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A framework for Air Quality Management Zones - useful GIS-based tool for urban planning: Case studies in Antwerp and Gdańsk

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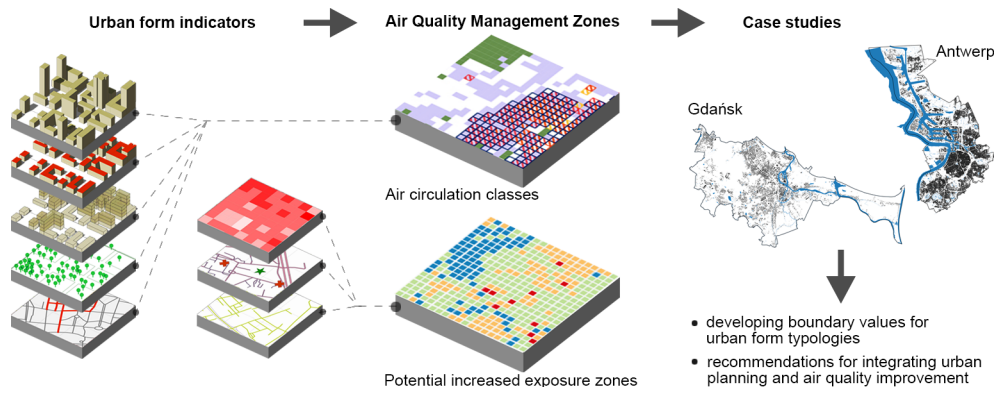
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# 1 **A framework for Air Quality Management Zones - useful GIS-based tool for urban planning:**

## 2 **Case studies in Antwerp and Gdańsk**

3

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11

## 12 **Highlights**

- 13 - The concept of Air Quality Management Zones for urban planning is established
- 14 - It accounts for ventilation potential and human exposure to pollution
- 15 - It constitutes a practical tool based on municipal geospatial data and GIS analysis
- 16 - It is used to investigate two cities characterised by different urban morphologies
- 17 - Integrating urban planning and policy for air quality improvement is advocated

18

## 19 **Abstract**

20 There is a growing recognition of the importance of proper urban design in the improvement of air  
21 flow and pollution dispersion and in reducing human exposure to air pollution. However, a limited  
22 number of studies have been published so far focusing on the development of standard procedures  
23 which could be applied by urban planners to effectively evaluate urban conditions with respect to  
24 air quality. To fill this gap, a new approach for the determination of urban Air Quality Management  
25 Zones (AQMZs) was proposed and presented based on two case studies: Antwerp, Belgium and  
26 Gdańsk, Poland. The main objectives of the study were to 1) formulate a theoretical framework for  
27 the management of urban ventilation potential and human exposure to air pollution and to 2)  
28 develop methods for its implementation by means of a geographic information system (GIS). As a  
29 result of the analysis, the typologies that may be associated with decreased ventilation potential

30 and the areas that require close monitoring due to potential human exposure to air pollution were  
31 identified for both cities. It is advocated that delimiting these typologies – combined with  
32 investigating local climate, wind and topography conditions and air pollution characteristics – could  
33 constitute a preliminary step in the urban planning process aimed at air quality improvement. These  
34 methods can be further applied to other urban areas in order to indicate where detailed studies are  
35 required and to facilitate the development of planning guidelines. Moreover, the directions for  
36 further research and urban planning strategies were discussed.

37  
38 **Key words:**

39 Air quality management; urban ventilation; urban planning; urban morphology; GIS-based analysis  
40

41 **1. Introduction**

42 It is becoming evident that the issue of urban air pollution requires immediate solutions. Despite  
43 reductions in emissions of air pollutants, a significant proportion of European residents still live in  
44 places where the air quality standards defined by the experts from the World Health Organisation  
45 (WHO) are exceeded, which poses a threat to human health [1,2]. According to a recent extensive  
46 study, it is estimated that current levels of air pollution in Europe are leading to a decrease in the  
47 average life expectancy of over two years [3]. Therefore, improving air quality in urban areas is a  
48 subject of growing interest among researchers, urban planners and policy makers. Numerous  
49 studies have shown that urban morphology influences the process of atmospheric pollution  
50 dispersion, and although this phenomenon remains insufficiently explored [4], considerable  
51 advancements in this field have been made recently.

52 Despite the developments, the integration of theoretical findings with urban planning  
53 procedures is still insufficient. Local planning instruments offer good prospects for addressing  
54 environmental issues in a flexible, area-oriented approach [5], which is also related to ventilation  
55 and atmospheric pollution dispersion management. However, in order to integrate environmental

56 and urban planning, also to address air quality concerns, it is necessary to define area-specific  
57 objectives and to develop differentiated approaches adopted to the local conditions [6]. Therefore,  
58 the implementation of air quality improvement measures in spatial policies and planning decisions  
59 needs to be further examined [7]. Effective air pollution mitigation by urban planners and policy-  
60 makers requires appropriate procedures to quantify the urban structure [8–10], which will facilitate  
61 the development of area-specific policies.

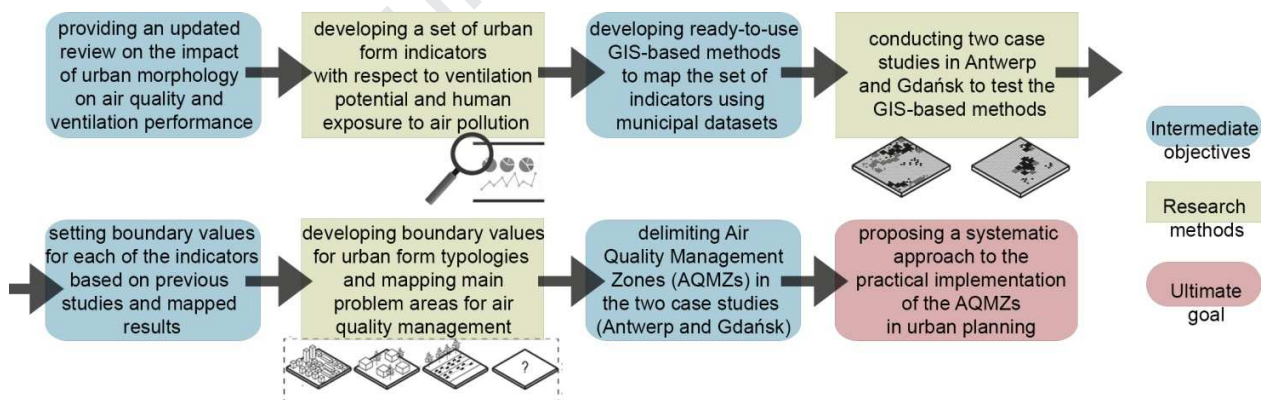
62 In this article the prospects of air quality management within the process of urban planning and  
63 spatial development were examined. The focus of this work was placed on combining the current  
64 knowledge of urban air quality management with the practice of urban planning in order to develop  
65 a practical decision support tool. Such a tool should be easily and quickly applicable by urban  
66 planners, informing them of the factors which are crucial for improving ventilation conditions and  
67 reducing human exposure to pollution. It should also allow them to delimit the main problem areas  
68 in terms of air quality management and to indicate where further local studies are needed.  
69 Moreover, the parameters of the urban form used in air quality studies, often conducted on  
70 idealised models, were referred to two existing cities' distinct urban typologies.

71 The analysis of morphological urban attributes, which impact the air flow within urban areas,  
72 has been already suggested as a vital tool to supplement systematic air flow studies [9]. He et al.  
73 [8] designed a study aimed at establishing a protocol for the determination of precinct ventilation  
74 zones, in which three main aspects are taken into account: urban form compactness, height of  
75 buildings, and patterns of streets. The study is an important contribution to the development of  
76 ventilation-performance-based urban planning. However, based on the literature review, it is  
77 evident that additional parameters should be taken into account in order to perform the evaluation  
78 of the urban structure for the purpose of urban air quality management. Thus, while the framework  
79 for the precinct ventilation zone system constitutes a valuable tool, there is a need to develop new  
80 methods for its practical application and to include new parameters which could be based on  
81 existing municipal data and geographic information system (GIS)-based analysis. This study was

82 aimed at filling this gap and further developing the presented morphology-based approach towards  
 83 urban air quality management.

84 In the initial stage a theoretical framework was formulated, aimed at developing a set of urban  
 85 form indicators connected with two main aspects: ventilation potential and potential human  
 86 exposure to air pollution. Then, calculation methods – ready-to-use by urban planners – and the  
 87 boundary values for each indicator were provided. These methods were tested by means of GIS-  
 88 based tools in two empirical case studies in Antwerp, Belgium and Gdańsk, Poland. The two cities  
 89 were selected for the analysis because they differ significantly in terms of their spatial structure.  
 90 Moreover, they also vary in terms of the characteristics of air pollution, the monitoring of it, and  
 91 mitigation strategies. Further indications to develop effective air quality management strategies for  
 92 these two cities were also drawn from interviews with local planners, decision-makers, and  
 93 academics. As a result, the main urban form typologies for air-quality-related issues were identified.  
 94 The ultimate objective was to propose a systematic approach towards air quality management  
 95 based on the morphology of urban areas (see Figure 1).

96



97

98

**Fig. 1.** The methodological approach used in this study

99

## 100 2. Development of the framework for Air Quality Management Zones

101 The concept of Air Quality Management Zones (AQMZs), proposed in this study, is related to  
102 the widely discussed urban climate zones – see, e.g., [11–13] – defined as areas with similar  
103 combination of factors that influence the local climate, e.g., altitude or urban geometry. However,  
104 local modifications in climatic conditions still occur within these zones. Similarly, the intention of this  
105 study was to designate zones with similar parameters of the urban form, which in turn have an  
106 impact on two main factors: ventilation potential (summarised in the air circulation classes) and  
107 human exposure to air pollution (summarised in potential increased exposure zones). The AQMZs  
108 can be an effective tool for the assessment of the morphological features of the urban form, which  
109 may affect these processes. Yet, the ventilation conditions or pollution concentration levels may  
110 vary within these zones, as they are affected by local conditions. The concept of AQMZs was  
111 developed based on a review of recent relevant studies. The most important factors for air quality  
112 management in relation to the parameters of the urban form were summarised, with an emphasis  
113 on the practical application of the reported results and on the suitability of particular indicators used  
114 in air quality studies for the practice of urban planning at the municipal scale.

115 The aim of the review was to develop a set of indicators of the urban form for the delimitation of  
116 AQMZs. The following criteria for choosing these indicators were pre-defined: the availability of  
117 resources and data, their versatility and simplicity of application. It was assumed that it should be  
118 possible to calculate the indicators with commonly available tools and standard municipal  
119 geospatial data, without the need to collect a large number of new datasets or to perform field  
120 inventories. Moreover, the intention was to provide a set of indicators applicable to various urban  
121 areas. Finally, the aim of this research was to develop tools which could be easily applied by all  
122 urban planners, within their knowledge and expertise. In the second stage of the study, GIS-based  
123 tools were used to map the selected indicators. Two case studies were then performed to confirm  
124 that the pre-defined criteria were met and that these indicators may be used for urban development  
125 and management of the city's parameters for the purpose air quality improvement.

## 126 **2.1. Air circulation classes**

127 There are many indications in the existing body of research that a dense matrix of buildings is  
128 strongly related to decreased ventilation potential [4,14,15]. On the contrary, a high proportion of  
129 open spaces or appropriately arranged ones (e.g., linked to create minor and major air pathways)  
130 can improve ventilation and the dispersion of pollutants accumulating in congested structures [16].  
131 Therefore, in order to enhance ventilation potential in high-density areas, it is beneficial to increase  
132 buildings' height while decreasing their footprint – as demonstrated in a study by Guo et al. [15].  
133 Based on these indications, the **plan area density** ( $\lambda_P$ ) indicator (the ratio between the footprint  
134 area of buildings and the site area) was included in the maps to account for urban structure  
135 compactness (also referred to as packing building density or site coverage ratio; see, e.g., [17,18]).

136 Another factor to consider is the buildings' 3-dimensional structure. For example, Yang et  
137 al. [19] established that the wind velocity ratio can increase even by 7%–8% when the locally  
138 applied indicator – sky view factor (the ratio of visible sky to the overlying hemisphere in a sky view  
139 image from a given point) – is increased by 10%. Ventilation potential was also investigated using  
140 an indicator based on the building frontal area (frontal façade facing the wind), referred to as frontal  
141 area density or the frontal area index [17,18]. However, this indicator is dependent on the local  
142 wind conditions and is unsuitable for a municipal scale. The particular indicator included in the  
143 maps of air circulation classes is **gross floor area ratio** ( $\lambda_{GFA}$ ), being the most straightforward to  
144 calculate using basic municipal data (also called floor area ratio, the ratio between the buildings'  
145 gross floor area and the site area; see, e.g., [20,21]).

146 Another important factor affecting urban ventilation potential is the variation in building  
147 height, which can generally be associated with improved overall ventilation conditions. For  
148 example, Lau and Ngan [22] established that the effect of fresh air entrainment increases by  
149 approx. 80% in case of non-uniform models and the capability of pollutants removal increased by  
150 app. 30% when building height varies 33%. However, a study by Chen et al. [17] suggested that  
151 this phenomenon may be more complex, since improved ventilation around taller buildings was  
152 observed, but it worsens around neighbouring lower ones due to a shelter effect. Although this



153 connection remains incompletely explored, there are clear indications that this factor should be  
154 included in the urban morphological analysis with respect to ventilation potential. **Height variability**  
155 ( $\sigma_H$ ), calculated as the standard deviation of buildings height, was therefore included in the maps of  
156 air circulation classes.

157 The geometry of street canyons, a fundamental component of the urban tissue, has a  
158 particular impact on the accumulation of various atmospheric pollutants, especially traffic-related  
159 ones. This effect is especially severe in high-density cities, where the width-to-height (W/H) ratio of  
160 a street canyon) is very low [23]. The relationships between this indicator and ventilation potential  
161 or pollution dispersion have been investigated in many local studies by means of numerical  
162 modelling or simplified parametric modelling (see, e.g. [24]). Therefore, identifying the location of  
163 street canyon geometries at the scale of the entire municipality is indispensable to air quality  
164 management strategies. The mapped distribution and proportions of street canyons are included in  
165 the air circulation classes in the form of the **street canyon density** ( $\sigma_{sc}$ ) indicator, which was  
166 newly developed for the purpose of this study and is calculated as the ratio between total length of  
167 street canyons and the site area, based on the commonly-used road density indicator.

168 Finally, trees, often omitted in ventilation studies due to their low frontal area in comparison  
169 with buildings [25], were considered. They constitute an aerodynamic barrier, reducing wind speed,  
170 so their arrangement should be considered in urban planning [26]. It is especially important in  
171 street canyons due to the observed disturbance of flow and the reduction in wind speed [27].  
172 Therefore, an indicator which can be easily computed with the available datasets was included  
173 within the air circulation classes – **tall vegetation area density** ( $\lambda_{TV}$ ) – also referred to as urban  
174 tree cover [28] and calculated as the ratio between the tall vegetation cover and the total site area.

## 175 **2.2. Potential increased exposure zones**

176 Growing attention in the current research agenda is paid to evaluating personal exposure to  
177 pollution, also due to new techniques and tools allowing for more accurate estimations based on  
178 the spatial–temporal characteristics of air pollution and human mobility patterns [29]. However,

179 detailed census data is not always available or it can be difficult to accurately measure [30]. In such  
180 a case, urban function and infrastructural parameters can serve only as a proxy rather than as  
181 actual human exposure indicators [31], although this relationship is not easily parameterised. To  
182 account for this aspect, increased exposure zones were added to the analysis.

183 Frank and Engelke [32] shown that increased residential density not only exacerbates traffic  
184 congestion, but also increases human exposure to harmful emissions. Therefore, **the gross floor**  
185 **area ratio for residential and commercial functions ( $\lambda_{RC}$ )** was taken into account as a proxy to  
186 estimate potential increased exposure to air pollution.

187 Not only dense residential or commercial areas are related to increased exposure to air  
188 pollution, but so are specific urban functions which bring together vulnerable segments of the  
189 population such as schools, nursing homes, and hospitals. Various studies have been conducted  
190 on schools as a function related to groups which are vulnerable to pollution. For example, a study  
191 by Van Brusselen et al. [33] showed that within a 500-m perimeter of the ring road in Antwerp,  
192 where increased pollution levels were measured, 55 schools, hospitals, and nursing homes were  
193 located. However, no study for the entire city of Antwerp or Gdańsk was conducted. For this study,  
194 **the plan area density for urban functions related to groups vulnerable to air pollution ( $\lambda_{UF}$ )**  
195 (the ratio between the footprint area of buildings containing relevant functions and the total site  
196 area) was used. Schools, educational facilities, hospitals and nursing homes were included.

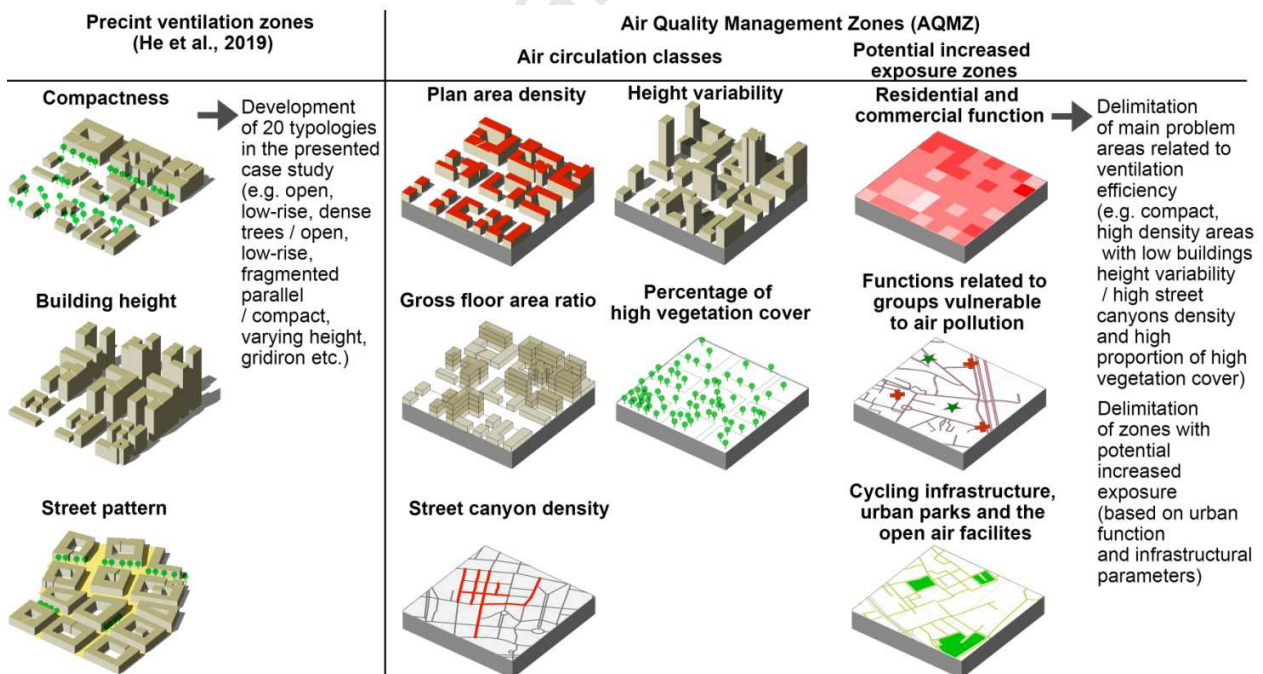
197 Active travel (cycling and walking) should also be taken into account, especially when it  
198 takes place in the proximity of traffic-related emissions, depending on the type of road and the  
199 traffic intensity [34]. Studies by Tainio et al. [35] and de Hartog et al. [36] indicated that air pollution  
200 may reduce the health benefits of active travel, though in most urban environments the benefits of  
201 active travel outweighed the detrimental effects of exposure to air pollution. Due the fact that it is  
202 time-consuming and expensive to map movement patterns on a large scale, this study focused on  
203 mapping the cycling infrastructure as a proxy related to the higher amount of cyclists and other  
204 users. Therefore, another indicator was included in the potential increased exposure zone map:

205 **cycling infrastructure density ( $\sigma_c$ )**, the ratio between the total length of the cycling infrastructure  
 206 and the site area. This parameter might be an aid in municipal infrastructural decisions, also  
 207 regarding reductions in traffic intensity, and – when linked with mapped traffic intensity – can lead  
 208 to interesting results.

209 Carlisle [37] reviewed a wide range of ambient air pollutants and their potential impact on  
 210 the health of outdoor athletes or exercisers. The study suggested avoiding roads with high traffic  
 211 intensity for outdoor activities. Therefore, outdoor sports facilities and parks were mapped in the  
 212 study, expressed by the **urban parks and outdoor facilities area density ( $\lambda_{PO}$ )** (the ratio between  
 213 the floor area with urban parks and outdoor facilities and the total site area) as a proxy for  
 214 increased human outdoor activity, and so, a potential increased exposure to air pollution.

215 The final set of indicators included in the concept of AQMZs, compared with the indicators  
 216 used by He et al. [8] is shown in Figure 2.

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218

219 **Fig. 2.** The set of indicators for precinct ventilation zones and the Air Quality Management

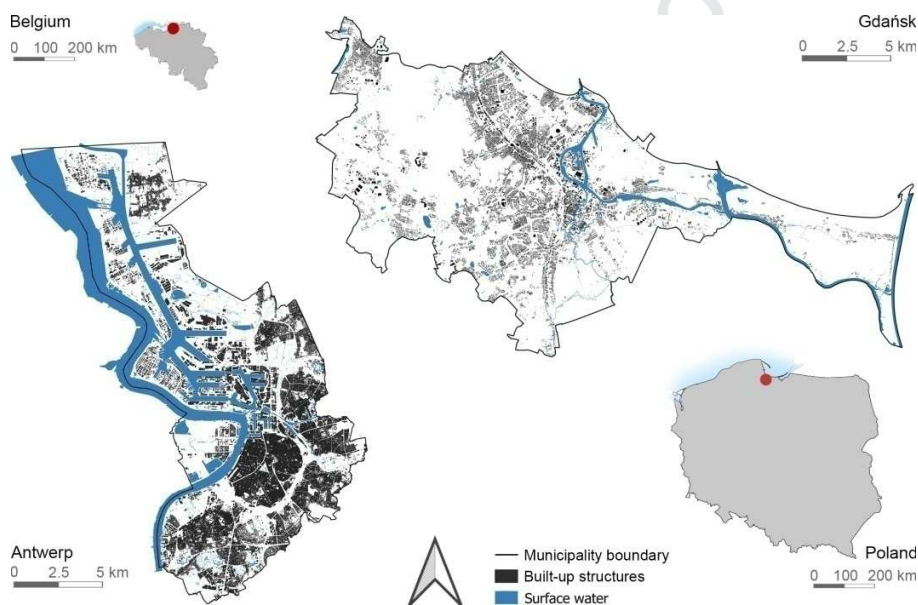
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Zones (AQMZs)

### 221 3. Air Quality Management Zones in application

#### 222 3.1. Study areas

223 Two cities were selected for the comparative study to test the applicability of the chosen  
 224 indicators: Antwerp, Belgium and Gdańsk, Poland (see Figure 3). Antwerp (51.22° N, 4.40° E), the  
 225 Belgian city located on the River Scheldt and connected to the North Sea, manages one of the  
 226 biggest ports in Europe. It covers an area of 204.5 km<sup>2</sup> and has a population of over 520,000  
 227 residents. Gdańsk (54.35° N, 18.65° E), a Polish city on the Baltic coast, manages the largest  
 228 seaport in Poland. It covers an area of 262 km<sup>2</sup> and has a population of over 460,000 residents.

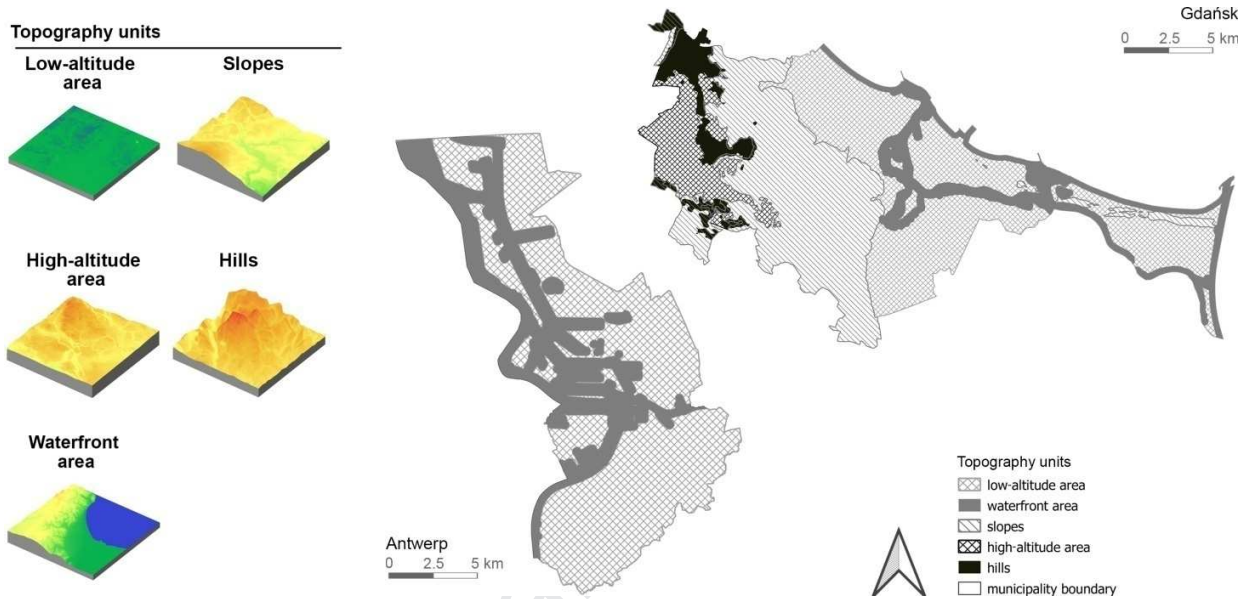


229 **Fig. 3.** The locations of the study areas: Antwerp, Belgium and Gdańsk, Poland

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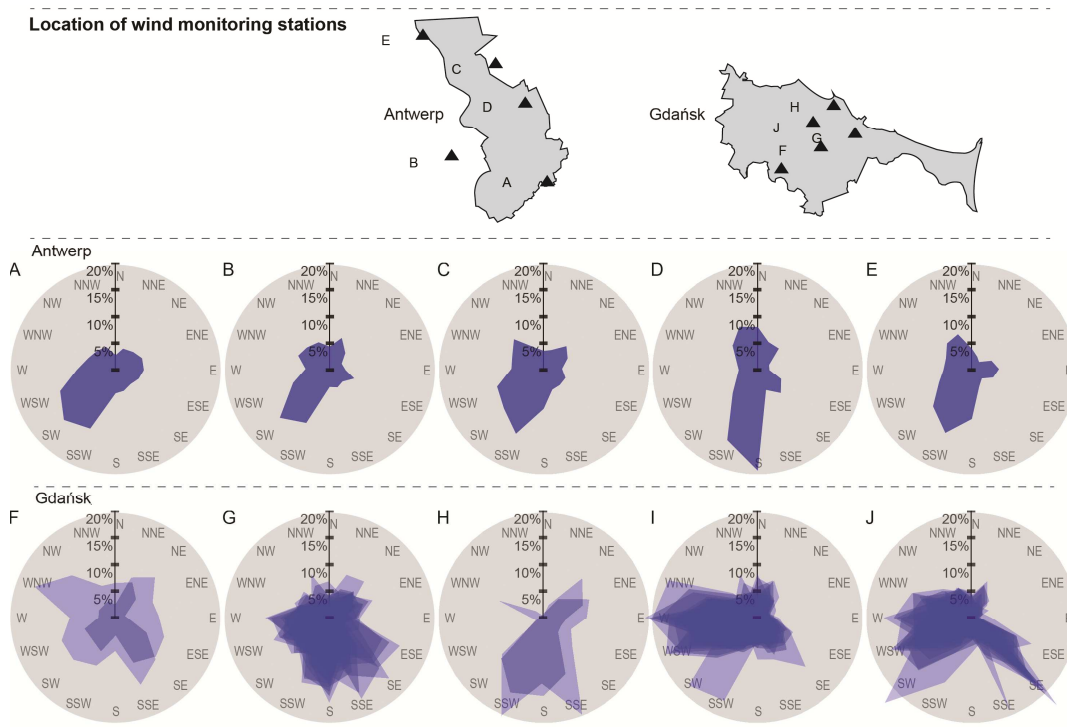
232 The determination of topography units was performed using available digital elevation  
 233 models for Antwerp and Gdańsk, with reference grids of 25 m and 100 m, respectively (retrieved  
 234 from the Departement Omgeving [38] and from the Head Office of Geodesy and Cartography [39]),  
 235 using a methodology for topography analysis adopted from Alcoforado et al. [11] (see Figure 4).  
 236 Additionally, waterfront units were also distinguished, adopting a 200-m border from the banks of  
 237 rivers and surface waters, given the crucial role of waterfront sea and land breezes in city

238 breathability [16]. In Antwerp, a low-altitude zone prevails with very small and dispersed sloped  
 239 areas. In Gdańsk, the topography is more complex, with all of the predefined units identified. In  
 240 Antwerp the waterfront unit covers a significant proportion of the municipality (approx. 33%),  
 241 whereas in Gdańsk it is approx. 14%.



242  
 243 **Fig. 4.** Antwerp and Gdańsk – mapped topography units  
 244

245 Existing wind and air quality conditions were also analysed for the two cities. The wind roses  
 246 indicate a clear prevailing wind direction for Antwerp from 180° to 247.5° (southerly and west-  
 247 southwesterly) with an average yearly wind speed of 4.12 m/s (measured at Antwerp Airport from  
 248 2001 to 2019). In Gdańsk, there are predominantly southerly, southwesterly and westerly winds  
 249 with an average yearly wind speed of 2.6 m/s (measured at Gdańsk Stogi Station in 2018). The  
 250 location of monitoring stations and yearly wind roses are presented in Figure 5 (data retrieved from  
 251 Windfinder [40] for Antwerp and from ARMAAG Foundation [41] for Gdańsk).



**Fig. 5.** Wind roses for Antwerp (2001–2019) and Gdańsk (2000–2017)

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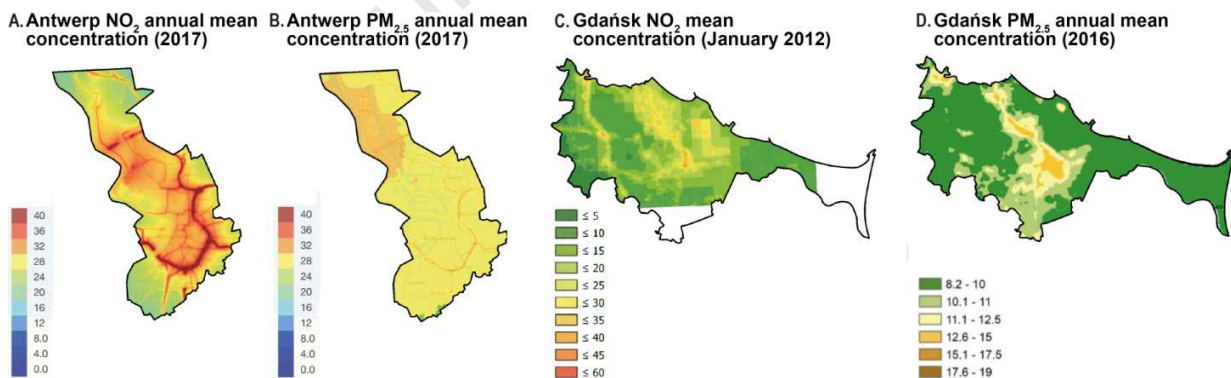
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Antwerp is one of the cities with the highest loss of life expectancy due to air pollution in Europe [42]. Air quality studies have shown a strong focus on traffic-related pollution [43,44]. However, a study by the Flemish institute for technological research (VITO) [43] showed that more than 70% of the particulate matter (PM) concentration can be allocated to sources outside the country's borders. In Antwerp, a large-scale measurement campaign revealed high levels of  $\text{NO}_2$  ( $50\text{--}60 \mu\text{g}/\text{m}^3$ ) in the city centre, raising awareness of air pollution [44]. The data was used to validate the results of air quality modelling by the Belgian Interregional Environment Agency (Ircel–Celine) and VITO [45]. The air quality models based on the ATMO-street model – already validated in two Belgian cities, Antwerp and Ghent – were made for  $\text{NO}_2$ ,  $\text{PM}_{2.5}$ ,  $\text{PM}_{10}$ , and black carbon (BC) concentrations [46]. The models indicate specific zones of high air pollution, pointing out the ring road and several street canyons as problematic areas where pollution concentration levels are higher than the European standards.

267 For Gdańsk, the issue is mainly with PM (especially PM<sub>10</sub>), emitted by the household sector and  
 268 traffic. High PM concentrations are also connected with high levels of benzo(a)pyrene [41].  
 269 According to recent reports, a long-term trend of exceeding the maximum 24-hour concentration of  
 270 both PM<sub>10</sub> and benzo(a)pyrene occurs in many districts, despite recent mitigation measures [47].  
 271 The air quality models are carried out by different research institutes. Paciorek [48] used CALPUFF  
 272 dispersion modelling for NO<sub>2</sub>, SO<sub>2</sub>, and PM; however, the model was not validated by in situ  
 273 measurements. Another model was made by Ramacher and Karl [49] for NO<sub>2</sub> levels, based on a  
 274 CityChem simulation and validated by measurements of the eight measurement stations in  
 275 Gdańsk, but not by on-site measurements. Although these models lack clear validation, similar  
 276 spatial patterns can be found. Both show an increase in air pollution concentration levels in the  
 277 proximity of the main road and in the city centre.

278 Maps based on the above-mentioned air pollution models are presented in Figure 6.  
 279 Conclusions should be drawn carefully from comparison of these maps, since the colour codes  
 280 related to air pollution levels differ from map to map.

281



282

283 **Fig. 6.** Modelled air quality maps: (A and B) modelled NO<sub>2</sub> and PM<sub>2.5</sub> concentrations for  
 284 Antwerp, (C and D) modelled NO<sub>2</sub> and PM<sub>2.5</sub> concentrations for Gdańsk

285

### 286 3.2. Data sources

287 The geospatial datasets were retrieved from the Databank Ondergrond Vlaanderen (DOV)  
288 database for Antwerp [38] and provided by the Head Office of Geodesy and Cartography in Poland  
289 on an individual request for Gdańsk. Additional data on the cycling infrastructure and outdoor  
290 facilities was collected from the Opendata Geoportal of the city of Antwerp [50] and the cycling map  
291 available from the Gdańsk city portal [51]. Moreover, further information was also sought from local  
292 planning documents or air quality plans and reports.

### 293 **3.3. Grid selection**

294 Open-source QGIS V.3.6.0 software was used in the study. In order to delimit different zones  
295 with common features, a grid approach was applied. Recent studies showed that the grid size is  
296 related to the size of the study area and the desired accuracy. At a city scale, Smith [52] used a  
297 squared, 500 x 500 meter grid to illustrate the office floor space density for the city of London. In  
298 order to get detailed insight into global population density, Freire et al. [53] used a 250 x 250 meter  
299 grid. Since this GIS analysis aimed to map Air Quality Management Zones at the a city scale, a grid  
300 size of 200 x 200 meters was applied (see Appendix A, Figure A1). To calculate each indicator, the  
301 relevant input layer was intersected with the grid layer, which allowed unique grid IDs to be  
302 assigned to the elements (or their parts) located within a particular grid cell.

### 303 **3.4. Air circulation classes in application**

304  $\lambda_P$  was calculated for each grid cell, using the *Group Stats* QGIS tool. The information on the  
305 plan area was available in the municipal layers with buildings. The unique cell ID was used as an  
306 additional filter to obtain the sum of the total plan area of buildings for each grid cell. The calculated  
307 values were then added as an additional field for the grid layer and divided by the grids surface.  
308  $\lambda_{GFA}$  was calculated using the same approach. New information on the gross floor area was added  
309 to the layer by multiplying the total plan area by the number of buildings floors. It is important to  
310 note that corresponding data on buildings' height was not available in both cases. In Antwerp more  
311 accurate data on buildings heights is available. However, in Gdańsk only the number of floors is  
312 indicated so an approximation of the building's height was used to obtain the missing data (number



313 of floors multiplied by 3.5 m). Then  $\sigma_H$  was calculated using the standard deviation of the height of  
314 all buildings for a given grid cell ID with the use of *Group Stats* tool.

315 Detailed mapping of the street canyons (enclosed streets with a W/H ratio of <1.4) was first  
316 conducted to obtain  $\sigma_{sc}$  with an accuracy of 5 m. The input layers for this analysis included layers  
317 with buildings (for buildings heights) and road infrastructure (for the central axes for every street).  
318 Each street axis was divided into 5-m segments. For every segment, the perpendicular distance to  
319 the nearest facade was calculated on both sides of the axis by using the *Intersect* tool in QGIS to  
320 retrieve the buildings' height associated with each segment. Thus, the W/H ratio could be  
321 determined, resulting in a detailed street canyon map (see Figure 7). This street canyon analysis is  
322 more detailed than the one conducted by the Department of Environment in Flanders [54] where  
323 the W/H ratio was calculated for an entire street.  $\sigma_{sc}$  could then be calculated for a given grid cell  
324 ID using the *Group Stats* GIS tool.

325  $\lambda_{TV}$  was also calculated using the *Group Stats* tool. The municipal layers with greenery were  
326 used for input data. In Gdańsk a separate layer with areas covered with tall vegetation was  
327 available, which made it possible to calculate the sum of their total plan area for each grid cell  
328 using the *Group Stats* QGIS tool. However, for Antwerp an additional step was required due to the  
329 lack of vector layers. A raster file including the following areas was used as input: tall vegetation,  
330 low vegetation, agricultural areas, lack of vegetation or lack of data. In order to extract the areas  
331 with tall greenery and to obtain their surface, a point layer was created with a reference grid of 10  
332 m. By using the *Add Raster Values to Points* QGIS tool, all points located within the tall vegetation  
333 clusters (characterised by the colour assigned to tall vegetation) were determined. By doing this,  
334  $\lambda_{TV}$  could be estimated as a percentage of the number of points within the high vegetation area to  
335 the total amount of points (400) in every grid cell (see Figure 8). All of the mapped indicators for air  
336 circulation classes are shown in Appendix A, Figure A.1.

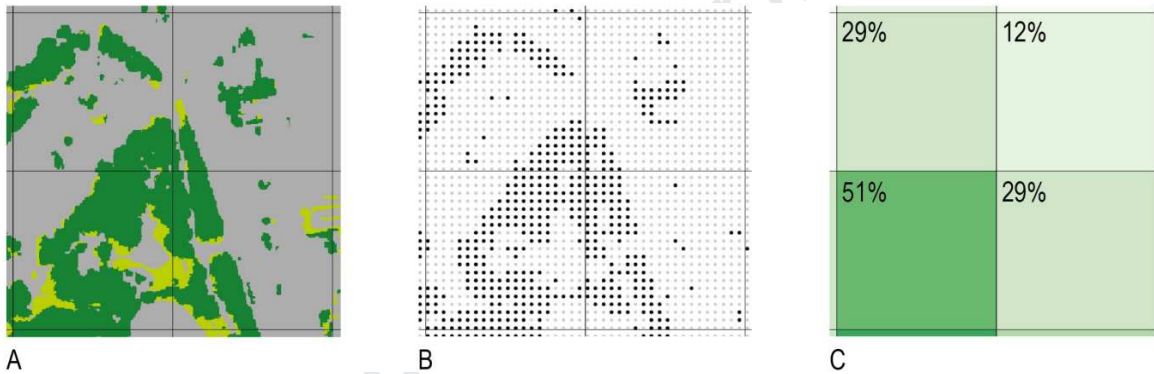
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338

339 **Fig. 7.** (A) the available data layers on building geometry and street axes and (B) the calculation of  
 340 the W/H ratio and the designation of every street segment of 5 m with a W/H ratio lower than 1.4

341



342

343 **Fig. 8.** The approach to calculate tall vegetation area density in Antwerp: (A) the input raster layer  
 344 (B) the point vector layer (C) the finally obtained results

345

### 346 3.5. Identification of potential increased exposure zones

347 A similar approach was adopted for  $\lambda_{RC}$  as for  $\lambda_{GFA}$  but only buildings with the required  
 348 residential and commercial functions were extracted from the layer based on the attributes  
 349 assigned to each building. For  $\lambda_{UF}$  and  $\lambda_{PO}$  a similar approach was adopted as for  $\lambda_P$ , and again  
 350 only buildings and facilities with the required functions, according to each case, were extracted. It is  
 351 important to note that due to the lack of corresponding data, municipal layers were supplemented  
 352 by other data sources. The layers for urban parks and outdoor facilities were collected using data

353 from the Opendata Geoportal of the city of Antwerp [50]. Relevant information for Gdańsk was  
354 extracted of the following geospatial layers in the municipal datasets: (1) sports and recreational  
355 complexes, (2) sports infrastructure as well as (3) various forms of low greenery. The indicators  
356 were subsequently calculated for each grid cell, using the unique cell ID and the *Group Stats* tool.  
357 For  $\sigma_c$ , the total bicycle infrastructure length per grid cell was calculated using the *Group Stats* tool.  
358 Next,  $\sigma_c$  was determined by calculating the ratio of the total length of bicycle infrastructure in every  
359 grid, using the unique cell ID and the *Group Stats* tool. The cycling infrastructure was collected  
360 using data from the Opendata Geoportal of the city of Antwerp [50]. In case of cycling infrastructure  
361 for Gdańsk, some of the cycling routes were mapped within the municipal datasets. Additionally,  
362 the cycling map available from the Gdańsk City Portal [51] was used. All of the mapped indicators  
363 for potential increased exposure zones are presented in Appendix A, Figure A.1.

#### 364 **4. Results – boundary values for the AQMZs typologies**

365 Further categorisation of urban form indicators was conducted by determining boundary values  
366 to create sample typologies for the main problem areas. It is important to note, however, that the  
367 boundary values should be reconsidered and adjusted in order to be applied for the morphology of  
368 high-density metropolitan cities [8].

##### 369 **4.1. Air circulation classes: boundary values**

370 The following  $\lambda_p$  can be found in studies by Mei et al. [18] and Chen et al. [17]: 25% for  
371 medium and 44% for compact urban development. Although in both cities the maximum  $\lambda_p$  exceed  
372 95%, in the municipality of Gdańsk only approx. 1.9% of the total area ranges between the above-  
373 mentioned  $\lambda_p$  of 25% and 44%, while in Antwerp approx. 15% does so. In another study the lowest  
374  $\lambda_p$  of 4% was applied, defined as ‘almost isolated buildings’, and the  $\lambda_p$  of 44% was also used to  
375 define dense structures [55]. Therefore, the threshold for medium density  $\lambda_p$  was lowered to 15%.

376 In a study by Wang et al. [56], three values of plot ratio (here  $\lambda_{GFA}$ ) were used: 3, 5, and 8.  
377 The maximum value calculated for Antwerp is 8.9, but areas with a  $\lambda_{GFA}$  of more than 5 cover less  
378 than 0.3% of the municipal area. For Gdańsk these values are 5.8 and 0.1%, respectively.

379 Therefore, 3 and 1 were selected as boundary values for high- and medium-density development.  
380 Additionally, the boundary value of 1 was introduced for low densities.

381 Hang et al. [57] and Chen et al. [17] investigated idealised building array models and shown  
382 that the flow rate increases with the increase of building height variability. In studies of existing  
383 cities, the standard deviation of the height of the roughness elements ranged from 2.9 m to 12.7 m  
384 for various urban structure typologies in the high-density city of Hong Kong [58], or from 5.6 m even  
385 up to 83.6 m for downtown Houston districts [59], but in the latter case values from 13.9 m to 29.2  
386 m were obtained for other districts. The standard deviation of buildings height obtained in the  
387 analysis for the entire municipality was 5.95 m (with relative standard deviation of 58.7%) for  
388 Antwerp and 5.42 m (68.7%), for Gdańsk. The following values of  $\sigma_H$  were adopted based on an  
389 approximation of a single floor height: low below 3.5 m, medium between 3.5 m and 10.5 m, and  
390 large for above 10.5 m.

391  $\sigma_{sc}$  is a new indicator developed for the purpose of this study, so there are no reference  
392 values available in the literature. However, road density ( $\sigma_R$ ), expressed by the ratio between the  
393 total road length and the area, is commonly used. Therefore, the obtained values of  $\sigma_{sc}$  were  
394 referred to the average values of  $\sigma_R$  obtained for both cities: 8.15 km/km<sup>2</sup> in Antwerp and 9.96  
395 km/km<sup>2</sup> in Gdańsk. The total length of street canyons constitutes approx. 13.5% of the total road  
396 length in Antwerp, but only 0.9% in Gdańsk. Based on these values, the following classification of  
397  $\sigma_{sc}$  was adopted: 6.5 km/km<sup>2</sup> for high density (which constitutes approx. 80% of the average  $\sigma_R$  in  
398 Antwerp) and between 2.5 and 6.5 km/km<sup>2</sup> as medium density (approx. 30%–80%, respectively).  
399 The values below 2.5 km/km<sup>2</sup> were classified as low density.

400 In a study by McDonald et al. [60], the tree planting cover in West Midlands and Glasgow,  
401 UK was quantified between 1.1%–1.3% for dense urban and suburban areas and 2.0%–4.4% for  
402 less dense suburban areas. The areas with an average tree planting cover of 42.6% were  
403 classified as wooded. Based on this study, the  $\lambda_{TV}$  of over 40% was classified as high tree cover.  
404 Approx. 53% of the municipality in Antwerp and 39% of Gdańsk fall below this percentage, so the

405 medium threshold of 20% was adopted for medium  $\lambda_{TV}$  based on the average tree cover for the  
 406 Greater London Authority, as reported by Tallis et al. [61].

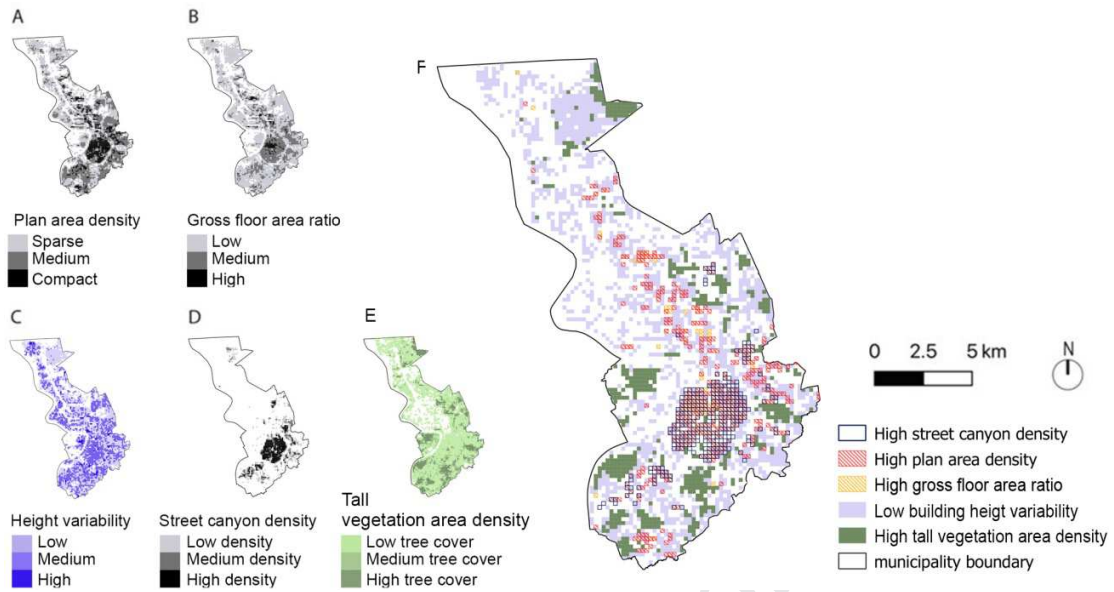
407 The final boundary values are listed in Table 1. Mapped results are shown in Figure 9 for  
 408 Antwerp and in Figure 10 for Gdańsk.

409

410 **Table 1.** The adopted boundary values of the air circulation class indicators for the AQMZs maps

Indicator				
plan area density ( $\lambda_P$ )	gross floor area ratio ( $\lambda_{GFA}$ )	height variability ( $\sigma_H$ )	street canyon density ( $\sigma_{SC}$ )	tall vegetation area density ( $\lambda_{TV}$ )
Sparse: <15%	Low-density: <1.0	Low: <3.5	Low-density: <2.5	Low tree cover: <20%
Medium: 15%–43%	Medium-density: 1.0–3.0	Medium: 3.5–10.5	Medium-density: 2.5–6.5	Medium tree cover: 20%–40%
Compact: >43%	High-density: >3.0	Large: >10.5	High-density: >6.5	High tree cover: >40%

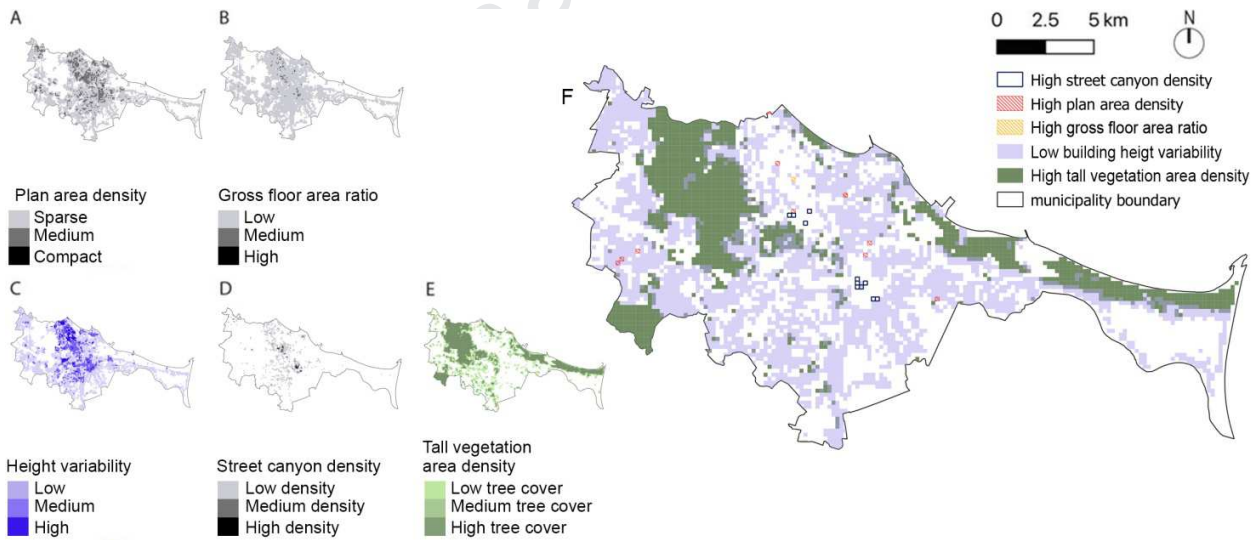
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412

413 **Fig. 9.** Antwerp – mapped air circulation classes: (A) – plan area density ( $\lambda_P$ ), (B) – gross floor area  
 414 ratio ( $\lambda_{GFA}$ ), (C) – height variability ( $\sigma_H$ ), (D) – street canyon density ( $\sigma_{SC}$ ), (E) – tall vegetation area  
 415 density ( $\lambda_{TV}$ ), (F) – final main problem area typologies

416



417

418 **Fig. 10.** Gdańsk – mapped air circulation classes: (A) – plan area density ( $\lambda_P$ ), (B) – gross floor  
 419 area ratio ( $\lambda_{GFA}$ ), (C) – height variability ( $\sigma_H$ ), (D) – street canyon density ( $\sigma_{SC}$ ), (E) – tall vegetation  
 420 area density ( $\lambda_{TV}$ ), (F) – final main problem area typologies

421

422 **4.2. Potential increased exposure zones: boundary values**

423 Because of the close similarity to  $\lambda_{GFA}$ , the same boundary limits were taken into account for  
 424  $\lambda_{RC}$ . For Antwerp,  $\sigma_C$  per grid cell varies from 0 to 2.88 km/km<sup>2</sup> and for Gdańsk from 0 to 4.85  
 425 km/km<sup>2</sup>. The analysis also revealed a  $\sigma_C$  of 2.65 km/km<sup>2</sup> for the entire area of Antwerp, which is  
 426 approx. one-third of the road density of Antwerp (8.15 km/km<sup>2</sup>). For Gdańsk, the calculated  $\sigma_C$  is  
 427 3.83 km/km<sup>2</sup>, which is about 38% of the overall road density (9.96 km/km<sup>2</sup>). The study for Flanders  
 428 showed density values for the bicycle network ranging from 0.50 to 3.05 km/km<sup>2</sup> [62]. A study for  
 429 Montreal, Canada showed different levels of density in different neighbourhood typologies,  
 430 indicating 8.08 km/km<sup>2</sup> for downtown areas, 4.22 km/km<sup>2</sup> for urbanised areas, and 3.24 km/km<sup>2</sup> for  
 431 the suburban region [63]. An average  $\sigma_C$  of 1.74 km/km<sup>2</sup> was calculated for 74 US cities, with a  
 432 minimum of 0.03 km/km<sup>2</sup>, a maximum of 18.67 km/km<sup>2</sup> [64]. Based on these studies, any density  
 433 lower than 0.80 km/km<sup>2</sup> was labelled as low  $\sigma_C$ . The boundary levels for medium  $\sigma_C$  were set to  
 434 0.80–4.40 km/km<sup>2</sup>-and for high  $\sigma_C$ , the boundary level was over 4.40 km/km<sup>2</sup>.

435 No relevant studies were found for  $\lambda_{UF}$  and  $\lambda_{PO}$ , so the calculated percentages were analysed.  
 436 The class division was automated with Microsoft Excel (V16.26). The histogram clearly indicated a  
 437 high amount (609) of relatively low percentages of  $\lambda_{UF}$  (0%-3.2%). A moderate frequency (212)  
 438 ranged from 3.2%–8.0%. From a  $\lambda_{UF}$  of 8%, the amount drops off strongly; therefore,  $\lambda_{UF} > 8.0\%$  is  
 439 labelled as high  $\lambda_{UF}$ . The same analysis was conducted for  $\lambda_{PO}$ , resulting in a high frequency (897)  
 440 of low percentages (0.0%–8.9%), a mediocre frequency (164) ranging from 8.9% to 17.8%, and a  
 441 low frequency (lower than 90) of  $\lambda_{PO} > 17.8\%$ .

442 The final boundary values are listed in Table 2. The mapped results are shown in Figure 11 for  
 443 Antwerp and in Figure 12 for Gdańsk. Four levels of potential exposure to pollution were delimited:  
 444 low, moderate, high and highest. The grid cells labelled 'low' are those with low levels for  $\lambda_{RC}$ ,  $\lambda_{UF}$ ,  
 445  $\sigma_C$ , and  $\lambda_{PO}$ . Once one or more of the indicators reaches the medium level the grid cell is labelled  
 446 'moderate' and once one of the indicators reaches a high level, the grid cell is labelled 'high'. A

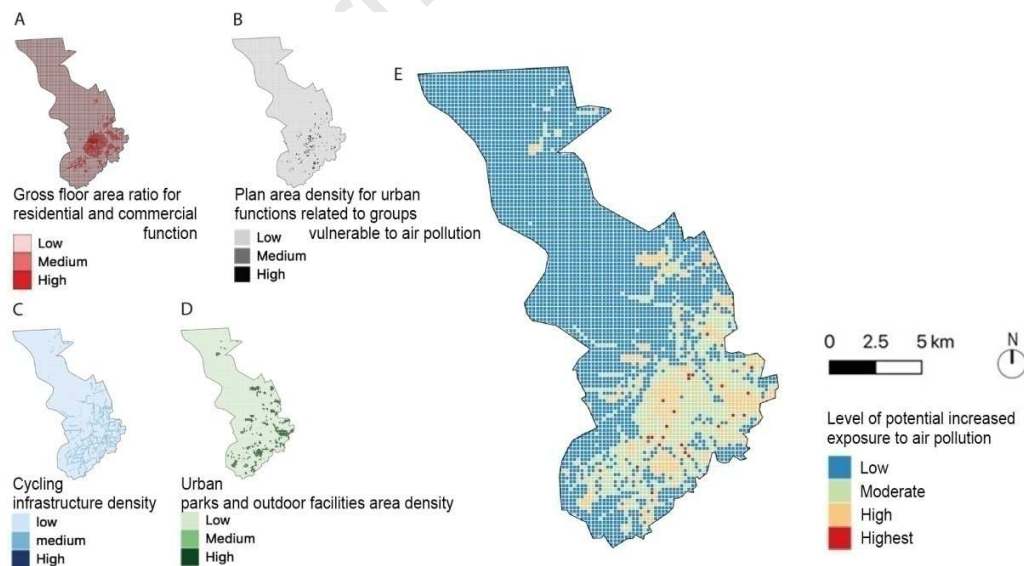
447 fourth level (highest) was added for the potential increased exposure zones. The grid cells labelled  
 448 'highest' are those where not one, but two or more indicators reached the high level.

449

450 **Table 2.** The boundary values of the increased potential exposure indicators for the AQMZs maps

the gross floor area ratio for residential and commercial functions ( $\lambda_{RC}$ )	plan area density for urban functions related to groups vulnerable to air pollution ( $\lambda_{UF}$ )	cycling infrastructure density ( $\sigma_C$ )	urban parks and outdoor facilities area density ( $\lambda_{PO}$ )
Low-density: <1.0	Low: <3.2%	Low: <0.80	Low: < 8.9%
Medium-density: 1.0–3.0	Medium: 3.2%–8.0%	Medium: 0.80–4.40	Medium: 8.9%–17.8%
High-density: >3.0	High: >8.0%	High: >4.40	High: >17.8%

451

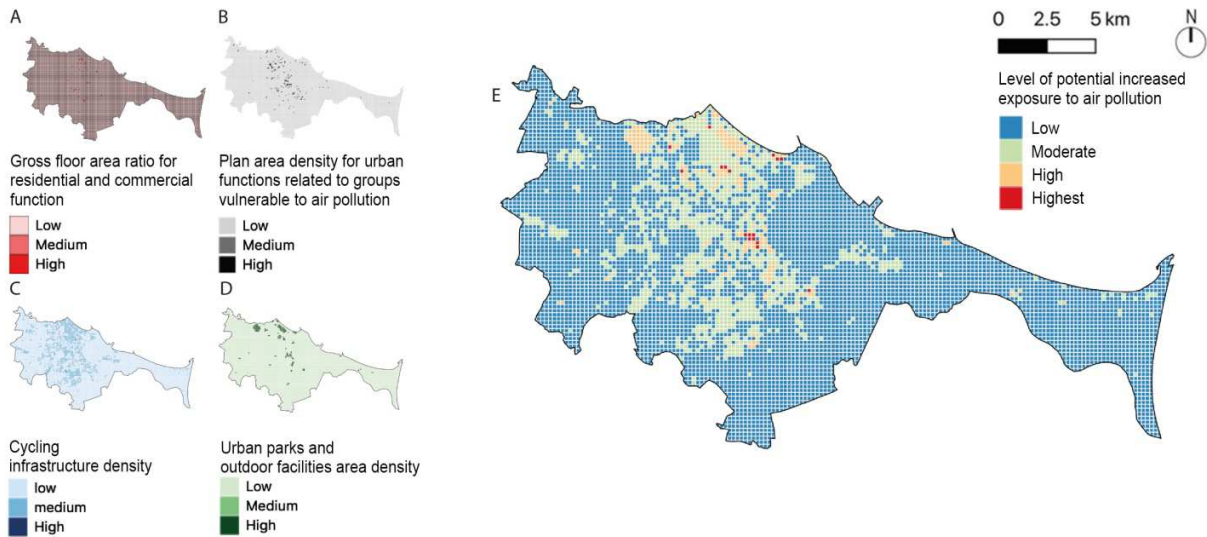


452

453 **Fig. 11.** Antwerp – mapped potential increased exposure zones: (A) – the gross floor area ratio for  
 454 residential and commercial functions ( $\lambda_{RC}$ ), (B) – plan area density for urban functions related to



455 groups vulnerable to air pollution ( $\lambda_{UF}$ ), (C) – cycling infrastructure density ( $\sigma_C$ ), (D) – urban parks  
 456 and outdoor facilities area density ( $\lambda_{PO}$ ), (E) – the merged map  
 457



458  
 459 **Fig. 12.** Gdańsk-mapped potential increased exposure zones: (A) – the gross floor area ratio for  
 460 residential and commercial functions ( $\lambda_{RC}$ ), (B) – plan area density for urban functions related to  
 461 groups vulnerable to air pollution ( $\lambda_{UF}$ ), (C) – cycling infrastructure density ( $\sigma_C$ ), (D) – urban parks  
 462 and outdoor facilities area density ( $\lambda_{PO}$ ), (E) – the merged map  
 463

## 464 5. Conclusions and recommendations

### 465 5.1. Summary of findings

466 AQMZs were proposed as a preliminary tool for delimiting the main problem areas in terms of  
 467 air quality management during the initial stage of policy development. The key conclusions from the  
 468 conducted study are as follows:

- 469 • The set of indicators meets the pre-defined criteria, which was confirmed by two case  
 470 studies. It was possible to calculate all the indicators with the available resources, although  
 471 in some cases municipal geospatial datasets were supplemented with additional open  
 472 source data. The method is applicable to different urban areas and allows for cross-

473 comparing the results. The indicators can be calculated with standard GIS-based tools  
474 which are already commonly utilised by urban planners.

- 475 • In the case of air circulation classes, Antwerp has low height variability and tall vegetation  
476 clusters are dispersed, indicating lower potential to form aerodynamic limits. The areas  
477 characterised by high  $\lambda_P$ ,  $\lambda_{GFA}$ , and  $\sigma_{sc}$  are located mainly in the historic centre and they  
478 should be given particular consideration when developing local design scenarios. Solutions  
479 to improve ventilation potential in these areas may include regulating the urban grid,  
480 buildings' arrangement and shapes, height variability or built density for new developments  
481 [65–67]. Moreover, implementing particular solutions within the existing structures can be  
482 considered, e.g., in street canyons, such as arcade design or half-open spaces [68,69].  
483 Planting new tall vegetation in the densely built-up inner city areas should be avoided or  
484 carefully considered in the course of air flow studies. Instead, other forms of urban greenery  
485 may be recommended such as green walls and green roofs [70–72].
- 486 • In Gdańsk, the built-up structures are more dispersed and less dense. Two main problems  
487 should be addressed and cautiously considered in the spatial development strategies: the  
488 low height variability of the built-up structures and large clusters of tall vegetation. The  
489 latter, together with the distribution of sloped areas can constitute significant aerodynamic  
490 limits (see, e.g., [11]) and should therefore be cautiously considered in the development of  
491 spatial strategies. The proposed solution is to develop an urban ventilation corridor plan to  
492 enhance air exchange and ventilation conditions in the inner city areas [73]. Many methods  
493 for identifying such ventilation corridors have already been developed, including or an GIS  
494 or integrated GIS and CFD approaches based on building frontal area index [25,74–76].  
495 Topography should be also included in this analysis [77], especially in the complex terrain in  
496 the discussed case scenario. Moreover, in the future more accurate indicators might be  
497 considered to account for the aerodynamic effects of tall vegetation such as vegetation  
498 volume but this would require detailed vegetation inventories.

499 • In the case of the maps of increased potential exposure areas, both cities show large zones  
500 marked as 'low', mostly corresponding with large natural areas or industrial sites. For the  
501 areas marked as 'moderate', 'high', and 'highest', a spatial difference between Antwerp and  
502 Gdańsk is visible. In Antwerp, these areas have clearer boundaries, corresponding with the  
503 urban fabric. In Gdańsk, the delimitation of this zone is more scattered. For both cities, no  
504 large areas with the highest exposure levels were detected – only a few single grid cells.  
505 The first recommended step for the management of human exposure to air pollution is to  
506 establish more detailed spatial–temporal patterns of exposure and pollution concentration  
507 levels in the areas marked as 'high' and 'highest', e.g., by means of mobile monitoring [78–  
508 80]. Data collected in such an approach would also allow to provide the residents with more  
509 comprehensive information about their exposure to air pollution.

## 510 **5.2. Limitations**

511 Some limitations to the interpretation of these results should be mentioned. Firstly, all maps  
512 were computed based on the available municipal data, so if some data were inaccurate or out-  
513 dated, the maps should be revised. In terms of data quality, some cases of significant data  
514 shortages were revealed. On such occasions additional data sources were used, which poses  
515 some methodological difficulties resulting from the differences in the datasets. This may lead to  
516 inaccuracies in data processing and the final calculations. Therefore, the established AQMZs for  
517 the two cities may require updating in the future and should not be treated as conclusive. For the  
518 purpose of air quality management within spatial planning policies at the municipal scale, the  
519 above-mentioned limitations can be counteracted by using better quality geospatial data or  
520 applying new techniques to supplement the available municipal datasets, such as remote sensing  
521 [12].

522 Secondly, the application of the grid approach, besides the discussed benefits, has also some  
523 disadvantages as the obtained values would slightly vary if a different grid size or positioning were  
524 used. However, a very high level of accuracy is not required for these tools, as it is aimed at

525 controlling certain geometrical and infrastructural parameters which are relevant to ventilation  
526 potential and human exposure to air pollution, at the city scale in order to draw attention to certain  
527 hot spots and areas in which further detailed studies are required. It is important to note that apart  
528 from the morphological analysis at the municipal scale, further detailed local studies should also  
529 follow [81,82].

### 530 **5.3. Recommendations and further directions**

531 The developed set of methods could constitute a preliminary step for municipal planning aimed at  
532 improved air quality, underlying more detailed studies regarding ventilation conditions and pollution  
533 dispersion. Although a set of indicators was selected to present the proposed approach for AQMZs,  
534 they can be replaced and supplemented by other indicators in future case studies. Further  
535 typologies can be also created, according to which particular aspects need to be considered.  
536 Moreover, the developed indicators can be easily combined with other data, also due to the  
537 application of the grid approach. This can be illustrated by the following example: the results of the  
538 mapping can be cross-referenced with the air pollution models, as shown for the area of the Koning  
539 Albertpark in Antwerp (see Figure 13). Grid cells with the high and highest level of potential  
540 increased exposure to air pollution were indicated for this area. When comparing with the pollution  
541 model for NO<sub>2</sub> [45], its increased annual levels close to the EU limit value of 40 µg/m<sup>3</sup> are visible in  
542 the same location. It should also be noted that these levels are annual, and therefore higher levels  
543 can occur for short periods of times. The map of potential increased exposure to pollution  
544 combined with the detection of high pollution concentration levels may be used to indicate areas  
545 which require 'fast response' in spatial planning policies.



546  
547 **Fig. 13.** Application of the potential increased exposure map for the Koning Albertpark in  
548 Antwerp, with (A) the mapping of the potential increase exposure zones, (B) the  
549 combination of the potential increased exposure zones and the urban fabric and (C) the  
550  $NO_2$  pollution level model [45]  
551

552 The developed AQMZs can have further applications in other urban areas:

- 553 • for preliminarily identifying problem areas within municipal development strategies and
- 554 outlining directions for drafting further procedures for air quality management,
- 555 • as a planning and design tool for formulating a set of general guidelines and
- 556 recommendations, and
- 557 • as a background for further, more detailed studies.

558 The method itself can be further developed and updated based on new developments in this  
559 research areas. Rule-based modelling tools can be also considered to create rapid models of  
560 urban development scenarios for the purpose of ventilation evaluation in general and detailed  
561 studies [10,83]. The following prospects for further research can be also considered: 1) creating  
562 AQMZs databases for many cities and using big data analysis to compare the existing conditions in  
563 various urban areas in order to draft novel strategies and 2) developing a corresponding set of  
564 methods to map the parameters which are connected with other environmental problems.  
565 Therefore, the proposed optimisation of the use of available geospatial datasets to map AQMZs

566 can be used in order to successfully account for air quality improvement in the process of urban  
567 planning. Moreover, some area-specific recommendations can be based on the results obtained  
568 with this tool, as briefly discussed in section 5.1, providing directions for further studies and policy  
569 development. If comprehensive databases are available for many cities, it may be useful for  
570 drawing comparisons and developing common strategies for the improvement of air quality.  
571 Similarly, data on urban mobility [84] or data for urban climate models [85] are collected for various  
572 cities. However, the collected data need to be consistent and comparable [85]. In case of a lack of  
573 corresponding data in the geospatial municipal datasets data processing and incorporating  
574 additional data sources is necessary, which was demonstrated in the conducted case studies. The  
575 proposed AQMZs are a useful tool for this purpose.

576 In the case studies presented herein, some consideration of urban air quality can be found in  
577 certain existing planning strategies, such as the proposal by the city of Antwerp to improve air  
578 quality through four main sustainable mobility strategies [86]. Moreover, the 'Antwerpen Nieuw  
579 Zuid' represents one of the first projects in Belgium to incorporate spatial strategies for tackling low  
580 air quality. Located in the close proximity of a motorway crossroad complex, this residential project  
581 used vegetated slopes to reduce direct exposure to air pollution. The project was also developed  
582 on a strict grid in order to improve ventilation. Functions related to groups vulnerable to air  
583 pollution, such as schools, were located at a distance of at least 300 m from the motorway [87].  
584 However, despite these promising strategies, the MER (Environment Effect Report) of Arcadis [88]  
585 indicated that the impact of the project on air quality would be negligible. Still, the project  
586 represents an interesting effort to implement urban design strategies in order to improve local air  
587 quality.

588 It can be concluded that further policy changes are needed in order to achieve the best  
589 possible quality of the urban environment. To this end, novel planning tools are needed, such as  
590 the AQMZs framework. Therefore, the proposed approach to use available geospatial datasets and  
591 GIS tools to map AQMZs in order to account for air quality improvement in the process of urban

592 planning may prove useful for drawing comparisons between various cities and developing  
593 common strategies.

#### 594 **Competing interests statement**

595 There are no significant competing financial, professional, or personal interests that might have  
596 influenced the performance or presentation of the work described in this manuscript.

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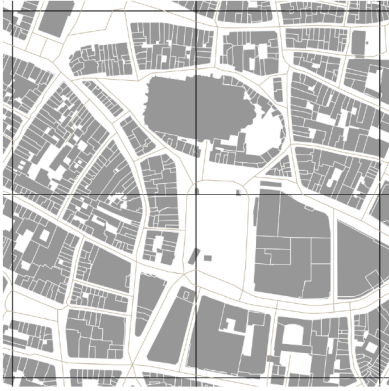


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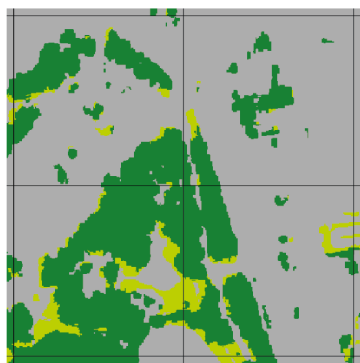


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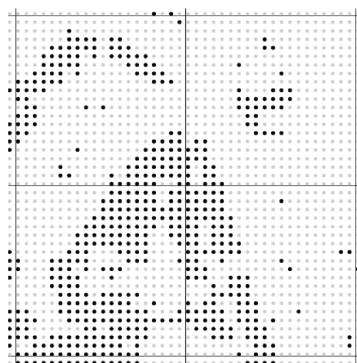


B

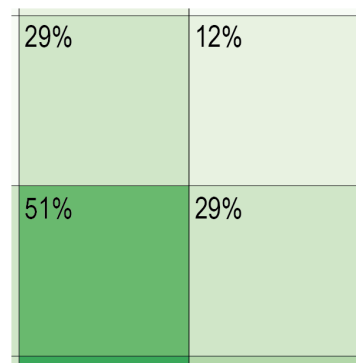
Journal Pre-proof



A

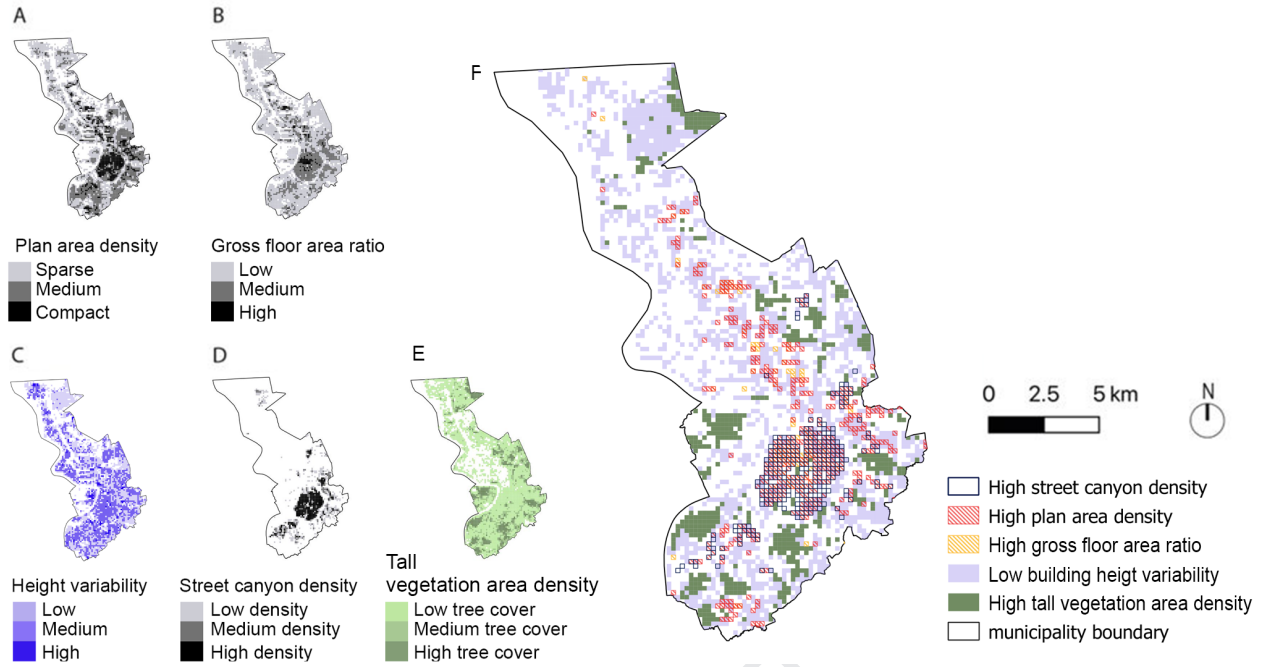


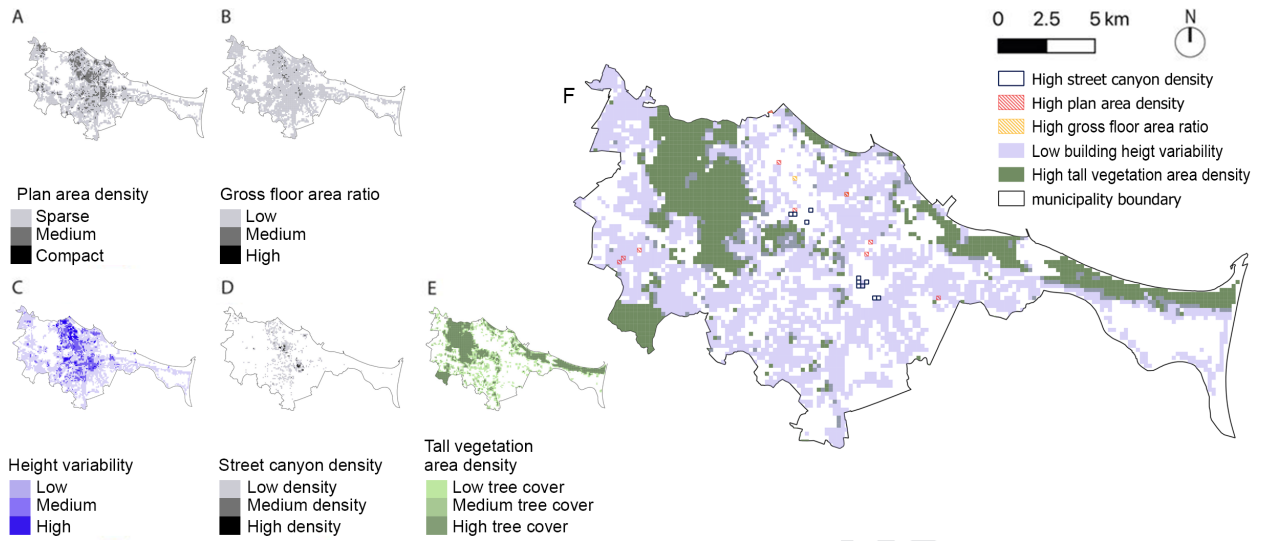
B



C

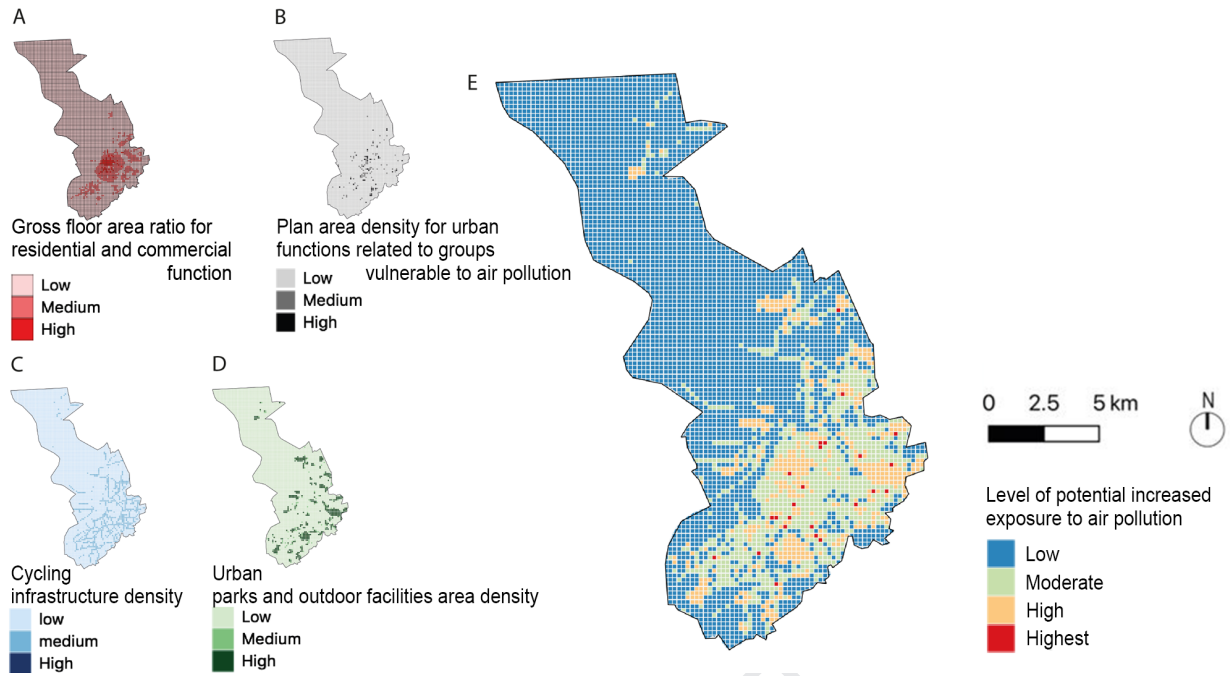
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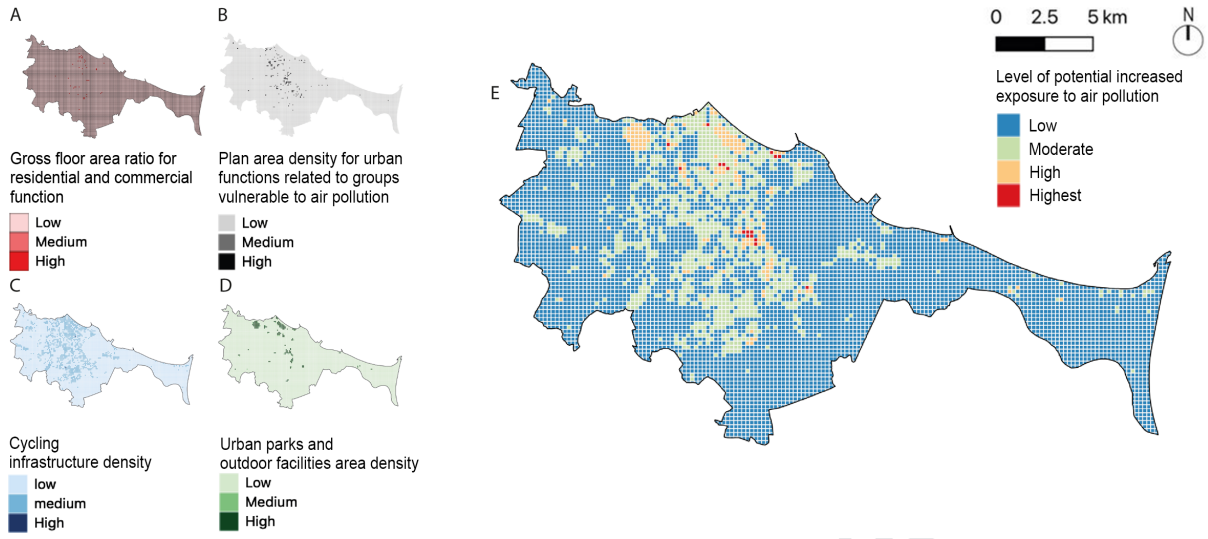


Journal Pre-proof

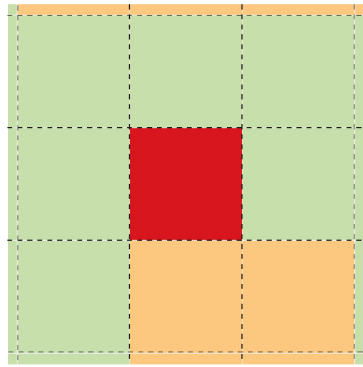




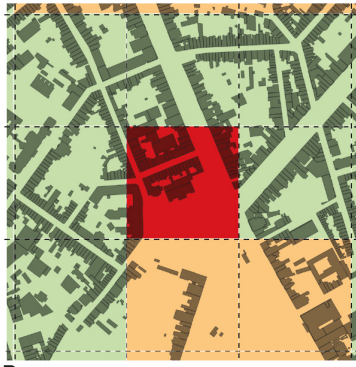
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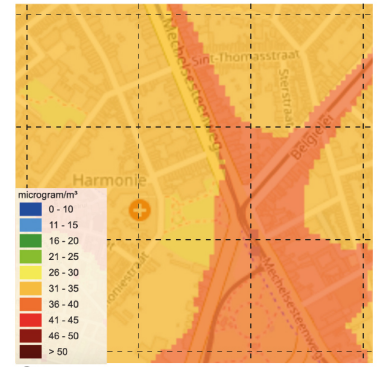
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A

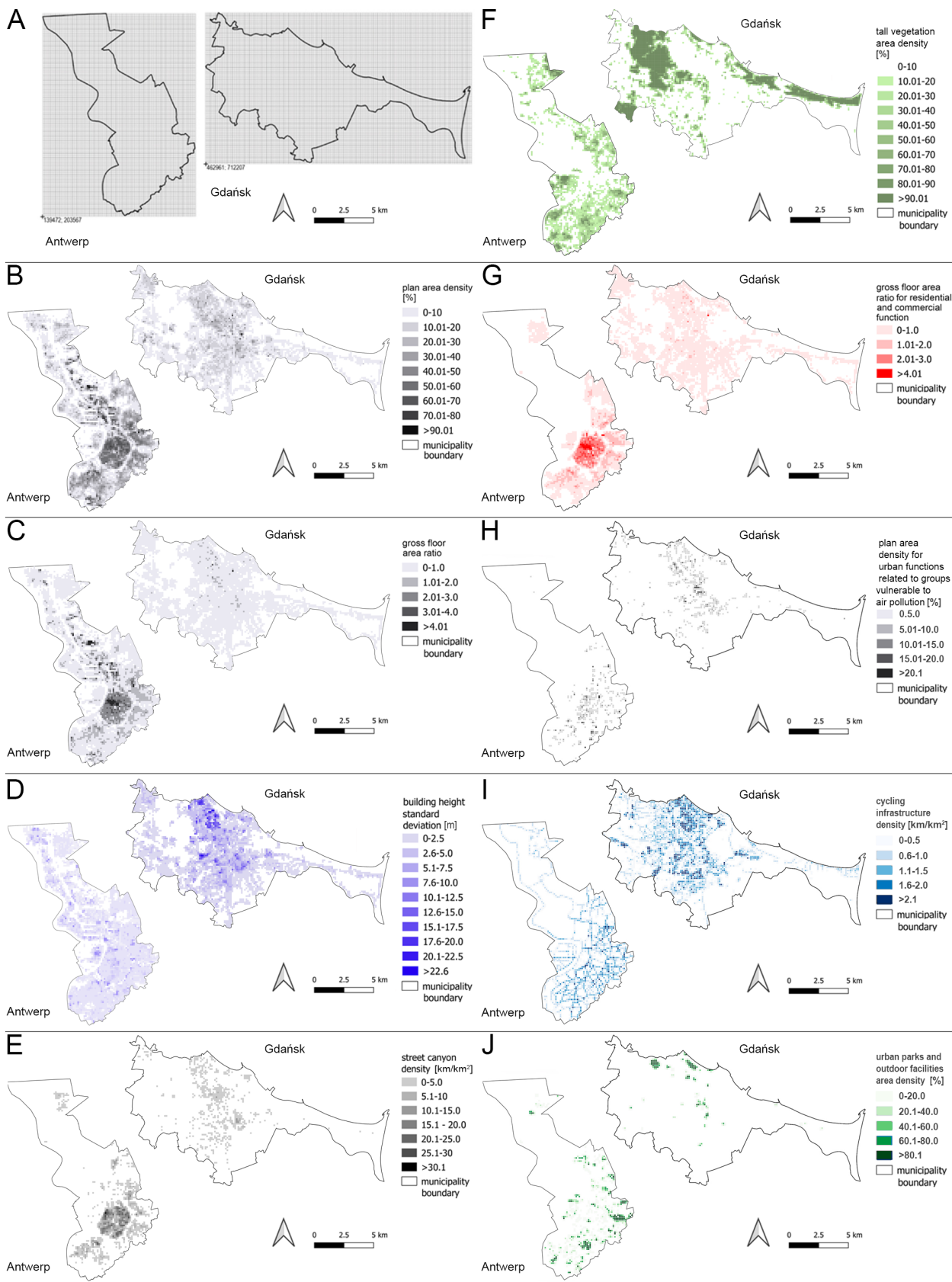


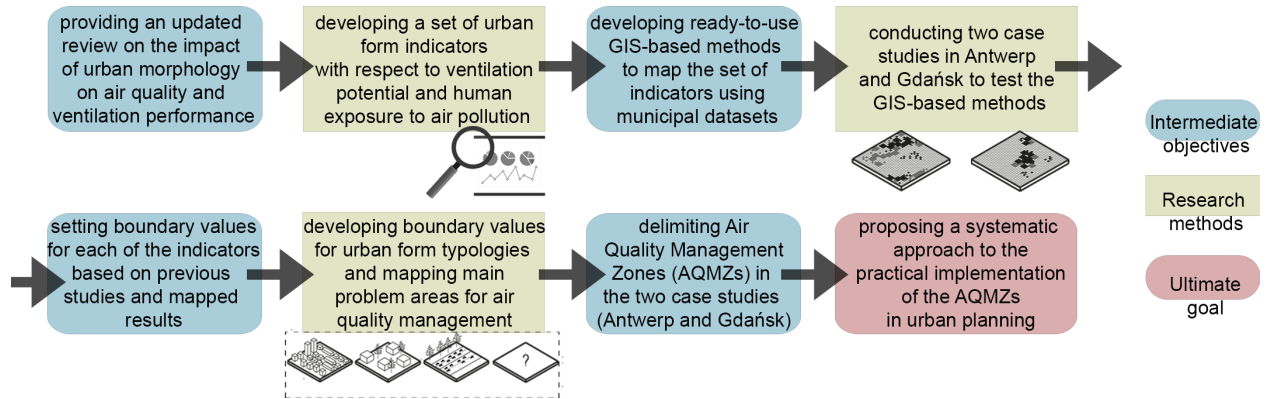
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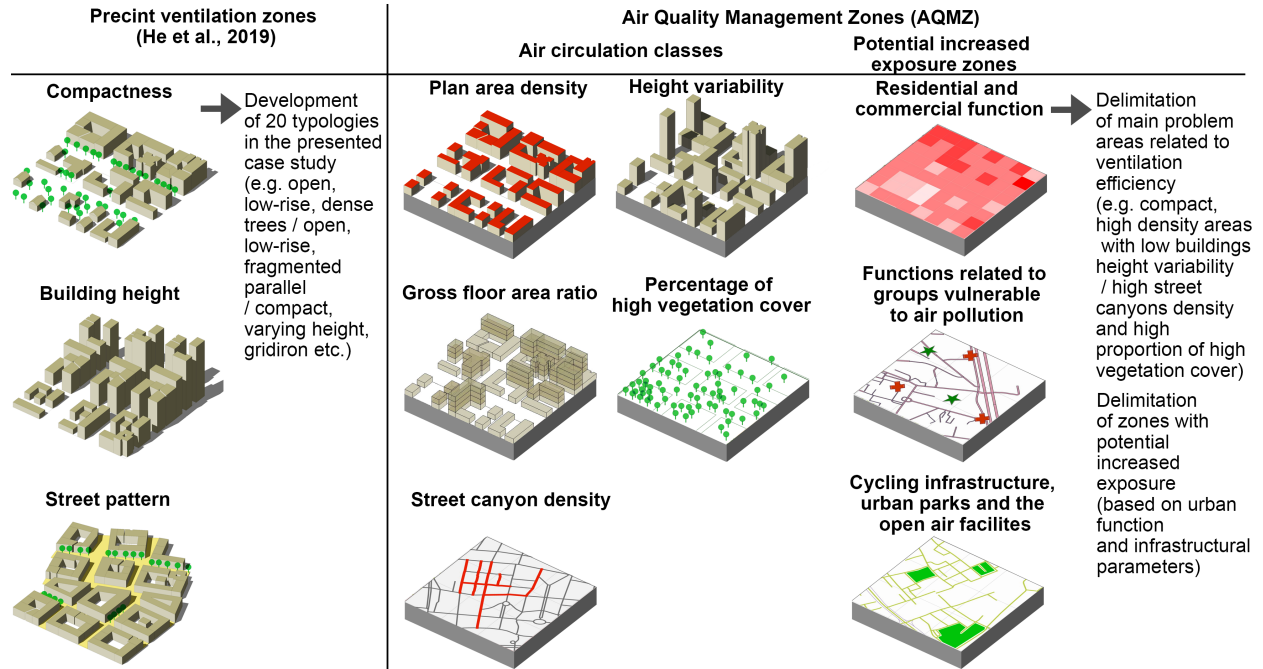


C

Journal Pre-proof







Journal Pre-proof

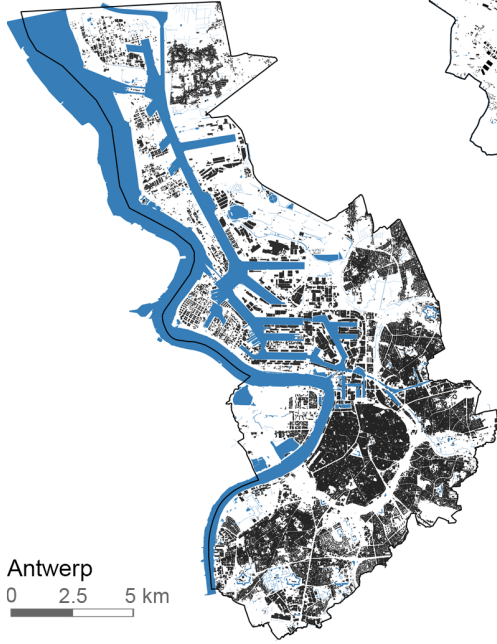
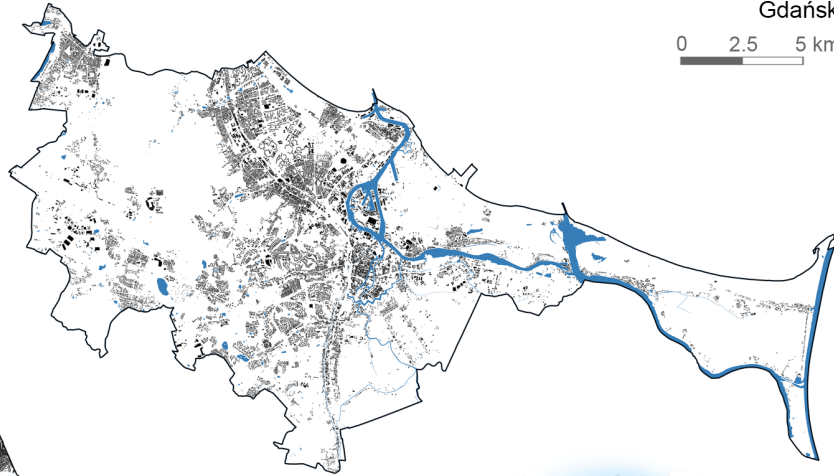
Belgium

0 100 200 km



Gdańsk

0 2.5 5 km



Antwerp

0 2.5 5 km



Poland

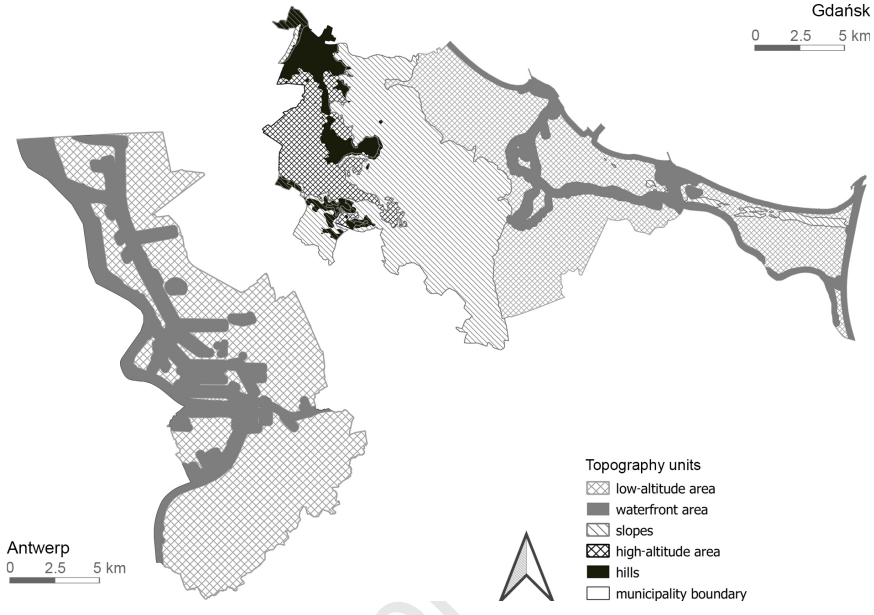
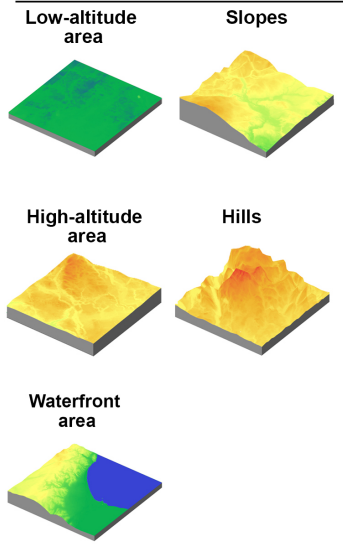
0 100 200 km



- Municipality boundary
- Built-up structures
- Surface water

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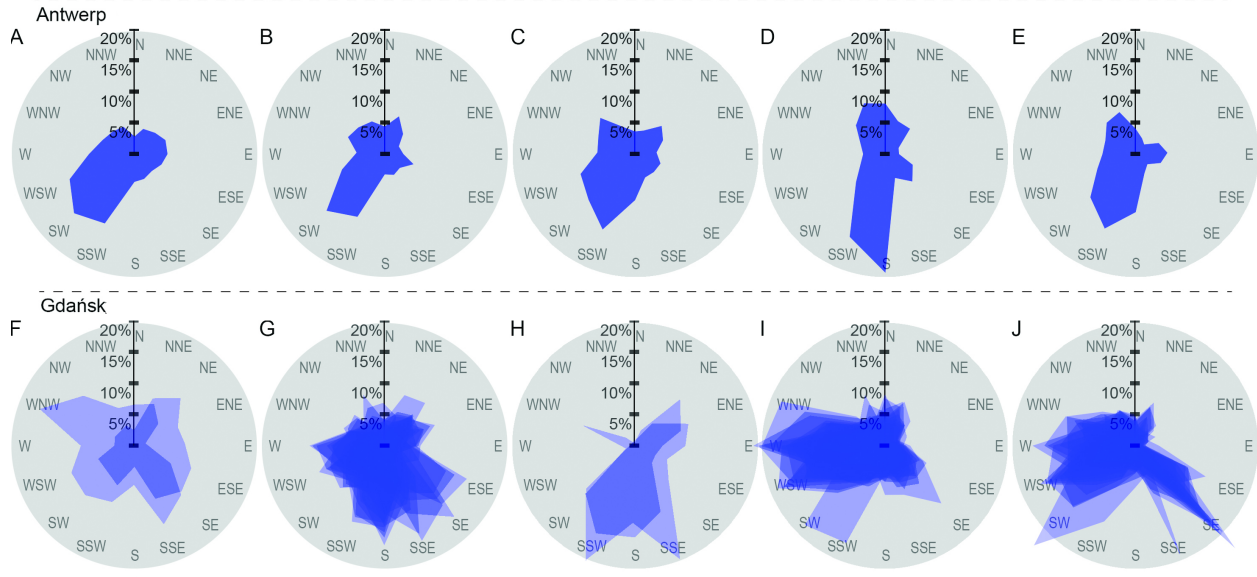
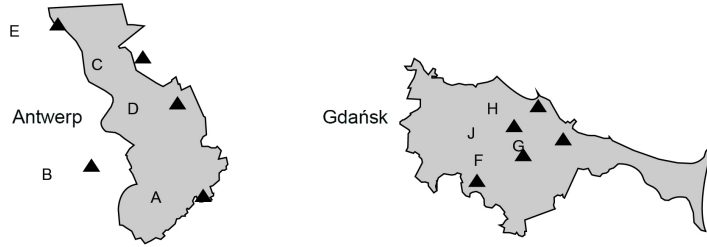
Topography units



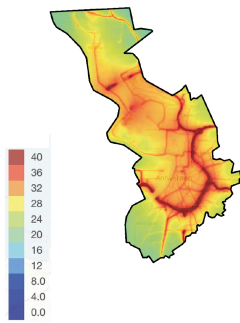
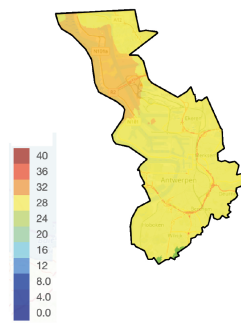
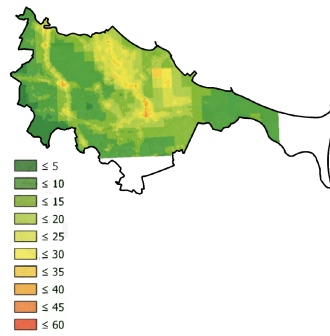
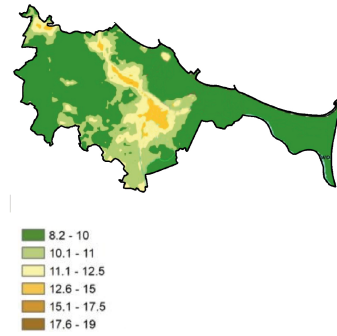
Journal Pre-proof



Location of wind monitoring stations



Journal

A. Antwerp NO<sub>2</sub> annual mean concentration (2017)B. Antwerp PM<sub>2.5</sub> annual mean concentration (2017)C. Gdańsk NO<sub>2</sub> mean concentration (January 2012)D. Gdańsk PM<sub>2.5</sub> annual mean concentration (2016)

Journal Pre-proof

### Highlights

- The concept of Air Quality Management Zones for urban planning is established
- It accounts for ventilation potential and human exposure to pollution
- It constitutes a practical tool based on municipal geospatial data and GIS analysis
- It is used to investigate two cities characterised by different urban morphologies
- Integrating urban planning and policy for air quality improvement is advocated

**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: