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DOI:

[10.1016/j.envint.2018.04.034](https://doi.org/10.1016/j.envint.2018.04.034)

*Document Version*

Peer reviewed version

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*Citation for published version (APA):*

Yang, Y., Tang, R., Qiu, H., Lai, P.-C., Wong, P., Thach, T.-Q., Allen, R., Brauer, M., Tian, L., & Barratt, B. (2018). Long term exposure to air pollution and mortality in an elderly cohort in Hong Kong. *Environment International*, 117, 99-106. <https://doi.org/10.1016/j.envint.2018.04.034>

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1 **Long Term Exposure to Air Pollution and Mortality in an elderly cohort in**  
2 **Hong Kong**

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22

23 **Abstract**

24 **Background:** Several studies have reported associations between long term  
25 exposure to air pollutants and cause-specific mortality. However, since the  
26 concentrations of air pollutants in Asia are much higher compared to those  
27 reported in North American and European cohort studies, cohort studies on long  
28 term effects of air pollutants in Asia are needed for disease burden assessment and  
29 to inform policy.

30 **Objectives:** To assess the effects of long-term exposure to particulate matter with  
31 aerodynamic diameter  $< 2.5\mu\text{m}$  ( $\text{PM}_{2.5}$ ), black carbon (BC) and nitrogen dioxide  
32 ( $\text{NO}_2$ ) on cause-specific mortality in an elderly cohort in Hong Kong.

33 **Methods:** In a cohort of 66,820 participants who were older than or equal to 65  
34 years old in Hong Kong from 1998-2011, air pollutant concentrations were  
35 estimated by land use regression and assigned to the residential addresses of all  
36 participants at baseline and for each year during a 11 year follow up period. Hazard  
37 ratios (HRs) of cause-specific mortality (including all natural cause, cardiovascular  
38 and respiratory mortality) associated with air pollutants were estimated with Cox  
39 models, including a number of personal and area-level socioeconomic,  
40 demographic, and lifestyle factors.

41 **Results:** The median concentration of  $\text{PM}_{2.5}$  during the baseline period was 42.2  
42  $\mu\text{g}/\text{m}^3$  with an IQR of 5.5  $\mu\text{g}/\text{m}^3$ , 12.1 (9.6)  $\mu\text{g}/\text{m}^3$  for BC and 104 (25.6)  $\mu\text{g}/\text{m}^3$  for  
43  $\text{NO}_2$ . For  $\text{PM}_{2.5}$ , adjusted HR per IQR increase and per 10  $\mu\text{g}/\text{m}^3$  for natural cause  
44 mortality was 1.03 (95%CI: 1.01, 1.06) and 1.06 (95%CI: 1.02,1.11) respectively.  
45 The corresponding HR were 1.06 (95%CI: 1.02, 1.10) and 1.01 (95%CI: 0.96,  
46 1.06) for cardiovascular disease and respiratory disease mortality, respectively. For  
47 BC, the HR of an interquartile range increase for all natural cause mortality was  
48 1.03 (95%CI: 1.00, 1.05). The corresponding HR was 1.07 (95%CI: 1.03, 1.11)  
49 and 0.99 (95%CI: 0.94, 1.04) for cardiovascular disease and respiratory disease  
50 mortality. For  $\text{NO}_2$ , almost all HRs were approximately 1.0, except for IHD  
51 (ischemic heart disease) mortality.

52 **Conclusion:** Long-term exposure to ambient  $\text{PM}_{2.5}$  and BC was associated with an  
53 elevated risk of cardiovascular mortality. Despite far higher air pollution exposure  
54 concentrations, HRs per unit increase in  $\text{PM}_{2.5}$  were similar to those from recent  
55 comparable studies in North America.

56 **Key words:** Hong Kong, Air pollution, Mortality, Cohort study

57 **Highlights**

- 58       • Cohort studies on long term effects of exposure to high level air pollutants in  
59       Asia are needed
- 60       • Long-term exposure to PM<sub>2.5</sub> and BC, but not NO<sub>2</sub>, was associated with  
61       cardiovascular mortality in a cohort of elderly adults.
- 62       • Hazard ratios for PM<sub>2.5</sub> were similar to those in recent comparable studies in  
63       North America, despite far higher exposure levels.

64

## 65 **1. Introduction**

66 Multiple studies have reported associations between long term exposure to air  
67 pollutants and adverse health effects (Beelen et al. 2008; Beverland et al. 2012;  
68 Gan et al. 2011; Ostro et al. 2015; Ostro et al. 2010; von Klot et al. 2009). Hong  
69 Kong is one of the many high-density, high-rise cities in Asia with a significant air  
70 pollution issue. In common with many Asian cities, concentrations of air pollutants  
71 in Hong Kong are relatively high compared to most European and North American  
72 cities, with different composition and exposure patterns. Annual mean PM<sub>2.5</sub> in  
73 Hong Kong was reported by Lee et al. (2006) as 42.2 µg/m<sup>3</sup>, in contrast to the  
74 range of PM<sub>2.5</sub> concentrations typically reported in Western cohort studies of 4.1 to  
75 31 µg/m<sup>3</sup> (Cohen et al. 2017). Regional secondary particulate smog, which is  
76 transported from mainland China, and local street level air pollution serve as the  
77 two most important causes for the air pollution problem in Hong Kong (Lee et al.  
78 2006). Regional smog in Hong Kong is formed by a mixture of emissions from  
79 traffic, industry and vegetative burning (Lee et al. 2006).

80 A previous analysis of an elderly cohort in Hong Kong observed that long term  
81 exposure to PM<sub>2.5</sub> was linked with natural cause and cardiovascular mortality  
82 (Wong et al. 2015). Wong used satellite-based estimates of PM<sub>2.5</sub> at a scale of 1 km  
83 x 1 km and did not assess other pollutants. This study used exposure estimates that  
84 may not have captured spatial variability in pollution levels in Hong Kong and may  
85 also have been subject to bias due to cloud cover, which may have been more  
86 common during period of higher or lower air pollution. Further, the monitoring  
87 data that was used in combination with the satellite-based estimates were from a  
88 limited number of Government network stations. Recently, land use regression  
89 models were developed for Hong Kong, allowing for improved characterization of  
90 spatial variability and assessment of additional pollutants (Lee et al. 2017)., In this  
91 study, we applied these higher resolution models to the same cohort in order to  
92 extend the prior analysis and strengthen the evidence base for epidemiological  
93 studies of effects of long term exposure at levels typical of Asian cities.

## 94 **2. Methods**

### 95 2.1 Study population

96 66,820 subjects, accounting for 9% of people who were older than or equal to 65  
97 years old in Hong Kong, were enrolled from July 1998 to December 2001 by the  
98 Department of Health Elderly Health Service of the Hong Kong Government. The  
99 purpose of the cohort was to promote understanding of aging in Hong Kong where

100 the patterns of common chronic diseases and their determinants may differ from  
101 those in the West. The cohort, and its study population, is described in detail by  
102 (Schooling et al. (2016). Briefly, Elderly Health Centers (EHC) located in each of  
103 the 18 districts in Hong Kong provided health assessments, using standardized and  
104 structured interviews, and comprehensive clinical examinations. Information on  
105 socio-demographics, lifestyle, and disease history was collected by doctors and  
106 registered nurses (Schooling et al. 2016). The health assessment was conducted at  
107 the baseline period as well as the follow-up period. There were no specific time  
108 points for the follow up health assessment; the participants voluntarily re-enrolled  
109 in the Elderly Health Center at least 1 year after their last health assessment.  
110 Follow-up compliance was high; nearly 70% of the participants re-enrolled within  
111 3 years of their baseline assessment. Record linkage to the death registry (via Hong  
112 Kong Identification Number) was used to examine mortality up to December 31,  
113 2011. The study protocol was approved by the Institutional Review Board of the  
114 University of Hong Kong/Hospital Authority Hong Kong West Cluster.

## 115 2.2 Mortality outcomes

116 Deaths were coded according to the *International classification of Diseases, 10th*  
117 *Revision* (ICD-10; WHO 2010) including natural cause mortality (A00–R99),  
118 overall cardiovascular disease (I00–I99) and overall respiratory disease (J00–J47  
119 and J80–J99). Subcategories included Ischemic heart disease (IHD) (I20–I25),  
120 cerebrovascular disease (I60–I69), Pneumonia (J12–J18) and chronic obstructive  
121 pulmonary disease (COPD) (J40–I44 and I47). Participants were excluded if they  
122 died within the first year of enrollment. The majority of deaths in Hong Kong  
123 occur in hospital, facilitating the consistent and accurate ascertainment of death  
124 (Schooling et al. 2016).

## 125 2.3 Exposure assessment

126 The LUR models were derived from street level measurements collected during  
127 two sampling campaigns conducted in 2014 and 2015. The model outcomes,  
128 including concentration maps, discussion of model performance and interpretation  
129 of results are described in detail by Lee et al. (2017).

130 In brief, two sampling campaigns, corresponding to warm (April 24, 2014 to May  
131 30, 2014) and cool seasons (November 18, 2014 to January 06, 2015), were  
132 conducted at 84 sites in Hong Kong for PM<sub>2.5</sub> and BC. Measurements of NO<sub>2</sub> were  
133 collected with passive samplers at ~100 locations. Candidate spatial metrics were  
134 selected based on those used in other LUR models (Abernethy et al. 2013; Allen et

135 al. 2012). These predictors included an array of marine (port and shipping), air and  
136 road traffic, urban build-up and land use measures as well as information on  
137 locations of point and area air pollution sources. The PM<sub>2.5</sub> LUR ( $R^2 = 0.59$ , RMSE  
138 = 4  $\mu\text{g}/\text{m}^3$ ) model included length of expressways, distance to Shenzhen (mainland  
139 China), car park density, government and industrial land use as predictors. The BC  
140 model ( $R^2=0.50$ , RMSE = 4  $\mu\text{g}/\text{m}^3$ ) length of expressways, longitude, car park  
141 density, commercial, mixed, residential area, undeveloped land use as predictors.  
142 The NO<sub>2</sub> Model ( $R^2 = 0.46$ , RMSE = 28  $\mu\text{g}/\text{m}^3$ ) included length of elevated roads,  
143 building volume density, industrial land use and population density as predictors.  
144 The differing predictive variables between pollutants, and resulting differing  
145 spatial patterns (Lee et al, 2107), highlighted the need for separate assessments for  
146 the three pollutants. The concentrations of air pollutants estimated by the LUR  
147 models were assigned to all participants according to their geocoded residential  
148 addresses at baseline periods. For the entire follow up period, there were only 9.3%  
149 participants who changed address. Change in address was accounted for in the  
150 exposure estimate assignment.

151 It should be noted that population density and land use in Hong Kong is very  
152 unevenly distributed, with high density around coastal areas and very low density  
153 on higher ground, most of which is reserved parkland. The sampling campaign  
154 used to develop the LUR model was focused on developed land and roadside  
155 locations, which made it more suitable for predicting concentrations in populated  
156 areas.

#### 157 2.4 Back-extrapolation of exposure estimates

158 Since the LUR model was developed in 2014, prior measured concentrations from  
159 1998 to 2011 were used to extrapolate the LUR model estimates back in time. This  
160 back-extrapolation method was based on the assumption that there were no large  
161 geographical changes during the study period in Hong Kong. Multiple published  
162 analyses have demonstrated stability in spatial variation in air pollution over many  
163 years in Western cities (European study of cohorts for Air Pollution Effects 2012;  
164 Gulliver et al. 2013; Wang et al. 2013). While this assumption may not be valid in  
165 rapidly developing cities in mainland China, Hong Kong is a relatively  
166 geographically stable and well-developed city, therefore we considered this a  
167 robust assumption.

168 First, we calculated the moving average of pollutants concentrations from routine  
169 monitoring stations one year before and one year after the recruitment date on a

170 monthly basis for each participant. Second, in line with the ESCAPE methodology,  
171 the ratio (for BC, NO<sub>2</sub>) or difference (for PM<sub>2.5</sub>) was calculated between the  
172 moving average and annual average which covered the measurement period (2014)  
173 from routine monitoring stations for each participant. Third, we calculated the  
174 baseline back-extrapolated concentrations by multiplying the ratio or the difference  
175 and the modelled annual average covering the measurement period (2014). A  
176 similar method was also applied when estimating the yearly exposure. We used the  
177 concentration of elemental carbon from monitoring stations instead of BC, which  
178 was not available for the whole study period.

## 179 2.5 Statistical analysis

180 We fitted Cox proportional hazards models to estimate the associations between air  
181 pollutants and the health endpoints. The selected underlying time scale was time to  
182 event, with the duration being from date of enrolment to the date of death for the  
183 diseases studied or censored by the end of 2011. The estimated annual air pollutant  
184 concentrations at each participant's baseline year served as a time independent  
185 variable to estimate long term air pollutants exposure in the main analysis (Wong  
186 et al. 2015). We also checked the Cox proportional hazard (PH) assumptions by  
187 using the *cox.zph* function in the survival package in R. *Cox.zph* creates  
188 interactions with time for testing the PH assumption. Natural cubic splines with 3  
189 degrees of freedom (df) were applied to plot the exposure-response relation of air  
190 pollutants with all natural cause and cardiorespiratory mortality. Three df models  
191 were selected following the application of Bayesian Information Criterion to  
192 evaluate the relative goodness of fit for Cox models with one, two, three and four  
193 df. Linearity was tested by comparing the fit of the spline and linear model using  
194 the likelihood ratio  $\chi^2$  test (Abrahamowicz et al. 2003). Potential confounders  
195 included personal covariates demographic, socioeconomic, and lifestyle factors,  
196 Tertiary Planning Units (TPU) level covariates, sociodemographic variables and  
197 district level covariates smoking rate variables were also included in the models.  
198 There are 289 TPUs in Hong Kong, each with a population between 2000 and  
199 110,000. These are aggregated into 18 districts with between 137,000 and 608,000  
200 population. For the personal covariates (assessed at baseline), age at enrolment,  
201 gender, individual smoking status, body mass index (BMI), level of physical  
202 activity, education level and monthly expenses were included in the model.  
203 Moreover, for TPU-level covariates, percentage of participants who were equal to  
204 or older than 65 years old, percentage of participants whose educational level was  
205 higher than secondary school and average income per month within each TPU.



206 Finally, percentage of smokers were also adjusted at district level (Wong et al.  
207 2015) as an indicator for secondhand smoke exposure. We applied 3 different  
208 models in our analysis. Model 1 only included the single pollutant. Model 2  
209 adjusted age at entry, gender, individual smoking status, body mass index (BMI),  
210 physical activity, education level and monthly expenses. Model 3 adjusted  
211 percentage of participants who were equal to or older than 65 years old, percentage  
212 of participants whose educational level was higher than secondary school, average  
213 income per month and percentage of smokers. While duration of smoking, diet and  
214 alcohol consumption were not included quantitatively, the use of qualitative  
215 personal information, plus district and TPU-level quantitative socio-economic  
216 factors minimized the impact of these confounders.

217 Of the 66,820 participants who were included in the initial cohort, we excluded  
218 3,602 due to an inability to geocode their residential address; 1,221 who were  
219 missing covariates (of whom 1999 were missing TPU-level covariates and 22 were  
220 missing individual-level covariates); 611 who lived in area outside of the domain  
221 of the LUR model, resulting in 61,386 participants in the final analysis.

222 Several sensitivity analyses were carried out to examine the robustness of the  
223 results in the main analysis; (i) using a co-pollutant model, (ii) annual  
224 concentrations as time-varying exposure, (iii) including the participants who died  
225 within one year after the enrolment, and (iv) excluding participants who died  
226 within the first 3 years. To evaluate potential effect modification, separate analyses  
227 were stratified by age at entry ( $<71$  or  $\geq 71$  according to the median age 70), sex  
228 (male and female) and BMI (low  $<21.6$  kg/m<sup>2</sup>, middle 21.6-26.3 kg/m<sup>2</sup>, high  $>26.3$   
229 kg/m<sup>2</sup>). The *p* value for interaction term was assessed by evaluating the interaction  
230 between PM<sub>2.5</sub> and BC and the potential effect modifier.

231 R 3.3.2 was utilized to perform statistical analyses (R Development Core Team,  
232 2016).

233

### 234 **3. Results**

235 Among the 61,386 participants who met the inclusion criteria, 33% were male and  
236 67% were female; the average (SD) age was 70.2 (5.5) years (Table 1). The  
237 median follow-up time was 11 years. Residential locations of all participants are  
238 presented in Figure 1.

239 Annual concentrations of BC decreased gradually throughout the whole study  
240 period, in comparison to the concentrations of NO<sub>2</sub> and PM<sub>2.5</sub>, which were more  
241 stable (Supplementary Information, Figure S1). The modelled distribution of PM<sub>2.5</sub>  
242 and NO<sub>2</sub> exposures at individual residential locations approximated a normal  
243 distribution during the baseline period, while the distribution of BC was right-  
244 skewed (Figure 2). The median concentration of PM<sub>2.5</sub> during the baseline period  
245 was 42.2 µg/m<sup>3</sup> with an IQR of 5.5 µg/m<sup>3</sup>, 12.1 (9.6) µg/m<sup>3</sup> for BC and 104 (25.6)  
246 µg/m<sup>3</sup> for NO<sub>2</sub>. Linear exposure-response relationships were observed between  
247 PM<sub>2.5</sub> and cardiovascular mortality (*p* value =0.77 comparing the fit of the spline  
248 model to a linear model), BC (*p* value =0.85), and NO<sub>2</sub> (*p* value =0.44). Overall,  
249 the three air pollutants were not strongly correlated; R<sup>2</sup>: 0.00 (NO<sub>2</sub> vs PM<sub>2.5</sub>), 0.12  
250 (NO<sub>2</sub> vs BC) and 0.32 (BC vs PM<sub>2.5</sub>).

251 Hazard Ratios per IQR for the three models and three pollutants are shown in  
252 Table 2. For PM<sub>2.5</sub>, the HR of an IQR (5.5 µg/m<sup>3</sup>) increase for natural cause  
253 mortality, including all covariates, was 1.03 (95%CI: 1.01, 1.06). The  
254 corresponding HR for cardiovascular disease mortality was 1.06 (95%CI: 1.02,  
255 1.10)HRs for the associations between PM<sub>2.5</sub> and overall respiratory mortality was  
256 1.01 (95%CI: 0.96, 1.06), but increased to 1.06 (95%CI: 0.97, 1.15) in the COPD  
257 subtype (Table 3). HRs per 10 µg/m<sup>3</sup> increase of PM<sub>2.5</sub> were higher, reflecting the  
258 IQR of 5.5 µg/m<sup>3</sup> (Supplementary Information, Table S2). For example, HR of a  
259 10 µg/m<sup>3</sup> increase for natural cause mortality was 1.06 (95%CI: 1.02, 1.11). The  
260 corresponding HR for cardiovascular disease mortality was 1.11 (95%CI: 1.03,  
261 1.19).

262 For BC, the HR in a fully-adjusted model for an IQR (9.6 µg/m<sup>3</sup>) elevation of BC  
263 for natural cause mortality was 1.03 (95%CI: 1.00, 1.05). The HR for  
264 cardiovascular disease mortality was 1.07 (95%CI: 1.03, 1.11). For the associations  
265 between BC and overall respiratory mortality the HR was 0.99 (95%CI: 0.94,  
266 1.04), with similar results for each respiratory subtype.

267 For NO<sub>2</sub>, the HRs for natural cause, cardiovascular and respiratory mortality were  
268 approximately equal to 1.0, except for IHD mortality 1.09 (95%CI: 1.00, 1.18).  
269 Including covariates in the models decreased HRs for PM<sub>2.5</sub> and BC, but increased  
270 HRs for NO<sub>2</sub>.

271 In multi-pollutant models, the effects of BC on different outcomes were insensitive  
272 to inclusion of additional pollutants (Table 3). For PM<sub>2.5</sub> (Table 4) and NO<sub>2</sub> (Table  
273 5), effect estimates remained also robust in multipollutant models.

274 Stratification analysis showed that HRs for IHD mortality associated with an IQR  
275 elevation in PM<sub>2.5</sub> and BC concentration was higher for people who were younger  
276 than 71 years old in comparison to people who were older than 71. The  
277 corresponding association for overall cardiovascular diseases was higher for men  
278 than for women for both PM<sub>2.5</sub> and BC. As for BMI, participants whose  
279 BMI  $\geq 26.3 \text{ kg/m}^2$  had higher risks for natural cause and cardiovascular mortality,  
280 compared to those with lower BMI (Figure 3).

281 In the sensitivity analyses (Table S1-Table S3), the estimates remained similar  
282 across different inclusion and exclusion criteria, except for PM<sub>2.5</sub>, where the effects  
283 estimates diminished and became non-significant when yearly average  
284 concentration was utilized as exposure.

#### 285 **4. Discussion**

286 This cohort study demonstrated that long-term exposure to PM<sub>2.5</sub> and BC, was  
287 associated with natural cause and cardiovascular mortality, but not respiratory  
288 mortality, among an elderly population in Hong Kong - a high-density and high-  
289 rise city in Asia. For NO<sub>2</sub>, there was no evidence of positive associations for either  
290 cardiovascular or respiratory mortality. Effect estimates remained similar for  
291 various time exposure windows.

292 Associations between PM<sub>2.5</sub> and cardiovascular diseases have been reported in a  
293 large number of epidemiologic studies (Atkinson et al. 2014; Beelen et al. 2014).  
294 A recent Medicare cohort (Di et al. 2017), which covered 60,925,443 persons aged  
295 65 years old or older from 2002 to 2012, reported that an elevation of 10  $\mu\text{g/m}^3$  for  
296 PM<sub>2.5</sub> was associated with a 7.3% (95%CI: 7.1, 7.5%) increase of natural cause  
297 mortality in low PM<sub>2.5</sub> concentrations. The results in our study are similar: an  
298 elevation of 10  $\mu\text{g/m}^3$  for PM<sub>2.5</sub> was associated with (6%, 95%CI: 2%, 11%)  
299 increase in all natural cause mortality, despite the much higher levels of exposure  
300 in the Hong Kong cohort (median 42.2  $\mu\text{g/m}^3$ ) than the Medicare cohort (mean  
301 11.5  $\mu\text{g/m}^3$ ) and the differences in pollutant mixture.

302 Several studies have also reported long term associations between BC and  
303 cardiovascular mortality. For example, a study in Vancouver reported an IQR  
304 increase of BC estimated by LUR was associated with a 6% (95%CI: 3, 9%)  
305 increase of coronary heart disease mortality (Gan et al. 2011). While the  
306 Vancouver study suggested that BC might be partly responsible for the association  
307 between traffic related air pollution and cardiovascular outcomes. In our current  
308 study, we found both PM<sub>2.5</sub> and BC served as important indicators for the

309 association between air pollution and cardiovascular mortality. This may be due to  
310 different pollutant concentration levels and sources in Hong Kong (regional  
311 sources of PM<sub>2.5</sub> and relatively unregulated marine sources of BC) compared to  
312 Vancouver. A review of 22 European cohort studies, reported that a 10<sup>-5</sup>m<sup>-1</sup>  
313 increment for PM<sub>2.5</sub> absorbance, which has been used as a measure of BC in most  
314 European epidemiological studies (Janssen et al. 2012), was associated with a 9%  
315 (95%CI: -5, 22%) increase of overall cardiovascular mortality, a 7% (95%CI: -15,  
316 28%) increase of ischemic heart disease death and a 21% (95%CI: -9, 0.51)  
317 increase of cerebrovascular disease death (Beelen, 2014). A suggestive association  
318 with cerebrovascular diseases was also reported, whereas we did not observe any  
319 such association. Differences in sample size, geographical coverage between our  
320 elderly cohort and studies of general population may be possible explanations for  
321 this difference.

322 In contrast, little evidence has been accumulated in regards to respiratory mortality.  
323 In our study we did not observe associations with respiratory mortality. In contrast,  
324 the Vancouver study reported that an IQR increase of BC was associated with a  
325 7% (95%CI: 0, 13%) elevation in COPD mortality (Gan et al. 2013). A study in the  
326 Netherlands reported that an IQR increase of black smoke was associated with a  
327 18% (95%CI: -1, 37%) elevation for respiratory disease (Beelen et al. 2008). In  
328 both Vancouver and the Netherlands, road traffic was regarded as an important  
329 source of BC, whereas in Hong Kong, besides road traffic, marine sources (defined  
330 as emissions from ports, ferry movements and shipping lanes) also played an  
331 important role on the spatial variability of BC concentration.

332 In our study, HRs for the associations between NO<sub>2</sub> and mortality were  
333 approximately 1.0, except for NO<sub>2</sub> and IHD mortality. Our findings were partly  
334 consistent with a retrospective cohort in Canada which reported that a 5 parts per  
335 billion increase in NO<sub>2</sub> was associated with 12% (95%CI: 7, 17%) and 15%  
336 (95%CI: 8, 21%) elevation in overall Cardiovascular and IHD mortality,  
337 respectively (Chen et al. 2013). Similarly, a study in Vancouver reported that per  
338 8.4 µg/m<sup>3</sup> increase of NO<sub>2</sub> was associated with a 3% (95%CI: -1, 7%) elevation of  
339 IHD mortality (Gan et al. 2011). It is possible that the 'U-shaped' dose-response  
340 curve derived for NO<sub>2</sub> may have impacted HR calculations. The sampling  
341 campaign used to develop the LUR model was focused on developed land and  
342 roadside locations, which made it more suitable for predicting concentrations in  
343 populated areas. It is likely that this geographical sampling strategy led to a poor  
344 exposure model performance in low-level NO<sub>2</sub> areas.

345 In the stratification analysis, subjects who were younger than 71 years old had a  
346 higher risk of cardiovascular mortality than those who were older, which was  
347 consistent with a pooled analysis by Singh et al. (2013). This may be due to  
348 healthy survivor effect. While there is some evidence reporting that those with  
349 higher BMI were more likely to suffer from cardiovascular diseases (Lavie et al.  
350 2009), our study reported no significant difference in outcomes.

351 There are several strengths to our study. First, our exposure assessment  
352 methodology utilizing a custom LUR model allowed a greater spatial resolution in  
353 assigning individual exposure levels than previous satellite or monitoring network  
354 methods. For example, the satellite-based exposure assessment method previously  
355 used by Wong et al (2015) was limited to PM<sub>2.5</sub>, had a greater spatial scale (1 km x  
356 1 km) and a lower explanatory power than our LUR (0.39 vs 0.59). Second, we  
357 were able to incorporate temporal variability into the spatial frame of individual  
358 exposure from by utilizing measurements made at general monitoring stations  
359 between baseline period and follow-up. Third, for each air pollutant, we also  
360 included the co-pollutant model to test the robustness of effect estimates. Fourth,  
361 there were only 9.3% participants who were not living in the same addresses  
362 during the follow-up period; the results were still robust after excluding these  
363 subjects (Supplementary Information, Table S4).

364 Our study also had several limitations. First, this study was restricted to an elderly  
365 population. These subjects pro-actively volunteered for enrolment to the study. As  
366 such, it is possible that they were more health-conscious and perhaps less prone  
367 than the general elderly population to the effects of air pollution, thus the results  
368 might not be generalizable to the whole population. Second, in the current study,  
369 traffic noise was not included in our analysis, although it may exert an influence on  
370 the association between air pollutants and cardiovascular mortality (Janssen et al.  
371 2012). Several studies have estimated the joint effect of air pollutants and traffic  
372 noise with cardiovascular outcomes. After adjusting for traffic noise, the effect of  
373 air pollutants with cardiovascular outcomes remained constant or slightly reduced  
374 (Beelen et al. 2009; Fuks et al. 2016; Gan et al. 2012). In addition, a systematic  
375 review indicated that the confounding effect of air pollutants or noise on  
376 cardiovascular outcomes is low, i.e. causing changes of less than 10% (Tétreault et  
377 al. 2013). Based on these findings, lack of measurements of traffic noise seems less  
378 likely to influence the association between ambient air pollutants and  
379 cardiovascular mortality. Third, a lack of highly spatially resolved historical  
380 measurement data is clearly a weakness for our exposure assessment. We back

381 extrapolated the concentration to baseline period as well as the follow up period  
382 based on monitoring stations concentrations by assuming that there were no large  
383 geographical changes across the study period. Hong Kong is a relatively  
384 geographically stable and well-developed city, therefore we considered this a  
385 robust assumption, in line with many European studies using similar approaches.

386 Despite the use of targeted seasonal measurement campaigns, the predictive ability  
387 of the LUR models used in this study were low in comparison with some European  
388 and North American models but were similar to the majority of previous  
389 comparable studies in Asia (Lee et al. 2017). Exposure measurement error was  
390 present in the exposure estimates, as is the case in all studies applying such models  
391 in epidemiologic analyses. Given our efforts to develop models that described  
392 annual average exposure for the population of interest, we expect this measurement  
393 error to be primarily non-differential classical error and to therefore lead to  
394 epidemiologic effect estimates that may underestimate true associations.

## 395 **5. Conclusions**

396 This cohort study demonstrated that long-term exposure to ambient air pollutants  
397 (indicated by  $PM_{2.5}$  and BC) was associated with an elevated risk of cardiovascular  
398 mortality. In Asia, where the air pollution concentrations are relatively high, our  
399 results shed new light on mortality from long term LUR modelled  $PM_{2.5}$  and BC.

400

## 401 **Acknowledgments**

402 The authors thank the Elderly Health Services of Department of Health for the  
403 cohort data and mortality data, and the Environmental Protection Department for  
404 air pollution data.

405 Funding: This work was supported by the Health Effects Institute, Boston, USA  
406 under Research Agreement 4941-RFA13-1. The authors declare they have no  
407 actual or potential competing financial interests.

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498



Table 1. Descriptive statistics for health and covariate variables in the analysis.

Variables	Percent or mean $\pm$ SD n=60,548
Pollutant concentrations: Median (IQR)	
PM <sub>2.5</sub> ( $\mu\text{g}/\text{m}^3$ )	42.2 (5.5)
BC ( $\mu\text{g}/\text{m}^3$ )	12.1 (9.6)
NO <sub>2</sub> ( $\mu\text{g}/\text{m}^3$ )	104 (25.6)
Individual Level	
Age at entry	70.2 $\pm$ 5.5
Gender: Male (%)	19 739 (32.6)
Female (%)	40 809 (67.4)
BMI quartiles:	
1 <sup>st</sup> [ $<21.6$ ] (%)	31 001 (51.2)
2 <sup>nd</sup> – 3 <sup>rd</sup> [ $21.6$ - $26.3$ ] (%)	13 260 (21.9)
4 <sup>th</sup> [ $>26.3$ ] (%)	16 227 (26.8)
Smoking status	
Never (%)	44 079 (72.8)
Former (%)	11 020 (18.2)
Current (%)	5 389 (8.9)
Exercise in days per week	
Never [0] (%)	9 082 (15.0)
Medium [1-6](%)	7 811 (12.9)
High [7](%)	43 655 (72.1)
Education	
Below primary (%)	27 792 (45.9)
Primary (%)	22 342 (36.9)
Secondary or above (%)	10 475 (17.3)
Expenses/month in US\$	
Low [ $<128$ ] (%)	10 051 (16.6)
Medium [ $128$ - $384$ ] (%)	41 536 (68.6)
High [ $\geq 385$ ] (%)	8 961 (14.8)
TPU <sup>#</sup> level	
age $\geq 65$	12.1 $\pm$ 4.2
> secondary education	13.1 $\pm$ 8.0
income $\geq$ US\$1,923/month	60.0 $\pm$ 11.6
District level	
Smoking rate	11.0 $\pm$ 0.9

<sup>#</sup>TPU, Tertiary Planning Units

Table 2. Hazard ratio (95%CI) per IQR increase in each pollutant in main analysis using different models

Cause of death	Model 1 Unadjusted Single Pollutant	Model 2 Pollutant + Individual level covariates	Model3 Pollutant + Individual level covariates + area level covariates
PM <sub>2.5</sub>			
All natural cause	1.07 (1.05, 1.09)*	1.06 (1.04, 1.08)*	1.03 (1.01, 1.06)*
Cardiovascular	1.10 (1.06, 1.14)*	1.09 (1.05, 1.12)*	1.06 (1.02, 1.10)*
Respiratory	1.05 (1.01, 1.10)*	1.05 (1.01, 1.10)*	1.01 (0.96, 1.06)
BC			
All natural cause	1.05 (1.03, 1.07)*	1.03 (1.01, 1.06)*	1.03 (1.00, 1.05)*
Cardiovascular	1.10 (1.05, 1.14)*	1.07 (1.03, 1.12)*	1.07 (1.02, 1.11)*
Respiratory	1.02 (0.97, 1.07)	1.01 (0.96, 1.06)	0.99 (0.94, 1.04)
NO <sub>2</sub>			
All natural cause	0.94 (0.92, 0.97)	0.96 (0.94, 0.98)	1.00 (0.97, 1.03)
Cardiovascular	0.94 (0.9, 0.97)	0.95 (0.91, 0.99)	1.00 (0.95, 1.06)
Respiratory	0.91 (0.87, 0.96)	0.94 (0.89, 0.99)	0.99 (0.93, 1.06)

\* $P < 0.05$

Model 1 only included single pollutant. Model 2 adjusted age at entry, gender, body mass index (BMI), smoking status, physical activity, education level and monthly expenses. Model 3 adjusted percentage of participants who are equal to or older than 65 years old, percentages of subjects whose educational level are higher than secondary school and average income per month within each TPU and percentage of smokers were also adjusted on district level.

Table 3 Hazard ratio (95%CI) per IQR increase of PM<sub>2.5</sub> in multi-pollutant models using the baseline exposure in fully adjusted model including individual level covariates and area level covariates.

Cause of death	PM <sub>2.5</sub>	PM <sub>2.5</sub> adjusted for BC	PM <sub>2.5</sub> adjusted for NO <sub>2</sub>	PM <sub>2.5</sub> adjusted for BC and NO <sub>2</sub>
All natural cause	1.03 (1.01, 1.06)*	1.03 (1.01, 1.05)*	1.03 (1.01, 1.06)*	1.03 (1.01, 1.05)*
Cardiovascular	1.06 (1.02, 1.10)*	1.04 (1.00, 1.08)*	1.06 (1.02, 1.1)*	1.04 (1.00, 1.09)
IHD	1.03 (0.97, 1.10)	1.02 (0.95, 1.08)	1.03 (0.96, 1.09)	1.01 (0.95, 1.08)
Cerebrovascular	1.06 (0.99, 1.13)	1.05 (0.98, 1.12)	1.06 (0.99, 1.13)	1.05 (0.98, 1.12)
Respiratory	1.01 (0.96, 1.06)	1.01 (0.97, 1.06)	1.01 (0.97, 1.06)	1.01 (0.97, 1.07)
Pneumonia	0.99 (0.94, 1.05)	1.00 (0.94, 1.06)	0.99 (0.94, 1.05)	1.00 (0.94, 1.06)
COPD	1.06 (0.97, 1.15)	1.07 (0.97, 1.16)	1.05 (0.97, 1.15)	1.06 (0.97, 1.16)

\*P<0.05

Table 4 Hazard ratio (95%CI) per IQR increase of BC in main analysis in multi-pollutant models using the baseline exposure in fully adjusted model including individual level covariates and area level covariates.

Cause of death	BC	BC adjusted for PM <sub>2.5</sub>	BC adjusted for NO <sub>2</sub>	BC adjusted for PM <sub>2.5</sub> and NO <sub>2</sub>
All natural cause	1.03 (1.00, 1.05)*	1.02 (0.99, 1.04)	1.03 (1.01, 1.05)*	1.02 (0.99, 1.04)
Cardiovascular	1.07 (1.03, 1.11)*	1.05 (1.01, 1.10)*	1.07 (1.03, 1.12)*	1.05 (1.00, 1.10)*
IHD	1.08 (1.01, 1.15)*	1.07 (1.00, 1.15)*	1.07 (1.00, 1.15)*	1.06 (0.99, 1.14)
Cerebrovascular	1.05 (0.98, 1.13)	1.03 (0.96, 1.11)	1.06 (0.98, 1.13)	1.02 (0.94, 1.10)
Respiratory	0.99 (0.94, 1.04)	0.99 (0.94, 1.04)	0.99 (0.94, 1.04)	1.00 (0.94, 1.05)
Pneumonia	0.99 (0.93, 1.05)	0.99 (0.93, 1.05)	0.99 (0.93, 1.05)	0.99 (0.93, 1.06)
COPD	0.98 (0.9, 1.08)	0.96 (0.88, 1.06)	0.98 (0.89, 1.07)	0.98 (0.88, 1.08)

\* $P < 0.05$

Table 5 Hazard ratio (95%CI) per IQR increase of NO<sub>2</sub> in main analysis in multi-pollutant models using the baseline exposure in fully adjusted model including individual level covariates and area level covariates.

Cause of death	NO <sub>2</sub>	NO <sub>2</sub> adjusted for PM <sub>2.5</sub>	NO <sub>2</sub> adjusted for BC	NO <sub>2</sub> adjusted for BC and PM <sub>2.5</sub>
All natural cause	1.00 (0.97, 1.03)	0.99 (0.96, 1.02)	0.99 (0.96, 1.02)	0.99 (0.96, 1.02)
Cardiovascular	1.00 (0.95, 1.06)	0.99 (0.94, 1.05)	0.99 (0.93, 1.04)	0.98 (0.93, 1.03)
IHD	1.09 (1.00, 1.18)	1.08 (0.99, 1.18)	1.07 (0.98, 1.17)	1.07 (0.98, 1.16)
Cerebrovascular	1.00 (0.91, 1.09)	0.99 (0.90, 1.08)	0.99 (0.90, 1.08)	0.98 (0.89, 1.07)
Respiratory	0.99 (0.93, 1.06)	0.99 (0.92, 1.06)	0.99 (0.93, 1.06)	0.99 (0.93, 1.06)
Pneumonia	0.98 (0.90, 1.06)	0.98 (0.90, 1.07)	0.98 (0.91, 1.07)	0.98 (0.91, 1.07)
COPD	1.02 (0.90, 1.16)	1.01 (0.89, 1.15)	1.03 (0.91, 1.17)	1.02 (0.90, 1.16)



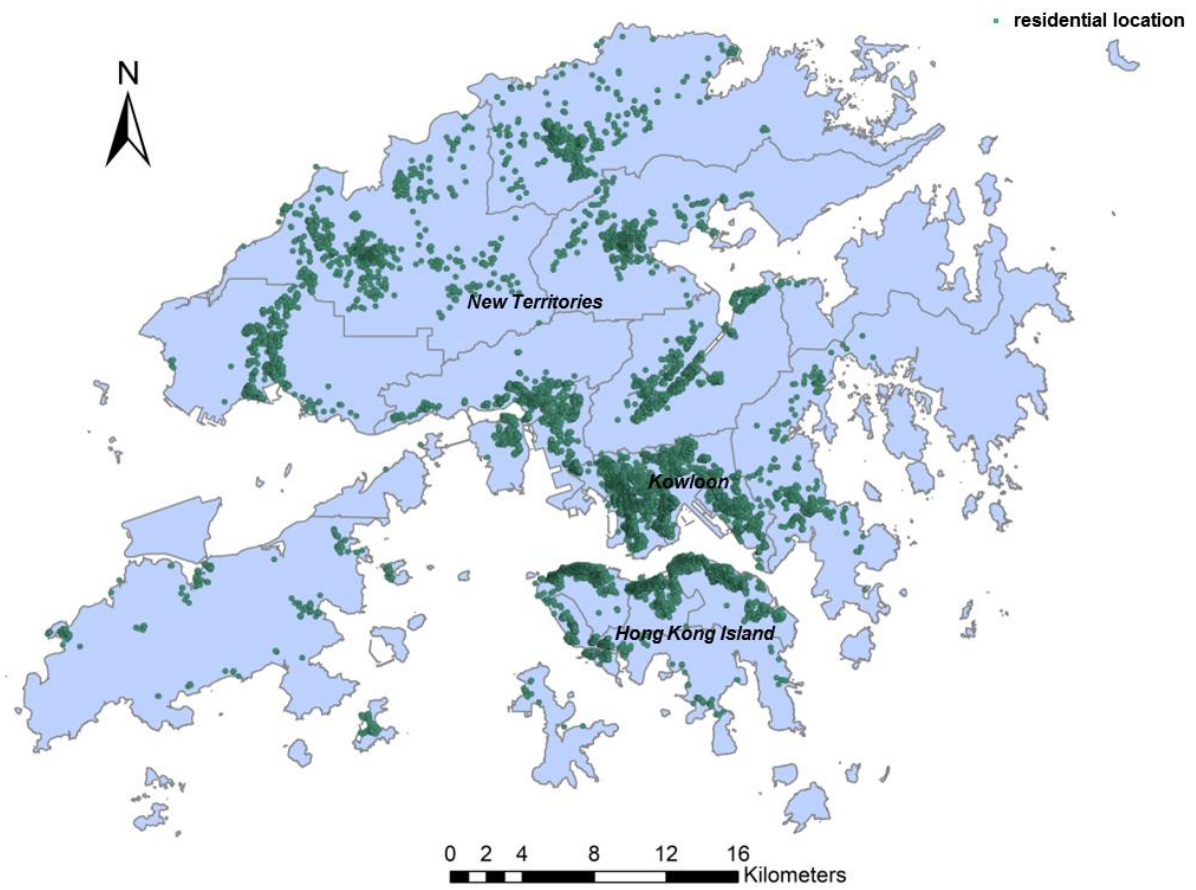


Figure 1. Spatial distribution of patients in the elderly cohort in Hong Kong (n= 61,386) at baseline (1998-2000).

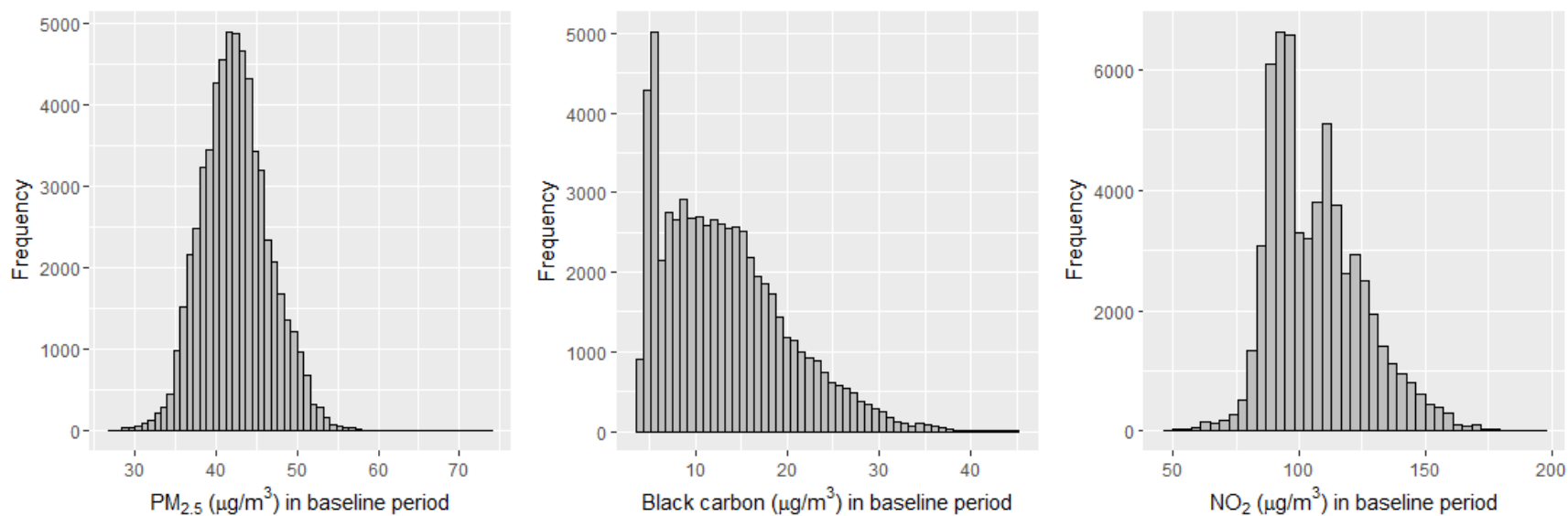


Figure 2. Distribution of PM<sub>2.5</sub>, black carbon and NO<sub>2</sub> estimated at each participants' addresses during baseline period. X-axis represents the concentrations of black carbon and y-axis represents the frequency of addresses.



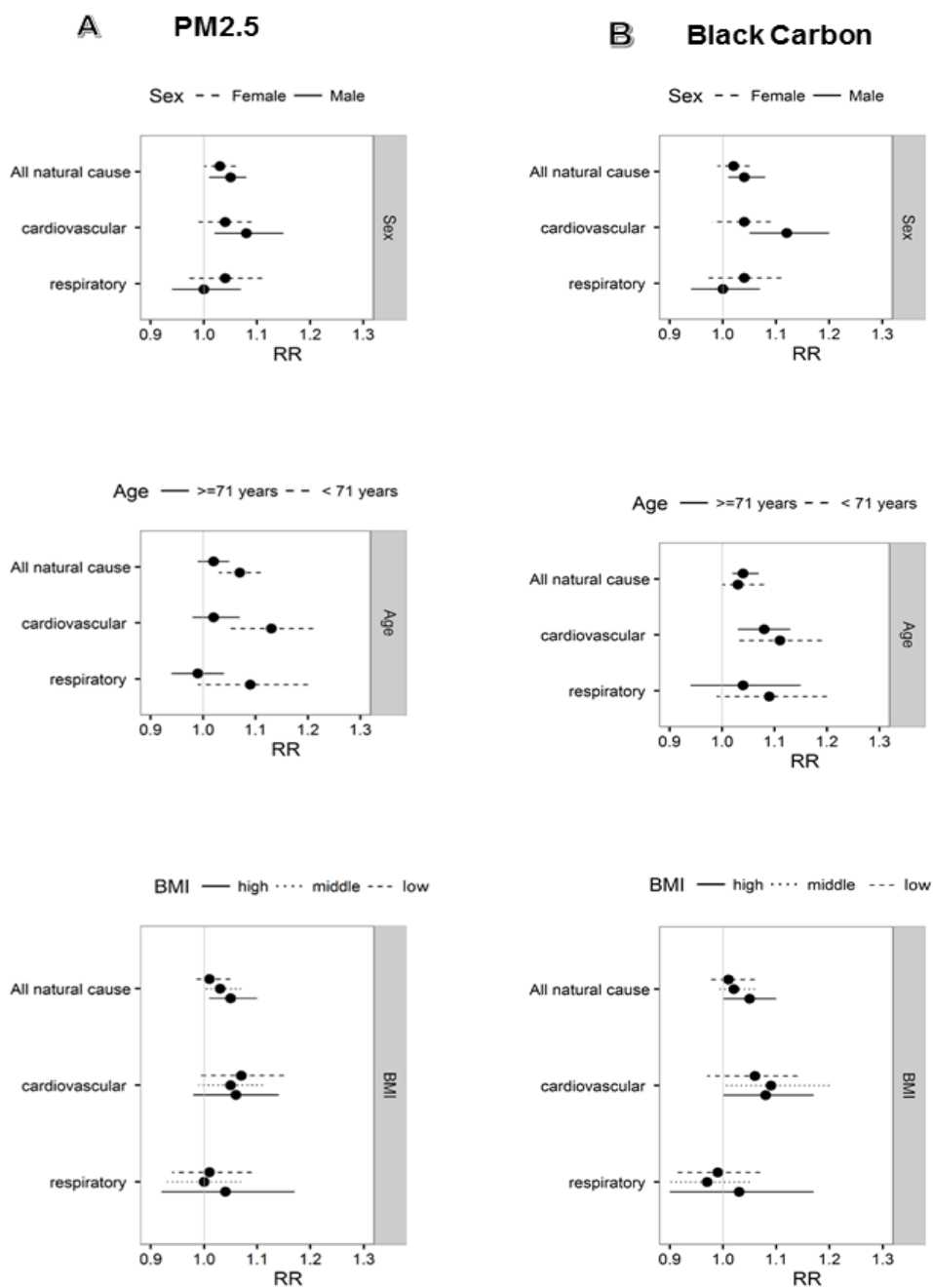


Figure 3. HRs and 95%CI with an IQR increase in  $PM_{2.5}$  (A) and BC (B) concentration, stratified by sex, age and BMI (low  $<21.6\text{kg/m}^2$ , middle  $21.6\text{-}26.3\text{ kg/m}^2$ , high  $>26.3\text{ kg/m}^2$ ) adjusted for all other covariates.

## Supplementary Material

Table S1. HRs (95%CI) for per IQR elevation of PM<sub>2.5</sub> in main analysis for average exposure at the baseline period and sensitivity analyses for exposure to average PM<sub>2.5</sub> yearly and for different inclusion and exclusion criteria.

Cause of Death	Main analysis - baseline exposure	Yearly Exposure	Including deaths within 1 year - baseline exposure	Excluding deaths within 3 years - baseline exposure
All natural cause	1.03 (1.01, 1.06)*	1.00 (0.98, 1.03)	1.03 (1.01, 1.05)*	1.04 (1.02, 1.07)*
Cardiovascular	1.06 (1.02, 1.10)*	1.02 (0.98, 1.06)	1.06 (1.02, 1.10)*	1.07 (1.03, 1.11)*
IHD	1.03 (0.97, 1.10)	0.98 (0.92, 1.05)	1.04 (0.98, 1.10)	1.03 (0.97, 1.10)
Cerebrovascular	1.06 (0.99, 1.13)	1.02 (0.95, 1.09)	1.05 (0.99, 1.12)	1.08 (1.01, 1.16)*
Respiratory	1.02 (0.97, 1.06)	0.99 (0.94, 1.04)	1.02 (0.97, 1.06)	1.02 (0.97, 1.07)
Pneumonia	1.00 (0.94, 1.06)	0.98 (0.92, 1.04)	1.00 (0.94, 1.06)	1.00 (0.95, 1.06)
COPD	1.06 (0.97, 1.15)	1.02 (0.93, 1.11)	1.06 (0.97, 1.15)	1.06 (0.97, 1.16)

\* $P < 0.05$

Table S2. HRs (95%CI) per **10 µg/m<sup>3</sup>** increase of **PM<sub>2.5</sub>** in main analysis for average exposure at the baseline period and sensitivity analyses for exposure to average PM<sub>2.5</sub> yearly and for different inclusion and exclusion criteria.

Cause of Death	Main analysis - baseline exposure <sup>a</sup>	Yearly Exposure	Including deaths within 1 year - baseline exposure	Excluding deaths within 3 years - baseline exposure
All natural cause	1.06 (1.02, 1.11)*	1.01 (0.97, 1.05)	1.06 (1.02, 1.1)*	1.08 (1.04, 1.12)*
Cardiovascular	1.11 (1.03, 1.19)*	1.03 (0.96, 1.11)	1.1 (1.03, 1.18)*	1.13 (1.05, 1.22)*
IHD	1.06 (0.95, 1.19)	0.97 (0.86, 1.09)	1.07 (0.96, 1.19)	1.06 (0.94, 1.19)
Cerebrovascular	1.11 (0.98, 1.25)	1.03 (0.91, 1.17)	1.09 (0.97, 1.23)	1.16 (1.02, 1.32)*
Respiratory	1.03 (0.94, 1.12)	0.98 (0.90, 1.07)	1.03 (0.95, 1.12)	1.03 (0.94, 1.13)
Pneumonia	1.00 (0.90, 1.11)	0.96 (0.86, 1.07)	1.00 (0.90, 1.11)	1.00 (0.90, 1.12)
COPD	1.10 (0.95, 1.29)	1.04 (0.88, 1.22)	1.11 (0.95, 1.29)	1.11 (0.94, 1.30)

\**P*<0.05

Table S3. HRs (95%CI) for per IQR elevation of BC in main analysis as well as sensitivity analyses for exposure to yearly exposure of BC and different inclusion and exclusion criteria.

Cause of death	Main analysis - baseline exposure	Yearly Exposure	Including deaths within 1 year - baseline exposure	Excluding deaths within 3 years - baseline exposure
All natural cause	1.03 (1.00, 1.05)*	1.02 (0.99, 1.06)	1.03 (1.00, 1.05)	1.03 (1.00, 1.05)
Cardiovascular	1.07 (1.03, 1.11)*	1.09 (1.02, 1.16)*	1.07 (1.03, 1.12)*	1.06 (1.02, 1.11)*
IHD	1.08 (1.01, 1.15)*	1.07 (0.96, 1.19)	1.08 (1.01, 1.15)*	1.08 (1.01, 1.15)*
Cerebrovascular	1.05 (0.98, 1.13)	1.07 (0.96, 1.20)	1.06 (0.99, 1.13)	1.04 (0.97, 1.12)
Respiratory	0.99 (0.94, 1.04)	0.96 (0.88, 1.04)	0.99 (0.94, 1.04)	1.00 (0.95, 1.05)
Pneumonia	0.99 (0.93, 1.05)	0.95 (0.86, 1.06)	0.99 (0.93, 1.05)	0.99 (0.93, 1.06)
COPD	0.98 (0.90, 1.08)	0.94 (0.81, 1.09)	0.98 (0.89, 1.07)	1.00 (0.90, 1.10)

\* $P < 0.05$

Table S4. HRs (95%CI) for per IQR elevation of NO<sub>2</sub> in main analysis as well as sensitivity analyses for exposure to yearly exposure of NO<sub>2</sub> and different inclusion and exclusion criteria.

Cause of death	Main analysis - baseline exposure	Yearly Exposure	Including deaths within 1 year - baseline exposure	Excluding deaths within 3 years - baseline exposure
All natural cause	1.00 (0.97, 1.03)	0.99 (0.96, 1.02)	0.99 (0.97, 1.02)	1.00 (0.97, 1.03)
Cardiovascular	1.00 (0.95, 1.05)	0.99 (0.94, 1.05)	0.99 (0.94, 1.05)	1.00 (0.95, 1.06)
IHD	1.09 (1.00, 1.18)*	1.08 (0.99, 1.18)	1.08 (0.99, 1.17)	1.10 (1.01, 1.20)*
Cerebrovascular	1.00 (0.91, 1.09)	0.99 (0.9, 1.08)	0.99 (0.91, 1.08)	0.98 (0.89, 1.08)
Respiratory	0.99 (0.93, 1.06)	0.99 (0.92, 1.06)	0.99 (0.93, 1.05)	0.99 (0.92, 1.06)
Pneumonia	0.98 (0.9, 1.06)	0.97 (0.90, 1.06)	0.98 (0.90, 1.06)	0.98 (0.90, 1.07)
COPD	1.02 (0.9, 1.15)	1.02 (0.90, 1.16)	1.02 (0.90, 1.15)	1.02 (0.90, 1.16)

\* $P < 0.05$

Table S5. HRs (95%CI) for per IQR elevation of air pollutants in sensitivity analyses for to yearly exposure to different air pollutants, excluding participants who changed their addresses.

Cause of Death	PM <sub>2.5</sub>	BC	NO <sub>2</sub>
All natural cause	1.00 (0.98, 1.03)	1.02 (0.99, 1.06)	0.99 (0.96, 1.03)
Cardiovascular	1.02 (0.99, 1.06)	1.09 (1.02, 1.16)*	0.99 (0.94, 1.05)
IHD	0.98 (0.92, 1.05)	1.07 (0.96, 1.19)	1.08 (0.99, 1.18)
Cerebrovascular	1.02 (0.97, 1.10)	1.07 (0.96, 1.20)	0.99 (0.9, 1.08)
Respiratory	0.99 (0.94, 1.04)	0.96 (0.89, 1.04)	0.99 (0.92, 1.06)
Pneumonia	0.98 (0.92, 1.04)	0.95 (0.86, 1.06)	0.97 (0.91, 1.06)
COPD	1.02 (0.92, 1.10)	0.94 (0.81, 1.09)	1.02 (0.90, 1.16)

\* $P < 0.05$

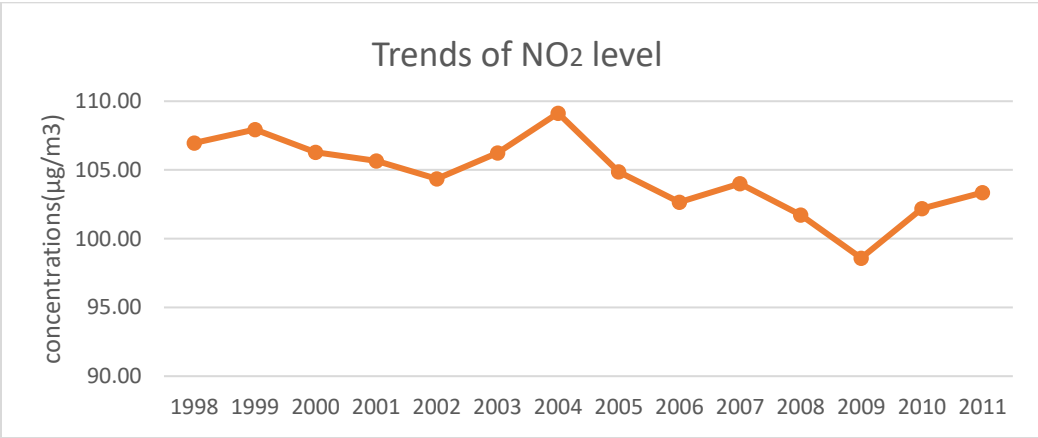
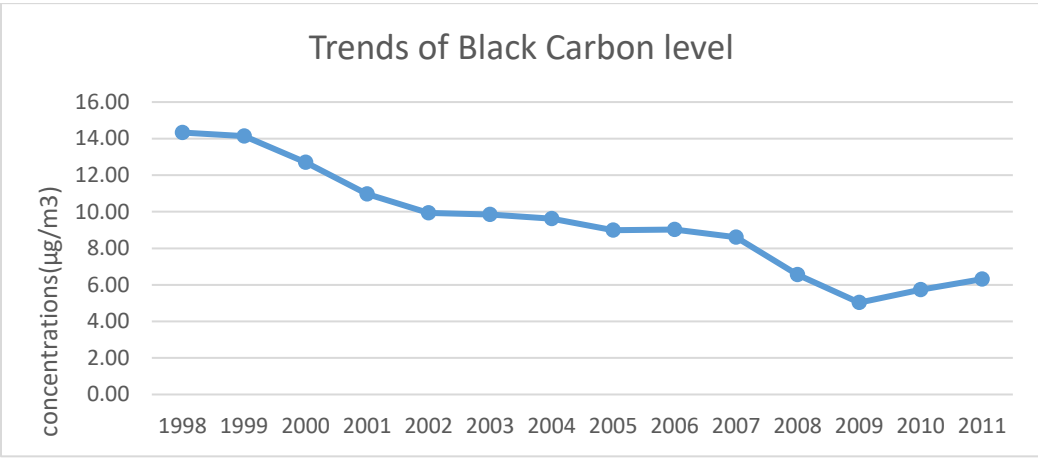
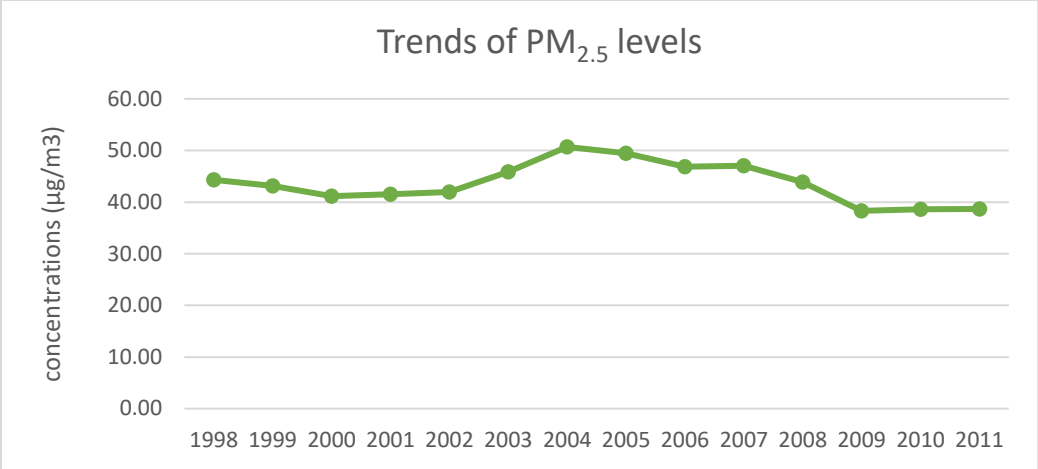


Figure S1. The trends of PM<sub>2.5</sub>, BC, and NO<sub>2</sub> across the whole study period.