to 0 the better the model prediction (Aidaoui et al., 2015; Matthaios et al., 2017); 2) 329 fraction of predictions within a factor of 2 of observations (FAC2), where the predictions vary between 330 $0.5 \le FAC2 \le 2$ and FAC2 = 1 is the perfect prediction; 3) mean bias (MB), which is the relative mean 331 over or under estimation of the model predictions; 4) Mean Gross Error (MGE), which provides an indication of the mean error of the model regardless of whether it is an over or under estimate; 5) 332 333 Pearson correlation coefficient (r), which represents the strength of the linear relationship between 334 two variables; 6) Index of agreement (IOA) which is a measure of how well the predicted variations 335 are represented around the mean observations and ranges from 0 to 1, and 7) comparison of means 336 (for observed and predicted values). The model evaluation statistics were performed with openair 337 package in R (Carslaw, 2019; Carslaw and Ropkins, 2012)

To examine the predictability of the MB model and the applicability of the ML model, we tested two further cases: (i) in the MB model we replaced the initial within-vehicle concentrations

340 with the median observed within-vehicle concentration (for each ventilation setting in each car) and 341 we re-ran the MB model to ensure that there was minimal dependence upon the model initial 342 conditions. In case (ii), the ML model was retrained with initial concentrations set to the median within-vehicle levels, and with the outside levels taken from the closest roadside air quality station, 343 rather than using the actual on-road measurements measured adjacent to the vehicle. This case was 344 345 built to reflect a potential real-world situation *i.e.* where only monitoring station data is likely to be available. Again, the ML model followed the 80:20 approach with 1000 iterations. Table 5 summarises 346 347 the constructed cases.

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Table 5. Modelling cases constructed to test the application of the model. C'_{inmj} : denotes predicted median concentration; C'_{inmj} : denotes within-vehicle median levels. All the remaining parameters in the model are taken from the values in Table 3.

Case Equation Initial model $(C'_{inj} - C_{inj})V = \begin{bmatrix} C_{outj} (Q_{vent}(1 - f_{vent}) + Q_{Leakin}f_{leakin_j}) \\ - C_{inj} (Q_{resp}RDp_j + DP_jV + (Q_{vent} + Q_{Leakout})) + \sum_{j=1}^{n} R_{ij} \end{bmatrix} \Delta t$

Case (i)
$$(C'_{inmj} - C_{inmj})V$$

$$= \begin{bmatrix} C_{outj} \left(Q_{vent}(1 - f_{vent}) + Q_{Leakin}f_{leakin_j} \right) \\ - C_{inmj} \left(Q_{resp}RDp_j + DP_jV + (Q_{vent} + Q_{Leakout}) \right) + \sum_{j=1}^n R_{ij} \end{bmatrix} \Delta t$$

357

358 **3. Results**

360 3.1 Measured concentrations. The measurements of ventilation-setting-dependent within-vehicle 361 concentrations is discussed briefly in section 2.1 and in detail in Matthaios et al., (2020). Here, Table 362 6 presents the median of the concentrations measured. As anticipated, the highest exposure to 363 exhaust-related gaseous (NO₂ and NO_x) and particulate (UFP and LSDA) pollutants was measured with 364 open windows (ventilation option a). Under closed windows, the highest median exposure to 365 particulate pollution (PM10, PM2.5, PM1) was measured when the fan was on bringing air from outside 366 inside (ventilation option b). The lowest mean exposure for PM₁₀, PM_{2.5}, PM₁, UFP and LSDA occurs 367 when ventilation recirculation option is selected (ventilation options d and e). The within-vehicle 368 measurements show a strong dependence upon ventilation setting, highlighting the importance of ventilation representation for accurate within-vehicle pollutant prediction. 369

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Table 6. Median within-vehicle concentrations of PM₁₀, PM_{2.5}, PM₁, LSDA, NO₂, NO_x, UFP and CO₂
under ventilation settings: (a) windows open, fans and AC off, (b) Fans on - AC & recirculation off,
windows closed, (c) Fan plus AC on, recirculation off, windows closed (d), Fan plus recirculation on, AC
off, windows closed, (e) Fan plus AC and recirculation on, windows closed and (f) windows closed, AC,
fans and recirculation off.

		Ventilation Ventilation		Ventilation	Ventilation	Ventilation	
	(a)	(b)	(c)	(d)	(e)	(f)	
M ₁₀ (μg/m³)	15	24	6	8	3	13	
M _{2.5} (μg/m³)	8	15	4	4	3	5	
M ₁ (μg/m³)	5	13	3	3	2	3	
SDA (μ <i>m²/cm³</i>)	52	39	38	12	6	26	
O₂ (<i>ppb</i>)	53	48	40	48	32	31	
O (ppb)	232	210	209	227	245	125	
FP (<i>pt/cm</i> ³) 44816		31960	27265	5466	400	19110	
₃ (ppb)	8.6	4.1	4.4	2	2.2	5	
FP (<i>pt/cm</i> ³)	44816	31960	27265	5466	400		

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378 **3.2 Modelling results – Comparison with observations**

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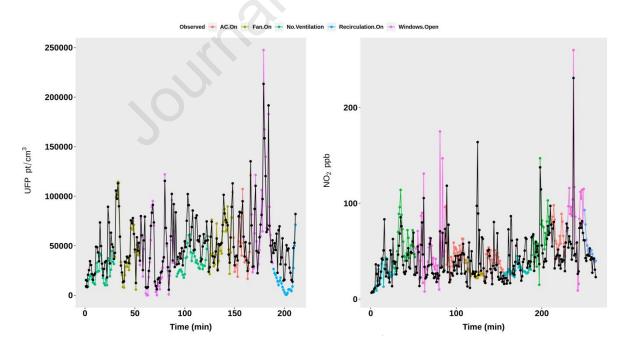
380 3.2.1 Mass-Balance model simulations

Figure 3 compares the timeseries of mass-balance (MB) model predictions and measured
 levels of (within-vehicle) UFP and NO₂ from one of the test vehicles. For UFP, the model performs well

under windows-open, fan-on and AC-on modes, but overpredicts the observed levels under the noventilation and recirculation modes. For NO₂, the MB model performs well under no-ventilation and recirculation conditions but underestimates the observations for windows-open and AC-on, and overestimates for fan-on and AC-with-recirculation.

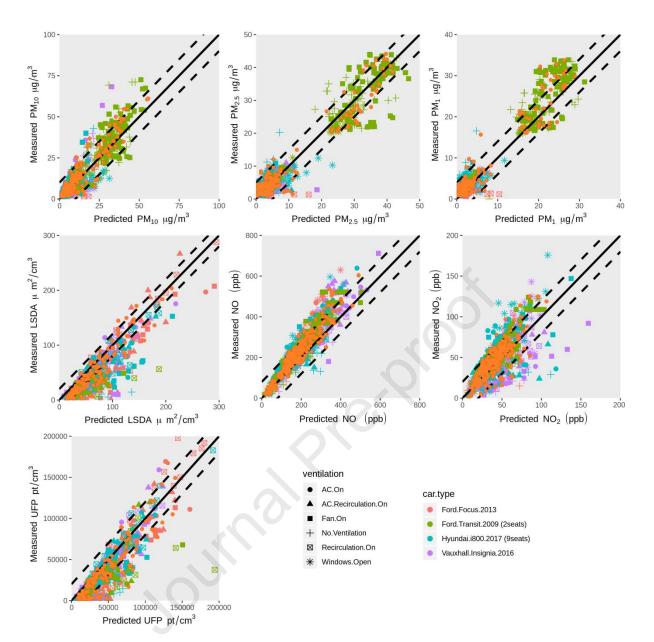
387 To examine the performance of the MB model across all the measurements, the data are 388 aggregated in Figure 4, which shows the measured vs. MB model values for all measurements. 389 Individual ventilation setting predictions can be found in supplementary information Figures S2 – S7. 390 PM₁₀, PM_{2.5} and PM₁ species are predicted well by the model and are within the ±10% of the 1:1 line, 391 however, a clear under estimation is evident for UFP and LSDA. This is possibly because the model 392 parameter values for filtration efficiency, deposition rate coefficient and penetration factors were 393 taken from the literature, rather than reflecting the specific vehicle under evaluation. Furthermore, 394 internal sources of particle generation were not considered, which could contribute to the under-395 prediction in those species. For NO we see some overpredictions at mid to high mixing ratios (>250 396 ppb), however in general the majority of the predictions are well within ±10% of the measured data. 397 For NO₂ the predictions vs observations are clearly more scattered than for the other pollutants, and 398 the model predicts well the low levels <60 ppb clearly underpredicts levels from 75 – 150 ppb.

399



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Figure 3. Time series modelled and observed values for UFP and NO₂ in Vauxhall Insignia. Different
colours indicate the different ventilations, while the solid black line shows the modelled data.



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Figure 4. Measured vs MB and ML model within-vehicle concentrations of PM₁₀, PM_{2.5}, PM₁, LSDA, NO,
 NO₂ and UFP. The orange dots indicate the ML predictions for 20% of randomly excluded data. The
 solid line denotes the perfect model 1:1. The dashed lines indicate the ±10% of the perfect model.

408

409 **3.2.2 Machine Learning (ML) model predictions**

The machine learning (ML) model training method (80:20) is by definition expected to yield generally good predictions. In Figure 4 the orange dots also show the comparison between the observed and the ML modelled values for the 20% of measurements excluded from the training dataset. The ML model shows similar performance to the MB model and in some cases, such as for NO₂, it improves upon the MB model predictions. Most of the ML model predictions in almost all the species are equally spread around the 1:1 line, however, an under-prediction still occurs in the LSDAand UFP species.

417 Table 8 summarises the ML and MB model performance statistics against the observations 418 (20% of withheld data in the ML case) respectively. It can be seen both models show good skill in 419 predicting within-vehicle concentrations for all species. Pearson correlation coefficients for the ML 420 model between ML predicted and observed values are higher than 0.80, while an IOA (index of 421 agreement) is greater than 0.69 for all the species. For the MB model, the two indices between MB 422 predicted and observed concentrations were slightly worse, varying between 0.45 - 0.82 and 0.48 -423 0.83 for Pearson correlation coefficient and IOA respectively. However, values of IOA greater than 0.5 in general indicate good model predictions (Hurley et al., 2005; Matthaios et al., 2017). The mean 424 425 gross error (MGE) of the ML and MB model's performance was less than 2.4 and 3.4 $\mu g m^{-3}$ respectively 426 for all the particle classes (PM₁₀, PM_{2.5} and PM₁) and 10.4 and 14.1 ppb for NO₂. The biggest error is evidenced in NO and UFP, which is almost the same as the mean bias. The model's fraction of 427 predictions within a factor of two of observations (FAC2) is also in good agreement with observations 428 429 for the ML model (higher than 0.66 for all the species), while noteworthy is the fact the ML model's 430 FAC2 score is very high (0.89) for NO₂. For the MB model the FAC2 factor shows low prediction values 431 for LSDA and UFP. NO had FAC2 greater than 1 values which indicates overprediction. The mean bias 432 indicates that the ML model under-predicts the particulate species by less than $< 1 \mu g m^{-3}$ and the NO₂ 433 by less than <5 ppb, while slightly greater mean bias for these species is observed for the MB model. The biggest under-prediction occurs for UFP and NO. For NO the ML has a mean underprediction of 434 435 26 ppb while the MB model has a mean overprediction of 35.4 ppb. Events such as overtaking or congestion that can result in greater NO outside and consequently inside, and particle leaks from the 436 437 engine or generation of already deposited particles (in the seats or fabrics) due to vibration or 438 movement cannot be captured in the MB model and can generate tails and cause skewness in the 439 data. kNN algorithms are known to suffer from skewed distributions if those observations are very 440 frequent in the data (Aha et al., 1991). Overall it can be stated that both MB and ML models showed 441 good skill in predicting the measurement data however better predictions were observed in the ML 442 model most likely due to the way the algorithm incorporates the data. The fact that ML improves the 443 model's performance was also found in other studies (Ozcift and Gulten, 2011; Aquilina et al., 2018).

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Table 8. Model evaluation statistics against 20% random observation data after the machine learning approach. n: indicates the number of compared values. FAC2: fraction of predictions within a factor of two of observations –perfect model FAC2 = 1. MB: Mean bias – indication of the mean over or underestimate of predictions. MGE: Mean gross error – indication of the mean error regardless of whether it is an over or underestimate. RMSE: Root mean squared error – a measure of how close predicted values are to observed values. r: Pearson correlation coefficient – values from -1 to 1 while values of 0 no prediction. IOA: Index of Agreement – values from -1 to 1. $\overline{m_o}$, $\overline{m_p}$: Mean values of observations and predictions respectively. SD: Standard Deviation.

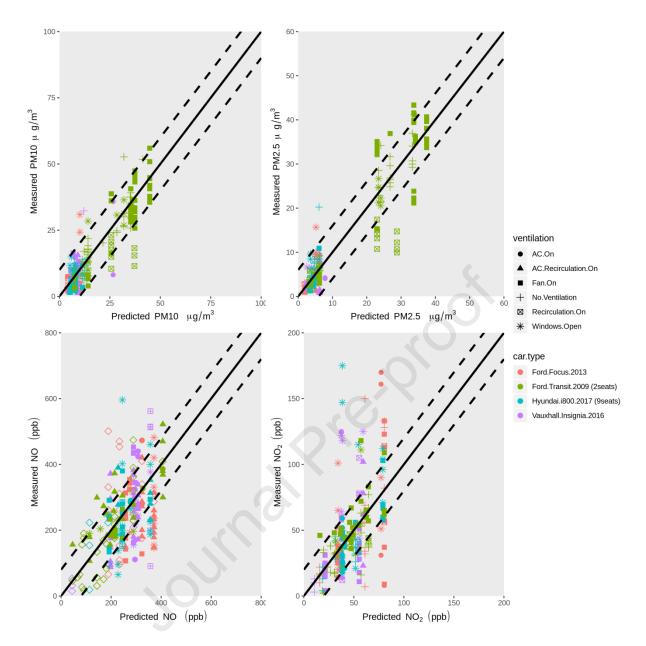
Species	n _{ML}	n _{MB}	FAC2 _{ML}	FAC2 _{MB}	MB _{ML}	MB _{MB}	MGE _{ML}	MGE _{MB}	RMSE _{ML}	RMSE _{MB}	r _{ML}	r _{MB}	IOA _{ML}	IOA _{MB}	$\overline{m_0}$	$\overline{m_{ML}}$	$\overline{m_{MB}}$	SD_{o}	SD _{ML}	SD_{MB}
PM ₁₀	196	1176	0.76	0.69	-1.06	-1.18	2.4	3.4	6.8	7.5	0.89	0.69	0.80	0.76	15	13.9	12.3	14.6	15.5	11.4
PM _{2.5}	196	1176	0.78	0.71	0.14	-0.25	2.3	2.8	3.4	4.2	0.94	0.80	0.87	0.83	9.9	10.2	9.4	11.8	13.4	7.8
PM ₁	196	1176	0.81	0.74	-0.8	-0.9	1.6	2.1	2.3	2.8	0.96	0.82	0.89	0.83	7.6	6.8	6.7	9.02	11.1	8.2
LSDA	140	840	0.69	0.38	20.9	-18.8	22.3	29.2	28.8	32.6	0.92	0.48	0.69	0.51	48.5	69.5	26.7	50.9	52.1	82.7
NO ₂	256	1536	0.89	0.55	-5.0	-8.8	10.4	14.1	15.4	22.4	0.89	0.52	0.79	0.58	45.5	40.5	36.2	24.27	33.2	49.4
NO	256	1536	0.83	1.22	-25.9	35.4	23.9	31.5	76.9	89.2	0.84	0.58	0.75	0.63	246.8	197	255.4	144.7	124	145.2
UFP	140	840	0.66	0.45	13405	18754	16518	21540	13209	26430	0.90	0.45	0.73	0.48	29841	38793	45759	43031	19870	5465

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455 **3.2.3 Extended application of ML model using data from monitoring stations**

457 In the predictions discussed above, each model utilized external concentrations of air 458 pollutants measured directly outside the study vehicle, to either to drive the calculated pollutant 459 exchange (MB model), or as input for the ML model. However, in order to explore the ML model's 460 potential wider application under real world circumstances we explored case (ii) where both within 461 and directly-outside vehicle pollutant concentrations are unknown and the only data available is from 462 nearby air quality monitoring stations (see 2.5). In this case, the ML model used a median within-463 vehicle level from all vehicles and hourly outdoor air quality measurements. The air quality levels from 464 the monitoring sites were taken from urban-traffic locations representing different locations of the 465 testing route. Figure 6 shows the case (ii) comparison of the ML model predicted within-vehicle 466 pollutant concentrations, vs those measured. The results generally show some notable discrepancies 467 for NO greater than 260 ppb and NO₂ greater than 60 ppb, of the within-vehicle air quality for a given air quality value, however the applicability of the method provides an indication of within-vehicle 468 469 exposure without the need for directly-outside measurement. The ML predictions would have been 470 more representative of the actual exposures in case where more information of the accurate 471 representation of the ventilation system, filtration and air exchange, vehicle number and fleet 472 composition were available.



474

Figure 5. Comparison of within-vehicle ML modelled and measured species. For the learning of the ML
model, a median within-vehicle level from all vehicles and hourly outdoor air quality measurements
were used.

478

479 **4 Comparison with other studies and limitations**

The study investigated in-vehicle air pollution exposure with novel complementary modelling techniques using mass balance and machine learning approaches. Studies that used ML algorithms to predict in-vehicle air quality typically used low-cost sensors to calculate an air quality index that involved CO₂ and PM_{2.5} and tested the performance of supervised ML algorithms against traditional regression techniques and deep-learning techniques (Sukor et al., 2022; Goh et al., 2021). Similarly,

485 Lohani et al., 2022 compared traditional auto-regressive integrated moving average (ARIMA) and ML 486 support vector regression (SVR) to investigate their performance against in-vehicle CO₂ levels. Chung 487 and Kim, (2020), developed an anomaly detection system inside cars based on ML algorithms to 488 prevent fatigue and drowsiness due to CO_2 and reduction in $PM_{2.5}$ exposures. Baldi et al., (2022), 489 measured the performance of several ML algorithms against observations of PM₁₀, PM_{2.5}, PM₁, CO₂ 490 and formaldehyde and found good results. Our study, apart from the application of ML to predict in-491 vehicle exposures, it offered novel expansion upon real-world applications with the implementation 492 of air quality data from nearby monitoring sites. Several MB models have been reported for the 493 prediction of within-vehicle concentrations of air pollutants, albeit focusing on different aspects of the 494 problem, for example the models of Hudda et al., (2012); Knibbs et al., (2010) or Xu and Zhu, (2009). 495 The model developed by Hudda et al., 2012, used measured data from a large number of vehicles and 496 multi linear regression approaches and generalized estimating equations to estimate within-vehicle 497 concentrations of UFP, while the models of Knibbs et al., (2010) and Xu and Zhu, (2009) are mass-498 balance based models. The differential equations applied in this work build on the mass balance 499 studies of Knibbs et al., 2010 and Xu and Zhu, (2009), with some modifications in the equations, 500 including incorporation of key aspects of chemical processing. The reason for the difference in some 501 modelled vs observed levels is likely due to values such as deposition coefficients, filtration efficiency 502 and penetration factors were taken from literature and often from experiments conducted in houses 503 which are larger volumes than vehicle cabins and do not reflect actual within-vehicle values. Another 504 reason might be due to our simplified approach of not having a speed dependent pressure difference 505 penetration factor. As highlighted in Lee et al., (2015a), those factors depend on the combined effects 506 of the ventilation conditions (i.e., ventilation mode and fan settings) and the aerodynamic changes on 507 the vehicle envelope (i.e., driving speed and vehicle shapes) which have not yet been incorporated in 508 this model. It should be further noted that the importance of physical air exchange processes of the 509 outside measurements often dominate comparing to the other indoor sinks and when a rapid change 510 of the outdoor concentrations (i.e. vehicle overtaking, high emitters etc) occurs it has implications for 511 the modelling of within-vehicle NO and NO₂. This is likely the reason that the model underpredicts the 512 high levels of within-vehicle NO₂.

The current MB model and methodology likely has limitations in the prediction of other more reactive species within-vehicles, where chemical processing is more important (relatively) to ingress and deposition and needs to be considered for those species; this also implies a more sophisticated treatment of physical conditions (including photolysis frequencies). The MB model assumes a wellmixed (within-vehicle) microenvironment, which may not reflect reality. Furthermore, the MB and ML models are dependent upon the initial parameters (e.g. vehicle characteristics, fan power and other

519 within-vehicle parameters to build the model) and therefore they might be case-dependent and their 520 applicability needs to be tested in other cases. In the model the leakage rate/passive ventilation was 521 calculated using the equations of Hudda et al., (2012). However, since that method uses generalized 522 regression models based on vehicle age, driving speed, and fan strength, the method may impose 523 uncertainty across different vehicle models and other approaches to calculate the leakage 524 flow/passive ventilation, for example based on the pressure difference (Lee et al., 2015b), or using an 525 explicit CO₂ tracer, may be tested for suitability. Engine/fuel leaks can generate gaseous and 526 particulate pollution and other organic gas compounds such as, benzene, toluene, xylene, and methyl-527 tertiary butyl ether (Faber et al., 2013; Fedoruk and Kerger, 2003; Jo and Park, 1998; Duffy and Nelson, 1997) that can enter the interior of the vehicles via the ventilation system. This source is not currently 528 529 included in the model of this study. Finally, carcinogenic/toxic species such as volatile organic compounds which are released from plastics and fabrics on exposure to sunlight and heat (Yoshida 530 531 and Matsunaga, 2006, You et al., 2007) and heterogeneous surface reactions or reactions of peroxy radicals with NO, can play a role in the within-vehicle chemistry and improve NO₂ predictions. The 532 533 model currently is limited in omitting representation of such detailed chemistry, secondary aerosol 534 formation and other particle physics processes.

535 5 Implications

The modelling methodology presented here can be developed into a useful tool that can be used by policymakers in order to estimate the air pollutant concentration levels inside vehicles. The approach presented here for the use of machine learning algorithms to predict within-vehicle exposure, showed promising applicability elsewhere and for different species.

The use of ambient monitoring data (rather than adjacent-to-vehicle measurement) to predict within-vehicle concentrations gave promising results highlighting that within-vehicle exposure can be estimated from existing air quality "infrastructure", and modelling techniques such as those presented here can be applied to estimate the associated health risks.

544 Future work should focus on developing more comprehensive exposure predictive models for 545 car passengers. These models will need to account for various driving conditions (e.g., urban and motorway driving), driving durations, passenger characteristics (e.g., differing breathing rates, 546 547 metabolism, sex, weight), and pathways for pollutant infiltration and penetration, including the 548 assessment of potential in-cabin sources like engine leaks. Such information will be critical for the 549 application of air quality management policies and new technologies such as within-vehicle air 550 purifiers or high selectivity air cabin filters to reduce air pollution exposure. In conclusion, our study presents a novel method to predict within-vehicle air pollution exposure, which has far-reaching 551 implications for public health and environmental research. The study has successfully demonstrated 552

the effectiveness of the approach in providing real-time exposure estimates and mapping. We believe

that this work serves as a foundational contribution to the field of real-time air pollution exposure

assessment, offering a path towards cleaner and healthier urban environments. While our study is a

significant step forward, we acknowledge that further research is essential to refine our approach and

557 enhance its accuracy.

558

559 Data availability

560 The data presented in this study are available from the corresponding author upon reasonable 561 request.

562

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569

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Journal Pre-proof

- Development of a mass-balance and a machine learning model for within-vehicle exposures
- Both models demonstrated good predictions of observations apart from an underestimation in UFP and LSDA.
- The ML model predictions were as good as the MB model for most of the species and improved for NO₂.
- Use of air quality monitoring data provides new capabilities for within-vehicle exposure predictions

Journal Prevention

Declaration of interests

⊠The authors declare that they have no known competing financial interests or personal relationships that could have appeared to influence the work reported in this paper.

□ The authors declare the following financial interests/personal relationships which may be considered as potential competing interests:

