

1 Seasonal variation, source apportionment and health risk assessment of heavy metals in PM<sub>2.5</sub> in  
2 Ningbo, China

3 Yue Wu<sup>a,†</sup>, Beibei Lu<sup>b,†</sup>, Xinlei Zhu<sup>c</sup>, Aihong Wang<sup>b</sup>, Meng Yang<sup>c</sup>, Shaohua Gu<sup>b</sup>, Xiaoxia Wang<sup>c</sup>,  
4 Pengbo Leng<sup>b</sup>, Kristina M. Zierold<sup>d</sup>, Xiaohai Li<sup>b</sup>, Ke Kerri Tang<sup>d</sup>, Lanyun Fang<sup>b</sup>, Ruixue Huang<sup>a</sup>,  
5 Guozhang Xu<sup>b,\*</sup>, Lv Chen<sup>a,\*</sup>

6 <sup>a</sup> Department of Occupational and Environmental Health, Xiangya School of Public Health, Central South University, Changsha, China.

7 <sup>b</sup> Zhejiang Provincial Key Laboratory of Health Risk Appraisal for Trace Toxic Chemicals, Ningbo Municipal Center for Disease Control and  
8 Prevention, Ningbo, China.

9 <sup>c</sup> Xiangya Medical School, Central South University, Changsha, China.

10 <sup>d</sup> School of Public Health, University of Alabama at Birmingham, Birmingham, Alabama, United States of America.

11 \* Co-Correspondence: chenlv@csu.edu.cn; xugz@nbcddc.org.cn

12 † These authors contributed equally to this work.

13

## 14 **Abstract**

15 In order to assess the seasonal variation, potential sources, and health risk of heavy metals found  
16 in fine particulate matter (PM<sub>2.5</sub>), PM<sub>2.5</sub> samples (n = 96) were collected between March 2015  
17 and February 2016 in Ningbo, China. Twelve heavy metals (Sb, As, Cd, Cr, Pb, Mn, Ni, Se, Tl,  
18 Al, Be and Hg) found in PM<sub>2.5</sub> were analyzed by inductively coupled plasma mass spectrometry  
19 (ICP-MS). We used enrichment factor and principal component analysis/absolute principal  
20 component scores (PCA/APCS) to determine the sources of these heavy metals. We used models  
21 from the United States Environmental Protection Agency (EPA) to assess both carcinogenic and  
22 non-carcinogenic risk of heavy metals to adults and children. Results showed that the annual  
23 average mass concentration for PM<sub>2.5</sub> was 62.7 μg m<sup>-3</sup>, which is higher than the Chinese  
24 National Ambient Air Quality Standards (NAAQS). The annual average concentrations of Pb,

25 Cd, and As were  $57.2 \text{ ng m}^{-3}$ ,  $1.5 \text{ ng m}^{-3}$ ,  $4.7 \text{ ng m}^{-3}$ , respectively, which were below the limits  
26 of the NAAQS. The highest concentrations of the total heavy metals occurred in winter, and the  
27 lowest concentrations were observed in summer. Enrichment factor analysis indicated that Sb,  
28 Cd, Pb, Se, As and Tl were mainly from anthropogenic sources. Source apportionment by  
29 PCA/APCS indicated four major sources: coal combustion and motor vehicles (46.3%), soil and  
30 construction dust (37.1%), steel works (6.9%) and other smelting industries (6.8%). The  
31 carcinogenic risk of heavy metals in Ningbo was lower than the safe level for both children and  
32 adults. However, the total non-carcinogenic risk was higher than the safe level (HI=1.38). This  
33 warrants further research to explore air pollution sources and implement effective measures to  
34 control air pollution in Ningbo, China.

35 **Keywords:** PM<sub>2.5</sub>; Heavy metal; Enrichment factor; Principal component analysis/absolute  
36 principal component scores; Health risk assessment

## 38 1. Introduction

39  
40 With the rapid economic growth, air pollution is worsening in China. In early 2013, severe heavy  
41 smog episodes occurred across most areas in China, which aroused widespread concern about  
42 fine particulate matter (with aerodynamic diameters not larger than  $2.5 \mu\text{m}$ , or PM<sub>2.5</sub>) due to the  
43 adverse effects on human health and reduced visibility (Chen et al., 2013). Studies have shown  
44 increases in lung cancer and cardiopulmonary mortality after long-term exposure to fine  
45 particulate air pollution (GBD Collaborators, 2016; Hoek et al., 2013; Li et al., 2015; Pope et al.,  
46 2002). Several recent studies have investigated the characteristics of PM<sub>2.5</sub> in metropolitan China  
47 (Chen et al., 2015; Li et al., 2016; Song et al., 2006). Due to different industrial structures,  
48 topography, climate and surrounding emission sources, PM<sub>2.5</sub> concentration showed significant

49 regional and seasonal variation (Gao et al., 2018; Ming et al., 2017; Mukherjee and Agrawal,  
50 2018).

51 While exposure to  $PM_{2.5}$  is known to cause disease, the components of  $PM_{2.5}$  are also of  
52 concern. Heavy metals including arsenic, chromium and manganese are often found in  $PM_{2.5}$  (Lu  
53 et al., 2012). Duan and colleagues found that heavy metals were low biodegradable and enriched  
54 in  $PM_{2.5}$  (Duan et al., 2012). Exposure to these metals may link with cardiovascular diseases  
55 (Huang and Ghio, 2006), cancer (Nawrot et al., 2006; Wild et al., 2009) and many other adverse  
56 health effects (Kampa and Castanas, 2008).

57 Some studies on heavy metal components of  $PM_{2.5}$  and their sources have been conducted in  
58 China and abroad (Chen et al., 2015; Song et al., 2006); however, limited studies have been  
59 conducted based on long-term monitoring. Understanding the heavy metals that are commonly  
60 found in  $PM_{2.5}$  is necessary to design air quality improvement strategies and inform regulations.  
61 Therefore, it is essential to know the seasonal variations of heavy metals in  $PM_{2.5}$ , especially in  
62 polluted urban environments with dense populations.

63 While  $PM_{2.5}$  has been studied throughout other areas in China, the pollution properties and  
64 seasonal variation of  $PM_{2.5}$  have not been well studied in the urban area of Ningbo. Ningbo is  
65 one of the most industrialized and economically developed cities in the Yangtze River Delta  
66 region, having a population of more than 8 million people. To better understand the air pollution  
67 due to  $PM_{2.5}$  and potential health risks in Ningbo, China, this study are to: (1) analyze the seasonal  
68 variations of  $PM_{2.5}$  and heavy metal concentrations in  $PM_{2.5}$ , (2) investigate the source  
69 apportionment of heavy metals bound to  $PM_{2.5}$ , and (3) determine the health risks of heavy  
70 metals in  $PM_{2.5}$ .

71

## 72 **2. Materials and methods**

73

### 74 **2.1. Study area and sampling procedure**

75 Ningbo is a sub-provincial city located in eastern China at the Yangtze River Delta (YRD)  
76 region, which is considered one of the most rapidly developing and polluted regions of China  
77 (Ming et al., 2017). The world fourth largest port (Ningbo Port) located in east of Ningbo, about  
78 60 km from urban area. Over the past three decades, Ningbo has undergone rapid economic  
79 development and urban construction and there are over 8 million people in the city. The climate  
80 is temperate with an average temperature 17.8°C.

81 The measurement site was situated on the roof of the Ningbo Center of Disease Control and  
82 Prevention's (CDC) (~ 20m above ground level) office building, located in a mixed educational,  
83 commercial, and residential area (Fig. 1). Xinma road is present at a distance of about 400 m in  
84 the north of sampling site. No major industrial air pollution sources around 2 km were detected.  
85 It can represent the urban environment in Ningbo. PM<sub>2.5</sub> samples were collected by medium-  
86 volume (2.3 m<sup>3</sup> h<sup>-1</sup>) samplers (LECKEL MSV6, German). The samplers, which captured PM<sub>2.5</sub>  
87 on 47 mm quartz filters (Whatman QM-A) ran for 23 hours. Sampling was done on a daily basis  
88 in the middle of each month between March 2015 and February 2016. We collected 8 samples in  
89 every month; overall, 96 samples were collected. We defined four seasons based on local  
90 climate characteristics: spring (March to May), summer (June to August), autumn (September to  
91 November) and winter (December to next February).

92

### 93 **2.2. Mass concentration analysis**

94 All quartz filters were equilibrated in a desiccator under a constant temperature of 25 ± 1

95 and humidity condition of  $50 \pm 5\%$  for 48 hours. The filters were weighed with a Mettler-Toledo  
96 XS205DU microbalance (10  $\mu\text{g}$  resolution) before and after aerosol sampling to determine the  
97 mass concentration. After sampling, the filters were subsequently sealed in a filter holder and  
98 stored at  $-20^\circ\text{C}$  until analysis. The field blank filters were set at the same time.

99

### 100 **2.3. Analysis of elemental contents**

101 After sampling, daily (23-hour) sample filters were cut into four equal fractions. For  
102 extracting the heavy metals, one quarter of the filter was cut into pieces and dissolved in the  
103 mixtures of 7 ml  $\text{HNO}_3$  and 3 ml  $\text{HClO}_4$  in Teflon vessels and heated in a microwave system.  
104 Heavy metal concentrations (Sb, As, Cd, Cr, Pb, Mn, Ni, Se, Tl, Al, Be and Hg) in the digestion  
105 solutions were measured by using inductively coupled plasma mass spectrometry (ICP-MS Elan  
106 9000, Perkin-Elmer SCIEX, USA). Certified reference sample (GSB 04 1767-2004, National  
107 Analysis & Testing Center for Nonferrous Metals & Electronic Materials, China ) was used to  
108 ensure accuracy and precision. The recovery values for all heavy metals were between 91.3%  
109 and 108.5%. Blanks (including filters) and duplicate samples were analyzed for approximately  
110 10% of the samples. Relative standard deviations (RSDs) of replicate samples were less than  
111 10%. The detection limits were 1.04, 3.58, 0.12, 1.25, 1.25, 0.12, 1.29, 1.58, 0.12, 0.96, 0.12 and  
112  $0.12 \text{ ng m}^{-3}$  for Sb, As, Cd, Cr, Pb, Mn, Ni, Se, Tl, Al, Be and Hg, respectively. Since quartz  
113 filtration was not appropriate for Al analysis, AL was not included in the data analysis (Tan et  
114 al., 2014).

115

### 116 **2.4. Data analysis**

#### 117 **2.4.1. Enrichment Factor**

118 Enrichment factor analysis (EF), which was proposed by Zoller and colleagues in the 1970s,  
119 has been widely used to differentiate elements originating from anthropogenic pollution and  
120 natural sources (Yang et al., 2015). The formula for calculation is:

$$121 \quad (EF)_i = \frac{(X_i/X_R)_{sample}}{(X_i'/X_R')_{soil\ background}} \quad (1)$$

122 where  $i$  is the heavy metal to be measured and  $R$  is the soil background element selected in this  
123 study.  $X_i$  and  $X_R$  are the concentrations of the corresponding elements in samples while  $X_i'$  and  
124  $X_R'$  are the soil background values. The soil background value of each heavy metal element is  
125 taken as the arithmetic mean of the soil background value of upper crust in Ningbo (Station,  
126 1990). Al, Mn and Si are mostly used as the background elements. Since quartz filters are not  
127 appropriate for Al, Mn was used as the reference element (Tan et al., 2014).

128

#### 129 **2.4.2. Principal component analysis/absolute principal component scores (PCA/APCS)** 130 **receptor model**

131 The PCA/APCS model was applied to quantitatively analyze the sources of heavy metals in  
132 PM<sub>2.5</sub> for this study. Detailed descriptions of the receptor model have been presented in other  
133 studies (Kothai et al., 2008; Thurston and Spengler, 1985). In brief, PCA was based on the  
134 dimension reduction algorithm for a smaller set of factors that retain most of the information in  
135 the original data set. Each factor explains the maximum total variance of the data set and this set  
136 is completely uncorrelated with the rest of the data. In this study, those main components with a  
137 cumulative contribution rate  $\geq 85\%$  were selected. Factor loadings determined the more  
138 representative heavy metals in each factor, and the elements with factor loadings  $>0.5$  were  
139 interpreted as fingerprints of emission source.

140 Absolute principal component scores (APCS) technique combined with multiple linear  
141 regression models were used to estimate source contributions of each pollutant (Guo et al., 2004;  
142 Kothai et al., 2008). The first step in APCS is the normalization of all species concentrations as

$$143 \quad Z_{ik} = (C_{ik} - \bar{C}_i) / \sigma_i \quad (2)$$

144 where  $C_{ik}$  is the concentration of heavy metal  $i$  in sample  $k$ ;  $\bar{C}_i$  is the arithmetic mean  
145 concentration of heavy metal  $i$ ; and  $\sigma_i$  is the standard deviation of heavy metal  $i$  for all samples  
146 included in the analysis.

147 The APCS was evaluated by adding an artificial sample with all the elemental  
148 concentrations equal to zero. Because the factor scores obtained from PCA are based on  
149 standardized data, with a mean of zero and standard deviation equal to unity the true zero for  
150 each factor score should be calculated as

$$151 \quad (Z_0)_i = (0 - \bar{C}_i) / \sigma_i = -\bar{C}_i / \sigma_i \quad (3)$$

152 The factor scores of the heavy metals are obtained from PCA by analysis of normalized  
153 heavy metals concentrations. The APCS for each component is then estimated by subtracting the  
154 factor scores for this artificial sample from the factor scores of each true sample.

155 Finally regression was used to derive the source contributions, expressed as

$$156 \quad M_i = (b_0)_i + \sum APCS_p \times b_{pi}, \quad p = 1, 2, \dots, n. \quad (4)$$

157 where  $M_i$  is the sum of the mass concentrations of heavy metals in sample  $i$  (Song et al., 2006),  
158  $(b_0)_i$  is contribution made by sources unaccounted for in the PCA,  $b_{pi}$  is the coefficient of  
159 multiple regression of the source  $p$  for heavy metal  $i$ , and  $APCS_p$  is the rotated absolute  
160 component score for source  $p$  in sample  $i$ .  $APCS_p \times b_{pi}$  is the mass contribution in sample  $i$   
161 made by source  $p$ . The mean of  $APCS_p \times b_{pi}$  of all samples represents the average contribution  
162 of the sources.

163 To achieve stable PCA results, the sample number must greatly exceed the number of  
164 selected species (Guo et al., 2004; Thurston and Spengler, 1985). In this study, we used the  
165 samples from a whole year to estimate source contributions.

166

### 167 **2.4.3. Health risk assessment**

168 The carcinogenic and non-carcinogenic health risks via the inhalation exposure of heavy  
169 metals attached to PM<sub>2.5</sub> were calculated according to US EPA human health risk assessment  
170 models (EPA, 2009a). The process for estimating health risk involves the following three steps:

#### 171 (1) Estimating Exposure Concentrations

172 The exposure concentration (EC) via inhalation is calculated by the following equation (EPA,  
173 2009b):

$$174 \quad EC = (CA \times ET \times EF \times ED) / AT \quad (5)$$

175 where EC is exposure concentration,  $\mu\text{g m}^{-3}$ ; CA is the 95% upper confidence limit (UCL) of the  
176 log-transformed data because most-studied heavy metals approximated lognormal distributions,  
177  $\mu\text{g m}^{-3}$  (Li et al., 2016); ET is exposure time, assumed to be 24 hours/day; EF is the exposure  
178 frequency, assumed to be 350 days/year; ED is the exposure duration, assumed to be 6 years for  
179 children and 24 years for adults; AT is the averaging time, assumed to be  $ED \times 365 \text{ days/year} \times$   
180  $24 \text{ hours/day}$  for non-carcinogens and  $70 \text{ years} \times 365 \text{ days/year} \times 24 \text{ hours/day}$  for carcinogens.

#### 181 (2) Non-carcinogenic risk assessment

182 After the EC values were calculated, the non-carcinogenic risk was determined for each  
183 metal by calculating the hazard quotient (HQ) (Eq. 6):

$$184 \quad HQ = EC / (RfC \times 1000 \mu\text{g}/\text{mg}) \quad (6)$$

185 where HQ is hazard quotient; EC is exposure concentration ( $\mu\text{g m}^{-3}$ ); RfC is the inhalation



186 reference concentration ( $\text{mg m}^{-3}$ ),

187 The Hazard Index (HI), which is the sum of the Hazard Quotients for each metal, estimates  
188 the total non-carcinogenic risk of mixed heavy metal contaminants.

189 An HQ and/or HI value  $\leq 1$  indicates unlikely non-carcinogenic effects. Conversely,  
190 values  $>1$  indicate that there is a greater chance of non-carcinogenic effects (EPA, 2009b; Li et  
191 al., 2013).

### 192 (3) Carcinogenic risk assessment

193 The carcinogenic risk (CR) exposed via the inhalation pathway can be estimated with the  
194 following equation (EPA, 2009b):

$$195 \quad CR = IUR \times EC \quad (7)$$

196 where IUR is inhalation unit risk ( $\mu\text{g m}^{-3}$ )<sup>-1</sup>.

197 The tolerable risk for regulatory purposes ranges from  $10^{-6}$  (1 in 1,000,000) to  $10^{-4}$  (1 in  
198 10,000) (Ferreira-Baptista and De Miguel, 2005).

199 The International Agency for Research on Cancer (IARC) classifies As, Cd, Cr(VI) and Ni as  
200 well-known human carcinogens (Group 1) via the inhalation route of exposure (Tian et al., 2010).  
201 In this study, we assumed that 20% of the measured Cr was in the toxic hexavalent form (Tian et  
202 al., 2010). The exposure factors for these models and the RfC and IUR were from the integrated  
203 risk information system (IRIS) and the US EPA Regional Screening Levels (RSL). We did not  
204 discuss Sb and Tl because their RfC was unavailable.

205

## 206 **3. Results and discussion**

207

### 208 **3.1. Concentration of PM<sub>2.5</sub>**

209 The average annual and seasonal concentrations of PM<sub>2.5</sub> during the sampling period were  
210 summarized in Table 1. The annual average mass concentration of PM<sub>2.5</sub> was  $62.7 \pm 35.8 \mu\text{g m}^{-3}$   
211 during the sampling period, much higher than the limit of annual concentration of PM<sub>2.5</sub>  
212 according to the Chinese NAAQS (GB3095-2012), which is  $35 \mu\text{g m}^{-3}$  annually (Ministry of  
213 Environmental Protection, China, 2012) and World Health Organization (WHO) air quality  
214 guidelines ( $10 \mu\text{g m}^{-3}$ ). The levels of PM<sub>2.5</sub> in Ningbo were lower than those in China cities like  
215 Shijiazhuang ( $139 \mu\text{g m}^{-3}$ ) (Xie et al., 2019), Xi'an ( $108 \mu\text{g m}^{-3}$ ) (Dai et al., 2018), Xinxiang ( $94$   
216  $\mu\text{g m}^{-3}$ ) (Yang et al., 2019), Beijing ( $83 \mu\text{g m}^{-3}$ ) (Ji et al., 2019), while it was higher than  
217 Fuzhou ( $27 \mu\text{g m}^{-3}$ ), Xiamen ( $28 \mu\text{g m}^{-3}$ ) (Fu et al., 2018), Nanjing ( $55 \mu\text{g m}^{-3}$ ) (Nie et al., 2018)  
218 and Chengdu ( $57 \mu\text{g m}^{-3}$ ) (Qiu et al., 2019). The annual average concentration of PM<sub>2.5</sub> in this  
219 study was unexpectedly lower than the value ( $96.2 \mu\text{g m}^{-3}$ ) of one rural site of Ningbo (Ming et  
220 al., 2017). The reason may attribute to regional pollution events that overwrote the local  
221 background with no known emission sources surrounding the area.

222 The variation in the seasonal concentration of PM<sub>2.5</sub> is displayed in Table 1 and the variation  
223 of the monthly concentration is shown in Fig. 2. The concentrations of PM<sub>2.5</sub> were highest in  
224 winter and lowest in summer with average concentrations of  $94.8$  and  $39.6 \mu\text{g m}^{-3}$ , respectively.  
225 High coal consumption and low boundary layer height (BLH) may contribute to the high PM<sub>2.5</sub>  
226 concentrations in winter (Zhao et al., 2009). In the summer, less coal and biomass burning, more  
227 particle dispersion, and better deposition conditions can contribute to lower PM<sub>2.5</sub> concentrations  
228 (Guinot et al., 2006). Similar seasonal trends have also shown in other cities like Beijing (Duan  
229 et al., 2012; Zhao et al., 2009), Chengdu (Li et al., 2016), Shanghai, Nanjing and Hangzhou  
230 (Ming et al., 2017).

231

### 232 **3.2. Concentrations and seasonal variation of heavy metal components in PM<sub>2.5</sub>**

233 The concentrations of 9 heavy metals found in PM<sub>2.5</sub> are shown in Table 1 and Fig. 3. The  
234 annual average concentrations of Be (0.01 ng/m<sup>3</sup>) and Hg (0.02 ng/m<sup>3</sup>) were very small and were  
235 not included in Table 1 and the following analysis. The annual average concentrations of Pb, Cd  
236 and As were 57.2 ng m<sup>-3</sup>, 1.5 ng m<sup>-3</sup>, 4.7 ng m<sup>-3</sup>, respectively, which were below the limits of  
237 NAAQS (500, 5 and 6 ng m<sup>-3</sup>, respectively) (China, 2012). The average concentrations of Mn  
238 and Ni were 35.6 ng m<sup>-3</sup> and 4.2 ng m<sup>-3</sup>, respectively, but as of today, there are no national  
239 standard for atmospheric Mn and Ni in China. However, the concentration of Mn and Ni were  
240 lower than the WHO guideline limits (150 ng m<sup>-3</sup> and 25 ng m<sup>-3</sup>) (WHO, 2000). The annual  
241 average concentrations of Sb and Tl were 4.1ng m<sup>-3</sup> and 0.5ng m<sup>-3</sup>, respectively, which, to our  
242 knowledge, had been rarely assessed in mainland China. The concentration of Sb and Tl in  
243 Ningbo were close to that in Mexico (4.6 ng m<sup>-3</sup> and 0.6 ng m<sup>-3</sup>, respectively) (Saldarriaga-  
244 Norena et al., 2009).

245 As for seasonal variation, As, Cd, and Se exhibited highest concentrations during the winter.  
246 The highest concentrations of Sb and Pb were observed during autumn. These may relate to  
247 increased manmade emissions sources like biomass burning, coal combustion for heating  
248 demand in winter and autumn. Furthermore, unfavorable meteorological conditions (i.e.  
249 temperature inversions and low wind speed) also inhibit pollutants dispersion in these two  
250 seasons. The highest concentration of Cr and Ni were observed in summer, suggesting their  
251 sources were different from other elements. No clear seasonal trend was observed for Mn.

### 252 **3.3. Analysis on enrichment factors**

253 The calculated EF results for heavy metals are displayed in Fig. 4. These EFs can be  
254

255 categorized into three types, as follows: (1) the upper continental crustal material with an EF  
256 value  $<1$ , (2) anthropogenic elements with an EF value  $>10$ , and (3) mixed source elements with  
257 an EF value between 1 and 10 (Chen et al., 2015). The EFs of Sb, Cd, Pb, and Se for the four  
258 seasons and EFs of As and Tl during autumn and winter were much higher than 10, indicating  
259 these elements mainly originate from anthropogenic sources. The EFs of Cr and Ni for all four  
260 seasons and EFs of As and Tl during spring and summer were between 1 and 10, indicating their  
261 mixed source.

262

#### 263 **3.4. Principal component analysis/absolute principal component scores (PCA/APCS) in** 264 **source appointment**

265 To further explore  $PM_{2.5}$  sources and quantify their contributions, the PCA/APCS model was  
266 used. Four principal components (PC) were extracted by principle component analysis (PCA)  
267 (Table 2), accounting for over 88% of the explained variance. Generally, the sources can be  
268 identified by fingerprint elements of sources. The PCA results showed that PC 1 had high  
269 loadings of Se, As, Cd and Pb with the maximum percentage of variance (47.65%). Pb and Cd  
270 are fingerprint elements of automobile exhaust (Fang et al., 2010). The elements, As and Se are  
271 often used as specific tracers of coal in China (Duzgoren-Aydin, 2007; Ge et al., 2004; Kang et  
272 al., 2011). Consequently, PC 1 was a mixed source of coal combustion and motor vehicle  
273 exhausts. PC 2 mainly consisted of Ni and Cr with 16.5% of the total variance, which were  
274 recommended as fingerprints for metal processing industry, especially for steel works (Chen et  
275 al., 2016; Chen et al., 2014; Kuang et al., 2004). PC 3 showed a high loading of Mn and  
276 explained 12.8% of the total variance. Mn concentration closely tracks dust and indicates a soil  
277 and construction dust source (Duan et al., 2012; M. et al., 2010). PC 4 showed high loading of Sb

278 with 11.1% of the total variance that was commonly attributed to industrial effects (Hashimoto et  
279 al., 1994).

280 Multiple linear regression (MLR) of APCS showed the contributions of each source for the  
281 total heavy metals in PM<sub>2.5</sub> (Fig. 5). The maximum contribution of 46.3% was from a mixed  
282 source of coal combustion and motor vehicle exhaust. The urban area of Ningbo is characterized  
283 by high vehicular traffic daily. Coal is still the major energy source in Ningbo. The soil and  
284 construction dust contributed 37.1%. Tremendous construction activities including subway  
285 building made the uncovered soil may be blown into the air by wind. The contribution from steel  
286 works and other industry was 6.9% and 6.8%, respectively. The industries also contributed to the  
287 air pollution in Ningbo.

288

### 289 **3.5. Risk assessment of heavy metals exposure to human health**

290 PM<sub>2.5</sub>-bound heavy metals can enter into the human body via inhalation and pose a threat to  
291 human health. As indicated in Table 3, the non-carcinogenic risks occurred from highest to  
292 lowest in the following order: Mn >As >Ni >Cd > Cr(VI) >Se. HQ values of every single toxic  
293 metal were lower than the safe level (HQ=1). However, the HI value (1.38) was higher than the  
294 safe level, indicating more attention should be paid to the accumulative non-carcinogenic risks to  
295 local residents. The HI value was lower than that in Chengdu (HI=7.96) (Li et al., 2016) and  
296 Nanjing (HI=1.86) (Sun et al., 2014)

297 After non-carcinogenic risks were assessed, carcinogenic risks were evaluated. Cr (VI)  
298 imposed the highest carcinogenic risk followed by As, Cd, Ni and Pb. The carcinogenic risk of  
299 Cr (VI) and As were higher than  $1 \times 10^{-6}$ , but below the acceptable level ( $1 \times 10^{-4}$ ). The total  
300 carcinogenic risk reached  $2.50 \times 10^{-5}$  for adults and  $6.24 \times 10^{-6}$  for children, both being higher

301 than  $1 \times 10^{-6}$  but within the acceptable level, indicating that the carcinogenic risk posed by the  
302 heavy metals to both children and adults was acceptable in Ningbo. In addition, carcinogenic  
303 substances posed greater cancer risk for adults than children. Compared to results in other cities  
304 in China, the carcinogenic values were lower than Nanjing (Sun et al., 2014) and Chengdu (Li et  
305 al., 2016), but higher than Tianjin (Chen et al., 2015).

306

#### 307 **4. Conclusion**

308

309 The annual average mass concentration for PM<sub>2.5</sub> was higher than the annual limit in the  
310 NAAQS. The annual average concentrations of Pb, Cd and As were below the annual limits of  
311 the NAAQS and the concentrations of Mn and Ni were lower than the WHO guidelines. The  
312 concentrations of PM<sub>2.5</sub> and the studied heavy metals displayed significant seasonality. The  
313 concentrations of PM<sub>2.5</sub> were the highest in winter and the lowest in summer. As, Cd, and Se  
314 exhibited highest concentrations during winter while the highest concentrations of Sb and Pb  
315 were observed during autumn. The enrichment factor values for heavy metals indicated that Sb,  
316 Cd, Pb, and Se in all four seasons and As and Tl in autumn and winter originated from  
317 anthropogenic sources. Source apportionment by PCA/APCS indicated four major sources: coal  
318 combustion and motor vehicle (46.3%), soil and construction dust (37.1%), steel works (6.9%),  
319 and other smelting industries (6.8%).

320 The total carcinogenic risk of heavy metals in Ningbo was lower than safe level while the  
321 total non-carcinogenic risk was higher than the safe level. Government departments should  
322 implement more strict and effective measures to control air pollution in Ningbo, such as  
323 changing traditional energy use to clean energy, improving the vehicle exhaust limits, sprinkling

324 water regularly on roads and construction sites. Additionally, more research is needed to  
325 understand the non-carcinogenic risks that the population exposed to PM<sub>2.5</sub> may experience.

326

327 **Conflict of interest statement:** The authors declare no conflict of interest.

328

### 329 **Acknowledgements**

330 This work was supported by the Science and Technology Scheme of Ningbo (2017A610269),  
331 the Medical Science and Technology Scheme of Ningbo (2016A02) and Ningbo Health  
332 Branding Subject Fund (PPXK2018-10). We acknowledge the contribution of all the staff who  
333 had participated in the sampling and chemical analysis.

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Table 1 Average concentration of PM<sub>2.5</sub> and heavy metals in Ningbo, March 2015 – February 2016.

	Spring ( March to May ) (n=24)	Summer ( June to August ) (n=24)	Autumn ( September to November ) (n=24)	Winter ( December to next February ) (n=24)	Annual (n=96)
PM <sub>2.5</sub> (µg m <sup>-3</sup> )	54.2 ± 21.5	39.6 ± 14.4	74.8 ± 29.3	94.8 ± 45.6	62.7 ± 35.8
Sb (ng m <sup>-3</sup> )	3.8 ± 2.3	3.1 ± 1.5	5.1 ± 2.6	5.0 ± 4.0	4.1 ± 2.8
As (ng m <sup>-3</sup> )	4.3 ± 1.9	3.2 ± 1.4	5.0 ± 2.6	7.0 ± 4.5	4.7 ± 3.1
Cd (ng m <sup>-3</sup> )	1.2 ± 0.6	1.1 ± 0.5	1.7 ± 0.6	2.1 ± 1.5	1.5 ± 1.0
Cr (ng m <sup>-3</sup> )	2.1 ± 1.2	5.0 ± 3.0	2.5 ± 1.7	3.3 ± 2.4	3.4 ± 2.5
Pb (ng m <sup>-3</sup> )	51.6 ± 21	40.6 ± 19.9	74.9 ± 38.6	72.3 ± 40.5	57.2 ± 32.9
Mn (ng m <sup>-3</sup> )	36.6 ± 11.1	37.4 ± 15.4	31.6 ± 9.3	34.8 ± 16.7	35.6 ± 13.9
Ni (ng m <sup>-3</sup> )	4.0 ± 2.4	5.5 ± 3.2	3.3 ± 2.1	3.2 ± 1.8	4.2 ± 2.7
Se (ng m <sup>-3</sup> )	3.0 ± 1.5	3.2 ± 1.8	4.7 ± 2.3	5.7 ± 3.4	4.0 ± 2.6
Tl (ng m <sup>-3</sup> )	0.3 ± 0.1	0.3 ± 0.2	0.7 ± 0.3	0.8 ± 0.5	0.5 ± 0.4

Table 2 Principal Component Analysis (PCA) with varimax rotation for all PM<sub>2.5</sub> data from Ningbo.

Element	Factor			
	1	2	3	4
Sb	0.4780	0.010	0.289	<b>0.735</b>
As	<b>0.886</b>	-0.066	0.008	0.290
Cd	<b>0.845</b>	0.022	0.279	0.281
Cr	-0.005	<b>0.777</b>	0.263	-0.358
Pb	<b>0.855</b>	-0.056	0.287	0.284
Mn	0.265	0.199	<b>0.898</b>	0.165
Ni	-0.098	<b>0.907</b>	0.005	0.223
Se	<b>0.926</b>	-0.028	0.112	-0.028
Tl	0.945	-0.071	0.148	0.095
% of Variance	47.65	16.45	12.82	11.11
Cumulative %	47.65	64.09	76.92	88.02
Source	Coal combustion and motor vehicle exhaust	Steel works	soil and construction dust	Other smelting industries

Table 3 Carcinogenic and non-carcinogenic risks from toxic elements in PM<sub>2.5</sub>

Element	RfC <sub>i</sub>	IUR	Non-carcinogenic	Carcinogenic	
	(mg m <sup>-3</sup> )	(μg m <sup>-3</sup> ) <sup>-1</sup>		Children	Adults
As	1.50E-05	4.30E-03	2.87E-01	1.59E-06	6.35E-06
Cd	1.00E-05	1.80E-03	1.34E-01	2.06E-07	8.26E-07
Cr (VI)	1.00E-04	8.40E-02	5.99E-03	4.31E-06	1.73E-05
Pb		1.20E-05		5.45E-08	2.18E-07
Mn	5.00E-05		6.87E-01		
Ni	1.40E-05	2.40E-04	2.67E-01	7.69E-08	3.08E-07
Se	2.00E-02		1.85E-04		
Total			1.38E+00	6.24E-06	2.50E-05

**Figure captions**

Fig.1. PM<sub>2.5</sub> sampling site (the red star) in Ningbo

Fig.2. Monthly variation of PM<sub>2.5</sub> concentrations in Ningbo

Fig.3. Seasonal concentration of elements found in PM<sub>2.5</sub> in Ningbo

Fig.4. Seasonal variation of enrichment factors for elements in Ningbo.

Fig.5. Source contributions of heavy metals found in to PM<sub>2.5</sub> in Ningbo.

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