

1 **Analysis of the air pollution reduction and climate change**
2 **mitigation effects of the Three-Year Action Plan for Blue**
3 **Skies on the “2+26” Cities in China**

4 Yun Shu ^{a,*}, Jingnan Hu ^a, Shaohui Zhang ^{b,c}, Wolfgang Schöpp ^c, Wei Tang ^a,
5 Jinhong Du ^a, Janusz Cofala ^c, Gregor Kieseewetter ^c, Robert Sander ^c, Wilfried
6 Winiwarter ^{c,d}, Zbigniew Klimont ^c, Jens Borken-Kleefeld ^c, Markus Amann ^c,
7 Haisheng Li ^{a,**}, Youjiang He ^a, Jinmin Zhao ^a, Deyuan Xie ^a

8 ^a State Key Laboratory of Environmental Criteria and Risk Assessment, Chinese
9 Research Academy of Environmental Sciences, Beijing 100012, China

10 ^b School of Economics and Management, Beihang University, Beijing, 100191, China

11 ^c International Institute for Applied Systems Analysis, Schlossplatz 1, A-2361
12 Laxenburg, Austria

13 ^d Institute of Environmental Engineering, University of Zielona Góra, Zielona Góra 65-
14 417, Poland

15 * Corresponding author.

16 ** Corresponding author.

17 E-mail address: shuyun@craes.org.cn (Y. Shu), atmosphere@craes.org.cn (H.S. Li)

18 **Abstract**

19 City clusters play an important role in air pollutant and greenhouse gas (GHG)
20 emissions reduction in China, primarily due to their high fossil energy consumption
21 levels. The “2+26” Cities, i.e., Beijing, Tianjin and 26 other prefectures in northern

1 China, has experienced serious air pollution in recent years. We employ the Greenhouse
2 Gas and Air Pollution Interactions and Synergies model adapted to the “2+26” Cities
3 (GAINS-JJJ) to evaluate the impacts of structural adjustments in four major sectors,
4 industry, energy, transport and land use, under the Three-Year Action Plan for Blue
5 Skies (Three-Year Action Plan) on the emissions of both the major air pollutants and
6 CO₂ in the “2+26” Cities. The results indicate that the Three-Year Action Plan applied
7 in the “2+26” Cities reduces the total emissions of primary PM_{2.5}, SO₂, NO_x, NH₃ and
8 CO₂ by 17%, 25%, 21%, 3% and 1%, respectively, from 2017 to 2020. The emission
9 reduction potentials vary widely across the 28 prefectures, which may be attributed to
10 the differences in energy structure, industrial composition, and policy enforcement rate.
11 Among the four sectors, adjustment of industrial structure attains the highest co-
12 benefits of CO₂ reduction and air pollution control due to its high CO₂ reduction
13 potential, while structural adjustments in energy and transport attain much lower co-
14 benefits, despite their relatively high air pollutant emissions reductions, primarily
15 resulting from an increase in the coal-electric load and associated carbon emissions
16 caused by electric reform policies. Results provided in the paper demonstrate the need
17 of integrating prefectural level decisions in efforts to abate air pollutants and CO₂.

18 **Keywords**

19 Air pollutants; Carbon dioxide; Emission reduction; “2+26” Cities; Co-benefit; GAINS
20 model

21 **1. Introduction**

22 The large amounts of fossil energy that are consumed in association with the

1 urbanization process in China lead to large quantities of air pollutants and greenhouse
2 gases (GHGs) being emitted into the atmosphere every year, which causes air pollution
3 and climate change. Studies have reported that provincial capitals consume 40% of the
4 total energy use and contribute to nearly half of the emissions in China (Dhakal, 2009;
5 Zheng et al., 2018). High air pollutant emissions lead to more complicated regional air
6 pollution via the formation and transport of secondary air pollutants (Silver et al., 2018;
7 Zhai et al., 2019). Over the past decades, heavy-haze episodes have frequently occurred
8 across 74 major cities in China, and the “2+26” Cities (encompassing Beijing, Tianjin
9 and 26 other prefectures in Jing-Jin-Ji and surrounding areas, shown in Figure 1a) are
10 the most seriously polluted (Ministry of Ecology and Environment of the People's
11 Republic of China, 2018). In 2017, nine out of the ten cities with the most air pollution
12 were found among the “2+26” Cities. In addition, there is well-documented evidence
13 that exposure to elevated levels of ambient PM_{2.5} (fine particulate matter with an
14 aerodynamic diameter of ≤ 2.5 μm) causes a notable burden on public health and
15 economic development (Huang et al., 2018), although exact quantification remains
16 lacking.

17 In light of the above, the Chinese government has successively promulgated a
18 number of policies to reduce pollutant emissions and safeguard public health. For
19 example, the State Council issued the Air Pollution Prevention and Control Action Plan
20 (State Council of the People's Republic of China, 2013). According to the estimates (Li
21 et al., 2017; Zheng et al., 2018), the emissions of SO₂, NO_x, and primary PM_{2.5}
22 decreased from 2013-2017. In consideration of the remarkable impacts of the Air

1 Pollution Prevention and Control Action Plan, the Chinese government released the
2 Three-Year Action Plan for Blue Skies (Three-Year Action Plan) in 2018 (State Council
3 of the People's Republic of China, 2018). The “2+26” Cities have implemented
4 intensive air pollution control policies, thereby putting tremendous effort towards the
5 control of centralized fossil fuel consumption of the power, industry, and transport
6 sectors, aiming to greatly reduce the total emissions of major air pollutants and
7 synergistically reduce GHG emissions.

8 In support of the Three-Year Action Plan, major structural adjustments in four key
9 sectors, namely, industry, energy, transport, and land use, were implemented, covering
10 various aspects, including elimination of the backward production capacity,
11 implementation and updating of vehicle emission standards, substitution of clean fuels
12 and strengthening of comprehensive straw utilization. Technical reduction measures
13 were contained within the structural adjustment in each key sector. Detailed information
14 regarding each measure is listed in Table S1. To address severe air pollutants and GHG
15 emission-reduction pressure, many provinces, such as Beijing, Tianjin, Hebei, Henan,
16 Shandong and Shanxi, have issued local action plans in line with national policies (The
17 People’s Government of Beijing Municipality, 2018; The People’s Government of
18 Hebei Province, 2018; The People’s Government of Henan Province, 2018; The
19 People’s Government of Shandong Province, 2018; The People’s Government of
20 Shanxi Province, 2018; Tianjin Municipal People’s Government, 2018).

21 Previously, air pollution control measures and policies have attained notable
22 pollutant reduction effects. For example, Wang et al. (2014) found that with the

1 implementation of the national control policies of the 11th and 12th Five-Year Plan, the
2 national SO₂ and NO_x emissions decreased by 14% and by 10%, respectively, between
3 2010 and 2015. Cai et al. (2017) chose the Jing-Jin-Ji region as a case study and
4 demonstrated that the Air Pollution Prevention and Control Action Plan resulted in
5 reductions of 36%, 31% and 30% in SO₂, NO_x and PM_{2.5} emissions, respectively. Zhang
6 et al. (2019) assessed that with the implementation of the above 5-year action plan, the
7 SO₂, NO_x, and primary PM_{2.5} emissions in China were reduced by 16.4, 8.0, and 3.5
8 Tg, respectively. Amann et al. (2017) reported that effective improvement in the air
9 quality in Delhi, India, requires collaboration with neighbouring states. Most of the
10 current studies have covered only policy evaluations at the national, provincial or
11 single-city level. City clusters, as the main areas of energy consumption, exhibit a large
12 emission abatement space and are the core areas to achieve air pollution control goals
13 (Hu and Fan, 2020; Luo et al., 2021). The “2+26” Cities, although accounting for only
14 2.9% of the land area of China, consume 21% of Chinese coal(National Bureau of
15 Statistics, 2018b). The emission intensity per unit area is over 4 times the national
16 average (Feng et al., 2019). However, few studies have examined the integrated impact
17 of air pollution control policies on city clusters. In this regard, our study focuses on city
18 clusters and fills this gap by considering the “2+26” Cities.

19 Relevant studies have revealed that many air pollution control measures may reduce
20 GHG (mainly CO₂) emissions, in addition, many policies with the aim of reducing GHG
21 emissions may reduce the emissions of air pollutants (Mao et al., 2014; Zeng et al.,
22 2017). This occurs because most air pollutants and CO₂ share common sources, such

1 as fossil fuel combustion. For example, energy-related measures in the Air Pollution
2 Prevention and Control Action Plan have led to the co-reduction in CO₂ emission (Lu
3 et al., 2019). Reasonable co-control effects in regard to GHGs, SO₂, NO_x and total
4 suspended particulates (TSP) could be achieved via the implementation of energy-
5 saving and carbon reduction policies in key sectors, such as the power plant, iron and
6 steel, cement and transport sector (Jiang et al., 2020; Mao et al., 2014; Zhou et al., 2013).

7 In this study, we adopt the “2+26” Cities as the research object and employ the
8 Greenhouse Gas-Air Pollution Interactions and Synergies model in the “2+26” Cities
9 model (GAINS-JJJ) to quantitatively evaluate the impacts structural adjustments in four
10 major sectors contained in the Three-Year Action Plan on the emissions of both the
11 major air pollutants (i.e., primary PM_{2.5}, SO₂, NO_x, and NH₃) and CO₂. The GAINS-
12 JJJ model was developed in collaboration with the International Institute for Applied
13 System Analysis (IIASA) as a regional version of the GAINS model (Amann et al.,
14 2011). First, an emission inventory of the “2+26” Cities for the base year of 2017 and
15 an emission scenarios (baseline and policy) for 2020 and 2030 are developed. The
16 Covid-19 related effects in energy consumption, transport and industry process are not
17 considered in the projection. Second, a policy scenario based on a careful review of the
18 Three-Year Action Plan is integrated into the GAINS-JJJ model, and the impacts of
19 various policies are studied. Third, source-specific emission abatement of air pollutants
20 and CO₂ emissions in 2020 are estimated, and measures or prefectures with high co-
21 benefit potentials are identified. Finally, policy implications are analyzed to highlight
22 further mitigation opportunities.

1 **2. Materials and methods**

2 2.1. Model description and data sources

3 The GAINS model is a widely applied policy assessment tool of the effects of air
4 pollution and GHG emissions mitigation and the interactions between policies. The
5 model calculates the emissions of air pollutants and GHGs based on international
6 emission inventories and statistics as well as input obtained from collaborating national
7 expert teams. Emissions are estimated with a technology-based methodology following
8 Equation (1). Details of the GAINS model have been provided in the literature (Amann
9 et al., 2011).

$$10 E_p = \sum_k \sum_m A_k ef_{k,m,p} \chi_{k,m,p} \quad (1)$$

11 where, k , m , and p denote the activity type, abatement measure, and pollutant,
12 respectively, E_p stands for the emissions of pollutant p , A_k denotes the activity data of
13 type k , $ef_{k,m,p}$ is the emission factor of pollutant p for activity k after the application of
14 control measure m , and $\chi_{k,m,p}$ denotes the penetration of control measure m targeting
15 pollutant p of activity k .

16 The GAINS-JJJ model considers Jing-Jin-Ji and surrounding areas as a single region,
17 which is further subdivided into 28 subregions corresponding to the “2+26” Cities. The
18 estimated emissions in each of the prefectures considered in the GAINS-JJJ model are
19 determined from activity data, emission factors and control strategies updated
20 according to local information for the specific 28 prefectures. To reproduce the
21 prefectural total emission inventory (unpublished data, hereafter referred to as the MEE
22 database), the input data under the default baseline scenario of

1 “ECLIPSE_V6c_CLE_base” have been updated for the power, industrial, domestic,
2 transport and agricultural sectors.

3 In the power sector, the energy consumption was calibrated based on data published
4 by the World Resources Institute and the Global Coal Plant Tracker, which contains the
5 power plant capacity and type for each prefecture. In the industrial sector, the fuel use
6 and industrial process data were based on prefectural energy use patterns and product
7 output retrieved from the China City Statistical Yearbook (National Bureau of Statistics,
8 2018a) and the China Energy Statistical Yearbook 2018 (National Bureau of Statistics,
9 2018b). Unfortunately, no subsectoral details were provided in these data sources, so it
10 was necessary to formulate certain assumptions to construct subsectors based on
11 process data. Information on the energy consumption for residential heating and
12 cooking was taken from the MEE database. It was estimated that approximately 19
13 million households still relied on coal for heating and cooking purposes in the “2+26”
14 Cities in 2017. In the transport sector, data on the registered number, mileage and
15 emission standards of the different kinds of vehicles in the “2+26” Cities were taken
16 from the MEE database and Yearbook of China Transportation & Communications
17 (Ministry of Transport of the People's Republic of China, 2018), and applied to calibrate
18 the fuel consumption in the transport sector in 2017. NH₃ emissions are mainly from
19 agricultural production. The fertilizer consumption, livestock numbers (e.g., cows, pigs,
20 sheep, and hens), and milk yields in the agriculture sector were calibrated, based on the
21 28 Prefectures Statistical Yearbooks and the Nutrient Flows in Food Chains,
22 Environment and Resources Use (NUFER) model (Zhao et al., 2017). The emission

1 factors for the different fuel types used to estimate the emissions in the power, industrial,
2 domestic, transport and agricultural sectors were taken from the GAINS dataset (a full
3 description is provided in Supplementary Section 1.1).

4 2.2. Emission scenarios

5 Two scenarios are constructed and analyzed in this study, i.e., baseline and policy
6 scenarios, and the base year is set to 2017. For future projections, exogenous inputs,
7 which follow the projections of the World Energy Outlook 2018 (International Energy
8 Agency, 2018), are used for the model, these inputs are in line with China's recent
9 economic growth during the Thirteenth Five-Year Plan period (State Council of the
10 People's Republic of China, 2016). For example, the gross domestic product (GDP) in
11 the "2+26" Cities increases by a factor of 1.3 to 1.6 between 2017 and 2020, and 1.9 to
12 2.8 between 2017 and 2030 (Figure S1). At the same time, the consumption of total
13 primary energy is estimated to increase by a factor of 1.0 to 1.3 and 1.1 to 1.5, which
14 indicates a decoupling between economic growth and energy consumption in the "2+26"
15 Cities. We assumed no additional policy adoptions under the baseline scenario during
16 the study period. Details on the establishment of the baseline scenario are provided in
17 section 1.1 of the Supplementary information.

18 In support of the Three-Year Action Plan, major structural adjustments in four key
19 sectors, namely, industry, energy, transport, and land use, were proposed (State Council
20 of the People's Republic of China, 2018). A brief description of the policy scenario
21 implemented in the model is summarized in Table S1 and further described in detail
22 below.

1 Adjustment of industrial structure. Ineffective capacity (Table S1) in various
 2 industrial sectors, such as steel, cement, coke, glass and electrolytic aluminum, is
 3 phased out. Inefficient coal-fired power plants and small-scale coal mining are shut
 4 down. The change in activity data due to industry structural adjustment is calculated
 5 with Equation (2).

$$6 \quad \Delta A = A_{BL} \times \frac{\Delta Ca}{Ca_{2017}} \quad (2)$$

7 where ΔA is the change in activity data due to industry structural adjustment, A_{BL}
 8 denotes the activity data under the baseline scenario, ΔCa is the change in production
 9 capacity due to industry structural adjustment, and Ca_{2017} is the total capacity in 2017,
 10 which is retrieved from the statistical data contained in the Province Economic
 11 Yearbook 2018.

12 Adjustment of energy structure. Poor quality coal for residential heating purposes is
 13 replaced by natural gas and electricity. Here, we assume that the required electric loads
 14 are balanced by local coal-fired power plants due to the high reliance on coal for
 15 electricity generation in China (Wang et al., 2020). The fuel demand change in the
 16 residential and power sectors is calculated with Equations (3)-(6).

$$17 \quad \Delta A_{Coal}^{Res} = \Delta N_{House} \times U_{Coal} \quad (3)$$

$$18 \quad \Delta A_{Ele}^{Res} = \frac{\Delta A_{Coal}^{Res} \times Eff_{Coal}^{Res} \times R_{Coal-Ele}}{Eff_{Ele}^{Res}} \quad (4)$$

$$19 \quad \Delta A_{Gas}^{Res} = \frac{\Delta A_{Coal}^{Res} \times Eff_{Coal}^{Res} \times R_{Coal-Gas}}{Eff_{Gas}^{Res}} \quad (5)$$

$$20 \quad \Delta A_{Coal}^{PP} = \frac{\Delta A_{Ele}^{Res}}{Eff_{Coal}^{PP} \times (1 - Eff_{Lose})} \quad (6)$$

21 where ΔA_{Coal}^{Res} is the change in coal use in the residential sector, ΔA_{Ele}^{Res} is the change
 22 in electricity use in the residential sector, ΔA_{Gas}^{Res} is the change in natural gas use in the

1 residential sector, ΔA_{Coal}^{PP} is the change in coal use in the power sector, ΔN_{House} is the
2 change in the number of households due to energy structural adjustment, U_{Coal} is the
3 average coal use per household obtained from Chinese household surveys (Zhi et al.,
4 2009), Eff_{Coal}^{Res} is the energy efficiency of residential coal use, Eff_{Gas}^{Res} is the energy
5 efficiency of residential gas use, Eff_{Coal}^{PP} is the energy efficiency of thermal coal use,
6 Eff_{Loss} is the power loss rate across transmission and distribution networks, and R_{Coal-}
7 Ele and $R_{Coal-Gas}$ are the substitution ratios (State Council of the People's Republic of
8 China, 2018) of coal by electricity and gas, respectively. All small coal-fired industrial
9 boilers are eliminated, and the decreased energy use is redistributed across large coal-
10 fired industrial boilers. Existing and newly built large boilers are all equipped with SO₂,
11 NO_x, and particulate control devices as required by the new emission standard (Ministry
12 of Ecology and Environment of the People's Republic of China, 2014). The fuel demand
13 change in the large coal-fired boilers is calculated with Equation (7).

$$14 \quad \Delta A_{Coal}^L = A_{Coal}^S \times \frac{Eff_{Coal}^S}{Eff_{Coal}^L} \quad (7)$$

15 where ΔA_{Coal}^L is the change in coal use of large coal-fired boilers, A_{Coal}^S is the
16 baseline coal use of small coal-fired boilers, and Eff_{Coal}^S and Eff_{Coal}^L are the energy
17 efficiencies of small and large coal-fired boilers, respectively.

18 Adjustment of transport structure. The Three-Year Action Plan mandated that all new
19 light gasoline and diesel vehicles in the 2+26 cities must meet the China VI emission
20 standard (similar to the Euro VI emission standard) in 2020. In the GAINS-JJJ model,
21 the growth rate of vehicles reflects the addition of new vehicles to the current stock,
22 and the same proportion of old vehicles (with outdated emission standards) is

1 eliminated. The appropriate control strategies are applied to this new stock.
 2 Simultaneously, the same proportion of control strategies involving outdated emission
 3 standards is phased out. In addition, electric vehicles are introduced into the stock. Here,
 4 we assume that the required electricity is provided by local coal-fired power plants. The
 5 fuel demand change in the transport and power generation sectors is calculated with
 6 Equations (8)-(10). The road freight volume is proportionally replaced by rail freight
 7 options. For example, compared to 2017, the railway freight share increased by 40% in
 8 Hebei in 2020. The activity data corresponding to vehicle/rail mileage, vehicle/rail
 9 number and energy are adjusted in the GAINS-JJJ model accordingly to reflect this
 10 policy.

$$11 \quad \Delta A_{Ele}^{Trans} = A_{BL-ele}^{Trans} \times \frac{\Delta Num_{Ele}}{Num_{Ele-2017}} \quad (8)$$

$$12 \quad \Delta A_{Gasoline/Diesel}^{Trans} = \frac{\Delta A_{Ele}^{Trans} \times Eff_{Ele}^{Trans}}{Eff_{Gasoline/Diesel}^{Trans}} \quad (9)$$

$$13 \quad \Delta A_{Coal}^{PP} = \frac{\Delta A_{Ele}^{Trans}}{Eff_{Coal}^{PP} \times (1 - Eff_{Lose})} \quad (10)$$

14 where ΔA_{Ele}^{Trans} is the change in fuel use of electric vehicles, $\Delta A_{Gasoline/Diesel}^{Trans}$ is the
 15 change in fuel use of gasoline or diesel vehicles, ΔA_{Coal}^{PP} is the change in coal use in
 16 the power sector, ΔNum_{Ele} is the change in electric vehicle number due to transport
 17 structural adjustment, $Num_{Ele-2017}$ is the electric vehicle ownership in 2017, which is
 18 retrieved from various sources during field surveys, and Eff_{Ele}^{Trans} and
 19 $Eff_{Gasoline/Diesel}^{Trans}$ are the energy efficiencies of electric and gasoline/diesel vehicles,
 20 respectively.

21 Adjustment of land use structure. Good practices are applied to dust management of
 22 construction sites and bulk product storage and handling. Moreover, agricultural residue

1 open burning (e.g., crop straw field burning) and chemical fertilizer use are reduced.
2 Therefore, control strategies are adjusted to reflect the suppression of construction dust
3 and the ban on agricultural waste burning. Additionally, the amount of chemical
4 fertilizer in the agricultural sector is reduced to match the increased nitrogen use
5 efficiency(State Council of the People's Republic of China, 2018).

6 2.3 Quantification of the CO₂ co-benefits

7 To compare the co-benefits between the emission reductions of CO₂ and air
8 pollutants (including primary PM_{2.5}, SO₂, and NO_x) resulting from different measures,
9 the ratio of the emission change in CO₂ to that of a certain air pollutant P is defined, as
10 shown in Eq. (11). This index has been used in previous studies (Liu et al., 2013; Lu et
11 al., 2019; Rive and Aunan, 2010) to estimate the magnitude of co-benefit effects. A
12 higher value of R represents a higher co-benefit effect.

$$13 \quad R = \frac{\Delta E_{CO_2}}{\Delta E_P} \quad (11)$$

14 where ΔE_{CO_2} is the CO₂ emission reduction (Mt) and ΔE_P is the emission reduction
15 in air pollutant P (kt).

16 3. Results

17 3.1. Base year emission inventory

18 In 2017, the anthropogenic emissions of primary PM_{2.5}, SO₂, NO_x, NH₃ and CO₂ in
19 “2+26” Cities reached 972 kt, 1041 kt, 2923 kt, 1404 kt and 1891 Mt, respectively. To
20 ensure consistency, the emissions estimated in this study are compared to other studies
21 focusing on Jing-Jin-Ji and surrounding areas (Table S2). The emissions of primary
22 PM_{2.5}, SO₂, NO_x and NH₃ agree reasonably well with those contained in the MEE

1 database, but are lower than those of the MEIC inventory (Li et al., 2017). The activities
2 of industrial products in this study account for only large scale enterprises, which may
3 contribute to the lower emissions compared to the MEIC results.

4 Figure 1 shows the prefectural emissions in 2017. As expected, the total emissions
5 of air pollutants and CO₂ vary widely across the “2+26” Cities, due to differences in
6 demographic status and economic development level, in addition to urban and industrial
7 structures. In general, the cities with large energy consumption amounts, such as
8 Tangshan, Binzhou, Handan, Tianjin and Shijiazhuang (Figure S2), emit more air
9 pollutants (except for NH₃) and CO₂. Among the “2+26” Cities, Tangshan dominated
10 by coal, iron and steel production is the largest contributor to the emissions of primary
11 PM_{2.5} (12%), SO₂ (10%), NO_x (8%) and CO₂ (10%). Jining, an important base of
12 agricultural products in China, contributes the largest share of NH₃ emissions (8%),
13 followed by Heze (7%) and Cangzhou (7%).

14 In terms of sectoral emissions (Figure 2), residential combustion (33%) is an
15 important source of primary PM_{2.5} emissions due to its relatively low combustion
16 efficiency and the lack of controls (Zheng et al., 2018), while industrial process
17 contributes 21% and fuel conversion contributes 16% to the total emissions. Regarding
18 SO₂, three groups of sources yield similar emissions: industrial combustion (29%),
19 residential combustion (28%), and industrial process (25%). In comparison, the power
20 sector (15%) is a smaller source, which is inconsistent with the findings reported in
21 previous studies (Klimont et al., 2017). This occurs because pronounced SO₂ emission
22 abatements occurred in China from 2013-2017 due to the ultralow-emission retrofitting

1 of coal-fired power (Liu et al., 2020). Transportation (40%), especially heavy-duty
2 diesel vehicles (25%), predominantly contributes to NO_x emissions, followed by
3 industrial combustion and process (36%) and power plants (11%). In contrast to the
4 above pollutants, more than 90% of the NH₃ emissions stem from agriculture, including
5 livestock manure (pigs, poultry and other cattle) and synthetic fertilizer application
6 (urea and ammonium bicarbonate application) (Figure S3d). In regard to CO₂, industrial
7 combustion (34%) and power plants (29%) dominate the emissions, primarily due to
8 the bulk coal consumption occurring in these two sectors (Table S3).

9 Most noteworthy, the sectoral contributions to the total emissions differ greatly
10 across the “2+26” Cities. For example, residential combustion is a major emitter of
11 PM_{2.5} in cities on the North China Plain, such as Baoding, Cangzhou, and Hengshui,
12 while it has a small contribution for the cities on the Central China Plain, such as
13 Anyang, Zhengzhou, and Xinxiang, since residential home heating is not needed as
14 much in winter in Central China. Furthermore, we select several subsectors that
15 contribute considerably to air pollution and CO₂ emissions (Figure S3). As shown, in
16 cities with conglomerated iron steel, coke and cement plants, such as Tangshan, Handan
17 and Anyang, a large share of the emissions originates from five subsectors in industrial
18 combustion and process, namely, agglomeration plant-sinter, basic oxygen furnace,
19 industrial furnace, coke oven and cement and lime. In populous cities relying more on
20 the tertiary industry, such as Beijing and Baoding, cooking and heating stoves in the
21 residential sector and heavy-duty diesel vehicles and cars in the transportation sector

1 are the prime sources of the emissions of primary PM_{2.5}, SO₂, NO_x and CO₂. The above
2 sectoral disparity indicates the necessity for attention when planning future mitigations.

3 3.2. Policy-level simulation results analysis

4 3.2.1. Air pollutant and CO₂ emission reductions

5 Table 1 lists the estimated emissions of air pollutants and CO₂ from 2017 and 2020
6 to 2030 under the baseline and policy scenarios. The sectoral emissions of these
7 pollutants from 2017-2030 are shown in Figure 3. Under the baseline 2020 scenario,
8 the emissions of air pollutants (except for SO₂) in the “2+26” Cities increase due to the
9 growth in the total primary energy use (Tables S3 and S4), while under the baseline
10 2030, despite an increase in total energy use, the emissions of air pollutants are reduced
11 as a result of the decline in absolute volume of coal use (Tables S3 and S5). Emissions
12 of CO₂ under both baseline 2020 and 2030 scenarios show an increase relative to the
13 2017 level. With the implementation of the Three-Year Action Plan, despite an increase
14 in the total energy use (Table S6), the total emissions of primary PM_{2.5}, SO₂, and NO_x
15 are obviously reduced by 17%, 25% and 21%, respectively, from 2017 to 2020, and the
16 NH₃ and CO₂ emissions are also slightly lower (the NH₃ emissions are 3% lower, and
17 the CO₂ emissions are 1% lower). However, further reductions after 2020 are modest
18 without new clean air action: air pollutant emissions fall by only 3%-11% between 2020
19 and 2030; instead, CO₂ emissions are slightly increased by 2030. Analysing key sector
20 emissions shows that the change patterns of the sectoral emissions result in varied
21 source contributions after the implementation of the Three-Year Action Plan. For
22 instance, the contribution of residential combustion decreases from 33% in 2017 to 25%

1 in the policy 2020 scenario and 19% in the policy 2030 scenario for primary PM_{2.5},
2 from 28% to 17% and 12% for SO₂ and from 6% to 4% and 5% for CO₂. In contrast,
3 the power and non-road machinery sectors experience increasing trends; namely, the
4 contribution of the power plants to SO₂ grows from 15% in 2017 to 23% in the policy
5 2020 scenario and 28% in the policy 2030 scenario, and the non-road machinery
6 contribution to NO_x increases by 13% and 16%, respectively.

7 The sectoral contributions to the observed emission reductions by prefecture after
8 implementing the Three-Year Action Plan in 2020 are shown in Figure S4. In terms of
9 the cities or sectors, the higher the pollutant emissions are, the higher the reduction
10 potential. From the city-specific perspective, a high mitigation potential is observed in
11 Tangshan, Handan, Tianjin, Taiyuan and Jining due to their high total emissions. From
12 the sector perspective, residential combustion is the largest contributor to PM_{2.5} and
13 SO₂ emission reductions, while transport, agriculture and industrial combustion are the
14 largest contributors to the reduction in NO_x, NH₃ and CO₂ emissions, respectively. In
15 addition, negative emission cuts occur in almost all prefectures, probably resulting from
16 the increase in development and policy intervention.

17 3.2.2. Analysis of the implementation of individual policies

18 Structural adjustments of industry, energy, transportation and land use have been
19 carried out since the implementation of the Three-Year Action Plan. Figure 4 shows the
20 policy-specific contributions to emission reductions. Each measure is analyzed in terms
21 of air pollutants and CO₂ emission reductions (Figure S5). Compared to the results of
22 the baseline for 2020 scenario, the above four structural adjustment measures under the

1 policy 2020 scenario reduced the primary PM_{2.5} emissions by 173 kt, the SO₂ emissions
2 by 245 kt, the NO_x emissions by 749 kt, the NH₃ emissions by 59 kt, and the CO₂
3 emissions by 168 Mt. However, it should be noted that certain structural measures attain
4 a good air pollution reduction effect but simultaneously impose negative reduction
5 effects on other pollutants, such as CO₂.

6 **Adjustment of industrial structure.** Industrial restructuring is an important source
7 control measure for air pollution prevention (Zheng et al., 2016). A series of measures
8 is considered, including the phasing out of outdated or inefficient technologies and
9 capacities in sectors such as steel, cement, coke, glass, electrolytic aluminum and power.
10 Extra capacity is no longer allowed in these areas. For example, 40 million tons of iron
11 and steel, 5 million tons of cement, 10 million tons of coke, and 23 million weight boxes
12 of flat glass were eliminated in Hebei Province from 2017-2020 due to outdated
13 production capacity mitigation. In addition, a coal-fired power generation capacity of
14 1.5 GW may also be retired to improve the energy efficiency (The People's
15 Government of Hebei Province, 2018). In comparison to the baseline 2020 scenario,
16 these measures lead to a reduction of 50 kt (29% of the total abatements) in primary
17 PM_{2.5} emissions, 81 kt (33%) in SO₂ emissions, 150 kt (20%) in NO_x emissions and
18 135 Mt (80%) in CO₂ emissions in 2020. From Figure 4 and Figure S5, the emission
19 reductions are especially remarkable in the industrial combustion and process sectors
20 due to the phasing out of high-emission industrial capacity (such as iron and steel,
21 cement and coke). Additionally, in the power sector, the SO₂, NO_x and CO₂ emissions

1 show a slight decrease because of the elimination of coal-fired power generation
2 capacity units.

3 **Adjustment of energy structure.** The adjustment and optimization of the energy
4 structure plays an important role in air pollutant and CO₂ emission reductions (Lu et al.,
5 2019). Two aspects are considered to examine the effect of energy restructuring on
6 emission reduction. On the one hand, coal use for residential heating is replaced by
7 natural gas and electricity. According to the MEE database, the energy consumption in
8 10 million households in the “2+26” Cities transitioned from coal to electricity and
9 natural gas from 2017-2020. On the other hand, all small coal-fired industrial boilers
10 are eliminated, and the decreased energy use is redistributed across large coal-fired
11 industrial boilers. Existing and newly built large industrial boilers are all equipped with
12 advanced SO₂, NO_x, and particulate control devices. It is estimated that these measures
13 lead to reductions of 96 kt (55% of the total abatements) in primary PM_{2.5} emissions,
14 165 kt (67%) in SO₂ emissions, 292 kt (38%) in NO_x emissions, and 14 kt (8%) in CO₂
15 emissions, in addition to an increase of 9 kt in NH₃ emissions. In regard to the primary
16 PM_{2.5}, SO₂ and CO₂ emissions, most of the reductions are caused by residential
17 combustion, owing to the transition from domestic coal burning to electricity and
18 natural gas utilization (Figure S5). Regarding NO_x, industrial combustion is the prime
19 contributor to its emission reduction due to the elimination of small coal-fired industrial
20 boilers and implementation of stringent control measures targeting large industrial
21 boilers. It is noteworthy that a negative effect of the energy restructuring is mainly
22 found in the power sector. This occurs because fuel substitution results in a sharp

1 increase in the coal-electric loads (Wang et al., 2020) and associated emissions,
2 especially CO₂ emissions. In addition, the slight increase in NH₃ emissions might be
3 ascribed to the ammonia slip as a result of existing and newly built large industrial
4 boilers being equipped with additional selective noncatalytic reduction systems.

5 **Adjustment of transport structure.** The transportation sector has been a notable
6 contributor to NO_x emissions in China since 2015 due to the rapid growth of the vehicle
7 population (Zheng et al., 2019). Strategies of old vehicle elimination, tightening of
8 vehicle emission standards, and new-energy vehicle promotion have been introduced
9 to develop city-level green transportation systems (Wu et al., 2017). In this study, China
10 6 emission standards are applied to light-duty and heavy-duty vehicles in 2020. Electric
11 vehicles are introduced into the vehicle population, and the road freight volume is
12 proportionally replaced by rail freight volume. For example, the number of electric
13 vehicles in Beijing will reach 0.4 million by 2020 (The People's Government of Beijing
14 Municipality, 2018). Consequently, these measures reduce the primary PM_{2.5} emissions
15 by 14 kt (8% of the total abatements), the NO_x emissions by 296 kt (40%), the NH₃
16 emissions by 4 kt (7%), and the CO₂ emissions by 19 kt (11%). Within transport
17 structural adjustment, strengthening vehicle emission standards is a prominent
18 contributor to NO_x abatements (177 kt, 24% of the total abatements). In contrast, the
19 implementation of transport structural adjustment leads to an increase in emissions in
20 the non-road machinery sector, which may be ascribed to the freight volume transition
21 from trucks to rail. Moreover, the increase in CO₂ emissions in the power sector may

1 be attributed to the increase in electric loads resulting from the introduction of electric
2 vehicles.

3 **Adjustment of land use structure.** Adjustment of the land use structure focuses on
4 the management of nonpoint source pollution, including the strengthening of
5 comprehensive dust control measures, such as construction dust management and bulk
6 product storage and handling, enhancement of comprehensive straw utilization, such as
7 a ban on agricultural residue open burning, and reduction in fertilizer application on
8 agricultural fields. For example, in 2020, the utilization rate of straw reached 100% in
9 Beijing and Tianjin, 95% in Hebei, 89% in Henan, 92% in Shandong, and 85% in
10 Shanxi. The nitrogen use efficiency in the “2+26” Cities was enhanced to higher than
11 40%. We estimate that these measures reduce the primary PM_{2.5} emissions by 13 kt (8%
12 of the total abatements), SO₂ emissions by 4 kt (2%), NO_x emissions by 10 kt (1%), and
13 NH₃ emissions by 63 kt (107%, , as measures in energy are associated with an increase
14 of NH₃ emissions). In contrast, the CO₂ emissions change little because the
15 implemented land use structural adjustment measures are largely focused on emission
16 control strategies, while the structural measures (e.g., fuel switching) are not employed.
17 In regard to land use structure optimization, an increase in nitrogen use efficiency
18 contributes most to the reduction in NH₃ emissions, and agriculture is the single sector
19 predominantly contributing to the reduction of this air pollutant.

20 3.3. Co-benefits analysis

21 Table 2 illustrates the CO₂ co-benefits based on parameter R due to the different
22 structural measures under the Three-Year Action Plan in 2017-2020. It is evident that

1 industry structural adjustment attains the highest co-benefits of CO₂ reduction and air
2 pollution control among the four structural measures, primarily due to its high CO₂
3 reduction potential (Figure 4). The co-reduction rate is approximately 2.7
4 MtCO₂/ktPM_{2.5}, 1.7 MtCO₂/ktSO₂, and 0.9 MtCO₂/ktNO_x, respectively. In comparison,
5 the energy and transport structural adjustment measures yield much lower co-benefits,
6 despite their relatively high air pollutant emission reductions. One reason for this
7 finding is that the CO₂ abatements resulting from these two measures are small. Another
8 contributing factor is the partial increase of CO₂ emissions due to measures
9 implemented. Regarding land use structural adjustment, no co-benefits of CO₂
10 reduction are obtained since the emissions of CO₂ vary little under policy intervention.
11 In addition, the reduction ratio of CO₂ to PM_{2.5} emissions is the highest among the three
12 air pollutants, which is consistent with the results of Lu et al. (2019) that PM_{2.5} has the
13 highest co-benefit with CO₂ in Beijing, Tianjin and Hebei Province.

14 Figure 5 shows the co-benefits of reducing CO₂ and air pollution in the “2+26” Cities
15 from 2017 to 2020. The x- and y-axes represent the reduction amounts of CO₂ and
16 major air pollutants (primary PM_{2.5}, SO₂ and NO_x). Each point in the coordinate system
17 stands for the emission reductions of CO₂ and a certain air pollutant in a certain city.
18 Details on the establishment of the co-control effects coordinate system are provided in
19 section 2 of the Supplementary information. For the co-control effects of CO₂ and three
20 air pollutants, most of the points are located in the first and second quadrants, indicating
21 that most cities exhibit positive reduction effects for primary PM_{2.5}, SO₂ and NO_x.
22 Among them, nearly half of the prefectures can contribute positively to the reduction

1 in CO₂ and air pollutant emissions. Significant co-benefits are found in Tianjin, Beijing,
2 Taiyuan and Xinxiang, which reduce the emissions of CO₂ and major air pollutants by
3 8-19 Mt and 3-39 kt, respectively. In contrast, the other half have seen negative
4 reduction effects on CO₂ although they can reduce the air pollutant emissions
5 simultaneously.

6 **4. Discussion and policy implications**

7 In the “2+26” Cities, we estimate that structural transformations in the four sectors
8 industry, energy, transport and land use, introduced for air pollutant emissions
9 mitigation, also yield co-benefits of CO₂ reduction. The diversity of the emission
10 reduction potentials among the 28 cities (Figure S4) may be attributed to several factors.
11 First, the emission reduction potential corresponds to the emission amount, which is
12 mainly driven by energy consumption and economic scale (Ma, 2015); hence, Tangshan,
13 Handan and Tianjin have relatively high mitigation potentials. Second, notable
14 differences in industrial structure occur among the various cities. In cities with heavy
15 industrial conglomeration (e.g., iron steel, coke and cement), such as Tangshan, Handan
16 and Anyang, a large share of the reduction potential is attributed to industrial
17 combustion and process. In populous cities heavily reliant on the tertiary industry, such
18 as Beijing and Baoding, the residential and transportation sectors appear to be the major
19 contributors to emission reductions. Third, the enforcement of structural adjustment
20 policies varies. For example, the prefectures in Henan Province banned the addition of
21 new production capacity in the coke, electrolytic aluminum, cement and glass industries,

1 whereas Tianjin did not implement this restriction (The People’s Government of Henan
2 Province, 2018; Tianjin Municipal People’s Government, 2018).

3 Our study contains a number of uncertainties and limitations. The first source of
4 uncertainty originates from the lack of detailed information regarding the quantification
5 of specific measures under the Three-Year Action Plan. For example, the effects of
6 nonroad transportation control measures are not investigated here, which might result
7 in an underestimation of the total benefits of the Three-Year Action Plan. Second, the
8 uncertainties in the construction of the baseline scenario may also cause discrepancies.
9 Specifically, simplifications and assumptions are required when projected energy use
10 data are unavailable in certain prefectures. But the way the baseline and policy
11 scenarios have been created integrates uncertain information in the same way, hence
12 discrepancies between scenarios become more robust. Third, the emission factors
13 introduce uncertainties. Even though the GAINS-JJJ model contains updates retrieved
14 from the literature based on local information in China, individual emission factors for
15 the different industries and processes in the “2+26” Cities are still not available.

16 Although total emissions of air pollutants and CO₂ in the “2+26” Cities have
17 decreased in 2017-2030, many cities still fail to meet the PM_{2.5} requirements in the
18 National Ambient Air Quality Standards and are facing CO₂ emission-reduction
19 pressure. Based on the analytical results, several policy implications are highlighted.
20 First, cities as the main areas of energy consumption, are the best implementers of
21 environmental policy. However, most studies usually refer to air pollution control
22 among relatively large regions, such as provinces (Zhang et al., 2018; Zheng et al.,

1 2015). They are often not practical in implementation because there are usually quite
2 differences for industrial and energy structures among the cities within the same
3 province, which are strongly associated with local emission patterns and trends (Figures
4 1 and 2). Thus, a precision scheme of air pollution control among cities is much needed.
5 Second, the emission reductions are mainly contributed by the industrial, residential,
6 transportation and agricultural sectors (Figure S4). Further reductions are still necessary
7 for these sectors because they remained major sources of pollutant emissions in 2020
8 and/or even in 2030 (Figure 3). Specifically, quantitative emission control indicators
9 regarding non-road machinery are recommended for incorporation into relevant policy
10 documents, as the emissions of NO_x contributed by the non-road machinery sector have
11 experienced increasing trends following policy implementation. Also, emission
12 reductions of ammonia are fairly small, as measures were limited to one single element
13 of the available portfolio in agriculture, and the important emission source of animal
14 husbandry and manure management still offers large potential for abatement and air
15 quality improvement (Zhao et al., 2017). Third, structural reduction measures are
16 reported to achieve the overall co-benefits of reducing air pollution and carbon
17 emissions (Jiang et al., 2020). The adjustment of industrial structure successfully
18 abating air pollutants and CO₂ emissions should be prioritized (Figure 4, Figure S5 and
19 Table 3). For example, Tangshan city could foster more capital- and technology-
20 intensive industries and could restrict the scale of energy-intensive industries. As such,
21 industry relocation should occur towards less-developed areas, and this should be
22 carefully considered in regard to pollutant emissions issues. Fourth, electric

1 consumption reforms, such as the coal-to-electricity policy and new-energy vehicle
2 promotion, have contributed to notable emission reductions in certain sectors. This shift,
3 however, has resulted in an increase in the coal-electric loads and associated emissions,
4 especially CO₂ emissions (Figure 4). Thus, the government is encouraged to match
5 large-scale renewable generation (such as wind power and solar power) with an
6 additional electric load. Last but not least, in the “2+26” Cities more than half of the
7 prefectures show an increase of CO₂ emissions (Figure 5). Generally, in local
8 governments, air pollutant reduction policies receive much attention, while GHG
9 reduction is often treated as a subsidiary benefit during policy design(Jiang et al., 2013).
10 Therefore, in order to achieve China’s aims of a peak in carbon emissions by 2030 and
11 net-zero emissions by 2060 (United Nations Framework Convention on Climate
12 Change, 2020), also local governments should place the same emphasis on both GHG
13 emissions and air pollution control. For instance, strengthening the coordination and
14 cooperation between government bodies and divisions and defining explicit GHG
15 emissions reduction goals in energy-related policies are necessary to achieve
16 comprehensive and notable co-benefits locally.

17 **5. Conclusion**

18 In this paper, we applied the GAINS-JJJ model to evaluate the impacts of structural
19 adjustments to industrial, energy, transport and land use structure under the Three-Year
20 Action Plan on the emissions of both the major air pollutants and CO₂. With the
21 implementation of the Three-Year Action Plan, the total emissions of primary PM_{2.5},
22 SO₂, and NO_x were reduced by 17%, 25% and 21%, respectively, from 2017 to 2020.

1 In addition, the NH₃ and CO₂ emissions also slightly decreased (NH₃ emissions by 3%
2 and CO₂ emissions by 1%). However, further reductions after 2020 are modest without
3 new clean air action: air pollutant emissions are expected to fall by only 3%-11%
4 between 2020 and 2030; instead, CO₂ emissions are slightly increased by 2030. Among
5 the four sectors, adjustment of industrial structure attains the highest co-benefits of CO₂
6 reduction and air pollution control due to its high CO₂ reduction potential. In contrast,
7 a sharp increase in the coal-electric loads and associated emissions due to electricity
8 consumption reform resulted in much lower co-benefits of the energy and transport
9 structural adjustment measures. In the “2+26” Cities, nearly half of the prefectures have
10 seen increasing CO₂ emissions while reducing air pollutant emissions, demonstrating
11 the need of integrating prefectural level decisions in efforts to abate air pollutants and
12 CO₂. Thus, further policies should consider the potential incompatibility between any
13 new and existing policies.

14 **Declaration of competing interest**

15 The authors declare no competing interests.

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20 **Appendix A. Supplementary data**

21 Supplementary data to this article can be found online at <http://www.sciencedirect.com>.

22 **Table/Figure Captions**

1 Table 1 Air pollutant and CO₂ emissions in 2017, baseline (2020 and 2030) and policy

2 (2020 and 2030) scenarios in “2+26” Cities

3 Table 2 Co-benefits between the total emission reductions of CO₂ and air pollutants

4 from various structural measures during 2017-2020 in the “2+26” Cities

5 Figure 1 Prefectural emissions in baseline 2017 scenario. (a) geographical location of

6 the “2+26” Cities, (b) primary PM_{2.5}, (c) SO₂, (d) NO_x, (e) NH₃, (f) CO₂.

7 Figure 2 Prefectural emissions by key sectors in the baseline 2017 scenario. (a) primary

8 PM_{2.5}, (b) SO₂, (c) NO_x, (d) NH₃, (e) CO₂

9 Figure 3 Air pollutant and CO₂ emissions by key sectors in the baseline and policy

10 scenarios in 2017-2030.

11 Figure 4 Contribution of each structural policy under the policy 2020 scenario to the

12 emission reductions compared with the baseline 2020 scenario. (a) adjustment of

13 industrial structure, (b) adjustment of energy structure, (c) adjustment of transport

14 structure, (d) adjustment of land use structure. Note: The positive horizontal axis shows

15 the reduction amount, and the negative horizontal axis shows negative emission

16 reduction and refers to an increase in the emissions.

17 Figure 5 CO₂ reduction versus the major air pollutant emission reductions in the “2+26”

18 Cities in 2017-2020. (a) emission reductions of CO₂ and primary PM_{2.5}, (b) emission

19 reductions of CO₂ and SO₂, (c) emission reductions of CO₂ and NO_x

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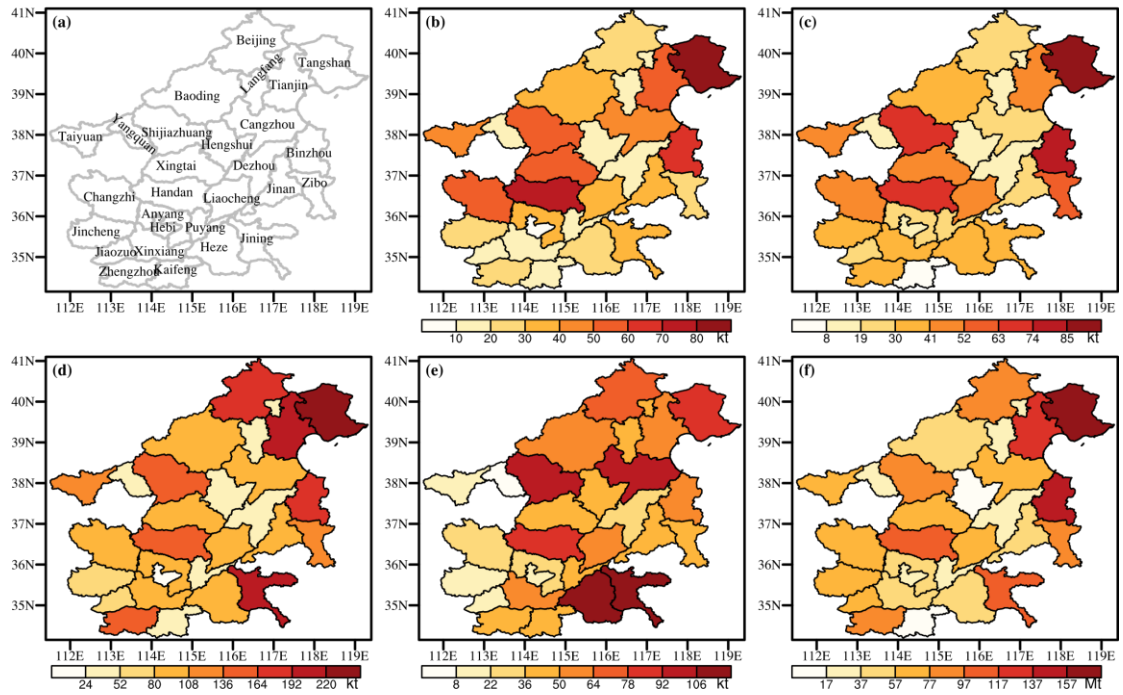
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26

Figure 1

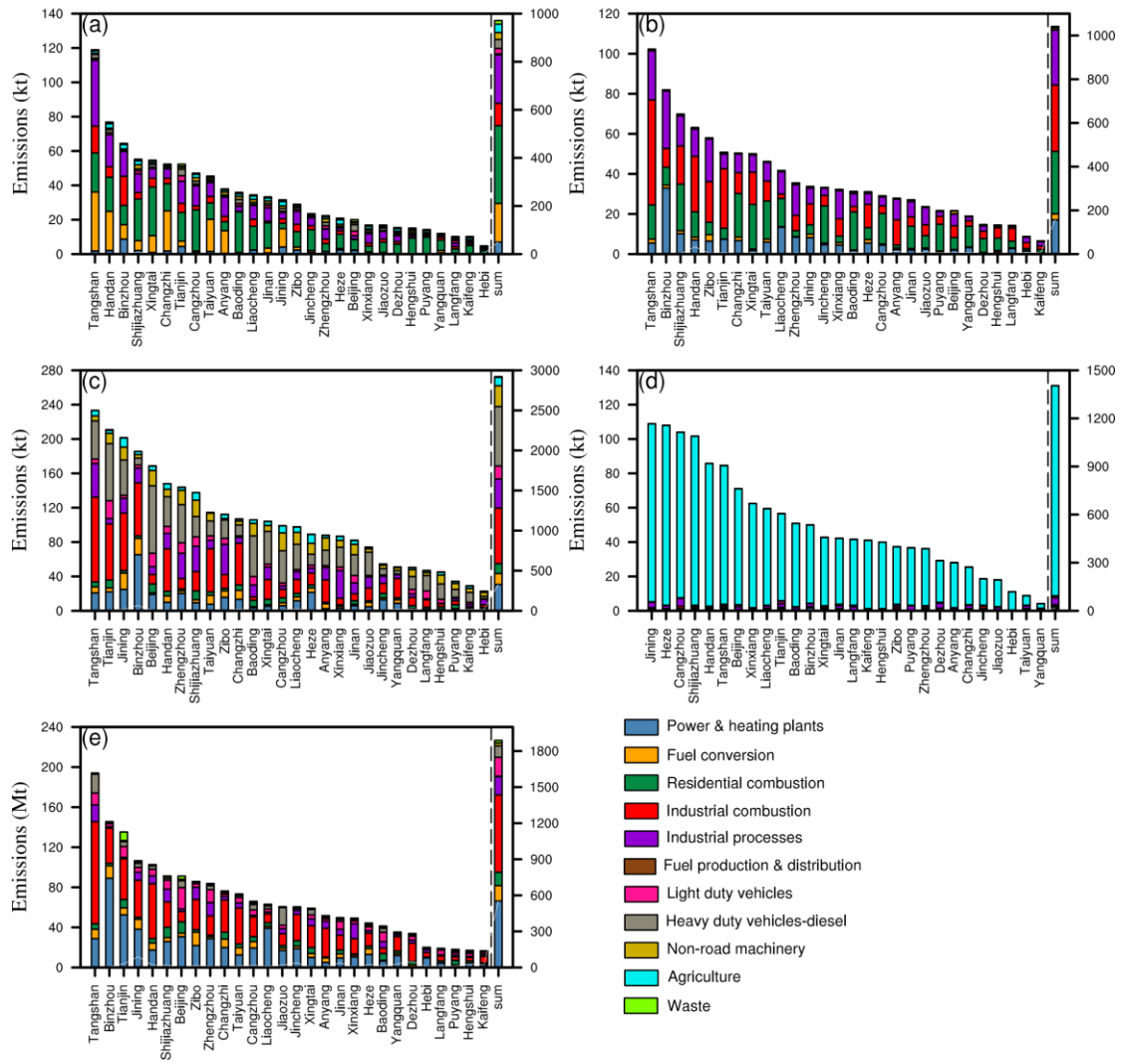


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Figure 1

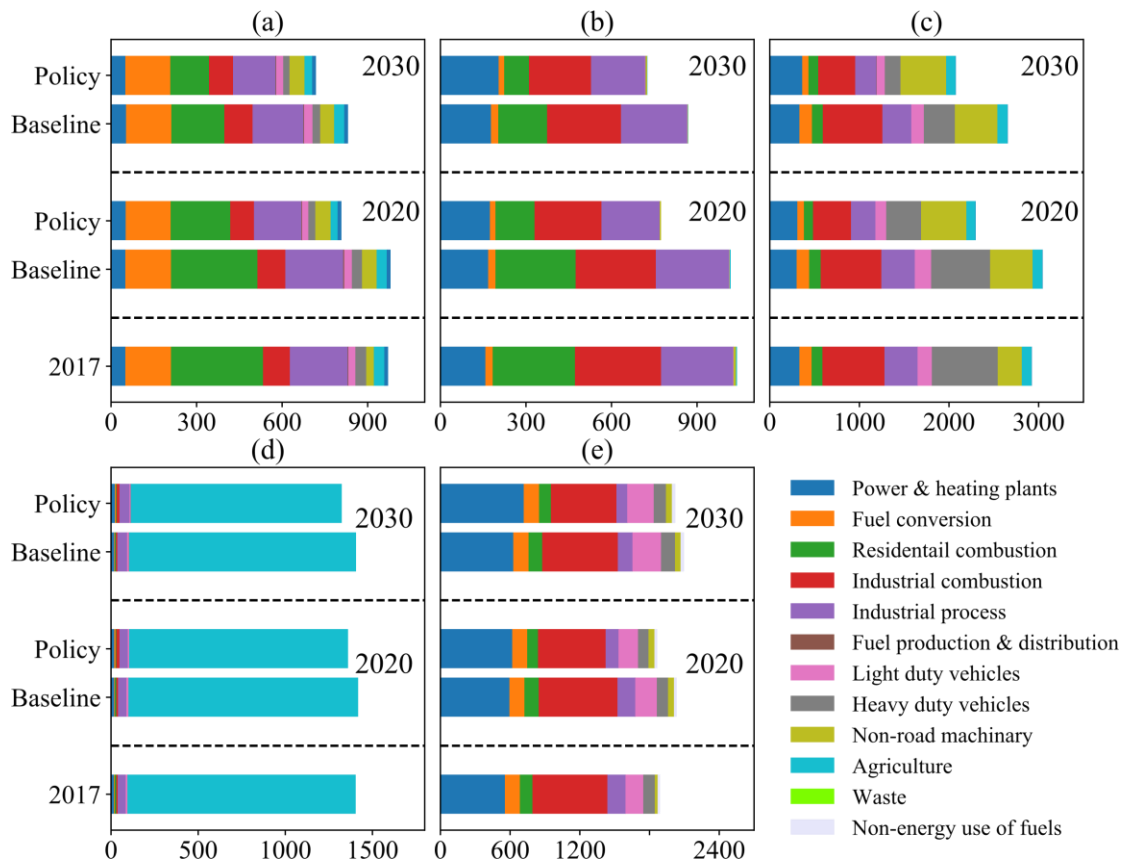
Figure 2



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2

Figure 2

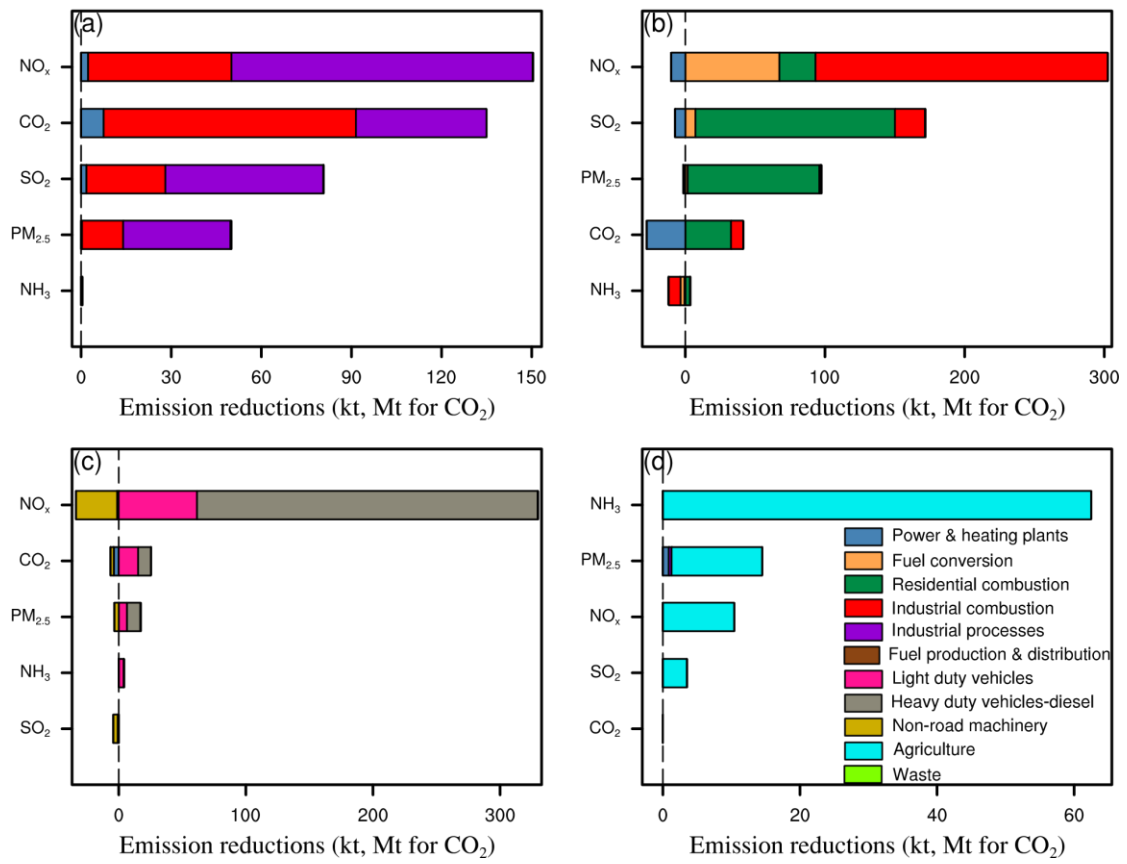


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Figure 3

Figure 4

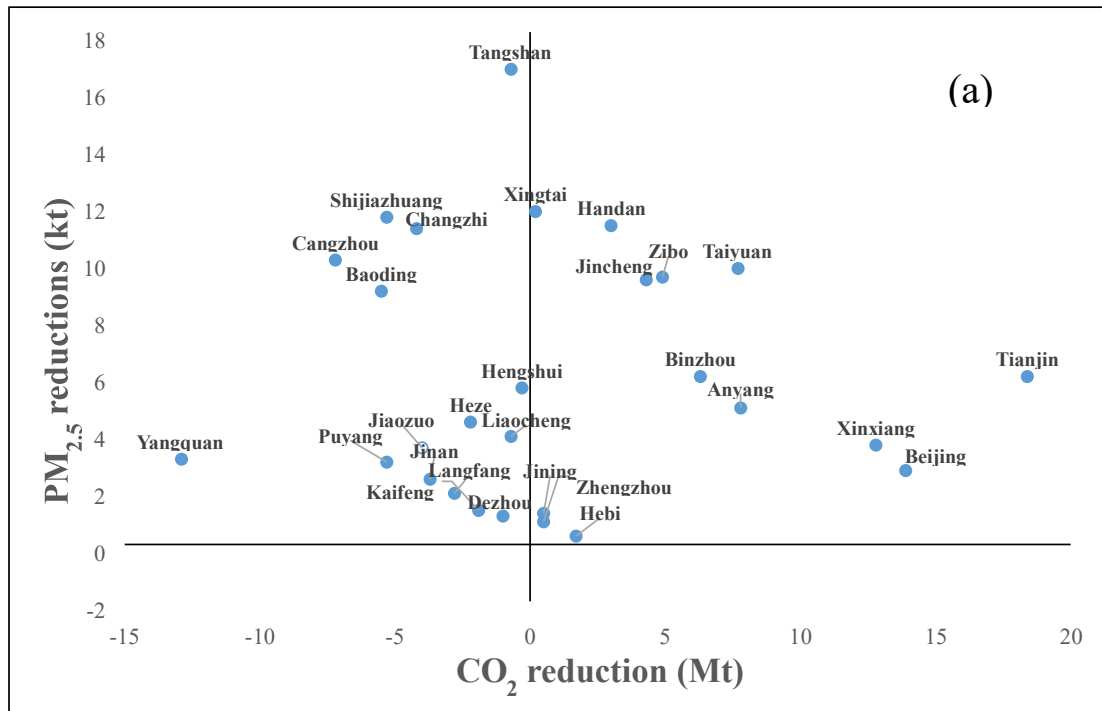


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Figure 4

Figure 5 (a)

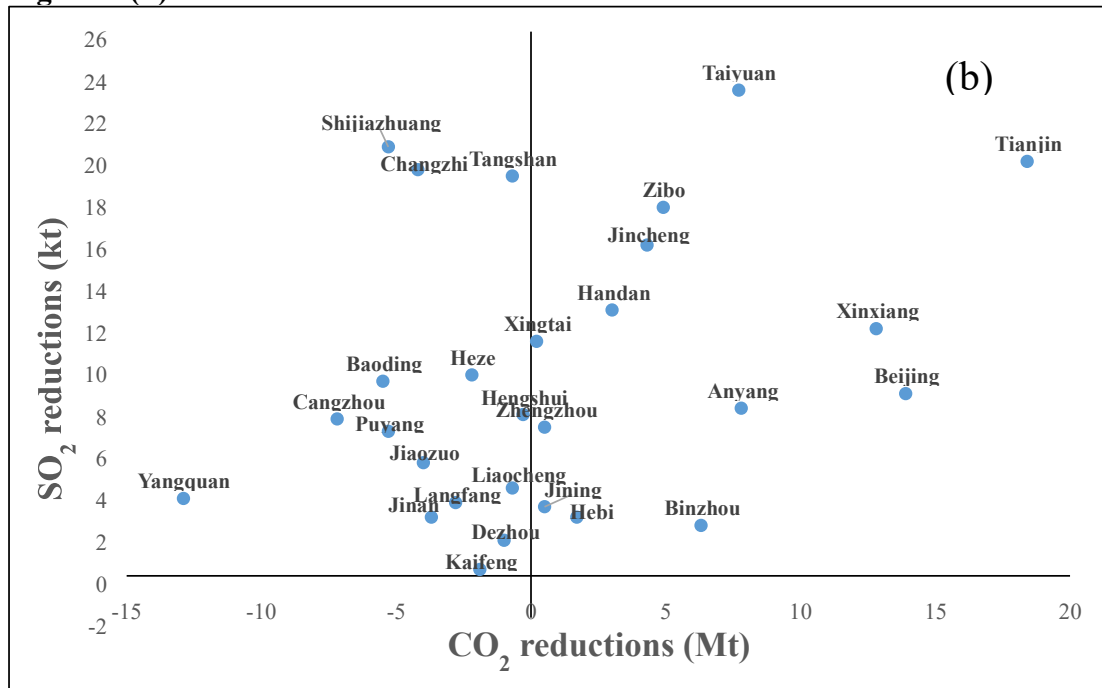


1

2

Figure 5 (a)

Figure 5 (b)

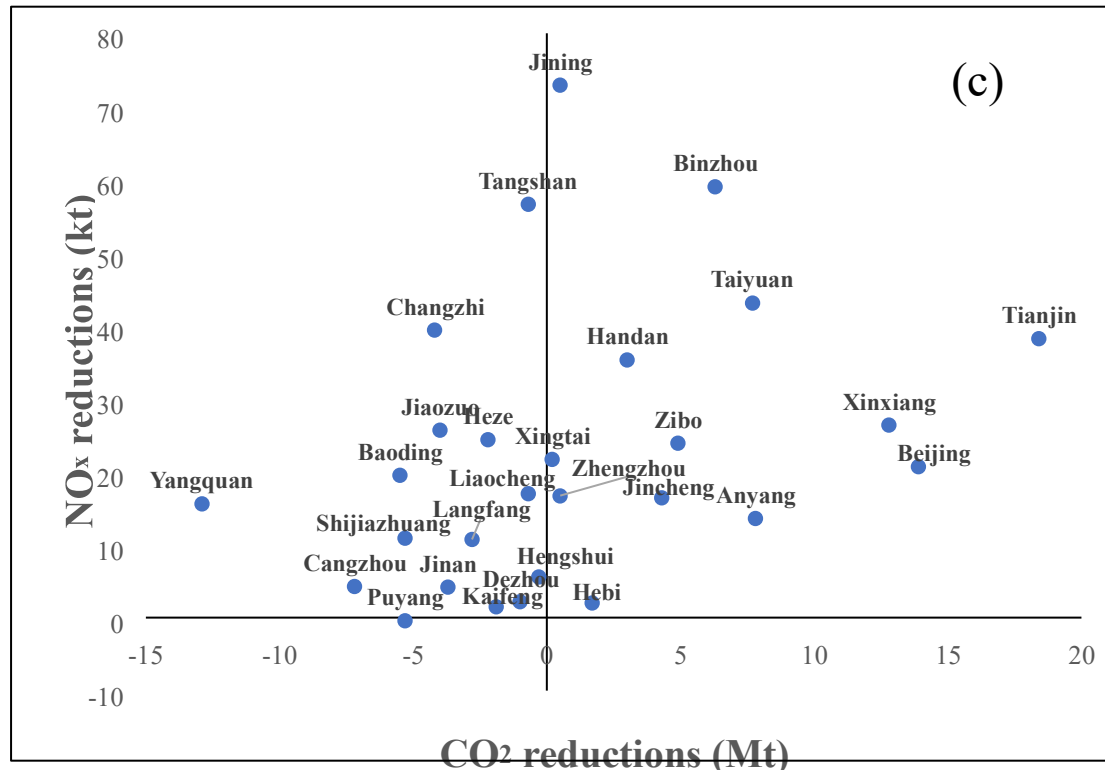


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Figure 5 (b)

Figure 5 (c)



1

2

Figure 5 (c)