

## **CHAPTER 7**

# **TOXICOLOGY OF PARTICULATE MATTER IN HUMANS AND LABORATORY ANIMALS**

## Table of Contents

	<u>Page</u>
7. TOXICOLOGY OF PARTICULATE MATTER IN HUMANS AND LABORATORY ANIMALS .....	7-1
7.1 INTRODUCTION .....	7-1
7.1.1 Methodological Considerations .....	7-2
7.1.2 Organization of the Chapter .....	7-6
7.2 CARDIOVASCULAR AND SYSTEMIC EFFECTS OF IN VIVO PM EXPOSURES IN HUMANS AND LABORATORY ANIMALS .....	7-8
7.2.1 Introduction .....	7-8
7.2.2 Ambient Particulate Matter Cardiovascular Effects .....	7-23
7.2.3 ROFA and Other Combustion Source-Related Particles .....	7-28
7.2.4 Summary of Cardiovascular/Systemic Effects .....	7-36
7.3 RESPIRATORY EFFECTS OF CONTROLLED IN VIVO PM EXPOSURES OF HUMANS AND LABORATORY ANIMALS .....	7-38
7.3.1 Ambient Particulate Matter .....	7-39
7.3.1.1 Ambient Particles Inhalation Exposures .....	7-39
7.3.1.2 Intratracheal and Intrabronchial Instillation of Ambient Particulate Matter .....	7-45
7.3.2 ROFA and Other Combustion Source-Related Particles .....	7-50
7.3.3 Metals .....	7-61
7.3.4 Acid Aerosols .....	7-65
7.3.5 Diesel Particulate Matter .....	7-69
7.3.5.1 Salient Findings from U.S. EPA 2002 Diesel Document .....	7-70
7.3.6 Ambient Bioaerosols .....	7-78
7.3.7 Summary of Respiratory Effects .....	7-85
7.4 CARDIOVASCULAR AND RESPIRATORY PATHOPHYSIOLOGY AND TOXICITY: IN VITRO PM EXPOSURES .....	7-86
7.4.1 Introduction .....	7-86
7.4.2 Ambient Particles Effects .....	7-97
7.4.3 Comparison of Ambient and Combustion Source-Related Particles .....	7-102
7.4.4 Potential Cellular and Molecular Mechanisms .....	7-106
7.4.4.1 Reactive Oxygen Species .....	7-107
7.4.4.2 Intracellular Signaling Mechanisms .....	7-112
7.4.4.3 Particle Charge and Stimulation of Sensory Nerve Receptors .....	7-117
7.4.4.4 Other Potential Cellular and Molecular Mechanisms .....	7-120
7.4.5 Specific Particle Size and Surface Area Effects .....	7-120

**Table of Contents**  
(cont'd)

		<u>Page</u>
7.5	FACTORS AFFECTING SUSCEPTIBILITY TO PARTICULATE MATTER EXPOSURE EFFECTS .....	7-126
7.5.1	Pulmonary Effects of Particulate Matter in Compromised Hosts .....	7-126
7.5.2	Genetic Susceptibility to Inhaled Particles and Their Constituents .....	7-132
7.5.3	Particulate Matter Effects on Allergic Hosts .....	7-134
7.5.4	Resistance to Infectious Disease .....	7-141
7.6	RESPONSES TO PARTICULATE MATTER AND GASEOUS POLLUTANT MIXTURES .....	7-143
7.7	QUANTITATIVE COMPARISONS OF EXPERIMENTAL PM EFFECTS ON CARDIOVASCULAR/RESPIRATORY ENDPOINTS IN HUMANS AND LABORATORY ANIMALS .....	7-153
7.7.1	Introduction .....	7-153
7.7.1.1	Cardiovascular and Systemic Effects of Inhaled Particulate Matter .....	7-153
7.7.1.2	Cardiovascular and Systemic Effects of Instilled Particulate Matter .....	7-155
7.7.1.3	Respiratory Effects of Inhaled Particulate Matter ...	7-157
7.2.1.4	Respiratory Effects of Instilled Particulate Matter ...	7-159
7.7.1.5	In Vitro Effects of Particulate Matter on ng/Cell Dose Basis .....	7-161
7.7.2	Interspecies Comparisons of Experimental Results .....	7-163
7.7.2.1	Introduction .....	7-163
7.7.2.2	Dosimetric Intercomparison for PMN Influx as a Marker for Lung Inflammation .....	7-165
7.7.2.3	Inhibition of Phagocytosis by PM Exposure .....	7-167
7.8	MUTAGENICITY/GENOTOXICITY EFFECTS .....	7-172
7.8.1	Ambient Particulate Matter Effects .....	7-172
7.8.2	Wood and Coal Combustion-Source Effects .....	7-183
7.8.2.1	Biomass/Wood Burning .....	7-183
7.8.2.2	Coal Combustion .....	7-185
7.8.3	Mobile Combustion-Source Effects .....	7-187
7.8.3.1	Diesel .....	7-187
7.8.3.2	Gasoline .....	7-195
7.8.4	Summary of Mutagenic/Genotoxic Effects .....	7-198

**Table of Contents**  
(cont'd)

		<u>Page</u>
7.9	INTERPRETIVE SUMMARY OF PM TOXICOLOGY FINDINGS . . . . .	7-201
7.9.1	Particulate Matter Health Effects and Potential Mechanisms of Action . . . . .	7-202
7.9.1.1	Direct Pulmonary Effects . . . . .	7-203
7.9.1.2	Cardiovascular and Other Systemic Effects Secondary to Lung Injury . . . . .	7-206
7.9.1.3	Direct Effects on the Heart . . . . .	7-209
7.9.1.4	Mutagenic/Genotoxic Effects of PM . . . . .	7-210
7.9.2	Links Between Specific Particulate Matter Components and Health Effects . . . . .	7-212
7.9.2.1	Ambient Particle Studies . . . . .	7-212
7.9.2.2	Acid Aerosols . . . . .	7-213
7.9.2.3	Metals . . . . .	7-214
7.9.2.4	Diesel Exhaust Particles . . . . .	7-216
7.9.2.5	Organic Compounds . . . . .	7-216
7.9.2.6	Ultrafine Particles . . . . .	7-217
7.9.2.7	Bioaerosols . . . . .	7-217
7.9.3	PM Interactions with Gaseous Co-Pollutants . . . . .	7-218
7.9.4	Susceptibility . . . . .	7-219
	REFERENCES . . . . .	7-222

## List of Tables

<u>Number</u>		<u>Page</u>
7-1	Cardiovascular and Systemic Effects of Inhaled Ambient Particulate Matter . . . .	7-15
7-2	Cardiovascular and Systemic Effects of Inhaled ROFA and Other Combustion-Related Particulate Matter . . . . .	7-17
7-3	Cardiovascular and Systemic Effects of Instilled ROFA and Other Particulate Matter . . . . .	7-19
7-4	Respiratory Effects of Inhaled Ambient Particulate Matter in Controlled Exposure Studies of Human Subjects and Laboratory Animals . . . . .	7-40
7-5	Respiratory Effects of Instilled Ambient Particulate Matter in Laboratory Animals and Human Subjects . . . . .	7-46
7-6	Respiratory Effects of Instilled ROFA and Other Combustion Source-Related Particulate Matter in Healthy Laboratory Animals . . . . .	7-51
7-7	Respiratory Effects of Inhaled and Instilled ROFA and Other Combustion Source-Related Particulate Matter in Compromised Laboratory Animal Models . . . . .	7-55
7-8	Respiratory Effects of Inhaled and Instilled Metal Particles in Human Subjects and Laboratory Animals . . . . .	7-63
7-9	Respiratory Effects of Acid Aerosols in Humans and Laboratory Animals . . . . .	7-67
7-10	In Vitro Effects of Ambient Particulate Matter and Particulate Matter Constituents . . . . .	7-87
7-11	In Vitro Effects of ROFA and Other Combustion-Source Particulate Matter Constituents . . . . .	7-93
7-12	Numbers and Surface Areas of Monodisperse Particles of Unit Density of Different Sizes at a Mass Concentration of 10 $\mu\text{g}/\text{m}^3$ . . . . .	7-121
7-13	Respiratory and Cardiovascular Effects of PM and Gaseous Pollutant Mixtures . . . . .	7-144
7-14	CAPs: Rat and Human Inhalation Study Comparisons . . . . .	7-166

**List of Tables**  
(cont'd)

<u>Number</u>		<u>Page</u>
7-15	Interspecies Comparisons of Non-Effective and Effective Doses (estimated as ng/cell) Producing No Change or Decreased Phagocytosis by Human or Rodent Alveolar Macrophage Cells .....	7-170
7-16	Mutagenic/Carcinogenic Effects of Ambient Particulate Matter .....	7-173
7-17	Mutagenic/Carcinogenic Effects of Wood and Coal Combustion-Source PM .....	7-175
7-18	Mutagenic/Carcinogenic Effects of Mobile Combustion-Source PM .....	7-177

## List of Figures

<u>Number</u>		<u>Page</u>
7-1	Schematic illustration of hypothesized pathways/mechanisms potentially underlying cardiovascular effects of PM .....	7-9
7-2	Simplified overview of blood coagulation system .....	7-12

# 7. TOXICOLOGY OF PARTICULATE MATTER IN HUMANS AND LABORATORY ANIMALS

## 7.1 INTRODUCTION

The 1997 U.S. PM NAAQS revisions (Federal Register, 1997) were based, in large part, on new epidemiologic evidence showing associations between (a) ambient PM measured at community monitoring stations and (b) increased risks for mortality and morbidity (especially cardiorespiratory-related) among human populations exposed to contemporary U.S. ambient concentrations. However, very little experimental toxicology data from controlled human or laboratory animal exposure studies were available that provided more direct evidence supporting the plausibility of the observed PM-mortality/morbidity associations being causal at the relatively low ambient PM concentrations studied epidemiologically. The then-limited PM toxicologic data was assessed in Chapter 11 of the 1996 PM Air Quality Criteria Document or PM AQCD (U.S. Environmental Protection Agency, 1996a) that provided scientific assessment inputs supporting the 1997 PM NAAQS decisions.

Since the 1996 PM AQCD, numerous hypotheses have been advanced and extensive new toxicologic evidence generated with regard to possible pathophysiological mechanisms by which PM exposures at ambient or near ambient concentrations might induce increased morbidity and/or mortality. The extensive new PM toxicological research during the past five years or so has focused mainly on addressing several interrelated questions, such as: (1) what types of pathophysiological effects are exerted by ambient PM or constituent substances and what are the potential mechanisms underlying them; (2) what PM characteristics (size, chemical composition, etc.) cause or contribute to health effects; (3) what susceptible subgroups are at increased risk for PM health effects and what factors contribute to increased susceptibility; (4) what types of interactive effects of particles and gaseous co-pollutants have been demonstrated; and (5) are there toxicologic findings on PM-related mutagenic/genotoxic effects that support the plausibility of ambient PM-lung cancer relationships observed epidemiologically in U.S. populations?



### 1 **7.1.1 Methodological Considerations**

2 Various research approaches have been and continue to be used to address the above  
3 questions, including studies of human volunteers exposed to PM under controlled conditions;  
4 in vivo studies of laboratory animals including nonhuman primates, dogs, and rodent species;  
5 and in vitro studies of tissue, cellular, genetic, and biochemical systems. A wide variety of  
6 exposure conditions have been employed, including: whole body, mouth-only, and nose-only  
7 inhalation exposures to concentrated ambient particles (CAPs) or laboratory-generated particles;  
8 intratracheal, intrapulmonary, and intranasal instillation; and in vitro exposures to test materials  
9 in solution or suspension. These research approaches have been targeted mainly to test  
10 hypotheses to provide improved understanding of the role of PM in producing those types of  
11 health effects identified by PM-related epidemiologic studies. Thus, many of the new  
12 toxicological studies have been designed to address the question of biologic plausibility of  
13 epidemiologically-demonstrated effects, rather than being explicitly aimed at providing  
14 quantification of dose-response relationships for experimentally-induced toxic effects.

15 Reflecting this, most of the toxicology studies assessed here have generally used exposure  
16 concentrations or doses that are relatively high compared to concentrations commonly observed  
17 in ambient air. An important consideration contributing to the use of relatively high  
18 experimental exposure concentrations is the fact that healthy animals have most typically been  
19 used in many controlled-exposure toxicology studies, whereas epidemiologic findings often  
20 reflect ambient pollutant effects on compromised humans (e.g., those with one or another  
21 chronic disease) or other susceptible groups rendered at increased risk due to other factors.  
22 Implicit in the use of relatively high concentrations in experimental studies of healthy subjects is  
23 the assumption that increasing the dose somehow makes up for compromised tissue/organ  
24 functions that may contribute to observed ambient PM effects. However, this may not be the  
25 case, unless the increased susceptibility of an “at risk” group is based on enhanced respiratory  
26 tract PM deposition/retention per se. In light of this, there exists a great need for expanded  
27 development and use of animal models that more closely mimic important characteristics  
28 contributing to increased human susceptibility to ambient PM effects; and some notable progress  
29 has been made in this regard, as reflected by the growing number of PM toxicologic studies of  
30 compromised animal models published since the 1996 PM AQCD and assessed in this chapter.

1           Given the relatively high concentrations used, much care should therefore be taken when  
2 attempting to interpret and extrapolate effects seen in these studies to provide insight into the  
3 biological plausibility and mechanisms of action underlying effects seen in humans under “real  
4 world” exposure conditions. Some of the responses might only be seen at the higher  
5 concentrations more typical of occupational and experimental laboratory exposures and not  
6 necessarily at (usually much lower) ambient particle exposure concentrations. On the other  
7 hand, differences between humans and rodents with regard to the inhalability, deposition,  
8 clearance, and retention profiles for PM (see Chapter 6 for details) could conceivably make  
9 doses to some specific respiratory tract tissues from experimental exposures relatively similar to  
10 doses resulting from human ambient exposures. To help place the toxicologically relevant  
11 concentrations/doses into context in relation to ambient conditions, EPA has carried out some  
12 illustrative dosimetric/extrapolation modeling analyses to provide comparisons between the high  
13 doses typically used in toxicological studies and doses typical of human exposures under  
14 ambient conditions. Building upon advances in dosimetric modeling discussed in Chapter 6,  
15 these analyses compare PM doses delivered to human or rat lung tissue from experimental  
16 exposures and PM doses to the human lung from exposures during normal activities. These  
17 analyses and their interpretation of results (described in Appendix 7-A) provide context for the  
18 exposure concentrations used and results obtained in toxicological studies assessed here.

19           The effects of controlled exposures to ambient PM have been increasingly investigated  
20 during recent years since the 1996 PM AQCD by use of particles collected from ambient  
21 samplers (e.g., impactors, diffusion denuders, etc.) and, more recently, by the use of aerosol  
22 concentrators (e.g., Sioutas et al., 1995a,b, 2000; Gordon et al., 1998; Chang et al., 2000, Kim  
23 et al., 2000a,b). In the first type of study, particles from ambient air samplers are first collected  
24 on filters or other media, then stored, and later resuspended in an aqueous medium for use in  
25 inhalation, intratracheal instillation, or in vitro studies. Some ambient PM has been standardized  
26 as a reference material and compared to existing dust and soot standards, e.g., standard materials  
27 from the National Institutes of Standards and Technology (NIST). Both ambient PM extracts  
28 and concentrated ambient particles (CAPs) have been used to evaluate effects in healthy and  
29 compromised laboratory animals and humans. Particle concentrators provide a technique for  
30 exposing animals or humans by inhalation to concentrated ambient particles (CAPs) at levels  
31 higher than typical ambient PM concentrations.

1           The development of particle concentrators has permitted the study of ambient real-world  
2 particles under controlled conditions. This strength is offset somewhat by the inability of CAPs  
3 studies to precisely control the mass concentration and day-to-day variability in ambient particle  
4 composition, and they often lack detailed characterization of variations in chemical composition  
5 from one CAPs exposure to another. Because the composition of concentrated ambient PM  
6 varies across both time and location, a thorough physical-chemical characterization is necessary  
7 to compare results between studies or even among exposures within studies in order to link  
8 particle composition to effects. Another limitation that should be taken into account in  
9 interpreting results from CAPs studies is the fact that concentrators in use at the time of many of  
10 the studies could not efficiently concentrate ambient particles  $\leq 0.1 \mu\text{m}$ . Thus, it is likely that a  
11 large portion of potentially important combustion-generated particles (e.g, from diesel, gasoline  
12 vehicle, wood smoke, coal smoke, etc.) were present only at ambient (not higher concentrated)  
13 levels in most or all of the CAPs studies assessed here.

14           Controlled human and laboratory animal exposures to particulate material obtained from  
15 emission source bag house filters or other emission source collection devices have also been  
16 used extensively in recent years to evaluate the in vitro and in vivo respiratory toxicity of  
17 complex combustion-related PM. Residual oil fly ash (ROFA) collected from large industrial  
18 sources (e.g., oil-fired power plants) has been extensively used, and, to a lesser extent, domestic  
19 oil furnace ash (DOFA) or coal fly ash (CFA). The major disadvantage associated with the use  
20 of such emission source materials derives from questions concerning the potential relevance of  
21 results obtained for helping to understand and interpret ambient PM exposure effects. There is  
22 little doubt that in years past, before the extensive implementation of air pollution controls,  
23 ambient U.S. air contained mixtures of PM species analogous to those contained in many of the  
24 emission-source samples used in toxicologic studies during the past decade or so. On the other  
25 hand, it is rare that high concentrations of certain materials that typify such samples would be  
26 found or approached in ambient air PM samples obtained at community monitoring sites in U.S.,  
27 Canada, and much of Western Europe that provided the aerometric data collected during the past  
28 20 to 30 ys that were analyzed to estimate PM exposures in most of the PM epidemiology  
29 studies assessed in this document. For example, very high concentrations of metals typify most  
30 ROFA samples (especially extremely high nickel and vanadium levels), and experimental  
31 exposures to such materials have generally resulted in exposures/doses that are orders of

1 magnitude (100s) of times higher than would be associated with exposures to much lower levels  
2 of such metals in ambient PM measured routinely since the 1970s at community monitoring sites  
3 across the U.S. (except perhaps at times very near some sources without modern emission  
4 control devices or during temporary breakdowns of such). Thus, significant issues arise  
5 concerning the extent to which ROFA or other high concentration emission source effects can be  
6 extrapolated to aid in interpretation of ambient air PM exposure effects on humans.

7 Analogous issues arise in connection with evaluation of the toxicity of particulate material  
8 obtained as emission products from mobile source combustion devices, e.g., diesel and gasoline  
9 vehicle engines. The complex combustion-related mixtures in such mobile source emissions  
10 include many different types of particles and gaseous compounds in high concentrations which  
11 are not necessarily representative of ambient PM derived from such sources after passage  
12 through particle traps, catalytic converters, exhaust pipes, etc. For example, ultrafine particles  
13 emitted from gasoline and diesel engines are reduced in numbers and concentrations as they  
14 agglomerate to form larger, accumulation-mode particles as they cool in passing through exhaust  
15 systems and/or as they undergo further physical and chemical transformation as they “age” as  
16 ambient air components. Further complicating evaluation of the toxicity of mobile source  
17 emission components is: (1) the difficulty in separating out toxic effects attributable to particles  
18 versus those of gaseous components in automotive exhausts; and (2) the changing nature of  
19 those exhaust mixes as a function of variations in engine operating mode (e.g., cold start versus  
20 warm start or “light” versus “heavy” load operation, etc.) and changes in engine technology  
21 (e.g., “old diesels” versus “new diesels”).

22 The in vivo studies discussed first and the in vitro studies discussed later have almost  
23 exclusively used  $PM_{10}$  or  $PM_{2.5}$  as particle size cutoffs for studying the adverse effects of  
24 ambient PM. Collection of these size fractions has been made easier by widespread availability  
25 of ambient sampling equipment for  $PM_{10}$  and  $PM_{2.5}$ . However, the study of other important size  
26 fractions, such as the coarse fraction ( $PM_{10-2.5}$ ) and  $PM_{1.0}$  has been largely ignored, and only  
27 limited toxicology data are now available by which to assess effects of these potentially  
28 important particle sizes. Similarly, although organic compounds often comprise 20 to 70% of  
29 the dry fine particle mass of ambient PM (see Chapter 3), little research has addressed  
30 mechanisms by which such compounds may contribute to ambient PM-related effects. One

1 exception to this has been the evaluation of contributions of diverse organic compounds to  
2 mutagenic, genotoxic, and carcinogenic effects discussed later in Section 7.8.

### 3 4 **7.1.2 Organization of the Chapter**

5 Ambient particulate matter as noted above, is comprised of myriad physical and chemical  
6 species that can vary widely from one geographic location to another or even from one time to  
7 another time at a given location. It is not surprising that only a relatively few ambient air mixes  
8 from selected urban areas or subsets or combinations of the diverse variety of physical/chemical  
9 species have been investigated in controlled human or laboratory animal studies. However,  
10 a full discussion of all types of ambient particles that have been identified (see Chapter 2) is  
11 beyond the scope of this chapter. Thus, specific criteria were used to select topics for  
12 presentation. High priority was placed on studies that (a) may contribute to enhanced  
13 understanding of ambient PM epidemiologic study results and/or (b) elucidate mechanisms of  
14 health effects of ambient PM or its major common constituents. Diesel particulate matter (DPM)  
15 generally fits the above criteria; however, because it is discussed in great detail in other  
16 documents (Health Effects Institute, 1995; U.S. Environmental Protection Agency, 2002), only  
17 some aspects are discussed to a limited extent in this chapter. Individual particle species with  
18 high inherent toxicity that are of concern mostly because of occupational exposure (e.g., silica)  
19 that are discussed in detail in other documents and reports (e.g., U.S. Environmental Protection  
20 Agency, 1996b; Gift and Faust, 1997 for silica) are also not assessed in detail in this chapter.

21 Because of the sparsity of toxicological data on ambient PM at the time of the 1996 PM  
22 AQCD (U.S. Environmental Protection Agency, 1996a), the discussion of toxicologic effects  
23 of PM was organized there into specific chemical components of ambient PM or “surrogate”  
24 particles (e.g., acid aerosols, metals, ultrafine particles, bioaerosols, “other particle matter”).  
25 Many of the newer toxicological studies evaluate potential toxic effects of combustion-related  
26 particles. The main reason for this extensive current interest in combustion particles is that these  
27 particles, along with materials adsorbed to such particles and secondary aerosols formed from  
28 them, are typically among the most dominant components represented in the fine fraction of  
29 ambient air PM found in most U.S. urban areas.

30 This chapter is organized as follows. The cardiovascular and systemic effects of  
in vivo PM exposure are discussed first in Section 7.2. This is followed by discussion in

1 Section 7.3 of respiratory effects of ambient PM, specific components of ambient PM,  
2 combustion source-related particle mixes, or other laboratory-generated particles delivered by  
3 controlled in vivo exposures of humans or laboratory animals (note that the specific components  
4 discussion includes summary points drawn from detailed discussion of ambient bioaerosols in  
5 Appendix 7B). In vitro exposure studies are then next discussed (Section 7.4) and are valuable  
6 in providing information on potential hazardous constituents and mechanisms of PM injury. The  
7 next section (Section 7.5) focuses on studies of PM effects in laboratory animal models meant to  
8 mimic human disease, as a means for providing information useful in characterizing factors  
9 affecting susceptibility to PM cardiovascular and respiratory system effects. Section 7.6 then  
10 assesses controlled-exposure studies evaluating health effects of mixtures of ambient PM or  
11 specific PM constituents with gaseous pollutants. Section 7.7 discusses exposure/dose-effects  
12 relationships for cardiovascular and respiratory effects and comparisons for illustrative health  
13 endpoints of experimental exposures/data needed to produce similar effects across species (rats,  
14 humans) and/or under ambient conditions (drawing upon extrapolation modeling results  
15 presented in Appendix 7A). The following Section (7.8) discusses studies of PM-related  
16 mutagenic/genotoxic effects thought to be useful in evaluating the relative carcinogenic potential  
17 of ambient PM and its constituents, as well as particulate constituents in emissions from various  
18 types of combustion sources. This organization provides the underlying information used for  
19 interpretive summarization (in Section 7.9) of the extensive new findings discussed in the earlier  
20 sections with regard to PM-related effects, all of which may individually contribute to and/or  
21 combine through intricate linkages among them to mediate ambient PM exposure effects.  
22

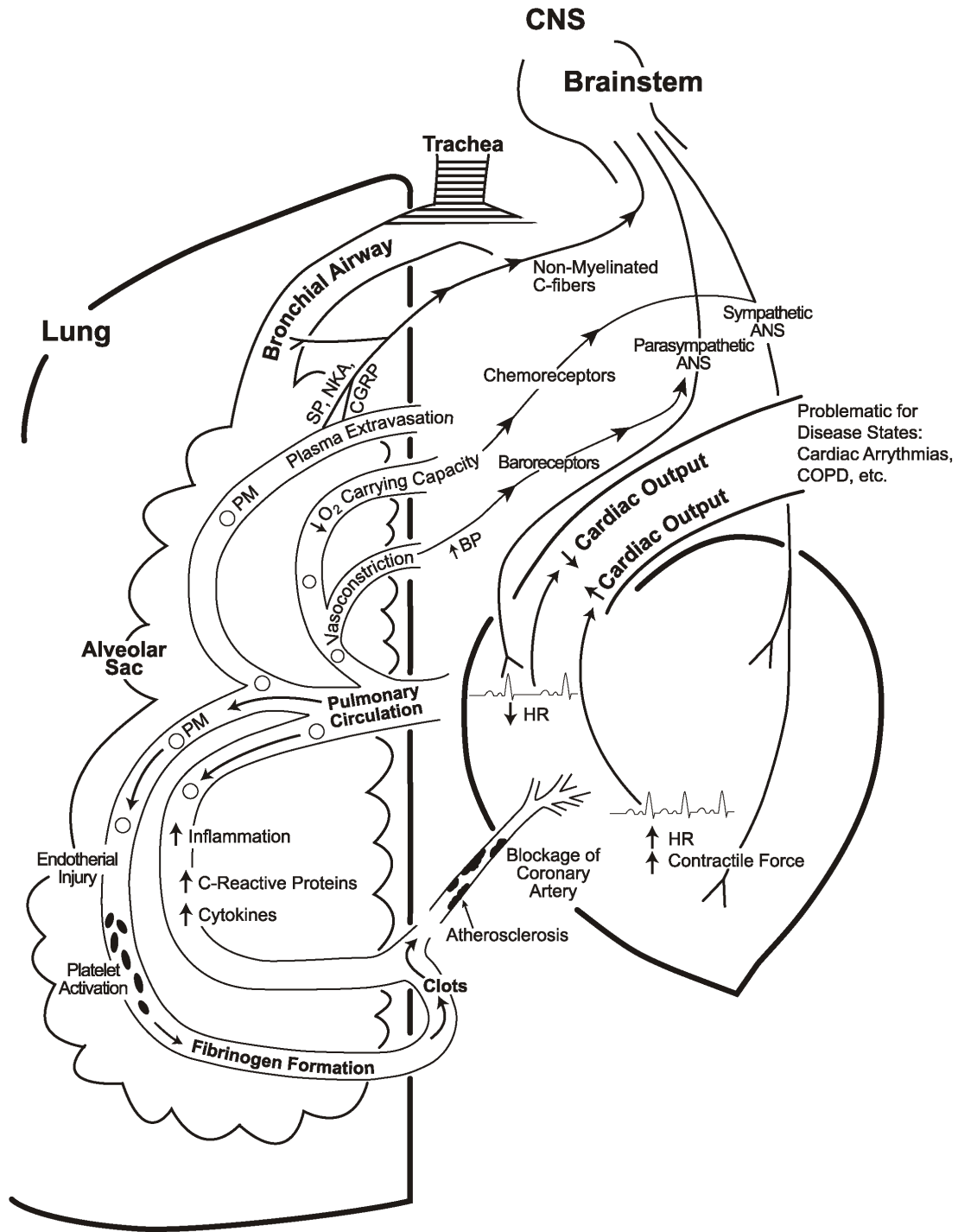
## 7.2 CARDIOVASCULAR AND SYSTEMIC EFFECTS OF IN VIVO PM EXPOSURES IN HUMANS AND LABORATORY ANIMALS

### 7.2.1 Introduction

A growing number of epidemiology studies are finding (a) associations between ambient PM and increases in cardiac-related deaths and/or morbidity indicators and (b) that the risk of PM-related cardiac effects may be as great or greater than those attributed to respiratory causes (see Chapter 8). Both acute and chronic PM exposures have been implicated in the observed cardiovascular morbidity and mortality effects. These effects appear to be induced via direct particle uptake into the blood and/or via mediation by the nervous system. Figure 7-1 schematically illustrates hypothesized mechanisms thought to be involved in cardiovascular responses to PM exposure. Such effects may be especially deleterious to individuals compromised by disease states such as COPD, ischemic heart disease, and cardiac arrhythmias.

As shown in Figure 7-1, the heart receives both parasympathetic and sympathetic inputs, which serve to decrease or increase heart rate, respectively. Vasoconstriction, possibly due to release of endothelin elicited by PM, could cause increased blood pressure (which is detected by baroreceptors). Parasympathetic neural input may then be increased to the heart, lowering heart oxygen-carrying capacity of the blood (which is sensed by aortic and carotid chemoreceptors). These, in turn, may cause a sympathetic response, manifested by increased heart rate and contractile force, thus increasing cardiac output. This arrhythmogenesis and altered cardiac output in either direction can be life-threatening to susceptible individuals. Pathophysiological changes in cardiac function can be detected by electrocardiographic recordings, with certain ECG parameters (e.g., heart rate variability or HRV) recently gaining widening use as indicators of PM-induced cardiac effects.

Heart rate variability (HRV), a measure of the beat-to-beat change in heart rate, is a reflection of the overall autonomic control of the heart. HRV has been used for many years as a research tool to study cardiovascular physiology and pharmacology. Its role as a clinical predictor of outcome for populations with heart disease has been extensively studied. HRV can be divided into time and frequency measures. Frequency measures of variability are more commonly used for mechanistic studies because they resolve parasympathetic and sympathetic influences on the heart better than do time domain measurements. It has been well established that the frequency analysis of heart rate variability is a robust method for measuring the



**Figure 7-1. Schematic illustration of hypothesized pathways/mechanisms potentially underlying cardiovascular effects of PM.**



1 autonomic modulation of heart rate. Under certain circumstances, HRV provides insight into  
2 sympathetic nervous activity, but more commonly it is a very good measurement of  
3 parasympathetic modulation. For prognostication in heart disease, both the time and frequency  
4 domain measures of heart rate variability seem equivalent in predicting events. Heart rate  
5 variability can be used to judge the relative influences of sympathetic and parasympathetic  
6 forces on the heart, as such short-term spectral parameters (i.e., measures averaged over five  
7 minute intervals) can vary as much as 4-fold during the course of a 1-h period (Kleiger et al.,  
8 1991). Despite the inherent variability of short-term HRV measures during routine daily  
9 activity, long-term measures (i.e., measures averaged over 24 hs) show excellent day-to-day  
10 reproducibility. Given this inherent variability in the minute-to-minute spectral measurements,  
11 great care is required in the experimental design of studies utilizing HRV techniques and  
12 interpretation of HRV results. When appropriately designed and carefully interpreted, studies  
13 utilizing measures of HRV provide insight into the relationship between the perturbation of the  
14 internal or external environment and subsequent changes in the modulation of autonomic neural  
15 input to the heart.

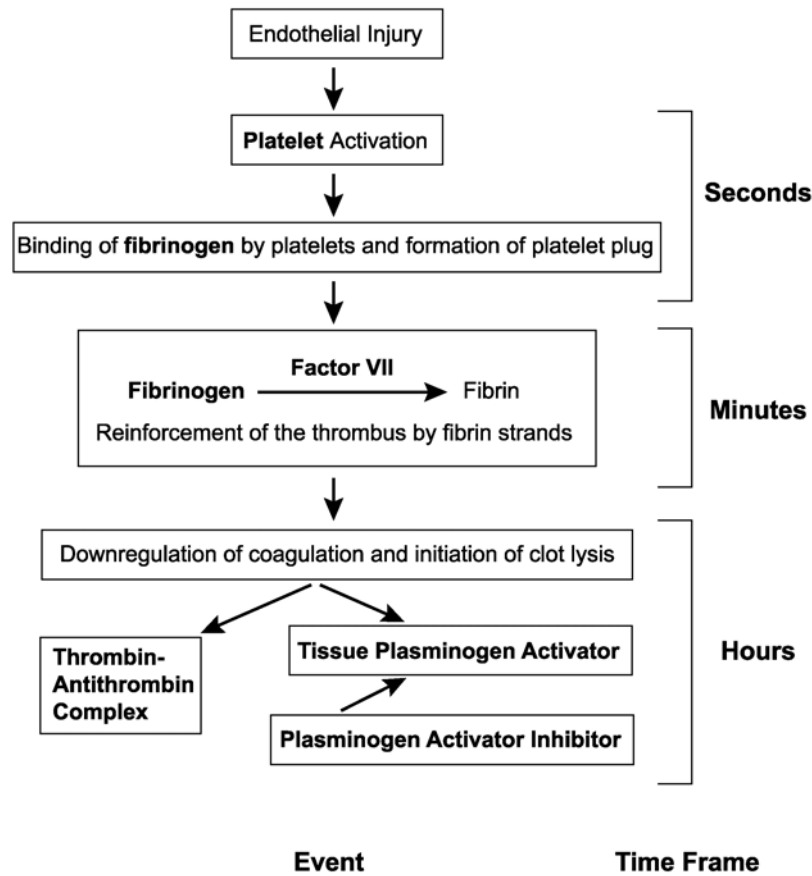
16 Heart rate variability has been studied in multiple settings, using different parameters (both  
17 time and frequency domain) to determine prognosis in populations. This has been studied most  
18 frequently in coronary artery disease populations, particularly in the post-myocardial infarction  
19 (post-MI) population. Most reports have dichotomized the study group by HRV parameters and  
20 then compared outcomes. To summarize those results, lower time domain as well as frequency  
21 domain variables are associated with an increase in cardiac and all-cause mortality. Those  
22 variables most closely correlated with parasympathetic tone appear to have the strongest  
23 predictive value in heart disease populations. Specifically, acute changes in RR-variability  
24 temporally precede and are predictive of increased long-term risk for the occurrence of ischemic  
25 sudden death and/or precipitating ventricular arrhythmias in individuals with established heart  
26 disease (see for example La Rovere et al., 2003). However, acute changes in HRV parameters  
27 do not necessarily occur immediately prior to sudden fatal ventricular arrhythmias (Waxman  
28 et al., 1994). The heart rate variability itself is not the causative agent nor has it been implied to  
29 be a causative agent in any of the studies performed to date. Altered HRV, including changes in  
30 HRV associated with exposure to PM, is simply a marker for enhanced risk.

1 Another route by which PM could exert deleterious cardiovascular effects may involve  
2 ambient PM effects on blood chemistry. In particular, as hypothesized by Seaton et al.  
3 (1995), PM exposure could affect blood coagulation, possibly through endothelial injury that  
4 results in platelet activation. This then could initiate a cascade of effects, e.g., increased  
5 fibrinogen and fibrin formation, leading to increased formation of clots. Figure 7-2 (from  
6 Nadziejko, et al. 2002) nicely illustrates physiological events (and applicable timeframes)  
7 involved in the blood clotting cascade, as well as denoting important substances released at  
8 successive steps which, in turn, stimulate the next step in the clotting cascade and, ultimately,  
9 trigger clot lysing events that normally terminate the cascade. Various studies have measured  
10 such substances as a means to evaluate possible PM-induced effects on blood coagulation.  
11 Another significant effect of PM exposure could be vascular inflammation, which induces  
12 release of C-reactive proteins and cytokines. These cause further inflammatory responses that,  
13 on a chronic basis, can lead to atherosclerosis. In narrowed coronary arteries, the clots formed in  
14 the aforementioned cascade may block blood flow, resulting in acute myocardial infarction.

15 Nadziejko et al. (2002) further note that small prothrombotic changes in blood coagulation  
16 parameters in a large population can have substantial effects on the incidence and prevalence of  
17 cardiovascular disease events (Di Minno and Mancini, 1990; Braunwald, 1997; Lowe et al.,  
18 1997). In particular, altered coagulation can increase heart attack risk through formation of clots  
19 on atherosclerotic plaques in coronary arteries that cut off blood supply to the myocardium or  
20 induce ischemic strokes via clots forming or lodging in the carotid arteries and blocking blood  
21 flow to cerebral arteries and brain tissue. Also, Nadziejko et al. note that (a) evidence exists for  
22 formation of small thrombi being common in persons with atherosclerosis (Meade et al., 1993)  
23 and (b) whether such thrombi lead to more serious effects (heart attack, stroke) depends in part  
24 on the balance between thrombogenic factors underlying blood clot formation and fibrinolytic  
25 factors that lyse clots. Also, they note that effects of small changes in coagulation on heart  
26 attack risk are reflected by the risk of sudden cardiac death being 70% higher between 6 a.m. and  
27 9 a.m. than the average risk for the rest of the day (Willich, et al., 1987), likely due in part to the  
28 circadian rhythm of fibrinolytic factors that are at their lowest levels in the early morning  
29 (Andrews et al., 1996). Also, as stated by Nadziejko et al. (2002), sympathetic nervous system  
30 activity is increased by standing up after lying prone (Tofler, et al., 1987; Andrews et al., 1996),  
31 and increased sympathetic activity causes prothrombotic changes in blood coagulation

1 parameters such that even small, homeostatic modulations of coagulation within a normal range  
 2 could translate into significant increased risk for heart attack.

3



**Figure 7-2. Simplified overview of blood coagulation system. The coagulation parameters often measured in the study of PM effects on blood coagulation are indicated by bold type. The relations of these selected parameters with the rest of the coagulation system are outlined.**

Source: Nadziejko et al. (2002).

1 Thus, potentially dangerous alterations in cardiovascular functions due to PM exposures  
 2 could be signaled by even small PM-related (a) changes in blood coagulation cascade indicators,  
 3 e.g., increased blood platelet, fibrinogen, or Factor VII, or decreased tissue plasma activator  
 4 (TPA) levels; (b) increased C-reactive protein, or cytokines contributing to increased

1 atherosclerosis plaque formation and/or blood coagulation; c) increased blood pressure; and/or  
2 (d) certain alterations in heart rate, heart rate variability, or other ECG indicators indicative of  
3 deleterious shifts in parasympathetic/sympathetic neural inputs to the heart or other underlying  
4 cardiac pathophysiology.

5 Another cardiovascular-related effect of PM exposure could be plasma extravasation from  
6 post-capillary venules. The mechanisms by which this occurs are thought to include the release  
7 of peptides such as neurokinin A, substance P, and calcitonin-gene-related peptide from  
8 unmyelinated sensory nerves, near to or on the blood vessels. These peptides bind to receptors  
9 on the endothelial cells of vessels and create gaps, allowing leakage of plasma, which is one  
10 component of neurogenic inflammation (Piedimonte et al., 1992; Baluk et al., 1992).

11 There were few studies assessed in the 1996 PM AQCD that evaluated cardiovascular  
12 system effects of exposures to particulate matter. Since 1996, numerous studies have now  
13 become available that evaluated cardiovascular effects of exposures (via inhalation or  
14 instillation) of ambient PM, constituent components, complex mixtures from PM emission  
15 sources and/or exposures to single PM substances or binary/ternary combinations of particles of  
16 varying chemical composition. Also, whereas earlier studies tended to focus on healthy animals,  
17 more recent studies have, in addition, begun to focus on evaluation of PM effects in animal  
18 models of disease states thought to mimic aspects of pathophysiologic states experienced by  
19 compromised humans at increased risk for PM effects.

20 The toxicological consequences of inhaled particles on the cardiovascular system had not  
21 been extensively investigated prior to 1996. Since then, Costa and colleagues (e.g., Costa and  
22 Dreher, 1997) have demonstrated that intratracheal instillation of high levels of ambient particles  
23 can increase or accelerate death in an animal model of cardiorespiratory disease induced by  
24 monocrotaline (MCT) administration in rats. These deaths did not occur with all types of  
25 ambient particles tested. Some dusts, such as volcanic ash from Mount Saint Helens, were  
26 relatively inert; whereas other ambient dusts, including those from urban sites, were toxic.  
27 These early observations suggested that particle composition plays an important role in the  
28 adverse health effects associated with episodic exposure to ambient PM, despite an apparent  
29 “general particle” effect that seemed to be implied by somewhat similar epidemiologic  
30 observations of ambient PM exposure associations with increased mortality and morbidity in  
31 many regions of the United States with varying particle composition. Studies evaluating

1 possible increased susceptibility to the adverse effects of PM in compromised animal models of  
2 human pathophysiology provide a potentially important link to epidemiologic observations and  
3 are among those discussed below.

4 Muggenburg et al. (2000a) has described several potential animal models of cardiac  
5 disease (MCT-induced pulmonary hypertension, dilated cardiomyopathy, viral and mycoplasmal  
6 myocarditis, and ischemic heart disease) and discussed advantages and disadvantages associated  
7 with the use of animal models to study cardiac disease and air pollution. Pulmonary  
8 hypertension in humans may result from airway and vascular effects due to COPD, asthma, and  
9 cystic fibrosis. The MCT-induced vascular disease model exhibits common features of COPD in  
10 humans. The injury effects include selective pulmonary endothelial damage and progressive  
11 pulmonary arterial muscularization. Pulmonary hypertension develops, the blood flow is  
12 impeded, and compensatory right ventricular hypertrophy occurs. To produce pulmonary  
13 hypertension, animals are injected subcutaneously with 50-60 mg/kg monocrotaline (MCT).  
14 Within 2 wks following treatment, experimental animals, primarily rats, develop pulmonary  
15 hypertension (Kodavanti et al., 1998a). A growing number of studies have used extracts of  
16 collected/stored ambient PM or real-time generated concentrated ambient particles (CAPs)  
17 drawn from various airsheds (e.g., Boston, New York City, etc.) to evaluate cardiovascular and  
18 other systemic effects of PM. Many other new animal studies have also used metal-laden ROFA  
19 as one type of combustion source particle mix and others have used other combustion source  
20 materials, e.g., domestic oil fly ash (DOFA), coal fly ash (CFA), or diesel exhaust (DE). The  
21 following discussion of the cardiovascular/systemic effects of PM first focuses mainly on the  
22 ambient PM studies and then discusses findings from the studies using ROFA and other types of  
23 particles.

24 Tables 7-1 and 7-2 summarize newly-available studies (since the 1996 PM AQCD) that  
25 evaluated cardiovascular effects of ambient PM mixtures or other types of PM in response to  
26 controlled inhalation exposures of humans or laboratory animals; and intratracheal instillation  
27 studies are summarized in Table 7-3. In vitro exposure studies of cardiovascular effects are  
28 discussed in Section 7.4.

**TABLE 7-1. CARDIOVASCULAR AND SYSTEMIC EFFECTS OF INHALED AMBIENT PARTICULATE MATTER**

Species, Gender, Strain Age, or Body Weight	Particle <sup>a</sup>	Exposure Technique	Mass Concentration	Particle Size	Exposure Duration, PE <sup>b</sup> Time to Analysis	Cardiovascular Effects	Reference
Humans, healthy nonsmokers, 18-40 y old n = 38	CAPs (Chapel Hill)	Inhalation	23.1 to 311.1 $\mu\text{g}/\text{m}^3$	0.65 $\mu\text{m}$ $\sigma_g = 2.35$	2 h, analysis at 18 h	Increased blood fibrinogen with CAPs exposure. PM concentration in chamber varied with ambient air PM level. Estimated total dose of 1200 $\mu\text{g}$ .	Ghio et al. (2000a)
Humans, healthy 18-40 y old n = 4	CAPs (Toronto)	Inhalation (face mask)	24 to 124 $\mu\text{g}/\text{m}^3$	0.1 - 2.5 $\mu\text{m}$		Trend toward increased fibrinogen levels 2 h post high CAPs (124 $\mu\text{g}/\text{m}^3$ ) exposure, but stat. sig. not specified. Also, no sig. ECG Holter effects.	Petrovic et al. (2000)
Humans, healthy; 19-41 y old n = 4	CAPs (Los Angeles)	Inhalation	148 to 246 $\mu\text{g}/\text{m}^3$	PM <sub>2.5</sub>	2 h	No significant changes in in arterial O <sub>2</sub> saturation or Holter ECGs observed, nor in lung function or symptoms. The maximum steady state fine particle concentration in the breathing zone was typically seven times the ambient concentration.	Gong et al. (2000)
Humans, healthy (n = 12) and asthmatic (n = 12) 18-45 y old, nonsmoking	CAPs (Los Angeles)	Inhalation whole body chamber	99-224 $\mu\text{g}/\text{m}^3$ (mean 174)	80% 0.1 to 2.5 $\mu\text{m}$	2 h with alternating exercise/rest. Analysis at 0, 4, and 22 h PE.	CAPs-related decrease in Factor VII blood levels, - but no significant changes in blood fibrinogen or serum amyloid A with CAPs. Both healthy and asthmatic subjects had modest increases in HR variability and significant increases in HR during exercise. Some reported cardiac symptoms (faintness, dizziness, pain related to heart, etc) during CAPs exposure.	Gong et al. (2003)
Dogs, female mongrel, 14 to 17 kg	CAPs (Boston)	Inhalation via tracheostomy	3-360 $\mu\text{g}/\text{m}^3$	0.2 to 0.3 $\mu\text{m}$	6 h/day for 3 days	Peripheral blood parameters were related to specific particle constituents. Factor analysis from paired and crossover experiments showed that hematologic changes were not associated with increases in total CAP mass concentration.	Clarke et al. (2000a)
Dogs, mongrel; Balloon-occluded LAD coronary artery in some, n = 14	CAPs (Boston)	Inhalation via tracheostomy	~100-1000 $\mu\text{g}/\text{m}^3$	0.23 to 0.34 $\mu\text{m}$ $\sigma_g = 0.2$ to 2.9	6 h/day for 3 days	Decreased heart and respiratory rate and increased lavage fluid neutrophils in normal dogs. Decreased time to ST segment elevation and increased magnitude in compromised dogs. PM concentration varied depending on ambient PM level and concentrator operation. No dose-response relationship evident.	Godleski et al. (2000)

**TABLE 7-1 (cont'd). CARDIOVASCULAR AND SYSTEMIC EFFECTS OF INHALED AMBIENT PARTICULATE MATTER**

Species, Gender, Strain Age, or Body Weight	Particle <sup>a</sup>	Exposure Technique	Mass Concentration	Particle Size	Exposure Duration, PE <sup>b</sup> Time to Analysis	Cardiovascular Effects	Reference
Rats	CAPs (Tuxedo, NY)	Inhalation (nose-only)	110-350 µg/m <sup>3</sup>	N/A	3 h	Small but consistent increase in HR; increased peripheral blood neutrophils and decreased lymphocytes. No pulmonary injury found. Concentration to chamber varied from 132 to 199 µg/m <sup>3</sup> .	Gordon et al. (1998)
Rats, male, F-344, MCT-treated	CAPs (Manhattan)	Inhalation	132-919 µg/m <sup>3</sup>	0.2-1.2 µm σ <sub>g</sub> = 0.2-3.9	Single 3 h or 3 daily 6 h exposures	No increase in cardiac arrhythmias; inconsistent PM-associated increases in HR, blood cell differential counts, and atrial conduction time of rats. No adverse cardiac or pulmonary effects in hamsters.	Gordon et al. (2000)
Hamsters, 6-8 mo old; Bio TO-2							
Rats, male, F344, 250-275 g	CAPs (NYC)	Inhalation (nose-only)	95-341 µg/m <sup>3</sup>	< 2.5 µm	0, 12, and 24 h	No consistent exposure-related effects on platelet count fibrinogen level, factor VII activity, thrombin-anti-thrombin complex, tissue plasminogen activator, or plasminogen activator inhibitor.	Nadziejko et al. (2002)
Rats, Wistar	Ott ambient (EHC-93) (ECH-93L) Diesel soot (DPM) Carbon black (CB)	Inhalation (nose only)	48 mg/m <sup>3</sup> 49 mg/m <sup>3</sup> 5 mg/m <sup>3</sup> 5 mg/m <sup>3</sup>	36, 56, 80, 100, and 300 µm	4 h, Analyses at 2, 32, 36, 48 h PE	EHC-93 elevated blood pressure on day 2, ET-1 levels at 32 h, and ET-3 levels at 2, 32, and 48 h postexposure. EHC-93 L had no effect on blood pressure, transient effect on ET-1, -2, -3 levels at 2 h but not 32 h postexposure. DPM had no effect on blood pressure, but elevated ET-3 levels at 36 h PE. CB had no effect.	Vincent et al. (2001)
Humans, male, healthy, age 19-24 y	PM <sub>10</sub> from S.E. Asian Smoke Haze	Inhalation	~125 µg/m <sup>3</sup> (range = 47 to 216)	N/A	4 wks, analysis at 3 and 5 wks PE	Band cell counts were significantly increased during the haze period	Tan et al. (2000)

<sup>a</sup>CAPs = concentrated ambient particles

UAP = urban ambient particles

DPM = diesel particulate matter

Ott ambient = resuspended UAP from Ottawa, CA

<sup>b</sup>PE = postexposure

**TABLE 7-2. CARDIOVASCULAR AND SYSTEMIC EFFECTS OF INHALED ROFA AND OTHER COMBUSTION-RELATED PARTICULATE MATTER**

Species, Gender, Strain Age, or Body Weight	Particle <sup>a</sup>	Exposure Technique	Mass Concentration	Particle Size	Exposure Duration, PE <sup>b</sup> Time to Analysis	Cardiovascular Effects	Reference
Dogs, beagles, 10.5-y- old, healthy, n = 4	ROFA (Boston)	Oral inhalation	3 mg/m <sup>3</sup>	2.22 µm MMAD σ <sub>g</sub> = 2.71	3 h/day for 3 days	No consistent changes in ST segment, the form or amplitude of the T wave, or arrhythmias; slight bradycardia during exposure.	Muggenburg et al. (2000b)
Rats, S-D, MCT-treated, 250 g	ROFA (Boston)	Inhalation	580 ± 110 µg/m <sup>3</sup>	2.06 µm MMAD σ <sub>g</sub> = 1.57	6 h/day for 3 days	Increased expression of the proinflammatory chemokine MP-2 in the lung and heart of MCT-treated rats; less in healthy rats. Significant mortality only in MCT-treated rats.	Killingsworth et al. (1997)
Rats, S-D, SH rats, WKY rats, healthy and MCT-treated	ROFA (location not given)	Inhalation	15 mg/m <sup>3</sup>	1.95 µm MMAD	6 h/day for 3 days	Pulmonary hypertensive (MCT-treated S-D) and systemically hypertensive (SH) rats exposed to ROFA by inhalation showed similar effects, but of diminished amplitude. There were no lethalties by the inhalation route.	Watkinson et al. (2000a,b)
Rats, male WKY and SH, 12 to 13-wk-old	ROFA (Florida)	Nose-only inhalation	15 mg/m <sup>3</sup>	N/A	6 h/day for 3 days	Cardiomyopathy and monocytic cell infiltration, along with increased cytokine expression, was found in left ventricle of SH rats because of underlying cardiovascular disease. ECG showed exacerbated ST segment depression caused by ROFA.	Kodavanti et al. (2000a)
Rats, male, SH and WKY; 12 to 13 wks old	ROFA (Boston)	Inhalation	15 mg/m <sup>3</sup>	1.5 µm σ <sub>g</sub> = 1.5	6 h/d, 3 d/wk for 1, 2, or 4 wk	One week exposure increased plasma fibrinogen in SH rats only; longer (2 or 4 wk) exposure caused pulmonary injury but no changes in fibrinogen.	Kodavanti et al. (2002a)
Rats, male, S-D, WKY and SH	ROFA (Boston)	Inhalation (nose only)	2, 5, 10 mg/m <sup>3</sup> 10 mg/m <sup>3</sup>		6 h/d for 4 consec. days 6 h/d 1 d/wk, 4 or 16 wks	No cardiovascular effects see in SD or SH rats with acute or chronic exposure. Cardiac lesions (active chronic inflammatory, multifocal myocardial degeneration, fibrosis, decreases in number of granulated mast cells) seen for WKY rats with chronic (16 wk) exposures.	Kodavanti et al. (2003)



**TABLE 7-2 (cont'd). CARDIOVASCULAR AND SYSTEMIC EFFECTS OF INHALED ROFA AND OTHER COMBUSTION-RELATED PARTICULATE MATTER**

Species, Gender, Strain Age, or Body Weight	Particle <sup>a</sup>	Exposure Technique	Mass Concentration	Particle Size	Exposure Duration, PE <sup>b</sup> Time to Analysis	Cardiovascular Effects	Reference
Rats, male, S-D, healthy and MI	ROFA (Boston) Carbon black	Inhalation	3 mg/m <sup>3</sup>	1.81 µm 0.95 µm	1 h	In MI group, with thermocoagulation of left coronary artery, 41% of rats had one or more premature ventricular complexes (PVCs). ROFA but not CB or room air, increased arrhythmia frequency in those with PVCs and decreased heart rate variability.	Wellenius et al. (2002)
Human, healthy, non-smoking males	Ultrafine carbon particles	Mouthpiece exposure	10 µg/m <sup>3</sup>	< 100 nm	2 h exposure; assessment before and immediately, 3.5 h, and 21 h after exposure	No effects on blood coagulability, circulating leukocyte activation, leukocyte expression of activation and adhesion molecules.	Frampton (2001)
Rats, SD, 60 days old	VSO <sub>4</sub> NiSO <sub>4</sub>	Inhalation	0.3 -2.4 mg/m <sup>3</sup>	N/A	6h/day x 4 days	No effects with V at all doses. Ni caused delayed bradycardia, hypothermia and arrhythmogenesis at >1.2 mg/m <sup>3</sup> . V+Ni produced delayed effects at 0.5 mg/m <sup>3</sup> and potentiated responses at 1.3 mg/m <sup>3</sup> , suggesting synergism of effect.	Campen et al. (2001)
Rats, SH	DE	Whole body	30,100, 300, or 1000 µg/m <sup>3</sup>	90% < 1 µm	6 h day, 7 day/wk for 1 wk	Elevated daytime HR; concentration-dependent prolongation of PQ interval.	Campen et al. (2003)
Rats, male & female 10-12 wks	DE	Whole body	50,100, 300, or 1000 µg/m <sup>3</sup>	90% < 1 µm	6 h day, 7 day/wk, 1 wk or 6 mos	Blood cholesterol decreased at high dose; Gamma-glutamyl transpeptidase increased at 1000; Factor VII decreased in males at 1 wk and in both genders at 6 mos at 1000. TAT decreased in M at 1000 at 1 wk.	Reed et al. (2004)

<sup>a</sup>ROFA = Residual oil fly ash  
NiSO<sub>2</sub> = Nickel sulfate  
Fe<sub>2</sub>(SO<sub>4</sub>)<sub>3</sub> = Iron sulfate  
DE = diesel exhaust

VSO<sub>4</sub> = Vanadium sulfate  
MCT = monocrotaline  
MI = Myocardial infarction

<sup>b</sup>PE = Post Exposure

**TABLE 7-3. CARDIOVASCULAR AND SYSTEMIC EFFECTS OF INSTILLED ROFA AND OTHER PARTICULATE MATTER**

Species, Gender, Strain Age, or Body Weight	Particle <sup>a</sup>	Exposure Technique	Dose	Particle Size	PE <sup>b</sup> Time to Analysis	Cardiovascular Effects	Reference	
Rats, male, S-D, 60 days old, healthy and MCT-treated	ROFA DOFA CFA	Intratracheal instillation	Total mass: 2.5 mg/rat	Emission PM: 1.78- 4.17 µm	Analysis at 24 and 96 h following instillation	ROFA alone induced some mild arrhythmias; MCT-ROFA showed enhanced neutrophilic inflammation.	Costa and Dreher (1997)	
	Ambient PM (St. Louis Dusseldorf, Ottawa, Wash. DC)		Total transition metal: 46 µg/rat	Ambient PM: 3.27-4.09 µm		MCT-ROFA animals showed more numerous and severe arrhythmias including S-T segment inversions and A-V block.		
Rats, male, S-D, 60 days old, healthy and MCT-treated, n = 64	ROFA (location not given)	Intratracheal instillation	0.0, 0.25, 1.0, and 2.5 mg/rat	1.95 µm	Analysis at 96 h postexposure	Dose-related hypothermia and bradycardia in healthy rats, potentiated by compromised models at 2.5 mg dose.	Campen et al. (2000)	
Rats, male, SD, 60 days old, healthy and MCT-treated	Fe <sub>2</sub> (SO <sub>4</sub> ) <sub>3</sub> NiSO <sub>4</sub> VSO <sub>4</sub>	Intratracheal instillation	105 µg	1.95 µm	Analysis at 96 h postexposure	V caused bradycardia, arrhythmogenesis and hypothermia immediately. Ni caused delayed bradycardia, arrhythmogenesis and hypothermia. Fe had little effect.	Campen et al. (2002)	
MCT-treated	Fe <sub>2</sub> (SO <sub>4</sub> ) <sub>3</sub> + VSO <sub>4</sub>		105 µg 245 µg					Ni exacerbated the immediate effects of V. Fe attenuated them.
	Fe <sub>2</sub> (SO <sub>4</sub> ) <sub>3</sub> + NiSO <sub>4</sub>		105 µg 263 µg					
	NiSO <sub>4</sub> + VSO <sub>4</sub>		263 µg 245 µg					
	VSO <sub>4</sub> + Fe <sub>2</sub> (SO <sub>4</sub> ) <sub>3</sub> + NiSO <sub>4</sub>		245 µg 105 µg 263 µg					
Rats, male, S-D; 60 days old	ROFA (Florida) MSH Vol. Ash	Intratracheal instillation	0.3, 1.7, or 8.3 mg/kg	1.95 µm σ <sub>g</sub> = 2.19	Analysis at 24 h	Increased plasma fibrinogen only at 8.3 mg/kg ROFA.	Gardner et al. (2000)	

**TABLE 7-3 (cont'd). CARDIOVASCULAR AND SYSTEMIC EFFECTS OF INSTILLED ROFA AND OTHER PARTICULATE MATTER**

Species, Gender, Strain Age, or Body Weight	Particle <sup>a</sup>	Exposure Technique	Dose	Particle Size	PE <sup>b</sup> Time to Analysis	Cardiovascular Effects	Reference
Rats, male, SD, 60 days old	ROFA (Boston) classified by soluble metals (As, Be, Cd, Co, Cr, Cu, Fe, Mn, Ni, Pb, V, Zn, and sulfate)	Intratracheal instillation	0.83, 3.3 or 8.3 mg/kg	< 3.0 µm MADD	Analysis at 24 h postexposure	Dose-dependent increase in BAL protein, LDH, hemoglobin and NAG activity (only high dose data shown). ROFA containing highest concentration of water-leachable Fe, V, and Ni or V and Ni caused largest increase. ROFA with highest V content induced greatest increase in BAL neutrophils. AM chemiluminescence was greatest with ROFA containing primarily soluble V and less with Ni + V.	Kodavanti et al. (1998a)
Rats, male, S-D, MCT-treated	ROFA (Florida)	Intratracheal instillation	0.25, 1.0, or 2.5 mg in 0.3 mL saline	1.95 µm MMAD $\sigma_g = 2.19$	Monitored for 96 h after instillation of ROFA particles	Dose-related increases in incidence and duration of serious arrhythmic events in normal rats. Incidence and severity of arrhythmias increased greatly in MCT rats. Changes occurred at all doses ranging from modest effects at the lowest to more serious disturbances at the higher doses. Deaths seen at each instillation level in MCT rats only (6/12 died after MCT + ROFA).	Watkinson et al. (1998)
Rat, SD, 60 d old; 250-300 g healthy or MCT-treated	ROFA (Florida)	Intratracheal instillation	0.83 or 3.33 mg/kg	1.95 µm MMAD, $\sigma_g = 2.19$	Analysis at 24 and 96 h postexposure	Increases in BAL markers of lung injury and inflammation; 58% of MCT rats exposed to ROFA died by 96 h regardless of the dose.	Kodavanti et al. (1999)
Rats, male SH and WKY; 12-13 wk old	ROFA (Boston)	Intratracheal instillation	1 and 5 mg/kg	1.5 µm $\sigma_g = 1.5$	Analysis at 1, 2, and 4 days	ROFA increased plasma fibrinogen and decreased peripheral lymphocytes in both SH and WKY rats at 5.0 mg/kg dose.	Kodavanti et al. (2002)
(1) Rats, S-D healthy and MCT, cold-stressed, and ozone-treated	ROFA (location not given)	Intratracheal instillation	0.0, 0.25, 1.0, or 2.5 mg/rat	1.95 µm $\sigma_g = 2.19$	Monitored for 96 h after instillation	(1) Healthy rats exposed IT to ROFA demonstrated dose-related hypothermia, bradycardia, and increased arrhythmias at 2.5 mg dose. Similar response pattern seen at 0.25 and 1.0 mg, but reduced in magnitude and duration. Compromised rats showed exaggerated hypothermia and cardiac responses to IT ROFA at all doses. Mortality was seen only in the MCT-treated rats exposed to ROFA by IT.	Watkinson et al. (2000a,b); Watkinson et al. (2001)

**TABLE 7-3 (cont'd). CARDIOVASCULAR AND SYSTEMIC EFFECTS OF INSTILLED ROFA AND OTHER PARTICULATE MATTER**

Species, Gender, Strain Age, or Body Weight	Particle <sup>a</sup>	Exposure Technique	Dose	Particle Size	PE <sup>b</sup> Time to Analysis	Cardiovascular Effects	Reference
(2) Rats, SH, 15-mo-old	OTT ROFA MSH	Intratracheal instillation	2.5 mg 0.5 mg 2.5 mg			(2) Older rats exposed IT to OTT showed a pronounced biphasic hypothermia and a severe drop in HR accompanied by increased arrhythmias. Exposure to ROFA caused less pronounced, but similar effects. No cardiac effects seen with MSH exposure.	Watkinson et al. (2000a,b); Watkinson et al. (2001)
(3) Rats, S-D MCT-treated	Fe <sub>2</sub> (SO <sub>4</sub> ) <sub>3</sub> VSO <sub>4</sub> NiSO <sub>2</sub>	Intratracheal instillation	105 µg 245 µg 262.5 µg			(3) Ni and V showed the greatest toxicity; Fe-exposed rats did not differ from controls.	
Rats, Wistar, male, 200-250g, healthy and ozone-treated	Ottawa EHC-93	Instillation	0.5, 1.5 or 5 mg/rat in 0.3 mL saline	0.5 µm	Analysis at 2,4, or 7 days after exposure	At high doses, 20% increase in plasma fibrinogen at 2 days PE correlated with increases in ET-1 and iNOS mRNA and decrease in ACE.	Ulrich et al. (2002)
Rabbits, female, New Zealand, 2.2 to 3.0 kg	OTT PM <sub>10</sub> (EHC-93)	Intrapharyngeal instillation	5mg/dose	4-5 µm mass median diameter	5mg twice/wk for 3 wk	PM <sub>10</sub> increased circulating band cells and shortened transit time of PMN through postmitotic pool in marrow. Increased bone marrow pool of PNM, esp. in mitotic pool.	Mukae et al. (2001)
Rabbits, female, Watanabe heritable hyperlipidemic 3.2 ± 0,1 kg	OTT PM <sub>10</sub> (EHC-93)	Intrapharyngeal instillation	5 mg in 1 mL saline	0.8 ± 0.4 µm	5mg 2 times per wk for 4 wks	Increased circulating PMN band cell counts and size of bone marrow mitotic pools of PMNs. Progression of atherosclerotic lesions. Increase in plaque cell turnover, extracellular lipid pools, and total lipids in aortic lesions.	Suwa et al. (2002)
Rabbits, female, New Zealand White, 1.8 to 2.4 kg	Colloidal carbon	Instillation	2 mL of 1% colloidal carbon (20 mg)	< 1 µm	Examined at 24 to 192 h after instillation	Colloidal carbon stimulated the release of BRDU-labeled PMNs from bone marrow. The supernatant of alveolar macrophages treated with colloidal carbon in vitro also stimulated release of PMNs from bone marrow, likely via cytokines.	Terashima et al. (1997)

**TABLE 7-3 (cont'd). CARDIOVASCULAR AND SYSTEMIC EFFECTS OF INSTILLED ROFA AND OTHER PARTICULATE MATTER**

Species, Gender, Strain Age, or Body Weight	Particle <sup>a</sup>	Exposure Technique	Dose	Particle Size	PE <sup>b</sup> Time to Analysis	Cardiovascular Effects	Reference
Hamsters, 100-150 g	polystyrene particles (unmodified)	Intravenous (IV) administration and intratracheal instillation	5, 500, 5000 µg/kg	60 nm		IV doses of 5,500 or 5,000 µg/kg b.wt. of unmodified polystyrene particles did not affect thrombus formation.	Nemmar et al. (2002a)
	carboxylate-modified polystyrene		50, 100, 500 µg/kg			IV doses of 100 and 500 µg/kg b.wt. carboxylate-modified polystyrene particles decreased (p < 0.05) thrombus formation intensity.	
	amine-modified polystyrene		5, 50, 500 µg/kg			IV doses of 100 and 500 µg/kg b.wt. of amine-polystyrene particles increased thrombus formation (p < 0.01).	
						Intratracheal instillation of 5,000 µg/kg of amine-polystyrene particles significantly (p < 0.05) increased thrombus formation but not 5,000 µg/kg of unmodified- or carboxylate-polystyrene particles.	
						Platelet aggregation (ADP-induced in vitro) was not affected by unmodified-polystyrene up to 100 µg/mL; and was strongly increased by amine-polystyrene particles.	
						Authors attributed observed prothrombic activity of ultrafine particles, at least, in part, to platelet activation by positively charged amine-modified polystyrene particles.	

<sup>a</sup>ROFA = Residual oil fly ash  
 Fe<sub>2</sub>(SO<sub>4</sub>)<sub>3</sub> = Iron sulfate  
 VSO<sub>4</sub> = Vanadium sulfate  
 CFA = Coal fly ash  
 DOFA = Domestic oil burning furnace fly ash

OTT = Ottawa urban ambient particles  
 MSH = Mt. St. Helen's volcanic ash  
 NiSO<sub>2</sub> = Nickel sulfate

<sup>b</sup>PE = Post Exposure

## 7.2.2 Ambient Particulate Matter Cardiovascular Effects

The results of epidemiology studies discussed in Chapter 8 suggest that homeostatic changes in the vascular system can occur after episodic exposure to ambient PM. However, very few controlled human exposure studies of ambient PM effects on cardiovascular endpoints have been conducted thus far. In one such study, Ghio et al. (2000a) reported that inhalation of concentrated ambient particles (CAPs) in healthy nonsmokers increased blood fibrinogen levels. They exposed 38 volunteers exercising intermittently at moderate levels of exertion for 2 h to either filtered air (FA) or particles concentrated from the air in Chapel Hill, NC. The CAP exposure concentrations ranged from 23 to 311  $\mu\text{g}/\text{m}^3$ , reflecting variations in particles collected outside the facility. At all exposure levels, CAPs-exposed subjects had significantly more blood fibrinogen than FA-exposed subjects; however, differences between pre- and post-CAPs exposure fibrinogen levels at 18 h postexposure were not significant. Other blood parameters tested in this study (including numbers of RBCs, monocytes, lymphocytes, platelets, or neutrophils) did not change significantly. The observed effects in blood may be associated with mild pulmonary inflammation also found 18 h after exposure to such CAPs (see Section 7.2.3).

Two other human inhalation studies with CAPs are limited by the small numbers of subjects studied. In one, Petrovic et al. (2000) exposed four healthy volunteers (aged 18 to 40) under resting conditions to filtered air and low, mid, and high concentrations (23 to 124  $\mu\text{g}/\text{m}^3$  of concentrated ambient particles (0.1 to 2.5  $\mu\text{m}$ ) from downtown Toronto for 2 hs using a face mask. The low CAP exposures were reflective of typical ambient  $\text{PM}_{2.5}$  levels and the high ones of maximum  $\text{PM}_{2.5}$  levels seen in Toronto. On each day prior to exposure, pulmonary function, nasal lavage, nasal acoustic rhinometry, blood collection for plasma fibrinogen and clotting factor VII antigen, and a resting ECG were taken. Pulmonary function measurements were taken every 30 min. and ECG readings recorded continuously during exposure, followed by ECG measures after 30 min. of postexposure exercise and nasal lavage, sputum induction, and blood collection at about 2 h and about 24 h postexposure. Petrovic et al. reported that review of the ECG data by a cardiologist showed no clinically significant cardiac effects during exposure, the ensuing exercise period, or 24 h postexposure. On the other hand, 2 of 4 subjects showed notable 15-20% pre- to postexposure increases in blood fibrinogen levels within 2 h post high CAPs exposure (124  $\mu\text{g}/\text{m}^3$ ) versus maximum 5-6% increases after filtered air exposures,

1 although there were no statistically significant differences for mean fibrinogen between CAP and  
2 FA exposures.

3 In another small pilot study, reported by Gong et al. (2000), four healthy adult volunteers  
4 (2 male, 2 female; aged 19 to 40 y) were exposed for 2 h while at rest in whole body chamber to  
5 filtered air or to concentrated ambient PM<sub>2.5</sub> from Los Angeles air. The CAP exposures at mean  
6 2 h concentrations of 148 to 246 µg/m<sup>3</sup> (the latter approximating likely maximum exposure  
7 levels in Los Angeles) resulted in “no meaningful changes” in heart-rate variability, or ECG ST  
8 voltages, lung function, or respiratory symptoms, based on data collected during 2-h exposures  
9 or 10 or 22 h afterward. These results appear to be suggestive of Los Angeles ambient PM<sub>2.5</sub>  
10 exposures being unlikely to affect cardiorespiratory functions in healthy non-elderly adults.  
11 However, such a conclusion must be tempered by several considerations: (a) the small number  
12 of subjects tested and only while at rest (versus planned further studies to evaluate larger  
13 numbers of both healthy and compromised volunteers with respiratory or vascular disease,  
14 presumably to include exposures involving intermittent exercise); and (b) the Harvard model  
15 concentrator used did not likely concentrate effectively ambient particles < 0.1 to 0.2 µm  
16 MMAD, thus not exposing subjects to concentrated levels of potentially important combustion-  
17 derived (from diesel/gasoline vehicles; wood smoke, etc.) ambient particles.

18 More recently, Gong et al. (2003) exposed 12 healthy and 12 asthmatic subjects (age range  
19 18 to 45) to Los Angeles CAPs (PM<sub>2.5</sub>) that were primarily of motor vehicle origin. An exposure  
20 to CAPs averaging 174 µg/m<sup>3</sup> (range 99-224) in a whole body chamber for 2 h was alternated  
21 with a filtered air (FA) exposure at least 14 days apart. Subjects exercised for 15 min of each  
22 half hour at a ventilation rate of 15-20 l/min/m<sup>2</sup> body surface. Tests were performed just before  
23 exposure (pre), just after (immediately post), 3.5 to 4 h after (4 h), and the next day (day 2).  
24 No significant CAPS-related changes in routine blood parameters were observed, except for  
25 some mediators of blood coagulation and systemic inflammation. These included Factor VII,  
26 which declined at immediately postexposure and 4 h later and then rebounded on day 2. This is  
27 in agreement with a recent finding by Reed et al. (2004) wherein rats exposed to DE  
28 demonstrated lower Factor VII levels. However, the Gong et al. (2003) subjects did not have  
29 any accompanying changes in fibrinogen or serum amyloid A with CAPs exposure. Both groups  
30 exhibited modest increases in HR variability, and both had significant differences in HR during  
31 exposure (FA: 76 at rest and 96 at exercise; CAPs: 72 at rest and 92 at exercise). There were

1 no significant differences in diastolic BP and HR-systolic product. Systolic BP increased in  
2 healthy subjects after CAP exposure at immediate, 4 h, and 2 days postexposure. Systolic BP  
3 decreased in asthmatics immediately and at day 2 postexposure. Holter ECG data suggested to  
4 the authors a CAP-induced increase in parasympathetic input to the heart, about which they are  
5 uncertain as to the health significance. Some subjects also reported a set of ‘cardiac symptoms’  
6 during CAPs exposure which included faintness, dizziness, irregular heartbeat, and pain related  
7 to the heart.

8 Godleski and colleagues (2000) have performed a series of experiments examining the  
9 cardiopulmonary effects of inhaled CAPs on normal mongrel dogs and on dogs with coronary  
10 artery occlusion. Dogs were exposed by inhalation via a tracheostomy tube to Boston CAPs for  
11 6 h/day for 3 consecutive days. The investigators found little biologically-relevant evidence of  
12 pulmonary inflammation or injury in normal dogs exposed to PM (daily range of mean  
13 concentrations was ~100 to 1000  $\mu\text{g}/\text{m}^3$ ). The only statistically significant effect was a doubling  
14 of the percentage of neutrophils in lung lavage. Despite the absence of major pulmonary effects,  
15 a significant increase in heart rate variability (an index of cardiac autonomic activity), a decrease  
16 in heart rate, and a decrease in T alternans (an index of vulnerability to ventricular fibrillation)  
17 were seen. Exposure assessment of particle composition yielded no indication of which specific  
18 components of the CAPs were correlated with the day-to-day variability in response. The  
19 significance of these effects is not yet clear, given that the effects did not occur on all exposure  
20 days (e.g., changes in heart rate variability were observed on only 10 of the 23 exposure days).  
21 Although the HRV increase and the decrease in t-wave alternans might suggest a reduction in  
22 cardiovascular risk in response to inhaled concentrated ambient PM, the clinical significance of  
23 this effect is unclear. However, the magnitude of the observed changes, while small, are clearly  
24 not consistent with increased risk for cardiovascular events.

25 The most important finding of Godleski et al. (2000) was the observation of a potential  
26 increase in ischemic stress of the cardiac tissue from repeated exposure to concentrated  
27 ambient PM from Boston. During coronary occlusion in four dogs exposed to PM, they  
28 observed (a) significantly more rapid development of ST elevation of the ECG waveform; and  
29 (b) greater peak ST-segment elevation after CAP exposure. Together, these changes are not  
30 internally consistent with those noted above. That is, on one hand, the ST segment elevation  
31 timing suggests a lower ischemic threshold and higher risk for serious outcomes in the



1 compromised dog model, but the HRV and T-wave alternans changes in the normal dogs suggest  
2 lower cardiac risk. Clearly, much further work in more dogs (and other species) will be  
3 necessary both to try to confirm such findings and to better understand their potential  
4 significance.

5 In a series of studies, (Gordon et al., 2000) examined rodent cardiovascular system  
6 responses to concentrated ambient PM (CAPs) derived from New York City air. Particles of  
7 0.2 to 2.5  $\mu\text{m}$  diameter were concentrated up to 10 times their levels in ambient air ( $\approx 130$  to  
8  $900 \mu\text{g}/\text{m}^3$ ) to maximize possible differences in effects between normal and cardiopulmonary-  
9 compromised laboratory animals. No ECG changes were detected in normal Fischer 344 rats or  
10 hamsters exposed by inhalation to the New York City CAPs for a single 3-h exposure or for  
11 3 daily 6-h exposures. Similarly, no deaths or ECG changes were seen in MCT rats or  
12 cardiomyopathic hamsters exposed to PM. In contrast to the nonsignificant decrease in heart  
13 rate observed in dogs exposed to Boston CAPs (Godleski et al., 2000), statistically significantly  
14 heart rate increases ( $\sim 5\%$ ) were observed by Gordon et al. (2000) in both the normal and MCT  
15 rats exposed to New York CAPs, but not on all exposure days. Thus, extrapolation of the heart  
16 rate changes in these animal studies to human health effects is difficult, although the observed  
17 increase in heart rate in rats is similar to that observed in some human population CAPs studies.

18 Gordon and colleagues (1998) have also reported other cardiovascular effects in animals  
19 exposed to inhaled CAPs. Increases in peripheral blood platelets and neutrophils were observed  
20 in control and MCT rats at 3 h, but not 24 h, after a 3 h exposure to 150 to  $400 \mu\text{g}/\text{m}^3$  New York  
21 City CAPs. This neutrophil effect did not appear to be dose-related and did not occur on all  
22 exposure days, suggesting that day-to-day changes in particle composition may play an  
23 important role in the systemic effects of inhaled particles. The number of studies reported was  
24 small; and, it is therefore not possible to determine statistically if the day-to-day variability was  
25 truly due to differences in particle composition or even to determine the size of this effect.

26 Nadziejko et al. (2002) exposed healthy rats to concentrated ambient particles (CAPs) from  
27 New York City air at concentrations in the range of 95 to  $341 \mu\text{g}/\text{m}^3$  for 6 hs and sampled blood  
28 at 0, 12, and 24 hs postexposure. They found no consistent differences in counts of platelets,  
29 blood cells, or in levels of proteins in the blood coagulation system that included fibrinogen,  
30 thrombin-anti-thrombin complex, tissue plasminogen activator, plasminogen activator inhibitor,  
31 and factor VII. Nadziejko et al. (2002) present a thorough discussion of the blood coagulation

1 system, demonstrating its complexity, and further discuss limitations of the study that include  
2 particle composition and size, the possible blunted response seen in rats compared to humans,  
3 the healthy status of the animals compared to a cardiovascular compromised model, and the  
4 endpoints chosen.

5 Studies by Vincent et al. (2001) indicate that very high concentrations ( $48 \text{ mg/m}^3$ ) of urban  
6 ambient particles from Ottawa ambient air administered by nose-only inhalation for 4 h to  
7 laboratory rats can cause a vasopressor response and affect blood levels of endothelin without  
8 causing acute lung injury. The authors reported a MMAD of  $\sim 4 \text{ }\mu\text{m}$  for the EHC93 Ottawa  
9 urban ambient particles resuspended from samples from the air purification system of an office  
10 building. In this study, they also found that exposure to water-leached Ottawa samples  
11 (EHC93L) can modify the potency to influence hemodynamic changes by removal of polar  
12 organic compounds and soluble elements from the Ottawa particles. Exposure to DPM  
13 ( $5 \text{ mg/m}^3$ ) had no effect on blood pressure, but caused elevated endothelin levels, whereas a  
14 comparable exposure to  $5 \text{ mg/m}^3$  carbon black (CB) had no effects. The authors concluded that  
15 their results suggest a novel mechanism by which inhaled particles can affect cardiovascular  
16 function, i.e., by causing elevated endothelins, which are among the most potent vasoconstrictors  
17 in the systemic circulation and which have been shown to correlate with severity of disease in  
18 congestive heart failure and to predict cardiac death (Galatius-Jensen, et al., 1996), possibly due  
19 to ET-1 being cardiotoxic by promoting infarct size (Omland et al., 1994). However, the very  
20 high exposure concentrations used leave it unclear as to the extent that such effects may be  
21 pertinent to ambient PM exposure conditions.

22 Another study (Ulrich et al., 2002) utilized Ottawa EHC93 and an exposure paradigm  
23 consisting of saline control, 5 mg EHC93 only, or ozone pretreatment (8 h to  $1600 \text{ }\mu\text{g/m}^3$ ) on the  
24 day preceding instillation. Instillations were at concentrations of 0.5, 1.5, or 5 mg/rat  
25 (approximately 2.2, 6.7, or 22.2 mg/kg based on reported body weights). At the high doses, both  
26 with (170 mg/dl) and without (160 mg/dl) ozone-pretreatment, they observed a 20% increase in  
27 plasma fibrinogen at 2 days post exposure compared to saline controls (140 mg/dl). These  
28 changes correlated with increases in endothelin (ET)-1 levels and iNOS mRNA and a decrease in  
29 angiotensin-converting enzyme (ACE). The authors suggest that the hematological changes seen  
30 in this study model heart failure in high-risk groups exposed to PM.

31

### 7.2.3 ROFA and Other Combustion Source-Related Particles

Turning to studies evaluating cardiovascular effects of controlled exposures to combustion source-related materials, using the MCT model of cardiorespiratory disease, Killingsworth et al. (1997) examined the effects of a combustion source-related irritant particle mix (residual fuel oil fly ash [ROFA] from the Boston area). They observed 42% mortality in MCT rats exposed to ~580  $\mu\text{g}/\text{m}^3$  ROFA for 6 h/day for 3 consecutive days but no deaths among MCT rats exposed to filtered air or saline-treated healthy rats exposed to ROFA. The increase in MCT/ROFA group deaths was accompanied by (a) increased neutrophils in lavage fluid and (b) increased immunostaining of macrophage inflammatory protein (MIP-2), from among several proinflammatory chemokines evaluated, in the lungs and hearts of the MCT/ROFA animals. Cardiac immunohistochemical analysis indicated increased MIP-2 in cardiac macrophages. The ROFA-induced deaths did not result from a change in pulmonary arterial pressure, and the cause of death was not identified. The results suggest that MCT treatment and ROFA exposure can produce significant lung inflammation and possible increases in proinflammatory signals in the heart.

Using a similar experimental model, Watkinson et al. (1998) examined the effects of intratracheally instilled Florida area power plant ROFA (0.0, 0.25, 1.0, 2.5 mg in 0.3 mL saline) on ECG measurements in healthy control and MCT rats. They observed a dose-related increase in the incidence and duration of arrhythmic events in control animals exposed to ROFA particles, and these effects appeared to be exacerbated in the MCT animals (the strength of these conclusions and determination of lowest observed effective dose levels being limited due to lack of statistical analyses). Similar to the results of Killingsworth et al. (1997), healthy animals treated with ROFA suffered no deaths, but there were 1, 3, and 2 deaths in the low-, medium-, and high-dose MCT groups, respectively. Further, given that the observed rhythm disturbances were mimicked by infusion of acetylcholine, increased vagal (parasympathetic) input may have contributed to the ROFA-induced increase in arrhythmias. Thus, ROFA PM may be linked to conductive and hypoxemic arrhythmias in rats having MCT-induced pulmonary hypertension. However, the specific data and analyses in this study do not establish that relationship with certainty. Such small sampling frequency as was used here does not allow any extrapolation in terms of the total frequency of arrhythmia because of the inherent variability of arrhythmia frequency. Also, since the increased arrhythmia reported by these investigators in this animal

1 model is almost entirely dropped beats, these findings have questionable bearing on the  
2 mechanism of potential increased risk of cardiac mortality in humans exposed to PM. It is also  
3 possible that the reported mortalities were simply related to the MCT-induced pulmonary  
4 hypertension.

5 In order to help gauge the biological relevance of intratracheal instillation of ROFA  
6 particles, Kodavanti et al. (1999) exposed MCT rats to Florida area ROFA by either instillation  
7 (0.83 or 3.33 mg/kg) or nose-only inhalation (15 mg/m<sup>3</sup>, 6 h/day for 3 consecutive days).  
8 Similar to Watkinson et al. (1998), intratracheal instillation of ROFA in MCT rats caused about  
9 50% mortality. However, very notably, no mortality occurred in MCT rats exposed to ROFA by  
10 the inhalation route despite the high exposure concentration (15 mg/m<sup>3</sup>); nor was there any  
11 mortality in healthy rats exposed to ROFA or in MCT rats exposed to clean air. Despite the fact  
12 that mortality was not associated with ROFA inhalation exposure of MCT rats, exacerbation of  
13 lung lesions and pulmonary inflammatory cytokine gene expression, as well as ECG  
14 abnormalities, were evident.

15 Watkinson and colleagues further examined whether the effects of instilled ROFA would  
16 be exacerbated in rodents already under increased stress by being previously exposed to ozone or  
17 housed in the cold (Watkinson et al., 2000a,b; Watkinson et al., 2001; Campen et al., 2000). The  
18 effect of ozone-induced pulmonary inflammation (preexposure to 1 ppm ozone for 6 h) or  
19 housing in the cold (10 °C) on the response to instilled ROFA in rats were similar to that  
20 produced with MCT. Bradycardia, arrhythmias, and hypothermic changes were consistently  
21 enhanced in the ozone-exposed and cold-stressed animals treated with ROFA (0.25, 1.0, or  
22 2.5 mg/rat); but, unlike for the MCT animals, no deaths occurred. Thus, it appears that  
23 preexisting cardiopulmonary disease or increased physiological stress may make rodents more  
24 susceptible to cardiovascular changes induced by intratracheal instillation of  $\geq 0.25$  mg of  
25 ROFA. While studies of instilled ROFA demonstrated immediate and delayed responses,  
26 consisting of bradycardia, hypothermia, and arrhythmogenesis in conscious, unrestrained rats  
27 (Watkinson et al., 1998; Campen et al., 2000), further study of instilled ROFA-associated  
28 transition metals showed that vanadium (V) induced the immediate responses, while nickel (Ni)  
29 was responsible for the delayed effects (Campen et al., 2002). Moreover, Ni, when administered  
30 concomitantly, potentiated the immediate effects caused by V.

1 In another study, Campen et al. (2001) examined responses to these metals in conscious  
2 rats by whole-body inhalation exposure. The authors tried to ensure valid dosimetric  
3 comparisons with the instillation studies, by using concentrations of V and Ni ranging from  
4 0.3 to 2.4 mg/m<sup>3</sup>. The concentrations used incorporated estimates of total inhalation dose  
5 derived using different ventilatory parameters. Heart rate (HR), core temperature (T<sub>[CO]</sub>), and  
6 electrocardiographic (ECG) data were measured continuously throughout the exposure. Animals  
7 were exposed to aerosolized Ni, V, or Ni + V for 6 h per day for 4 days, after which serum and  
8 bronchoalveolar lavage samples were taken. While Ni caused delayed bradycardia,  
9 hypothermia, and arrhythmogenesis at concentrations > 1.2 mg/m<sup>3</sup>, V failed to induce any  
10 significant change in HR or T<sub>[CO]</sub>, even at the highest concentration. When combined, Ni and  
11 V produced observable delayed bradycardia and hypothermia at 0.5 mg/m<sup>3</sup> and potentiated these  
12 responses at 1.3 mg/m<sup>3</sup>, to a greater degree than were produced by the highest concentration of  
13 Ni (2.1 mg/m<sup>3</sup>) alone. The results are suggestive of a possible synergistic relationship between  
14 inhaled Ni and V, albeit these studies were performed at metal concentrations orders of  
15 magnitude greater than their typical ambient concentrations.

16 Watkinson et al. (2000a,b) also sought to examine the relative toxicity of different particles  
17 on the cardiovascular system of spontaneously hypertensive rats. They instilled 2.5 mg of  
18 representative particles from ambient (Ottawa) or natural (Mount Saint Helens volcanic ash)  
19 sources and compared the response to 0.5 mg ROFA. Instilled particles were either mass  
20 equivalent dose or adjusted to produce equivalent metal dose. They observed adverse changes in  
21 ECG, heart rate, and arrhythmia incidence that were much greater in the Ottawa ambient PM-  
22 and ROFA-treated rats than in the volcanic ash-treated rats. The cardiovascular changes  
23 observed with the Ottawa particles were actually greater than with the ROFA particles. These  
24 experiments indicate: (a) that instillation of ambient air particles, albeit at a very high  
25 concentration, can produce cardiovascular effects; and (b) that exposures of equal mass dose to  
26 particle mixes of differing composition did not produce the same cardiovascular effects,  
27 suggesting that PM composition rather than just mass was responsible for the observed effects.

28 Kodavanti et al. (2000a) exposed (via nose-only inhalation) spontaneously hypertensive  
29 (SH) and normotensive (WKY) rats to 15 mg/m<sup>3</sup> ROFA (Florida area) particles for 6 h/day for  
30 3 days. The high exposure concentration (~1,000 times higher than current U.S. ambient PM  
31 levels) was selected to produce a frank but non-lethal injury. Exposure to ROFA produced

1 alterations in the ECG waveform of spontaneously hypertensive (SH) but not normotensive rats.  
2 Although the ST segment area of the ECG was depressed in the SH rats exposed to air, further  
3 depressions in the ST segment were observed at the end of the 6-h exposure to ROFA on Days  
4 1 and 2. The enhanced ST segment depression was not observed on the third day of exposure,  
5 suggesting that adaptation to the response may have occurred. Thus, exposure to a very high  
6 concentration of ROFA exacerbated an aberrant variation in the electroconductivity pattern of  
7 the heart in an animal model of hypertension. However, this ROFA-induced alteration in the  
8 ECG waveform was not accompanied by an enhancement in the monocytic cell infiltration and  
9 cardiomyopathy that also develop in SH rats.

10 Contrary to findings from Godleski's dog study, Muggenburg et al. (2000b) reported that  
11 inhalation exposure to high concentrations of Boston area ROFA caused no consistent changes  
12 in amplitude of the ST-segment, form of the T wave, or arrhythmias in healthy dogs. In their  
13 studies, four beagle dogs were exposed to 3 mg/m<sup>3</sup> ROFA particles for 3 h/day for 3 consecutive  
14 days. They noted a slight but variable decrease in heart rate, but the changes were not  
15 statistically or biologically significant. The transition metal content of the ROFA used by  
16 Muggenburg was ~15% by mass, a value on the order of a magnitude higher than that found in  
17 urban ambient PM samples. Although the study did not specifically address the effect of metals,  
18 it suggests that inhalation of high concentrations of metals may have little effect on the  
19 cardiovascular system of a healthy individual. In a second study using dogs with pre-existing  
20 cardiovascular disease, Muggenburg et al. (2003) evaluated the effects of short-term inhalation  
21 exposure (oral inhalation for 3 h on each of 3 successive days) to aerosols of transition metals.  
22 Heart rate and the ECG readings were studied in conscious beagle dogs (selected for having  
23 pre-existing cardiovascular disease) that inhaled respirable particles of oxide and sulfate forms  
24 of transition metals (manganese, nickel, vanadium, iron, copper oxides, and nickel and vanadium  
25 sulfates) at concentrations of 0.05 mg/m<sup>3</sup>. Such concentrations are 2 to 4 orders of magnitude  
26 higher than typical for ambient U.S. levels (usually  $\leq$  0.1 to 1.0  $\mu\text{g}/\text{m}^3$  for such metals).  
27 No significant effects of exposure to the transition metal aerosols were observed. The  
28 discrepancy between the results of Muggenburg et al. and those of Godleski and colleagues leave  
29 open major questions about PM effects on the cardiovascular system of the dog.

30 Wellenius et al. (2002) developed and tested a model for investigating the effects of  
31 inhaled PM on arrhythmias and heart rate variability (HRV) in rats with acute myocardial

1 infarction. Left-ventricular MI was induced in Sprague-Dawley rats by thermocoagulation of the  
2 left coronary artery while control rats underwent sham surgery. Diazepam-sedated rats were  
3 exposed (1 h) to ROFA (Boston area), carbon black, or room air at 12 to 18 h after surgery.  
4 Each exposure at a concentration of 3 mg/m<sup>3</sup> was immediately preceded and followed by a 1-h  
5 exposure to room air (baseline and recovery periods, respectively). Lead-II electrocardiograms  
6 were recorded. In the MI group, 41% of rats exhibited one or more premature ventricular  
7 complexes (PVCs) during the baseline period. Exposure to ROFA, but not to carbon black or  
8 room air, increased arrhythmia frequency in animals with preexisting PVCs. Furthermore, MI  
9 rats exposed to ROFA, but not to carbon black or room air, had decreased HRV, but there was  
10 no difference in arrhythmia frequency or HRV among sham-operated animals. The limited  
11 statistical significance (one MI rat mainly exhibited the reported changes) of the reported results  
12 call into question the biological relevance of the change observed in arrhythmia frequency in this  
13 myocardial infarction model exposed to ROFA at 3 mg/m<sup>3</sup>.

14 Gardner et al. (2000) examined whether the instillation of particles would alter blood  
15 coagulability factors in laboratory animals. Sprague-Dawley rats were instilled with 0.3, 1.7, or  
16 8.3 mg/kg of ROFA (Florida) or 8.3 mg/kg Mount Saint Helens volcanic ash. Because  
17 fibrinogen is a known risk factor for ischemic heart disease and stroke, the authors suggested  
18 that PM-induced alterations in the blood fibrinogen or coagulation pathway could take part in the  
19 triggering of cardiovascular events in susceptible individuals. Elevations in plasma fibrinogen,  
20 however, were observed in healthy rats only at the highest treatment dose (8.3 mg/kg); and no  
21 other changes in clotting function were noted. Because the lower treatment doses are known to  
22 cause pulmonary injury and inflammation, albeit to a lesser extent, the absence of plasma  
23 fibrinogen changes at the lower doses suggests that only high levels of pulmonary injury are  
24 likely to produce an effect in healthy test animals.

25 To establish the temporal relationship between pulmonary injury, increased plasma  
26 fibrinogen, and changes in peripheral lymphocytes, Kodavanti et al. (2002) exposed  
27 spontaneously hypertensive (SH) and Wistar-Kyoto (WKY) rats to Boston ROFA using both  
28 inhalation and intratracheal instillation exposure (acute and long-term) scenarios. Increases in  
29 plasma fibrinogen and decreases in circulating white blood cells were found for both strains in  
30 response to acute ROFA exposure (15 mg/m<sup>3</sup>; 6 h/day; 1 wk) by inhalation and were temporally  
31 associated with acute (1 wk post exposure), but not longer-term (2 to 4 wk) lung injury. A bolus

1 intratracheal instillation of ROFA at 5 mg/kg body weight increased plasma fibrinogen in both  
2 SH and WKY rats; whereas the increase was evident only in SH rats after acute (1 wk) ROFA  
3 inhalation. The increased fibrinogen in SH rats was associated with greater pulmonary injury  
4 and inflammation than was found in the WKY rats. The authors concluded that acute PM  
5 exposure can provoke an acute thrombogenic response associated with pulmonary  
6 injury/inflammation and oxidative stress in cardiovascular-compromised rats.

7 Kodavanti et al. (2003) exposed male SD, WKY, and spontaneously hypertensive (SH)  
8 male rats to nose-only doses of oil combustion-derived ROFA from Boston, which contained  
9 bioavailable zinc at doses of 2, 5, or 10 mg/m<sup>3</sup> for 6h/day for 4 consecutive days. A second  
10 exposure paradigm used exposure to 10 mg/m<sup>3</sup> ROFA for 6 h/day, 1 day/wk, for 4 or 16  
11 consecutive weeks. Cardiovascular effects were not seen in SD and SH rats with the acute or  
12 chronic exposure, but WKY rats from the 16 wk exposure group had cardiac lesions consisting  
13 of chronic-active inflammation, multifocal myocardial degeneration, fibrosis, and decreased  
14 numbers of granulated mast cells. These results suggest that myocardial injury in sensitive rats  
15 can be caused by long-term inhalation of high concentrations of ROFA.

16 Perhaps of more direct relevance to evaluation of ambient PM effects, the effects of DE on  
17 ECG and HR were evaluated in SH rats, both male and female, exposed to diesel emissions (DE)  
18 generated from a 2000 model diesel engine (Campen et al., 2003). Whole body exposures  
19 included dilutions at concentrations of 30, 100, 300, and 1000 µg/m<sup>3</sup> for an exposure period of  
20 6 h/day, 7 days/wk, for 1 wk. Exposed rats showed a significantly elevated daytime HR  
21 throughout the exposure (290 ± 7 versus 265 ± 5 for control rats). Additionally, a concentration-  
22 dependent prolongation of the PQ interval was observed in exposed rats. The authors suggested  
23 that these high level exposures to DE may affect the pacemaking system of rats by means of  
24 ventricular arrhythmias. However, the design of the study did not include testing of DPM  
25 (versus whole DE) so that one cannot clearly attribute the reported effects to DPM versus  
26 associated gases or a combination of both.

27 Also, Reed et al. (2004) exposed both male and female F344 rats to diesel emissions (DE)  
28 generated from a 2000 model diesel engine to evaluate the effects of DE on blood parameters.  
29 More than 90% of the DE PM mass was < 1 µm in aerodynamic diameter. Whole body  
30 exposures included dilutions at concentrations of 30, 100, 300, and 1000 µg/m<sup>3</sup> for exposure  
31 periods of 6 h/day, 7 days/wk, for either 1 wk or 6 mos. Blood cholesterol was decreased in both



1 females and males at 1 wk and in males at 6 mos at the 1000  $\mu\text{g}/\text{m}^3$  concentration. Gamma-  
2 glutamyl transpeptidase (GGT) was increased in both genders at 6 mos at the higher doses. This  
3 was the first report of effects on GGT in rodents with DE exposure, but the authors did not find  
4 liver pathology in these animals to corroborate this finding. Blood chloride, sodium, and  
5 calcium levels were increased in 6 mo exposures across DE concentrations. Total WBC counts  
6 in females were decreased at the high dose. Two blood parameters involved in coagulation were  
7 changed with exposure. Factor VII was decreased in males at 1 wk at the 300 and 1000  $\mu\text{g}/\text{m}^3$   
8 concentration and was also decreased in both genders at the 6 mo exposure at the 1000  $\mu\text{g}/\text{m}^3$   
9 concentration. Thrombin-antithrombin complex (TAT) was decreased in males at the highest  
10 dose after 1 wk of exposure only. Plasma fibrinogen levels were unchanged with these  
11 exposures. Analogously, lowered Factor VII levels in humans following a 2h CAPs exposure at  
12 174  $\mu\text{g}/\text{m}^3$  were reported recently (Gong et al., 2003). Reed et al. (2004) suggest that the  
13 lowered Factor VII may be due to a decrement in clotting potential or to Factor VII being  
14 consumed in an ongoing coagulation process. This study did not find significant changes in  
15 other blood parameters including hemoglobin, hematocrit, platelet count, alkaline phosphatase,  
16 creatinine, total protein, and a host of other clinical chemistry endpoints.

17 Suwa et al. (2002) studied the effect of  $\text{PM}_{10}$  on the progression of atherosclerosis in  
18 rabbits. They exposed Watanabe heritable hyperlipidemic rabbits (with naturally increased  
19 susceptibility to atherosclerosis) to 5 mg  $\text{PM}_{10}$  in 1 mL saline administered by intrapharyngeal  
20 instillation ( $2 \times$  per wk for 4 wks) or to saline vehicle for 4 wks, and then both (a) measured  
21 bone marrow stimulation and (b) used quantitative histologic methods to determine the  
22 morphologic features of the atherosclerotic lesions. Exposure to  $\text{PM}_{10}$  (99%  $< 3.0 \mu\text{m}$ ) from  
23 Ottawa, CN air caused an increase in circulating polymorphonuclear leukocytes (PMN) band cell  
24 counts and an increase in the size of the bone marrow mitotic pool of PMNs. Exposure to  $\text{PM}_{10}$   
25 also caused progression of atherosclerotic lesions toward a more advanced phenotype. The  
26 volume fraction (vol/vol) of the coronary atherosclerotic lesions was increased by  $\text{PM}_{10}$   
27 exposure. The vol/vol of atherosclerotic lesions correlated with the number of alveolar  
28 macrophages that phagocytosed  $\text{PM}_{10}$ . Exposure to  $\text{PM}_{10}$  also caused an increase in plaque cell  
29 turnover and extracellular lipid pools in coronary and aortic lesions, as well as in the total  
30 amount of lipids in aortic lesions.

1 Terashima et al. (1997) also examined the effect of particles on circulating neutrophils.  
2 They instilled rabbits with 20 mg colloidal carbon, a relatively inert particle ( $< 1 \mu\text{m}$ ), and  
3 observed a stimulation of the release of 5'-bromo-2'-deoxyuridine (BrdU)-labeled PMNs from the  
4 bone marrow at 2 to 3 days after instillation. Because the instilled supernatant from rabbit AMs  
5 treated in vitro with colloidal carbon also stimulated the release of PMNs from the bone marrow,  
6 the authors hypothesized that cytokines released from activated macrophages could be  
7 responsible for this systemic effect. The same research group (Tan et al., 2000) looked for  
8 increased white blood cell counts as a marker for bone marrow PMN precursor release in  
9 humans exposed to very high levels of carbon from biomass burning during the 1997 Southeast  
10 Asian smoke-haze episodes. They found a significant association between  $\text{PM}_{10}$  (1-day lag) and  
11 elevated band neutrophil counts expressed as a percentage of total PMNs. The biological  
12 relevance of this latter study to more usual urban PM exposure-induced systemic effects is  
13 unclear, however, because of the high dose of carbon particles.

14 Frampton (2001) exposed healthy, nonsmoking subjects (18 to 55 ys old) to  $10 \mu\text{g}/\text{m}^3$   
15 ultrafine carbon while at rest via a mouthpiece for 2 h  $\frac{1}{2}$ , with a ten minute break between each  
16 hour exposure. The exposure concentration ( $10 \mu\text{g}/\text{m}^3$ ) corresponded to  $2 \times 10^6$  particles/ $\text{cm}^3$ ,  
17 and respiratory symptoms, spirometry, blood pressure, pulse-oximetry, blood markers, and  
18 exhaled NO were evaluated before, immediately following, and 3.5 and 21 h postexposure.  
19 Blood markers focused on parameters related to acute response, i.e., blood coagulation,  
20 circulating leukocyte activation, including complete blood leukocyte counts and differentials,  
21 IL-6, fibrinogen, and clotting factor VII. Heart rate variability and repolarization phenomena  
22 were evaluated by continuous 24-h ECG Holter monitoring. Preliminary findings indicated no  
23 particle-related effects, including neither cardiovascular nor respiratory-related effects.

24 Nemmar et al. (2002a) studied effects of ultrafine (60 nm) polystyrene particles on  
25 thrombus formation in a hamster model after intravenous administration of unmodified,  
26 carboxylate-polystyrene, or amine-polystyrene particles. Unmodified particles did not affect  
27 thrombosis at IV doses up to 5000  $\mu\text{g}/\text{kg}$ ; whereas carboxylate-polystyrene particles  
28 significantly inhibited thrombus formation at 100 and 500  $\mu\text{g}/\text{kg}$ , but not at 50  $\mu\text{g}/\text{kg}$  body  
29 weight. Thrombosis was significantly enhanced by amine-polystyrene particles at 50 and  
30 500  $\mu\text{g}/\text{kg}$ , but not at 5  $\mu\text{g}/\text{kg}$  body weight. Intratracheal instillation of 5 mg/kg of amine-  
31 polystyrene particles, but not unmodified or carboxylate-modified particles, also increased

1 thrombosis formation. Platelet aggregation (ADP-induced in vitro) was also enhanced  
2 significantly by amine-modified polystyrene particles, but not by unmodified or carboxylate-  
3 modified particles. Thus, only positively charged ultrafine particles resulted in enhancement of  
4 thrombus formation. The authors concluded that (a) the presence of ultrafine particles in the  
5 circulation may affect hemostasis and (b) this is dependent on the surface charge of the particles,  
6 i.e., positive-charged particles induce prothrombotic effects, at least partly via platelet activation.  
7

#### 8 **7.2.4 Summary of Cardiovascular/Systemic Effects**

9 In summary, experimental controlled human exposure studies of cardiovascular-related  
10 effects have yielded only very limited evidence for ambient PM effects on cardiac function as  
11 indexed by ECG readings or on systemic endpoints (e.g., vasopressor control, blood coagulation  
12 control, etc.) linked to more serious cardiovascular events. Probably of most note, the controlled  
13 human exposure CAPs study by Ghio et al. (2000a) and another by Petrovic et al. (2000) did find  
14 evidence indicating that ambient levels (ranging up to ~125 to 300  $\mu\text{g}/\text{m}^3$ ) of inhaled  $\text{PM}_{2.5}$  can  
15 produce some biochemical changes (increased fibrinogen) in blood suggestive of PM-related  
16 increased risk for prothrombotic effects. Similarly, Ulrich et al. (2002) found a 20% increase in  
17 plasma fibrinogen in rats 2 days after instillation exposure to 6.7 or 22.2 mg/kg of Ottawa  
18 EHC93 ambient PM extract. Also, decreased Factor VII levels were observed by Gong et al.  
19 (2003) in humans (with 2-h CAPs exposure at ~174  $\mu\text{g}/\text{m}^3$ ) and by Reed et al (2004) in rats (with  
20 DE exposure 6h/day, 7 day/wk, for 1 wk at 300 and 1000  $\mu\text{g}/\text{m}^3$ ). The decreased Factor VII  
21 levels may be due to that enzyme being consumed in an ongoing coagulation process. On the  
22 other hand, the same and many other human and animal studies did not find changes in other  
23 factors (e.g., increased platelets or their aggregation) related to blood coagulation control.  
24 Overall, then, some available laboratory studies provide limited evidence suggesting that high  
25 concentrations/doses of inhaled or instilled particles can exert cardiovascular-related systemic  
26 effects; but many of the studies provide conflicting evidence, especially with regard to heart rate,  
27 heart rate variability, or other ECG markers of cardiac function. Thus, although some of the  
28 reported changes have been used as clinical “markers” for cardiovascular diseases, the causal  
29 relationship between such PM-related changes and potential life-threatening alterations in  
30 cardiovascular function remains to be better established.

1           Among the most salient hypotheses proposed to account for cardiovascular/systemic  
2 effects of PM are: alterations in coagulability (Seaton et al., 1995; Sjögren, 1997); cytokine  
3 effects on heart tissue (Killingsworth et al., 1997); perturbations in both conductive and  
4 hypoxemic arrhythmogenic mechanisms (Watkinson et al., 1998; Campen et al., 2000); altered  
5 endothelin levels (Vincent et al., 2001); and activation of neural reflexes (Veronesi and  
6 Oortgiesen, 2001). Only limited progress has been made in obtaining evidence bearing on such  
7 hypotheses (as discussed in later sections of this chapter), and much future research using  
8 controlled exposures to PM of laboratory animals and human subjects will clearly be needed to  
9 test further such mechanistic hypotheses (as well as others proposed in the future) so as to more  
10 fully understand pathways by which low concentrations of inhaled ambient PM may be able to  
11 produce life-threatening systemic changes.  
12  
13

### 7.3 RESPIRATORY EFFECTS OF CONTROLLED IN VIVO PM EXPOSURES OF HUMANS AND LABORATORY ANIMALS

This section assesses the respiratory effects of controlled in vivo exposures of laboratory animals and humans to various types of PM. In vitro studies using animal or human respiratory tract cells are discussed in Section 7.4. Biological responses occurring in the respiratory tract following controlled PM inhalation include changes in pulmonary inflammation and systemic effects that result from direct effects on lung tissue. The observed responses are dependent on the physicochemical characteristics of the PM, exposure parameters (concentration, duration, etc.), and health status of the host.

As noted earlier, data available in the 1996 PM AQCD were from studies that evaluated respiratory effects of specific components of ambient PM or laboratory derived surrogate particles, e.g., metals or pure sulfuric acid droplets. Toxicological studies of various “other” types of PM species were also discussed in the previous criteria document (U.S. Environmental Protection Agency, 1996a). These studies included exposures to fly ash, volcanic ash, coal dust, carbon black, and miscellaneous other particles, either alone or in mixtures. Some of the particles discussed were considered to be models of “respirable low toxicity particles” and were used in instillation studies to delineate nonspecific particle effects from effects of known toxicants.

A number of studies on “other PM” examined effects of up to 50,000  $\mu\text{g}/\text{m}^3$  (50  $\text{mg}/\text{m}^3$ ) of respirable particles with inherently low toxicity. Although there was no mortality, some mild pulmonary function changes after exposure ranging from 1 h to 24 mos to 5,000 to 10,000  $\mu\text{g}/\text{m}^3$  (5 to 10  $\text{mg}/\text{m}^3$ ) of relatively inert particles were observed in rats and guinea pigs. Lung morphology studies revealed focal inflammatory responses, some epithelial hyperplasia, and fibrotic responses after chronic exposure (6 to 7 h/day 5 day/wk for 20 to 24 mo.) of rats to  $\geq 5,000 \mu\text{g}/\text{m}^3$  of coal dust. Changes in macrophage clearance after exposure to  $> 10,000 \mu\text{g}/\text{m}^3$  to a variety of particles over various exposure periods (days to months) were equivocal (no host defense effects). In studies of mixtures of particles and other pollutants, effects varied, depending on the toxicity of the associated pollutant. In humans, co-exposure to carbon particles appeared to increase responses to formaldehyde but not to acid aerosol. None of the “other” particles mentioned above are present in ambient air in more than trace quantities.

1           Thus, it was concluded that the relevance of any of these studies to standard setting for  
2 ambient PM may be extremely limited. Newer studies, on the other hand, do provide evidence  
3 of likely greater relevance to understanding respiratory effects of ambient PM exposure and  
4 underlying mechanisms, as discussed below.  
5

### 6 **7.3.1 Ambient Particulate Matter**

7           Some new in vivo toxicology studies have employed inhalation exposures to evaluate the  
8 respiratory effects of ambient particles in humans and laboratory animals, using either  
9 concentrated ambient particles (CAPs) or resuspended urban ambient PM from various U.S. and  
10 Canadian locations. Other new in vivo exposure studies have mainly utilized intratracheal  
11 instillation techniques. The pros and cons of the latter in comparison to inhalation are discussed  
12 in Chapter 6 (Section 6.5), and these issues have also been reviewed elsewhere (Driscoll et al.,  
13 2000; Oberdörster et al., 1997; Osier and Oberdörster, 1997). In most of the instillation studies,  
14 ambient PM samples were first collected on filters; then after various storage times, PM  
15 materials were extracted from the filters and resuspended in a vehicle (usually saline), followed  
16 by a small volume of the suspension medium then being instilled intratracheally into the animals.  
17 It is important to note that the physiochemical characteristics of the collected PM may be altered  
18 by deposition and storage on a filter and resuspension in an aqueous medium. Therefore, in  
19 terms of use in attempting to extrapolate experimentally observed results to humans in ambient  
20 exposure scenarios, greater importance should be placed on inhalation study results. Instillation  
21 studies have been most valuable in comparing effects of different types of PM and/or for  
22 investigating potential mechanisms by which particles may cause inflammation and lung injury.  
23

#### 24 **7.3.1.1 Ambient Particles Inhalation Exposures**

25           Table 7-4 summarizes newly available studies in which various biological endpoints were  
26 measured following inhalation exposures to CAPs or, in the case of one study, resuspended  
27 urban ambient particles.

28           With regard to newly available experimental studies that most directly parallel aspects of  
29 ambient PM inhalation exposures, Ghio et al. (2000a) exposed 38 non-smoking healthy adult  
30 volunteers (aged 18 to 40 ys) exercising intermittently at moderate levels of exertion  
31 (breathing rate = 25 L/min) for 2 h to either filtered air or PM<sub>2.5</sub> concentrated 6- to 10-fold from

**TABLE 7-4. RESPIRATORY EFFECTS OF INHALED AMBIENT PARTICULATE MATTER IN CONTROLLED EXPOSURE STUDIES OF HUMAN SUBJECTS AND LABORATORY ANIMALS**

Species, Gender, Strain, Age, etc.	Particle	Exposure Technique	Exposure Concentration*	Particle Size	Exposure Duration; Time to PE <sup>b</sup> Analysis	Particle Effects/Comments	Reference
Humans, healthy nonsmokers; 18 to 40 y old n = 38	CAPs (Chapel Hill)	Inhalation	23.1 to 311.1 $\mu\text{g}/\text{m}^3$	0.65 $\mu\text{m}$ $\sigma_g = 2.35$	2 h; analysis at 18 h	Dose-dependent increase in BAL neutrophils in both bronchial and alveolar fractions. Increase noted at all exposure levels. Particles were concentrated 6- to 10-fold at the inlet of the chamber.	Ghio et al. (2000a)
Humans, healthy 18-40 y old n = 4	CAPs (Toronto)	Inhalation (face mask)	24 to 124 $\mu\text{g}/\text{m}^3$	0.1 - 2.5 $\mu\text{m}$	2 h; analyses pre- & during exposure and about 2 to 24 h postexposure.	Only stat. sig. effect on pulmonary function was mean increase of 6.4% in thoracic gas volume after high CAP exposure versus mean 5.6% after filtered air exposure, but not in respiratory symptoms. Trend towards increased nasal neutrophils, but no respiratory inflammatory response.	Petrovic et al. (2000)
Humans, healthy; 19-41 y old n = 4	CAPs (Los Angeles)	Inhalation	148 to 246 $\mu\text{g}/\text{m}^3$	PM <sub>2.5</sub>	2 h	No significant changes in lung function, symptoms, S <sub>a</sub> O <sub>2</sub> ** or Holter ECGs observed. The maximum steady state fine particle concentration in the breathing zone was typically seven times the ambient concentration.	Gong et al. (2000)
Humans healthy (12) and asthmatic (12) 18-45 y old, nonsmoking	CAPs (Los Angeles)	Inhalation whole body chamber	99-224 $\mu\text{g}/\text{m}^3$ (mean 174)	80% 0.1 to 2.5 $\mu\text{m}$	2 h with alternating exercise/rest. Analysis at 0, 4, and 22 h PE.	CAPs-related decrease in columnar cells in induced sputum at 0 h PE. No significant changes in S <sub>a</sub> O <sub>2</sub> ** FVC, or FEV <sub>1</sub> .	Gong et al. (2003)
Mongrel dogs, some with balloon occluded LAD coronary artery n = 14	CAPs (Boston)	Inhalation via tracheostomy	~100-1000 $\mu\text{g}/\text{m}^3$ (variable from day-to-day)	0.23 to 0.34 $\mu\text{m}$ $\sigma_g = \text{up to } 2.9$	6 h/day $\times$ 3 days	Decreased respiratory rate over time and modest increase in lavage fluid neutrophils in normal dogs. Study utilized Harvard ambient particle concentrator. Ambient particles concentrated by approximately 30-fold.	Godleski et al. (2000)
Rats, male S-D 200-225 g, healthy-air, bronchitic-air, healthy-CAPs, bronchitic-CAPs n = 48 (12 per group)	CAPs (Boston)	Inhalation; Harvard/EPA fine particle concentrator; animals restrained in chamber	206, 733, and 607 $\mu\text{g}/\text{m}^3$ for Days 1-3, respectively; 29 °C, 59% RH	0.18 $\mu\text{m}$ $\sigma_g = 2.9$	5 h/day for 3 days	Bronchitis induced by pre-treatment with 170 ppm SO <sub>2</sub> for 6 wks at 5 hr/day, 5 days/wk. The CAPs-exposed rats had significant increase in TV, increased protein and percent neutrophils and lymphocytes in lavage fluid after CAPs exposure. Responses were greater in bronchitic than healthy rats. Bronchitic CAPs-exposed rats showed evidence of inflammation-related epithelial permeability.	Clarke et al. (1999)

**TABLE 7-4 (cont'd). RESPIRATORY EFFECTS OF INHALED AMBIENT PARTICULATE MATTER IN CONTROLLED EXPOSURE STUDIES OF HUMAN SUBJECTS AND LABORATORY ANIMALS**

Species, Gender, Strain, Age, etc.	Particle	Exposure Technique	Exposure Concentration*	Particle Size	Exposure Duration; Time to PE <sup>b</sup> Analysis	Particle Effects/Comments	Reference
Rats, male S-D 200-250 g, healthy-air, bronchitic-air, healthy-CAPs, bronchitic-CAPs n = 259 (6 studies, 40-48 per study, 8-10 per group)	CAPs (Boston)	Inhalation; Harvard/EPA fine particle concentrator; animals restrained in chamber	3-day mean CAPs ranged from 187 to 481 $\mu\text{g}/\text{m}^3$ 29 °C, 47% RH	0.27 $\mu\text{m}$ $\sigma_g = 2.3$	5 h/day for 3 days	Bronchitis induced by pre-treatment with an average of 276 ppm $\text{SO}_2$ for 5 wks at 5 hr/day, 5 days/wk. Increase in neutrophils in both healthy and bronchitic rats associated with CAPs exposure concentration. Specific CAPs components associated with neutrophil increase. In bronchitic rats, CAPs components also associated with lymphocyte increase. Histologic examination suggested bronchial-alveolar junction as the site of greatest inflammation response.	Saldiva et al. (2002)
Rats, male, 90 to 100-day-old S-D, with or without $\text{SO}_2$ -induced bronchitis	CAPs (RTP)	Inhalation	650 $\mu\text{g}/\text{m}^3$		6 h/day $\times$ 2-3 days	No significant changes in healthy rats. Increased BAL protein and neutrophil influx in bronchitic rats sacrificed immediately after last CAPs exposure; responses variable between exposure regimens. No CAPs effects seen at 18 h postexposure.	Kodavanti et al. (2000b)
Rats, male F344	CAPs (NYC)	Inhalation	132 to 919 $\mu\text{g}/\text{m}^3$	0.2 to 1.2 $\mu\text{m}$ $\sigma_g = \text{up to } 3.9$	1 $\times$ 3 h or 3 $\times$ 6 h	No inflammatory responses, no cell damage responses, no PFT changes. The PM mean concentration factor (gravimetric) was $19.5 \pm 18.6$ .	Gordon et al. (2000)
Hamsters, male, 8-mo-old Bi TO-2							
Rats, male F344 7-8 mo	CAPs (NYC)	Inhalation	100 to 350 $\mu\text{g}/\text{m}^3$ (mean 225 $\mu\text{g}/\text{m}^3$ )	0.4 $\mu\text{m}$ $\sigma_g = 2.5$	3 h	Basal levels of superoxide ( $\bullet\text{O}_2^-$ ) reduced by 90% 72 h postexposure; zymosan-stimulated $\text{O}_2^-$ formation increased by > 150% after 24 h; basal level $\text{H}_2\text{O}_2$ production by PAM depressed 90% 3 h following exposure and remained 60% below levels at least 24 h; zymosan-stimulated $\text{H}_2\text{O}_2$ unaffected. Concentrations tested represents a range over the 3 h exposure period.	Zelikoff et al. (2003)
Rats, male, F-344; 200-250 g	Ottawa ambient	Nose-only Inhalation	40 $\text{mg}/\text{m}^3$	4 to 5 $\mu\text{m}$ MMAD	4 h	No acute lung injury; however, lung NO production decreased and macrophage inflammatory protein-2 from lung lavage cells increased after exposure. Increased plasma levels of endothelin-1.	Bouthillier et al. (1998)

\*Concentration = range of CAP concentrations at inlet of exposure chamber or in breathing zone of exposed subjects.

\*\* $\text{S}_a\text{O}_2$  = arterial oxygen saturation.

<sup>b</sup> PE = Post Exposure



1 Chapel Hill, NC air at the inlet of the exposure chamber. Neither respiratory symptoms nor  
2 decrements in pulmonary function (RAW, FVC, FEV<sub>1.0</sub>, PEF measurements) were found  
3 immediately after exposure to CAPs. However, analysis of BAL cells and fluid obtained 18 h  
4 after Chapel Hill CAPs exposure (at 23 to 311 µg/m<sup>3</sup>) showed a mild increase in neutrophils in  
5 the bronchial and alveolar fractions of bronchoalveolar lavage (BAL) in subjects exposed to the  
6 highest quartile concentration of concentrated PM (mean of 206.7 µg/m<sup>3</sup>). Lavage protein did  
7 not increase, and there were no other indicators of pulmonary injury. The 38 human volunteers  
8 reported on by Ghio et al. (2000a) were also examined for changes in host defense and immune  
9 parameters in BAL and blood (Harder et al., 2001). There were no changes in the number of  
10 lymphocytes or macrophages, subcategories of lymphocytes (according to surface marker  
11 analysis by flow cytometry), cytokines IL-6 and IL-8, or macrophage phagocytosis. Similarly,  
12 there was no effect of concentrated ambient PM exposure on lymphocyte subsets in blood.  
13 Thus, a mild inflammatory response to concentrated ambient PM was not accompanied by any  
14 evident effect on immune defenses, as determined by lymphocyte or macrophage effects. The  
15 increase in BAL neutrophils may represent a normal physiological response of the lung to  
16 particles, although the presence of activated neutrophils may release biochemical mediators  
17 which produce lung injury. Whether this mild inflammatory increase in neutrophils, per se,  
18 constitutes a biologically significant injury to the lung is an ongoing controversial issue.

19 In the small study by Petrovic et al. (2000) described earlier (Section 7.2.2), the four  
20 healthy volunteer subjects (aged 18 to 40 y) exposed for 2 h to CAPs (23-124 µg/m<sup>3</sup> from  
21 downtown Toronto were not only evaluated for CAP effects on cardiovascular endpoints, but  
22 also on several respiratory endpoints (nasal lavage, nasal acoustic rhinometry, pulmonary  
23 function). No cellular signs of inflammation were observed in induced sputum samples  
24 collected at 2 or 24 hs after exposure. The authors said there was a trend toward an increase in  
25 nasal lavage neutrophils (but level of statistical significance not specified). The only statistically  
26 significant (p < 0.01) change in pulmonary function was a 6.4% decrease in thoracic gas volume  
27 after high CAPs exposure to 124 µg/m<sup>3</sup> PM versus a 5.6% increase after filtered air exposure,  
28 but no increase was seen in respiratory symptoms. These results, overall, suggest that acute  
29 exposures (~2 h) to Toronto ambient PM are unlikely to exert untoward respiratory effects in  
30 healthy adults at PM<sub>2.5</sub> levels below about 100 µg/m<sup>3</sup>, but may begin to have some mild effects  
31 on pulmonary function as PM<sub>2.5</sub> levels reach or exceed 125 µg/m<sup>3</sup>. However, further evaluations

1 of these possibilities with larger numbers of healthy subjects are needed, as well as analogous  
2 studies of compromised human subjects.

3 As also discussed earlier in Section 7.2.2, Gong et al. (2000a) conducted a small pilot study  
4 (n = 4 subjects, aged 19-41 y) in which healthy adult volunteers were exposed to Los Angeles  
5 CAPs (148 to 246  $\mu\text{g}/\text{m}^3$ ) for 2 h and evaluated during or immediately after exposure for  
6 possible respiratory effects or ECG changes. No significant effects were observed for various  
7 lung function measures, respiratory symptoms, oxygen saturation, or in Holter ECG readings,  
8 even at  $\text{PM}_{2.5}$  levels ( $\sim 246 \mu\text{g}/\text{m}^3$ ) approximating likely maximum levels for Los Angeles.

9 As also noted earlier, the effects of Los Angeles ambient air were studied further by Gong  
10 et al. (2003), who exposed 12 healthy and 12 asthmatic subjects (age 18 to 45 y) to LA CAPS  
11 ( $\text{PM}_{2.5}$ ). Exposures averaging 174  $\mu\text{g}/\text{m}^3$  (range 99-224) CAPs in a whole body chamber for 2 h  
12 were alternated with filtered air exposure at least 14 days apart. Subjects exercised for 15 min of  
13 each half hour at a ventilation rate of 15-20 l/min/ $\text{m}^2$  body surface. Tests were performed just  
14 before exposure, just after, 3.5 to 4 h after (4 h), and the next day. Ventilation during CAPs  
15 exposure was significantly lower in both the healthy and asthmatic groups, and both groups  
16 showed a CAPs-related decrease in columnar cells in induced sputum immediately postexposure,  
17 but the authors were uncertain as to the health significance of this effect. There were no  
18 significant differences in  $\text{SaO}_2$ , FVC,  $\text{FEV}_1$ , or other respiratory parameters in this study.

19 Godleski, et al. (2000), in another study noted previously (Section 7.2.2), exposed mongrel  
20 dogs to Boston CAPs (ranging from  $\sim 100$  to  $1000 \mu\text{g}/\text{m}^3$ ) for 6 h/day for 3 days. The only two  
21 respiratory effects reported were a decreased respiratory rate over time and a modest increase in  
22 neutrophils in lavage fluid from the lungs of the normal dogs, even with exposures to ambient  
23 Boston particles concentrated by 30-fold over ambient levels.

24 Saldiva et al. (2002) studied the effects of CAPs from Boston on rat lung. The study was  
25 designed to: (1) determine whether short-term exposures to CAPs cause pulmonary  
26 inflammation in normal rats and in compromised rats with chronic bronchitis (CB); (2) identify  
27 the site within the lung parenchyma where CAPs-induced inflammation occurs; and  
28 (3) characterize the component(s) of CAPs significantly associated with development of the  
29 inflammatory reaction. Chronic bronchitis was induced by exposure to high doses of  $\text{SO}_2$  for  
30 5 h/day, 5 days/wk during 5 wks prior to experimental exposures to filtered air or to the Boston  
31 CAPs. Thus, four groups of animals were studied: (1) air pre-treated, filtered air-exposed

1 (air-sham); (2) sulfur dioxide pre-treated (CB), filtered air-exposed (CB-sham); (3) air  
2 pre-treated, CAPs-exposed (air-CAPs); and (4) sulfur dioxide pre-treated, CAPs-exposed  
3 (CB-CAPs). Normal and CB rats were exposed by inhalation either to filtered air or to CAPs  
4 during 3 consecutive days (5 hs/day). CAPs concentrations varied considerably (73.5 to 733  
5  $\mu\text{g}/\text{m}^3$ ), with 3-day mean CAPs mass = 126 to 481  $\mu\text{g}/\text{m}^3$ . The average MMAD of the CAPs  
6 particles was 0.27  $\mu\text{m}$  ( $\sigma_g = 2.3$ ). CAPs mass (as a binary exposure term) and CAPs mass (in  
7 regression correlations) induced a significant increase in bronchoalveolar lavage (BAL)  
8 neutrophils and in both normal and CB animals. Numerical density of neutrophils (Nn) in  
9 alveolar walls significantly increased with CAPs in normal animals only, with greater Nn seen in  
10 central, compared with peripheral, regions of the lung. Significant dose-dependent associations  
11 were observed between various CAPs components and BAL neutrophils or lymphocytes;  
12 however, only vanadium and bromine concentrations were significantly associated with both  
13 BAL neutrophils and Nn in CAPs-exposed groups analyzed together. The authors concluded  
14 that (a) short-term exposures to CAPs from Boston induce a significant inflammatory reaction in  
15 rat lungs and (b) the reaction is influenced by particle composition.

16 In another study of Boston CAPs, Clarke et al. (1999) exposed healthy normal rats and  
17 ( $\text{SO}_2$ -induced) bronchitic rats by inhalation via tracheostomy for 5 h/day for 3 days to filtered air  
18 or concentrated Boston ambient  $\text{PM}_{2.5}$  particles averaging 206, 773, and 607  $\mu\text{g}/\text{m}^3$  on the three  
19 different days. Significantly increased tidal volume (TV) was observed with CAPs exposures for  
20 both the normal rats and, even greater, for the chronic bronchitic rats. Bronchiolar lavage  
21 performed 24-h after the final day of exposure revealed evidence for significant pulmonary  
22 inflammation following CAPs exposures, especially in chronic bronchitic rats, as indexed by  
23 significant increases in neutrophils, lymphocytes, and total lavage protein. The authors  
24 concluded that these results suggested two distinct mechanistic responses to inhaled particles:  
25 (1) a stressor-type pulmonary function reaction (typified by increases in air flow and volume)  
26 and (2) acute pulmonary inflammation characterized by cellular influx (especially neutrophils).

27 Zelikoff et al. (2003) reported effects on pulmonary or systemic immune defense  
28 mechanisms in Fischer rats exposed by inhalation to filtered air or to New York City CAPs  
29 (90 to 600  $\mu\text{g}/\text{m}^3$ ; mean = 345  $\mu\text{g}/\text{m}^3$ ) for 3 h prior to the IT instillation of *Streptococcus*  
30 *pneumoniae* ( $2 - 4 \times 10^7$  organisms delivered dose). The number of lavageable cells (PAM and  
31 PMN) increased in both control and experimental groups, but were elevated faster and were

1 twice as high in the CAPs-exposed group, as well as staying elevated longer. Lymphocyte  
2 values and white blood cell (WBC) counts were significantly increased 24 and 72 h postinfection  
3 in both groups. CAPs exposure slowed a decline in TNF- $\alpha$  and IL-6 levels three days  
4 postinfection compared to bacteria-only exposed rats; but the differences were not significant.  
5 CAPs exposure significantly increased bacterial burdens at 24 h postinfection. Thereafter,  
6 CAPs-exposed animals exhibited significantly lower bacterial burdens. In another study,  
7 Zelikoff et al. (2003) also evaluated the effects of CAPs exposure (65-150  $\mu\text{g}/\text{m}^3$ ; mean =  
8 107  $\mu\text{g}/\text{m}^3$ ) in rats following a single 5 h exposure to IT instilled *Streptococcus pneumoniae*.  
9 The New York City CAPs exposure significantly reduced percentages of lavageable PMN 24 h  
10 following CAPs exposure and remained well below control levels for up to 3 days, but  
11 lavageable PAM was significantly increased in the CAPs exposed animals. CAPs exposure also  
12 reduced the levels of TNF- $\alpha$ , IL-1, and IL-6. The bacterial burden decreased in both exposed  
13 groups over time; however, CAPs exposed animals had a significantly greater burden after 24 h  
14 than did control rats. Lymphocyte and monocyte levels were unaffected by CAPs exposure.

15 Bouthillier et al. (1998) reported that 4 h exposure of rats by nose-only inhalation to  
16 40  $\text{mg}/\text{m}^3$  of resuspended Ottawa ambient PM (MMAD = 4 to 5  $\mu\text{m}$ ) produced no evident acute  
17 lung injury. However, lung NO production decreased and macrophage inflammatory protein -2  
18 from lung lavage cells increased at 4 h after exposure, as did plasma levels of endothelin -1  
19 (a powerful cardiac cytotoxic agent).

### 21 7.3.1.2 Intratracheal and Intra-bronchial Instillation of Ambient Particulate Matter

22 Other newly-available studies (Table 7-5) that evaluated acute effects of intratracheal or  
23 intra-bronchial instillation of ambient PM extracts from filters obtained from various locations  
24 have found evidence indicating that exposures to such ambient PM materials can cause lung  
25 inflammation and injury.

26 Costa and Dreher (1997) showed that instillation in rats of relatively high concentrations  
27 of PM samples from four ambient airsheds (St. Louis, MO; Washington, DC; Dusseldorf,  
28 Germany; and Ottawa, Canada) and from three combustion sources (two oil and one coal fly ash)  
29 resulted in acute inflammatory responses, as indexed by increases in lung polymorphonuclear  
30 leukocytes (PMNs) and eosinophils 24 h after instillation. Biomarkers of permeability (total  
31 protein and albumin) and cellular injury, lactic dehydrogenase (LDH), were also increased.

**TABLE 7-5. RESPIRATORY EFFECTS OF INSTILLED AMBIENT PARTICULATE MATTER IN LABORATORY ANIMALS AND HUMAN SUBJECTS<sup>a</sup>**

Species, Gender, Strain, Age, etc.	Particle	Exposure Technique	Concentration	Particle Size	Exposure Duration; Time to PE <sup>b</sup> Analysis	Particle Effects/Comments	Reference
Humans, healthy nonsmokers; 21 M, 3 F; 26.4 ± 2.2 y old	Provo, UT PM <sub>10</sub> filters (10 ys old)	Intrabronchial instillation	500 µg of PM extract in 10 mL saline	N/A	24 h BAL	Inflammation (PMN) and pulmonary injury produced by particles collected during steel mill operation was greater than during period of mill closure.	Ghio and Devlin (2001)
Rats, male S-D 60-day-old	Provo, UT TSP filters (10 ys old)	Intratracheal instillation	0.25, 1.0, 2.5, 5.0 mg of PM extract in 0.3 mL saline	N/A	24 h	Dose-dependent increase in inflammation (PMN) and pulmonary injury produced by particles collected during steel mill operation was greater than for during period of mill closure for all exposed groups.	Dye et al. (2001)
Rats, S-D 60-day-old n = 8/fraction	Provo, UT TSP filters (10 ys old), soluble and insoluble extracts	Intratracheal instillation	100, 150, 500, and 1000 µg of PM extract in 0.5 mL saline	N/A	24 h	Dose-dependent increase in inflammation (PMN) and lavage fluid protein. Effect was greater with the soluble fraction containing more metal (Zn, Fe, Cu) except for the 100 µg exposed group.	Ghio et al. (1999a)
Rats, male, S-D 60 day old	Provo, UT TSP. Collected 1982.	Intratracheal Instillation	100, 500, 1500 µg PM in 0.5 mL saline	N/A	24 h BAL	Increased BAL protein and PMN at ≥ 500 µg dose. Also proliferation of bronchiolar epithelium and intraalveolar hemorrhage at 500 µg dose.	Kennedy et al. (1998)
Rats, Wistar (HAN strain)	Edinburgh PM <sub>10</sub> filters Carbon black (CB) Ultrafine CB	Intratracheal instillation	Range of 50 to 125 µg in 0.2 mL phosphate buffered saline	PM <sub>10</sub> CB = (200-500 nm) UCB = 20 nm	Sacrificed at 6 h	Increased PMN, protein, and LDH following 50-125 µg PM <sub>10</sub> ; greater response with ultrafine CB but not CB; decreased GSH level in BAL; free radical activity (deplete supercoil DNA); leukocytes from treated animals produced greater NO and TNF.	Li et al. (1996, 1997)
Hamsters, Syrian golden, male, 90-125 g	Kuwaiti oil fire particles; urban particles from St. Louis, MO	Intratracheal instillation	0.15, 0.75, and 3.75 mg/100 g	Oil fire particles: < 3.5 µm, 10 days of 24-h samples	Sacrificed 1 and 7 days postinstillation	Dose-dependent increases in PMN, albumin, LDH, and β-N-acetylglucosaminidase and myeloperoxidase, decrease in AM. Acute toxicity of the particles found in smoke from Kuwaiti oil fires roughly similar to that of urban particles.	Brain et al. (1998)

<sup>a</sup> LDH = lactic dehydrogenase  
PMN = polymorphonuclear leukocytes

<sup>b</sup> PE = Post Exposure

1 Animals were dosed with (1) an equal dose by mass (nominal 2.5 mg/rat) of each PM mixture or  
2 (2) normalization of each PM mass to a metal content of 46 µg/dose and 35.5 µg of total metals  
3 (Cu, Fe, V, Zn) for the ambient PM and ROFA comparison. The relative potencies of the  
4 combustion-source particles in producing the acute inflammatory effects ranked in the order:  
5 DOFA > ROFA >> CFA = saline vehicle, reflecting closely the much higher amounts of  
6 bioavailable metals in the oil fly ash than in the coal-derived fly ash. Analogously, the  
7 ambient PM extracts exhibited, on a per mass basis, much less potency in inducing inflammatory  
8 responses than the oil fly ash extracts (e.g., ROFA), with the Ottawa extract exerting notably  
9 stronger effects than ambient PM extracts from the other cities. However, when the exposures  
10 were normalized to match metal content, there was little difference between the ambient PM and  
11 ROFA effects. Interestingly, the most potent ambient PM (Ottawa) both was the freshest one  
12 collected (3 y versus 10 y old) and had the highest bioavailable metal content of the ambient PM.  
13 Thus, this study demonstrated, overall, that the lung dose of bioavailable transition metals, not  
14 just instilled PM mass, was the primary determinant of the acute inflammatory response.

15 Kennedy et al. (1998) reported a similar dose-dependent inflammation (i.e., increase in  
16 protein and PMN in lavage fluid, proliferation of bronchiolar epithelium, and intraalveolar  
17 hemorrhage) in rats instilled with water-extracted particles (TSP) collected from Provo, UT in  
18 1982. The particulate mixture was comprised of 1.0 mg/g Zn, 0.04 mg/g Ni, 2.2 mg/g Fe,  
19 0.01 mg/g Vn, 1.4 mg/g Cu, 1.7 mg/g Pb, and 78 mg/g SO<sub>4</sub><sup>-</sup> in 500 mL saline solution. Doses of  
20 0, 150, 500, and 1500 µg were instilled; and effects were seen at ≥ 500 µg. This study also  
21 indicated that the metal constituent, in this case PM-associated Cu, was a plausible cause of the  
22 outcome based on IL-8 secretion and enhanced activation of the transcription factor NF-kB in  
23 cultured epithelium.

24 Toxicological studies of ambient PM collected around Provo, UT (Utah Valley) in the late  
25 1980s are also particularly interesting (Ghio and Devlin, 2001; Dye et al., 2001). Epidemiologic  
26 studies by Pope (1989, 1991) showed that exposures to PM<sub>10</sub> during closure of an open-hearth  
27 steel mill over a 13-mo period beginning in 1987 were associated with reductions in several  
28 health endpoints, e.g., hospital admissions for respiratory diseases, as discussed in the 1996 PM  
29 AQCD. Ambient PM was collected near the steel mill during the winter of 1986 (before  
30 closure), throughout 1987 (during closure), and again in 1988 (after plant reopening). The  
31 fibrous glass hi-vol filters were stored, folded PM-side inward, in plastic sleeves at room

1 temperature and humidity (Dye et al., 2001). A description of the in vivo toxicological studies  
2 follows; pertinent in vitro studies (e.g., Wu et al., 2001; Soukup et al., 2000; Frampton et al.,  
3 1999) are discussed in Section 7.4.2.1.

4 Ghio and Devlin (2001) investigated biologic effects of PM from the Utah Valley to  
5 determine if the biological responses mirrored the epidemiologic findings, with greater injury  
6 occurring after exposure to an equal mass of particles from those years when the mill was in  
7 operation. Aqueous extracts of the filters collected prior to temporary closure of the steel mill,  
8 during the closure, and after its reopening were instilled (500 µg of extract in 10 mL of sterile  
9 saline) through a bronchoscope into the lungs of nonsmoking human volunteers. Twenty-four  
10 hours later, the same subsegment was lavaged. Exposure to aqueous extracts of PM collected  
11 before closure and after reopening of the steel mill provoked a greater inflammatory response  
12 than PM extracts from filters taken during the plant shutdown. These results are suggestive of  
13 pulmonary effects of experimental exposure of humans to Utah Valley PM that parallel health  
14 outcomes observed in epidemiologic studies of the human population exposed under ambient  
15 conditions.

16 Dye et al. (2001) also examined effects of Utah Valley ambient PM on respiratory health in  
17 laboratory animals. Sprague-Dawley rats were intratracheally instilled with equivalent masses  
18 of aqueous extracts (0, 0.83, 3.3, 8.3, or 16 mg extract/kg body weight in 0.3 mL saline) from  
19 filters originally collected during the winter before, during, and after closure of the steel mill.  
20 Twenty-four hours after instillation, rats exposed to extracts of particles collected when the plant  
21 was open developed significant pulmonary injury and neutrophilic inflammation. Additionally,  
22 50% of rats exposed to these extracts had increased airway responsiveness to acetylcholine,  
23 compared to 17 and 25% of rats exposed to saline or the extracts of particles collected when the  
24 plant was closed. By 96 hr, these effects were largely resolved except for increases in lung  
25 lavage fluid neutrophils and lymphocytes in rats exposed to PM extracts from prior to the plant  
26 closing. Analogous effects were observed with lung histologic assessment. Chemical analysis  
27 of extract solutions demonstrated that nearly 70% of the mass in all three extracts appeared to be  
28 sodium-based salts derived from the glass filter matrix. However, extracts of particles collected  
29 when the plant was open contained more sulfate, cationic salts (i.e., calcium, potassium,  
30 magnesium), and certain metals (i.e., copper, zinc, iron, lead, strontium, arsenic, manganese,  
31 nickel). Although total metal content was  $\leq 1\%$  of the extracts by mass, the greater quantity

1 detected in the extracts of particles collected when the plant was open suggested that metals may  
2 be among the important determinants of the observed pulmonary toxicity. The authors  
3 concluded that the pulmonary effects induced in rats by exposure to aqueous extracts of local  
4 ambient PM filters were in good accord with the epidemiologic reports of adverse respiratory  
5 health effects in Utah Valley residents and with results from the Molinelli et al. (2002) in vitro  
6 study of Utah Valley PM filter extract effects on human epithelial cells (discussed later in  
7 Section 7.4).

8 Also of interest are some other new instillation study results. For example, Li et al. (1996,  
9 1997) reported that instillation of ambient PM<sub>10</sub> (50-125 µg in 0.2 mL buffered saline) collected  
10 in Edinborough, Scotland, also caused pulmonary injury and inflammation in rats. In addition,  
11 Brain et al. (1998) examined the effects of instillation of particles (< 3.5 µm) that resulted from  
12 the Kuwaiti oil fires in 1991 compared to effects of urban PM collected in St. Louis (NIST SRM  
13 1648, collected in a bag house in the early 1980s). They showed that, on an equal mass basis,  
14 the acute toxicity of the Kuwaiti oil fire particles was similar to that of urban particles collected  
15 in the United States. At all exposure levels (0.15, 0.75, and 3.75 mg/100 g body weight), both  
16 the Kuwaiti oil fire and St. Louis urban particles significantly increased BAL neutrophils,  
17 macrophages, and levels of albumin and other biomarkers (LDH, MPO, GLN) of lung  
18 inflammation.

19 The fact that instillation of ambient PM collected from different geographical areas was  
20 shown consistently to cause pulmonary inflammation and injury tends to support epidemiologic  
21 studies that report increased PM-associated respiratory effects in populations living in some of  
22 the same geographical areas (e.g., Utah Valley). On the other hand, the potential exists that  
23 lower, more “realistic” doses associated with ambient PM exposures may activate cells and  
24 signaling pathways not observed with much higher than ambient experimental doses, such that  
25 lower-dose mechanisms may be overwhelmed. Thus, high-dose instillation studies may actually  
26 produce different effects on the lung than inhalation exposures at lower concentrations or doses  
27 more closely paralleling those seen with ambient PM exposures.



### 7.3.2 ROFA and Other Combustion Source-Related Particles

Because combustion emission sources contribute to the overall ambient air particulate burden (Spengler and Thurston, 1983), a number of the studies investigating the response of laboratory animals to particle exposures have used combustion source-related particles (see Tables 7-6 and 7-7). For example, the residual oil fly ash (ROFA) samples used in many toxicological studies have been collected from a variety of sources, e.g., boilers, bag houses used to control emissions from power plants, and from particles emitted downstream of such collection devices. ROFA has a high content of water soluble sulfate and metals, accounting for 82 to 92% of water-soluble mass, while the water-soluble mass fraction in ambient air varies from low teens to more than 60% (Costa and Dreher, 1997; Prahalad et al., 1999). More than 90% of the metals in ROFA are transition metals; whereas these metals typically represent only a very small subfraction of the total ambient PM mass of U.S. monitoring samples. Thus, the dose of bioavailable metal that is delivered to the lung when ROFA is instilled into a laboratory animal can be orders of magnitude greater than an ambient PM dose, even under a worst-case scenario. Transition metals generate reactive oxygen species (ROS) pertinent to understanding of one proposed mechanism of PM toxicity and of PM components possibly contributing to toxic responses.

Intratracheal instillation of various doses of ROFA suspension has been shown to produce severe inflammation, an indicator of pulmonary injury that includes recruitment of neutrophils, eosinophils, and monocytes into the airway. The biological effects of ROFA in rats have been shown to depend on aqueous leachable chemical constituents of the particles (Dreher et al., 1997; Kodavanti et al., 1997a). A leachate prepared from ROFA, containing predominantly Fe, Ni, V, Ca, Mg, and sulfate, produced lung injury similar to that induced by the complete ROFA suspension (Dreher et al., 1997). Depletion of Fe, Ni, and V from the ROFA leachate eliminated its pulmonary toxicity. Correspondingly, minimal lung injury was observed in animals exposed to saline-washed ROFA particles. A surrogate transition metal sulfate solution containing Fe, V, and Ni largely reproduced the lung injury induced by ROFA. Interestingly, ferric sulfate and vanadium sulfate antagonized the pulmonary toxicity of nickel sulfate. Interactions between different metals and the acidity of PM were found to influence the severity and kinetics of lung injury induced by ROFA and its soluble transition metals.

**TABLE 7-6. RESPIRATORY EFFECTS OF INSTILLED ROFA AND OTHER COMBUSTION SOURCE-RELATED PARTICULATE MATTER IN HEALTHY LABORATORY ANIMALS<sup>a</sup>**

Species, Gender, Strain, Age, etc.	Particle	Exposure Technique	Concentration	Particle Size	Exposure Duration; Time to PE <sup>b</sup> Analysis	Particle Effects/Comments	Reference
Mice, female, NMRI, 28-32 g	Coal fly ash (CFA) Copper smelter dust (CMP) Tungsten carbide (TC)	Intratracheal instillation	CMP: 20 µg arsenic/kg, or CMP: 100 mg particles/kg, TC alone (100 mg/kg), CFA alone (100 mg/kg [i.e., 20 µg arsenic/kg]), CMP mixed with TC (CMP, 13.6 mg/kg [i.e., 20 µg arsenic/kg; TC, 86.4 mg/kg]) and Ca <sub>3</sub> (AsO <sub>4</sub> ) <sub>2</sub> mixed with TC (20 µg arsenic/kg; TC 100 mg/kg)	N/A	1, 6, 30 days post-treatment lavage for total protein content, inflammatory cell number and type, and TNF-α production	Mild inflammation for TC; Ca <sub>3</sub> (AsO <sub>4</sub> ) <sub>2</sub> caused significant inflammation; CMP caused severe but transient inflammation; CFA caused persistent alveolitis. Cytokine production was upregulated in TC-and Ca <sub>3</sub> (AsO <sub>4</sub> ) <sub>2</sub> treated animals after 6 and 30 days, respectively; a 90% inhibition of TNF-α production was still observed at day 30 after CMP administration and CFA; a significant fraction persisted (10-15% of the arsenic administered) in the lung of CMP- and CFA-treated mice at day 30. Suppression of TNF-α production is dependent on the slow elimination of the particles and their metal content from the lung.	Broeckaert et al. (1997)
Rats, male, S-D, 60 days old	ROFA (Florida), DOFA (Boston), CFA (RTP, NC)  Ambient PM (St. Louis; Wash, DC; Ottawa; Dusseldorf)	Intratracheal instillation	Total mass: 2.5 mg/rat or Total transition metal: 46 µg/rat	Combustion source PM: 1.78-4.17 µm  Ambient PM: 3.27-4.09 µm	Analysis at 24 and 96 h following instillation	Increases in eosinophils PMNs, albumin, and LDH following exposure to ambient and combustion source (ROFA, DOFA, CFA) particles; induction of injury by test samples was determined primarily by constituent metals and their bioavailability in both ambient and combustion source PM.	Costa and Dreher (1997)
Rats, male, S-D, 65 days old	ROFA (Florida)	Intratracheal instillation	2.5 mg (8.3 mg/kg)	1.95 µm	Analysis at 24, 96 h PE	Increased PMNs, protein, LDH at both time points; bioavailable metals were causal constituents of pulmonary injury.	Dreher et al. (1997)
Rats, S-D, 65-day-old	ROFA (Florida)	Intratracheal Instillation	500 µg/rat ROFA 500 µg/rat ROFA plus DMTU	1.95 µm	Analysis at 24 h PE	ROFA-induced increased neutrophilic inflammation was inhibited by DMTU treatment, indicating role to reactive oxygen species.	Dye et al. (1997)

**TABLE 7-6 (cont'd). RESPIRATORY EFFECTS OF INSTILLED ROFA AND OTHER COMBUSTION SOURCE-RELATED PARTICULATE MATTER IN HEALTHY LABORATORY ANIMALS<sup>a</sup>**

Species, Gender, Strain, Age, etc.	Particle	Exposure Technique	Concentration	Particle Size	Exposure Duration; Time to PE <sup>b</sup> Analysis	Particle Effects/Comments	Reference
Rats, male, S-D, 60 days old	Two ROFA (Florida) samples (R1, R2) also R2s (supernatant)	Intratracheal instillation	2.5 mg (9.4 mg/kg)	R1: 1.88 $\mu\text{m}$ R2: 2.03 $\mu\text{m}$	Analysis at 4 days PE	Four of 24 animals treated with R2 or R2s died; none of R1s animals; more AM, PMN, eosinophils protein, and LDH in R2 and R2s animals; more focal alveolar lesions, thickened alveolar septae, hyperplasia of type II cells, alveolar fibrosis in R2 and R2s animals; baseline pulmonary function and airway hyperreactivity worse in R2 and R2s groups. R1 had twice the saline-leachable sulfate, Ni, and V and 40 times Fe as R2; R2 had 31 times higher Zn.	Gavett et al. (1997)
Mice, female, Balb/cJ 7-15 wks	ROFA, #6 lo-S (Florida)	Intratracheal instillation	60 $\mu\text{g}$ in saline (dose 3 mg/kg)	< 2.5 $\mu\text{m}$	Analysis at 1, 3, 8, 15 days postexposure	ROFA caused increases in eosinophils, IL-4 and IL-5 and airway responsiveness in ovalbumin-sensitized and challenged mice. Increased BAL protein and LDH at 1 and 3 days but not at 15 days postexposure. Combined OVA and ROFA challenge increased all damage markers and enhanced allergen sensitization. Increased methacholine response after ROFA.	Gavett et al. (1999)
Rats, male, S-D	ROFA (Florida)	Intratracheal instillation	500 $\mu\text{g}$	3.6 $\mu\text{m}$	Analysis at 4 and 96 h postexposure	Ferritin and transferrin were elevated; greatest increase in ferritin, lactoferrin, transferrin occurred 4 h postexposure.	Ghio et al. (1998a)
Mice, normal and Hp, 105 days old	ROFA (Florida)	Intratracheal instillation	50 $\mu\text{g}$	1.95 $\mu\text{m}$	Analysis at 24 h PE	Diminished lung injury (e.g., decreased lavage fluid ascorbate, protein, lactate dehydrogenase, inflammatory cells, cytokines) in Hp mice lacking transferrin; associated with increased metal storage and transport proteins.	Ghio et al. (2000b)
Rats, male, S-D, 60 days old	ROFA (Florida)	Intratracheal instillation	1.0 mg in 0.5 mL saline	1.95 $\mu\text{m}$	Analysis at 24 h PE	Increased PMNs, protein.	Kadiiska et al. (1997)
Rats, male, S-D and F-344 (60 days old)	ROFA (Florida)	Intratracheal instillation	8.3 mg/kg	1.95 $\mu\text{m}$ $\sigma_g = 2.14$	Sacrificed at 24 h PE	Increase in neutrophils in both S-D and F-344 rats; a time-dependent increase in eosinophils occurred in S-D rats but not in F-344 rats.	Kodavanti et al. (1996)

**TABLE 7-6 (cont'd). RESPIRATORY EFFECTS OF INSTILLED ROFA AND OTHER COMBUSTION SOURCE-RELATED PARTICULATE MATTER IN HEALTHY LABORATORY ANIMALS<sup>a</sup>**

Species, Gender, Strain, Age, etc.	Particle	Exposure Technique	Concentration	Particle Size	Exposure Duration; Time to PE <sup>b</sup> Analysis	Particle Effects/Comments	Reference
Rats, male, S-D, Wistar, and F-344 (60 days old)	ROFA (Florida)	Intratracheal instillation	8.3 mg/kg	1.95 $\mu\text{m}$ $\sigma_g = 2.14$	Sacrificed at 6, 24, 48, and 72 h; 1, 3, and 12 wks	Inflammatory cell infiltration, as well as alveolar, airway, and interstitial thickening in all three rat strains; a sporadic incidence of focal alveolar fibrosis in S-D rats, but not in Wistar and F-344 rats; cellular fibronectin (cFn) mRNA isoforms EIIIA(+) were up-regulated in S-D and Wistar rats but not in F-344 rats. Fn mRNA expression by macrophage, alveolar and airway epithelium, and within fibrotic areas in S-D rats; increased presence of Fn EIIIA(+) protein in the areas of fibrotic injury and basally to the airway epithelium.	Kodavanti et al. (1997b)
Rats, male, S-D, 60 days old	ROFA (Florida)  Fe <sub>2</sub> (SO <sub>4</sub> ) <sub>3</sub> , VSO <sub>4</sub> , NiSO <sub>4</sub>	Intratracheal instillation	8.3 mg/kg  ROFA-equivalent dose of metals	1.95 $\mu\text{m}$ $\sigma_g = 2.14$	Analysis at 3, 24, and 96 h, postinstillation	ROFA-induced pathology lesions were as severe as those caused by Ni. Metal mixture caused less injury than ROFA or Ni alone; Fe was less pathogenic. Cytokine and adhesion molecule gene expression occurred as early as 3 h after exposure. V-induced gene expression was transient, but Ni caused persistent expression and injury.	Kodavanti et al. (1997a)
Rats, male, S-D, 60 days old	10 compositionally different ROFAs from Boston area power plant	Intratracheal instillation	0.83, 3.3, 8.3 mg/kg	1.99-2.67 $\mu\text{m}$	Sacrificed at 24 h	ROFA-induced increases in BAL protein and LDH, but not PMN, associated with water-leachable total metal, Ni, Fe, and S; BALF neutrophilic inflammation was correlated with V but not Ni or S. Chemiluminescence signals in vitro (AM) were greatest with ROFA containing soluble V and less with Ni + V. Only data for the 8.3 mg/kg dosed group were reported.	Kodavanti et al. (1998a)
Rats, male, S-D 60-day-old treated with MCT (60 mg/kg)	ROFA (Florida)	Intratracheal instillation	0, 0.83, 3.3 mg/kg	1.95 $\mu\text{m}$ $\sigma_g = 2.19$	24-96 h	Dose-dependent increase in BALF protein and LDH activity and neutrophilic inflammation. Effects were variable due to high mortality. 58% of rats exposed to ROFA died within 96 h.	Kodavanti et al. (1999)
Rats, male, WKY and SH, 11-13 wks old	ROFA (Florida)  VSO <sub>4</sub> , NiSO <sub>4</sub> , or saline	Intratracheal instillation	3.3 mg/mL/kg  1.5 $\mu\text{mol/kg}$	1.95 $\mu\text{m}$  $\sigma_g = 2.14$	1 and 4 days; postinstillation analysis at 6 or 24 h	Increased BALF protein and LDH alveolitis with macrophage accumulation in alveoli; increased neutrophils in BAL. Increased pulmonary protein leakage and inflammation in SH rats. Effects of metal constituents of ROFA were strain specific; vanadium caused pulmonary injury only in WKY rats; nickel was toxic in both SH and WKY rats.	Kodavanti et al. (2001)

**TABLE 7-6 (cont'd). RESPIRATORY EFFECTS OF INSTILLED ROFA AND OTHER COMBUSTION SOURCE-RELATED PARTICULATE MATTER IN HEALTHY LABORATORY ANIMALS<sup>a</sup>**

Species, Gender, Strain, Age, etc.	Particle	Exposure Technique	Concentration	Particle Size	Exposure Duration; Time to PE <sup>b</sup> Analysis	Particle Effects/Comments	Reference
Rats, female, Brown Norway 8-10 wks old	ROFA (Florida) and HDM	Intratracheal instillation	200 µg or 1000 µg	1.95	N/A	ROFA enhanced the response to house dust mite (HDM) antigen challenge. Eosinophil numbers and LDH were increased in highest exposed groups. BAL protein and IL-10 were increased in both ROFA groups + HDM versus HDM alone.	Lambert et al. (1999)
Rats, male, S-D, 60-day-old	ROFA #6 (Florida)	Intratracheal instillation	1000 µg in 0.5 mL saline	1.95 ± 0.18 µm	15 min to 24 h	Production of acetaldehyde increased at 2 h postinstillation.	Madden et al. (1999)
	DOFA (NC)	Intratracheal instillation	1000 µg in 0.5 mL saline		15 min to 24 h	ROFA induced production of acetaldehyde with a peak at about 2 h. No acetaldehyde was seen in plasma at any time. DOFA increased acetaldehyde, as did V, Fe.	
Rats, male, S-D; 60 days old	ROFA #6 (Florida) NiSO <sub>4</sub> VSO <sub>4</sub>	Intratracheal instillation	3.3 mg/mL/kg; ROFA equivalent dose of metals	1.9 µm σ <sub>g</sub> = 2.14	3 or 24 h	Inflammatory and stress responses were upregulated; the numbers of genes upregulated were correlated with metal type and ROFA	Nadadur et al. (2000); Nadadur and Kodavanti (2002)
Rats, male, S-D, 60-day-old	ROFA (Cayman Chemical, Ann Arbor, MI)	Intratracheal instillation	400 and 1000 µg/mL (200 and 500 µg ROFA in 0.5 mL saline)	N/A	12 h post-IT	ROFA increased PGE <sub>2</sub> via cyclooxygenase expression in the 400 µg/mL group. PGE <sub>2</sub> depressed in 1000 µg/mL group by COX2 inhibitor.	Samet et al. (2000)
Rats, male, S-D, 60-day-old	ROFA, #6 LoS (Florida)	Intratracheal instillation	500 µg in 0.5 mL saline	3.6 µm	1, 4, or 24 h	Mild and variable inflammation at 4 h; no pronounced inflammation until 24 h when there were marked increases in P-Tyr and P-MAPKS.	Silbajoris et al. (2000)
Rats, S-D	DPM	Intratracheal instillation	500 µg in 0.5 mL saline	N/A	3 times/wk, 2 wk	Decreased concentration of lavage ascorbate. Urate and glutathione concentrations unchanged; elevated MIP-2 and TNF; total cell count increased; lavage protein and LDH increased; increased total lavage iron concentration.	Ghio et al. (2000b)

<sup>a</sup> CFA = Coal fly ash  
 CMP = Copper smelter dust  
 DOFA = Domestic oil-burning furnace fly ash  
 ROFA = Residual oil fly ash  
 TC = Tungsten carbide

Fe<sub>2</sub>(SO<sub>4</sub>) = Iron sulfate  
 VSO<sub>4</sub> = Vanadium sulfate  
 NiSO<sub>4</sub> = Nickel sulfate  
 LoS = low sulfur

MCT = Monocrotaline  
 OVA = Ovalbumin

<sup>b</sup> PE = Post Exposure

**TABLE 7-7. RESPIRATORY EFFECTS OF INHALED AND INSTILLED ROFA AND OTHER COMBUSTION SOURCE-RELATED PARTICULATE MATTER IN COMPROMISED LABORATORY ANIMAL MODELS<sup>a</sup>**

Species, Gender, Strain, Age, etc.	Particle	Exposure Technique	Concentration	Particle Size	Exposure Duration; Time to PE <sup>b</sup> Analysis	Particle Effects/Comments	Reference
<b>Inhalation</b>							
Rats, male, WISTAR Bor:WISW strain n = 20	Coal fly ash (CFA)	Inhalation (chamber)	0, 11, 32, and 103 mg/m <sup>3</sup>	1.9-2.6 µm σ <sub>g</sub> = 1.6-1.8	6 h/day, 5 days/wk, for 4 wks	At 103 mg/m <sup>3</sup> , type II cell proliferation, mild fibrosis and increased perivascular lymphocytes seen. At lowest concentration, main changes seen were particle accumulation in AM and mediastinal lymph nodes. Lymphoid hyperplasia observed at all concentrations. Effects increased with exposure duration.	Dormans et al. (1999)
Mice, BALB/C, 2-day-old, sensitized to ovalbumin (OVA)	Aerosolized ROFA leachate	Nose-only inhalation	50 mg/mL	N/A	30 min	Increased airway response to methylcholine and to OVA in ROFA exposed mice; increased airway inflammation also.	Hamada et al. (1999)
Rats, S-D, 250 g MCT	ROFA (Boston)	Inhalation	580 ± 110 µg/m <sup>3</sup>	2.06 µm σ <sub>g</sub> = 1.57	6 h/day for 3 days	Mortality seen only in MCT rats exposed to ROFA. Neutrophils in lavage fluid increased significantly in MCT rats exposed to ROFA versus filtered air. MIP-2 mRNA expression induced in lavage cells in normal animals exposed to fly ash.	Killingsworth et al. (1997)
Rats, male, S-D 60-day-old treated with MCT (60 mg/kg)	ROFA (Florida)	Nose-only inhalation	15 mg/m <sup>3</sup>	1.95 µm σ <sub>g</sub> = 2.14	6 h/day for 3 days analysis at 0 or 18 h	No mortality occurred by inhalation. ROFA exacerbated lung lesions (edema, inflammation, alveolar thickening) and gene expression in MCT rats. Rats showed inflammatory responses (IL-6, MIP-2 genes upregulated).	Kodavanti et al. (1999)
Rats, male, WKY and SH, 11-13 wks old	ROFA (Florida)	Nose-only Inhalation	15 mg/m <sup>3</sup>	1.95 µm σ <sub>g</sub> = 2.14	6 h/day × 3 days, analysis at 0 or 18 h	More pulmonary injury in SH rats. Increased RBCs in BAL of SH rats. ROFA increased airway reactivity to Acetylcholine in both SH and WKY rats. Increased protein, albumin, and LDH in BAL after ROFA exposure (SH > WKY). Increased oxidative stress in SH rats. SH rats failed to increase glutathione. Inflammatory cytokine gene expression increased in both SH and WKY rats.	Kodavanti et al. (2000b)

**TABLE 7-7 (cont'd). RESPIRATORY EFFECTS OF INHALED AND INSTILLED ROFA AND OTHER COMBUSTION SOURCE-RELATED PARTICULATE MATTER IN COMPROMISED LABORATORY ANIMAL MODELS<sup>a</sup>**

Species, Gender, Strain, Age, etc.	Particle	Exposure Technique	Concentration	Particle Size	Exposure Duration; Time to PE <sup>b</sup> Analysis	Particle Effects/Comments	Reference
<b>Inhalation (cont'd)</b>							
Mice, male, Swiss-Webster, 6-8 wks old (A/J, AKR/J, B6C3F1/J, BALB/cJ, C3H/HeJ-C3, C3HeOuJ, CSTBL/6J-B6, SJL/J, SWR/J, 129/J) strains raised in a pathogen free laboratory	Carbon black Regal 660  Carbon-associated SO <sub>4</sub> <sup>=</sup>	Nose only inhalation	10 mg/m <sup>3</sup> (carbon) 10 ppm SO <sub>2</sub> 285 µg/m <sup>3</sup> (average concentration of particle-associated sulfates)	0.29 µm ± 2.7 µm	4 h	Differences in inflammatory responses (PMN) across strains. Appears to be genetic component to the observed differences in susceptibility.	Ohtsuka et al. (2000a,b)
Rats, F-344 8-wks, 20-mo-old	Carbon	Inhalation	100 µg/m <sup>3</sup> and/or 1.0 ppm O <sub>3</sub> following exposure to endotoxin (12 min to 70 EU)	UF	6 h	Small effect on lung inflammation and activation of inflammatory cells. Effects enhanced in compromised lung and in older animals. Greatest effect in compromised lung exposed to UF carbon and O <sub>3</sub> .	Elder et al. (2000a,b)
Mice, TSK 14-17 mo old							
Rats, male, S-D, MCT-treated	Fluorescent microspheres	Inhalation	3.85 ± 0.81 mg/m <sup>3</sup>	1.38 ± 0.10 µm σ <sub>g</sub> = 1.8 ± 0.28	3 h/day × 3 days	MCT-treated animals had fewer microspheres in their macrophages, probably because of impaired chemotaxis.	Madl et al. (1998)

**TABLE 7-7 (cont'd). RESPIRATORY EFFECTS OF INHALED AND INSTILLED ROFA AND OTHER COMBUSTION SOURCE-RELATED PARTICULATE MATTER IN COMPROMISED LABORATORY ANIMAL MODELS<sup>a</sup>**

Species, Gender, Strain, Age, etc.	Particle	Exposure Technique	Concentration	Particle Size	Exposure Duration; Time to PE <sup>b</sup> Analysis	Particle Effects/Comments	Reference
<b>Instillation</b>							
Rats, male, S-D; 60-day-old; WKY and SH; cold-stressed SH; O <sub>3</sub> -exposed SH; MCT-treated SH	ROFA (source not specified), Ottawa dust, MSH Vol. Ash	Intratracheal instillation	0, 0.25, 1.0, and 2.5 mg/rat	1.95 µm	96 h post-IT	ROFA instillation caused acute, dose-related increase in pulmonary inflammation. Data on Ottawa dust and volcanic ash not reported.	Watkinson et al. (2000a,b)
Rats, male, S-D (200 g)	Diesel, SiO <sub>2</sub> , carbon black	Intratracheal instillation	1 mg in 0.4 mL.	DEP collected as TSP-disaggregated in solution by sonication (20 nm); SiO <sub>2</sub> (7 nm); carbon black	Necropsy at 2, 7, 21, 42, and 84 days postinstillation	Amorphous SiO <sub>2</sub> increased permeability and neutrophilic inflammation. Carbon black and DEP translocated to interstitium and lymph nodes by 12 wks.	Murphy et al. (1998)

<sup>a</sup> CFA = Coal fly ash  
 CMP = Copper smelter dust  
 DOFA = Domestic oil-burning furnace fly ash  
 ROFA = Residual oil fly ash  
 TC = Tungsten carbide  
 Fe<sub>2</sub>(SO<sub>4</sub>) = Iron sulfate  
 VSO<sub>4</sub> = Vanadium sulfate  
 NiSO<sub>4</sub> = Nickel sulfate  
 LoS = low sulfur

MCT = Monocrotaline  
 OVA = Ovalbumin

<sup>b</sup> PE = Post Exposure



1 To further investigate the response to ROFA with differing metal and sulfate composition,  
2 Kodavanti et al., (1997a) instilled male Sprague-Dawley rats (60 days old) intratracheally with  
3 ROFA (2.5 mg/rat) or metal sulfates (iron -0.54  $\mu$ mole [105  $\mu$ g]/rat, vanadium -1.7  $\mu$ mole  
4 [245  $\mu$ g]/rat, and nickel -1.0  $\mu$ mole [263  $\mu$ g]/rat, individually or in combination). Transition  
5 metal sulfate mixtures caused less injury than ROFA or Ni alone, suggesting metal interactions.  
6 This study also showed that V-induced effects were less severe than that of Ni and were  
7 transient. Ferric sulfate was least pathogenic. Cytokine gene expression was induced prior to  
8 the pathology changes in the lung, and the kinetics of gene expression suggested persistent injury  
9 by nickel sulfate. Another study by the same investigators was performed using 10 different  
10 ROFA samples collected at various sites within a power plant burning residual oil (Kodavanti  
11 et al., 1998a). Animals received intratracheal instillations of either saline (control), or a saline  
12 suspension of whole ROFA ( $< 3.0 \mu\text{m}$  MMAD for all ground PM) at three doses (0.833, 3.33, or  
13 8.33 mg/kg). This study showed that ROFA-induced PMN influx was associated with its water-  
14 leachable V content; but protein leakage was associated with water-leachable Ni content.  
15 ROFA-induced in vitro activation of alveolar macrophages (AMs) was highest with ROFA  
16 containing leachable V but not with Ni plus V, suggesting that the potency and the mechanism of  
17 pulmonary injury may differ between emissions containing bioavailable V and Ni.

18 Other studies have shown that soluble metal components play an important role in the  
19 toxicity of emission source particles. Gavett et al. (1997) investigated the effects of two ROFA  
20 samples of equivalent diameters, but having different metal and sulfate content, on pulmonary  
21 responses in Sprague-Dawley rats. ROFA sample 1 (R1; the same emission particles used by  
22 Dreher et al. [1997]) had approximately twice as much saline-leachable sulfate, nickel, and  
23 vanadium, and 40 times as much iron as ROFA sample 2 (R2); whereas R2 had a 31-fold higher  
24 zinc content. Rats were instilled with suspensions of 2.5 mg R2 in 0.3 mL saline, the  
25 supernatant of R2 (R2s), the supernatant of 2.5 mg R1 (R1s), or saline only. By 4 days after  
26 instillation, 4 of 24 rats treated with R2s or R2 had died. None treated with R1s or saline died.  
27 Pathological indices, such as alveolitis, early fibrotic changes, and perivascular edema, were  
28 greater in both R2 groups. In surviving rats, baseline pulmonary function parameters and airway  
29 hyperreactivity to acetylcholine were significantly worse in the R2 and R2s groups than in the  
30 R1s groups. Other than BAL neutrophils, which were significantly higher in the R2 and R2s  
31 groups, no other inflammatory cells (macrophages, eosinophils, or lymphocytes) or biochemical

1 parameters of lung injury were significantly different between the R2 and R2s groups and the  
2 R1s group. Although (a) soluble forms of zinc had been found in guinea pigs to produce a  
3 greater pulmonary response than other sulfated metals (Amdur et al., 1978) and (b) the level of  
4 zinc was 30-fold greater in R2 than R1, the precise mechanisms by which zinc may induce such  
5 responses are unknown. Still, these results show that the composition of soluble metals and  
6 sulfate is critical in the development of airway hyperactivity and lung injury produced by  
7 ROFA, albeit at very high instilled doses.

8 Dye et al. (1997) pretreated rats with an intraperitoneal injection of 500 mg/kg  
9 dimethylthiourea (DMTU) or saline, followed 30 min later by intratracheal instillation of either  
10 acidic saline (pH = 3.3) or an acidified suspension of ROFA (500 µg/rat). Dimethylthiourea  
11 reduces the activity of the reactive oxygen species. The systemic administration of DMTU  
12 impeded development of the cellular inflammatory response to ROFA but did not ameliorate  
13 biochemical alterations in BAL fluid. In a subsequent study, it was determined that oxidant  
14 generation, possibly induced by soluble vanadium compounds in ROFA, is responsible for the  
15 subsequent rat tracheal epithelial cells gene expression, inflammatory cytokine production  
16 (MIP-2 and IL-6), and cytotoxicity (Dye et al., 1999).

17 In parallel work on the potential importance of metals in mediating ambient PM effects,  
18 Kodavanti et al. (2002b) studied the role of zinc in PM-induced health effects in several animal  
19 models. Male Sprague-Dawley (SD) rats were instilled IT with ROFA in saline (0.0, 0.8, 3.3, or  
20 8.3 mg/kg) from a Boston area power plant. Also, in order to evaluate the potential role of  
21 leachable zinc, additional rats were instilled with either saline, whole ROFA suspension, the  
22 saline leachable fraction of ROFA, the particulate fraction of ROFA (8.3 mg/kg, soluble Zn =  
23 14.5 µg/mg ROFA), or ZnSO<sub>4</sub> (0.0, 33.0, or 66.0 µg/kg Zn). Three rat strains that differ in PM  
24 susceptibility, i.e., male SD, normotensive Wistar-Kyoto (WKY), and spontaneously  
25 hypertensive (SH) rats, were exposed at age 90 days nose-only to either filtered air or ROFA  
26 (2, 5, or 10 mg/m<sup>3</sup> for 6 h/day × 4 days/wk × 1 wk; or 10 mg/m<sup>3</sup> for 6 h/day × 1 day/wk for 1, 4,  
27 or 16 wks) and assessed at 2 days postexposure. Intratracheal exposures to whole ROFA  
28 suspensions produced a dose-dependent increase in protein/albumin permeability and  
29 neutrophilic inflammation. Pulmonary protein/albumin leakage and neutrophilic inflammation  
30 caused by the leachable fraction of ROFA and ZnSO<sub>4</sub> were comparable to effects of the whole  
31 suspension. However, protein/albumin leakage was not associated with the particulate fraction,

1 although significant neutrophilic inflammation did occur after instillation. With ROFA nose-  
2 only inhalation, acute exposures (10 mg/m<sup>3</sup> only) for 4 days resulted in small increases BAL  
3 protein and n-acetyl glucosaminidase activities (~50% above control); but, unlike with IT  
4 exposures, no neutrophilic influx was detectable in BAL from any of the inhalation groups. The  
5 only major effect of acute and long-term ROFA inhalation was a dose- and time-dependent  
6 increase in alveolar macrophages (AM), regardless of rat strain. Histological evidence also  
7 showed dose- and time-dependent accumulations of particle-loaded AM. Particles were also  
8 evident in interstitial spaces and in the lung-associated lymph nodes following the inhalation  
9 exposures (SH > WKY = SD). There were strain-related differences in peripheral WBC counts  
10 and plasma fibrinogen, but no major ROFA inhalation effect. The authors attributed the  
11 differences in pulmonary responsiveness to ROFA between IT and inhalation exposures to the  
12 dose of bioavailable zinc; the IT ROFA exposures, but not acute and long-term inhalation of up  
13 to 10 mg/m<sup>3</sup>, caused neutrophilic inflammation.

14 In addition to transition metals, other components in fly ash also may cause lung injury.  
15 The effects of arsenic compounds in coal fly ash or copper smelter dust on the lung integrity and  
16 on the ex vivo release of TNF- $\alpha$  by alveolar phagocytes were studied by Broeckaert et al. (1997).  
17 Female NMRI mice were instilled with different particles normalized for arsenic content (20  
18  $\mu$ g/kg body weight [i.e., 600 ng arsenic/mouse]) and particle load (100 mg/kg body weight [i.e.,  
19 3 mg/mouse]). Mice received tungsten carbide (TC) alone, coal fly ash (CFA) alone, copper  
20 smelter dust (CMP) mixed with TC, and Ca<sub>3</sub>(AsO<sub>4</sub>)<sub>2</sub> mixed with TC (see Table 7-6 for  
21 concentration details). Copper smelter dust caused a severe but transient inflammatory reaction;  
22 whereas a persisting alveolitis (30 days postexposure) was seen after treatment with coal fly ash.  
23 Also, TNF- $\alpha$  production in response to lipopolysaccharide (LPS) by alveolar phagocytes was  
24 significantly inhibited at day 1, but was still observed at 30 days after administration of CMP  
25 and CFA. Although arsenic was cleared from the lung tissue 6 days after Ca<sub>3</sub>(AsO<sub>4</sub>)<sub>2</sub>  
26 administration, a significant fraction persisted (10 to 15% of the As administered) in the lung of  
27 CMP- and CFA-treated mice at day 30 postexposure. Hence, suppression of TNF- $\alpha$  production  
28 may be dependent on the slow elimination of particles and their metal content from the lung.

29 Antonini et al. (2002) investigated effects of preexposure to ROFA on lung defenses and  
30 injury after pulmonary challenge with *Listeria monocytogenes*, a bacterial pathogen. Male  
31 Sprague-Dawley rats were dosed IT at day 0 with saline (control) or ROFA (0.2 or 1 mg/100 g

1 body weight). Three days later, both groups of rats were instilled IT with a low ( $5 \times 10^3$ ) or high  
2 ( $5 \times 10^5$ ) dose of *L. monocytogenes*. Chemiluminescence (CL) and nitric oxide (NO) production,  
3 two indices of alveolar macrophage (AM) function, were measured for BAL cells from the right  
4 lungs. The left lungs and spleens were homogenized, cultured, and colony-forming units were  
5 counted after overnight incubation. Exposure to ROFA and the high dose of *L. monocytogenes*  
6 led to marked lung injury and inflammation as well as to an increase in mortality, compared with  
7 rats treated with saline and the high dose of *L. monocytogenes*. Preexposure to ROFA  
8 significantly enhanced injury and delayed pulmonary clearance of *L. monocytogenes* at both  
9 bacterial doses when compared to the saline-treated control rats. ROFA had no effect on AM  
10 CL but caused a significant suppression of AM NO production. The authors concluded that  
11 acute exposure to ROFA slowed pulmonary clearance of *L. monocytogenes* and altered AM  
12 function, changes that could lead to increased susceptibility to lung infection in exposed  
13 populations.

14 In summary and as listed in Table 7-6, intratracheally instilled high doses of ROFA  
15 produced acute lung injury and inflammation. Water soluble metals in ROFA appear to play a  
16 key role in the acute effects of instilled ROFA through the production of reactive oxygen  
17 species. These ROFA studies clearly show that combustion-generated particles with a high  
18 metal content can cause substantial lung injury; but how well such effects can be extrapolated to  
19 help understand ambient PM exposure effects in humans remains to be more fully established.

### 21 **7.3.3 Metals**

22 Results from occupational and laboratory animal studies reviewed in the 1996 PM AQCD  
23 indicated that acute exposures to very high levels (hundreds of  $\mu\text{g}/\text{m}^3$  or more) or chronic  
24 exposures to lower levels (as low as  $15 \mu\text{g}/\text{m}^3$ ) of metallic particles could affect the respiratory  
25 tract. It was concluded, on the basis of data available at that time, that the metals at typical  
26 concentrations present in the ambient atmosphere ( $1$  to  $14 \mu\text{g}/\text{m}^3$ ) were not likely to have a  
27 significant acute effect in healthy individuals. This included metals such as arsenic, cadmium,  
28 copper, nickel, vanadium, iron, and zinc. Other metals found at concentrations less than  
29  $0.5 \mu\text{g}/\text{m}^3$  were not reviewed in the 1996 PM AQCD.

30 More recently published data from controlled experimental exposure studies, however, are  
31 suggestive of particle-associated metals possibly being among PM components contributing to

1 health effects attributed to ambient PM. Included among such studies are a number of the  
2 “ambient PM,” ROFA, and other “combustion-source” studies assessed in the preceding two  
3 sections which included analyses of potential contributions of metals to observed effects. Other  
4 new studies on effects of laboratory-generated metals/metal compounds are summarized in  
5 Table 7-8.

6 Iron is the most abundant of the elements capable of catalyzing oxidant generation and is  
7 also present in ambient urban particles. Lay et al. (1998) and Ghio et al. (1998b) tested the  
8 hypothesis that the human respiratory tract will attempt to diminish the added, iron-generated  
9 oxidative stress. They examined cellular and biochemical responses of human subjects instilled,  
10 via the intrapulmonary route, with a combination of iron oxyhydroxides that introduced an  
11 oxidative stress to the lungs. Saline alone and iron-containing particles suspended in saline were  
12 instilled into separate lung segments of human subjects. Subjects underwent bronchoalveolar  
13 lavage at 1 to 91 days after instillation of 2.6- $\mu\text{m}$  diameter iron oxide ( $\sim 5$  mg or  $2.1 \times 10^8$   
14 particles) agglomerates. Lay and colleagues found iron oxide-induced inflammatory responses  
15 in both the alveolar fraction and the bronchial fraction of the lavage fluid at 1 day  
16 postinstillation. Lung lavage 24 h after instillation revealed decreased transferrin concentrations  
17 and increased ferritin and lactoferrin concentrations, consistent with a host-generated response to  
18 decrease the availability of catalytically reactive iron (Ghio et al., 1998b). Normal iron  
19 homeostasis returned within 4 days of the iron particle instillation. The same iron oxide  
20 preparation, which contained a small amount of soluble iron, produced similar pulmonary  
21 inflammation in rats. In contrast, instillation of rats with two iron oxide preparations that  
22 contained no soluble iron failed to produce injury or inflammation, thus suggesting that soluble  
23 iron was responsible for the observed intrapulmonary changes.

24 In a subsequent inhalation study, Lay et al. (2001) studied the effect of iron oxide particles  
25 on lung epithelial cell permeability. Healthy, nonsmoking human subjects inhaled  $12.7 \text{ mg/m}^3$   
26 low- and high-solubility iron oxide particles (MMAD =  $1.5 \mu\text{m}$  and  $\sigma_g = 2.1$ ) for 30 minutes.  
27 Neither pulmonary function nor alveolar epithelial permeability, as assessed by pulmonary  
28 clearance of technetium-labeled DPTA, was changed at 0.5 or 24 hs after exposure to either type  
29 of iron oxide particle. Because the exposure concentration was so high, the data suggest that  
30 iron may play little role in the adverse effects of ambient, urban PM. Ghio et al. (2001) reported  
31 a case study, however, in which acute exposure to oil fly ash from a domestic oil-fired stove

**TABLE 7-8. RESPIRATORY EFFECTS OF INHALED AND INSTILLED METAL PARTICLES IN HUMAN SUBJECTS AND LABORATORY ANIMALS**

Species, Gender, Strain, Age, etc.	Particle	Exposure Technique	Concentration	Particle Size	Exposure Duration/ Time to Analysis	Particle Effects/Comments	Reference
<b>Inhalation</b>							
Humans, healthy nonsmokers; 8 M, 8 F; 18-34 ys old	Fe <sub>2</sub> O <sub>3</sub>	Inhalation	12.7 mg/m <sup>3</sup>	1.5 µm σ <sub>g</sub> = 2.1	30 min	No significant difference in <sup>98m</sup> Tc-DTPA clearance half-times, D <sub>L</sub> CO, or spirometry	Lay et al. (2001)
Rats, SD; 60 days old	VSO <sub>4</sub> NiSO <sub>4</sub>	Inhalation	0.3 - 1.7 mg/m <sup>3</sup> 0.37 - 2.1 mg/m <sup>3</sup>	N/A	6h/day x 4 days	V did not induce any significant changes in BAL or HR. Ni caused delayed bradycardia, hypothermia, and arrhythmogenesis at > 1.3 mg/m <sup>3</sup> . Possible synergistic effects were found.	Campen et al. (2001)
<b>Instillation</b>							
Humans, healthy nonsmokers; 12 M, 4 F; 18-35 ys old	Colloidal iron oxide	Bronchial instillation	5 mg in 10 mL	2.6 µm	1, 2, and 4 days after instillation	L-ferritin increased after iron oxide particle exposure; transferrin was decreased. Both lactoferrin and transferrin receptors were increased.	Ghio et al. (1998b)
Humans, healthy nonsmokers; 27 M, 7 F; 20-36 y old.	Fe <sub>2</sub> O <sub>3</sub>	Intrapulmonary instillation	3 × 10 <sup>8</sup> microspheres in 10 mL saline.	2.6 µm	N/A	Initially-induced transient inflammation (neutrophils, protein, LDH, IL-8) resolved by 4 days postinstillation.	Lay et al. (1998)
Mice, NMRI; Mouse peritoneal macrophage	MnO <sub>2</sub>	Intratracheal instillation; in vitro	0.037, 0.12, 0.75, 2.5 mg/animal	surface area of 0.16, 0.5, 17, 62 m <sup>2</sup> /g	Sacrificed at 5 days	LDH, protein and cellular recruitment increased in a dose-related manner with increasing surface area for particles with surface areas of 17 and 62 m <sup>2</sup> /g; freshly ground particles with surface areas of 0.5 m <sup>2</sup> /g had enhanced cytotoxicity.	Lison et al. (1997)

**TABLE 7-8 (cont'd). RESPIRATORY EFFECTS OF INHALED AND INSTILLED METAL PARTICLES IN HUMAN SUBJECTS AND LABORATORY ANIMALS**

Species, Gender, Strain, Age, etc.	Particle	Exposure Technique	Concentration	Particle Size	Exposure Duration/ Time to Analysis	Particle Effects/Comments	Reference
<b>Instillation (cont'd)</b>							
Rats, Female, CD	NaVO <sub>3</sub> VOSO <sub>4</sub> V <sub>2</sub> O <sub>5</sub>	Intratracheal instillation	21 or 210 µg V/kg (NaVO <sub>3</sub> , VOSO <sub>4</sub> soluble) 42 or 420 µg V/kg (V <sub>2</sub> O <sub>5</sub> ) less soluble	N/A	1 h or 10 days following instillation	PMN influx was greatest following VOSO <sub>4</sub> , lowest for V <sub>2</sub> O <sub>5</sub> (no effect at lowest concentration); VOSO <sub>4</sub> induced inflammation persisted longest; MIP-2 and KC (CXC chemokines) were rapidly induced as early as 1 h postinstillation and persisted for 48 h; Soluble V induced greater chemokine mRNA expression than insoluble V; AMs have the highest expression level.	Pierce et al. (1996)
Mice, Swiss	EHC-93 soluble metal salts	Intratracheal instillation	1 mg in 0.1 mL H <sub>2</sub> O	0.8 ± 0.4 µm	3 days	Solution containing all metal salts (Al, Cu, Fe, Pb, Mg, Ni, Zn) or ZnCl alone increased BAL inflammatory cells and protein.	Adamson et al. (2000)
Rats, M, F344, 175-225 g	TiO <sub>2</sub>	Intratracheal inhalation and Intratracheal instillation	Inhalation at 125 mg/m <sup>3</sup> for 2 h; Instillation at 500 µg for fine, 750 µg for ultrafine	Fine: 250 nm Ultrafine: 21 nm	Inhalation exposure, 2 h; sacrificed at 0, 1, 3, and 7 days postexposure for both techniques	Inflammation produced by intratracheal inhalation (both severity and persistence) was less than that produced by instillation; ultrafine particles produced greater inflammatory response than fine particles for both dosing methods.	Osier and Oberdörster (1997)
Rats, M, F344, 175-225 g	TiO <sub>2</sub>	Intratracheal inhalation and Intratracheal instillation	Inhalation at 125 mg/m <sup>3</sup> for 2 h; Instillation at 500 µg for fine, 750 µg for ultrafine	Fine: 250 nm Ultrafine: 21 nm	Inhalation exposure, 2 h; sacrificed at 0, 1, 3, and 7 days postexposure for both techniques	MIP-2 increased in lavage cells but not in supernatant in those groups with increased PMN (more in instillation than in inhalation; more in ultrafine than in fine); TNF-α levels had no correlation with either particle size or dosing methods.	Osier et al. (1997)

CdO = Cadmium oxide  
Fe<sub>2</sub>O<sub>3</sub> = Iron oxide  
MgO = Magnesium oxide  
MnO<sub>2</sub> = Manganese oxide

NaVO<sub>3</sub> = Sodium metavanadate  
TiO<sub>2</sub> = Titanium oxide  
VOSO<sub>4</sub> = Vanadyl sulfate  
V<sub>2</sub>O<sub>5</sub> = Vanadium pentoxide

ZnO = Zinc oxide  
BAL = Bronchoalveolar lavage  
CMD = Count median diameter  
IL = Interleukin

LDH = Lactate dehydrogenase  
MIP-2 = Macrophage inflammatory protein-2  
mRNA = Messenger RNA (ribonucleic acid)  
N/A = Data not available

1 produced diffuse alveolar damage, difficulty in breathing, and symptoms of angina. Elemental  
2 analyses revealed high metal content (Fe, V, etc.) in fly ash samples; and other evaluations  
3 suggested that the high metal content of oil fly ash altered the epithelial cell barrier in the  
4 alveolar region.

5 Several of the other studies summarized in Table 7-8 provide evidence that several  
6 different metal salts (when instilled intratracheally in rats or mice at relatively high doses) can  
7 produce inflammatory responses in the lung as indicated by various markers (e.g., increased  
8 BAL PMNs or other inflammatory cells, induction of cytokines, etc). Two of the studies (by  
9 Osier and Oberdörster, 1997; Osier et al., 1997) further indicate that (a) ultrafine metal particles  
10 are more effective than fine particles in producing the inflammation and (b) intratracheal  
11 inhalation is less effective than instillation in producing the inflammation. Analogously,  
12 Campen et al. (2001) did not observe any significant changes in BAL markers with 6 h/day  
13 inhalation exposure of rats for 4 days to  $\text{VOSO}_4$  at concentrations ranging up to  $2.1 \text{ mg/m}^3$ . The  
14 results of these metal studies and their potential significance are elaborated on further in later  
15 sections (e.g., Section 7.4.4.1) of this chapter.

#### 16 17 **7.3.4 Acid Aerosols**

18 Extensive earlier studies (conducted up to the early 1990s) on the effects of controlled  
19 exposures to aqueous acid aerosols on various aspects of lung function in humans and laboratory  
20 animals were reviewed in an EPA Acid Aerosol Issue Paper (U.S. Environmental Protection  
21 Agency, 1989) and in the 1996 PM AQCD. Methodology and measurement methods for  
22 controlled human exposure studies were also reviewed elsewhere (Folinsbee et al., 1997).

23 The studies summarized in the 1996 PM AQCD illustrate that aqueous acidic aerosols have  
24 minimal effects on symptoms and mechanical lung function in young healthy adult volunteers at  
25 concentrations as high as  $1000 \text{ }\mu\text{g/m}^3$ . Asthmatic subjects appear to be more sensitive to the  
26 effects of acidic aerosols on mechanical lung function. Responses have been reported in  
27 adolescent asthmatics at concentrations as low as  $68 \text{ }\mu\text{g/m}^3$ , and modest bronchoconstriction has  
28 been seen in adult asthmatics exposed to concentrations  $\geq 400 \text{ }\mu\text{g/m}^3$ , but the available data are  
29 not consistent. However, at concentrations as low as  $100 \text{ }\mu\text{g/m}^3$ , acid aerosols can alter  
30 mucociliary clearance. Brief exposures ( $\leq 1 \text{ h}$ ) to low concentrations ( $\approx 100 \text{ }\mu\text{g/m}^3$ ) may



1 accelerate clearance while longer (multihour) exposures to higher concentrations ( $> 100 \mu\text{g}/\text{m}^3$ )  
2 can depress clearance.

3 Some earlier acid aerosol studies not assessed in the 1996 PM AQCD or published more  
4 recently are summarized in Table 7-9. For example, Frampton et al. (1992) found that acid  
5 aerosol exposure in humans ( $1000 \mu\text{g}/\text{m}^3 \text{H}_2\text{SO}_4$  for 2 h) did not result in airway inflammation  
6 and there was no evidence of altered macrophage host defenses. Also, Leduc et al. (1995) found  
7 no increase in bronchoconstriction or bronchial responsiveness among asthmatic human adults  
8 exposed for 1 h via facemask to  $500 \mu\text{g}/\text{m}^3$  of simulated acid fog containing  $\text{H}_2\text{SO}_4$  or  
9 ammonium sulfate aerosol.

10 Zelikoff et al. (1997) compared the responses of rabbits and humans exposed for 3 h to  
11 similar concentrations (i.e.,  $1000 \mu\text{g}/\text{m}^3$ ) of  $\text{H}_2\text{SO}_4$  aerosol. For both rabbits and humans, there  
12 was no evidence of PMA infiltration into the lung and no change in BAL fluid protein level,  
13 although there was an increase in LDH in rabbits but not in humans. Macrophages showed  
14 somewhat less antimicrobial activity in rabbits; but insufficient data were available for humans.  
15 Superoxide production by macrophages was somewhat depressed in both species. Macrophage  
16 phagocytic activity was also slightly reduced in rabbits but not in humans.

17 Ohtsuka et al. (2000a,b) also showed that a single 4 h exposure of mice to acid-coated  
18 carbon particles at a high mass concentration of  $10,000 \mu\text{g}/\text{m}^3$  carbon black caused decreased  
19 phagocytic activity of alveolar macrophages, even in the absence of lung injury. However,  
20 in another study, Lee et al. (1999) found little effect on female rats or guinea pigs of an  
21 inhalation exposure for 4 h to very high concentrations ( $43$  or  $94 \text{mg}/\text{m}^3$ ) of  $\text{H}_2\text{SO}_4$  aerosol.

22 In another study, Heyder et al. (1999) exposed healthy beagle dogs by inhalation to  
23  $1.5 \text{mg}/\text{m}^3$  of acidic neutral sulfate aerosol for 16.5 h/day for 13 mos or to acidic sulfate aerosol  
24 at  $5.7 \text{mg}/\text{m}^3$  for 6 h/day for 13 mos. Interestingly, such chronic exposure to particle-associated  
25 hydrogen and sulfur ions at very high concentrations resulted in only some subtle respiratory  
26 responses, but no evident lung pathology.

27 Cassee and colleagues, in reports for the National Institute of Public Health and the  
28 Environment, Bilthoven, The Netherlands (Cassee et al., 1998a,b,c), have examined the effects  
29 of sulfate and nitrate aerosols in several compromised animal models. They used mice  
30 sensitized to OA as a model of allergic asthma and compared them to normal mice. One study  
31 (Cassee et al., 1998a) used exposures consisting of either fine ammonium bisulfate at  $78 \mu\text{g}/\text{m}^3$

**TABLE 7-9. RESPIRATORY EFFECTS OF ACID AEROSOLS IN HUMANS AND LABORATORY ANIMALS<sup>a</sup>**

Species, Gender, Strain, Age, etc.	Particle	Exposure Technique	Concentration	Particle Size	Exposure Duration	Particle Effects/Comments	Reference
Humans, healthy nonsmokers; 10 M, 2 F; 20-39 ys old	H <sub>2</sub> SO <sub>4</sub> aerosol NaCl (control)	Inhalation	1000 µg/m <sup>3</sup>	0.8-0.9 µm MMAD	2 h; analysis 18 h	No inflammatory responses; slight increase in BAL protein and slight decrease in albumin in H <sub>2</sub> SO <sub>4</sub> subjects compared to NaCl. No effect on bacterial killing by macrophages was found.	Frampton et al. (1992)
Humans, asthmatic; 13 M, 11 F	H <sub>2</sub> SO <sub>4</sub> aerosol NH <sub>4</sub> <sup>+</sup> /SO <sub>4</sub> <sup>-2</sup> aerosol	Inhalation by face mask	500 µg/m <sup>3</sup>	9 µm MMAD 7 µm MMAD	1 h	Exposure to simulated natural acid fog did not induce bronchoconstriction nor change bronchial responsiveness in asthmatics.	Leduc et al. (1995)
Rabbits, New Zealand white Humans, healthy nonsmokers; 10 M, 21-37 ys old	H <sub>2</sub> SO <sub>4</sub>	Inhalation	1000 µg/m <sup>3</sup>	0.8 µm σ <sub>g</sub> 1.6	2 h	No inflammatory response; LDH activity in BAL elevated in both species; effect on bacterial killing by humans was inconclusive.	Zelikoff et al. (1997)
Rats, female, F-344; Guinea Pigs, female, Hartley	H <sub>2</sub> SO <sub>4</sub> aerosol	Inhalation	94 mg/m <sup>3</sup> 43 mg/m <sup>3</sup>	0.80 σ <sub>g</sub> 1.89 0.93 σ <sub>g</sub> 2.11	4 h	Acid aerosol increased surfactant film compressibility in guinea pigs.	Lee et al. (1999)
Dogs, beagle, healthy; n = 16	Neutral sulfite aerosol	Inhalation	1.5 mg/m <sup>3</sup>	1.0 µm MMAD σ <sub>g</sub> = 2.2	16.5 h/day for 13 mo	Long-term exposure to particle-associated sulfur and hydrogen ions caused only subtle respiratory responses and no change in lung pathology.	Heyder et al. (1999)
	Acidic sulfate aerosol	Inhalation	5.7 mg/m <sup>3</sup>	1.1 µm MMAD σ <sub>g</sub> = 2.0	6 h/day for 13 mo		

<sup>a</sup> H<sub>2</sub>SO<sub>4</sub> = Sulfuric acid  
 BAL = Bronchoalveolar lavage  
 LDH = Lactate dehydrogenase  
 MMAD = Mass median aerodynamic diameter  
 MMD = Mass median diameter  
 σ<sub>g</sub> = Geometric standard deviation

1 (0.53  $\mu\text{m}$  MMD) or 972  $\mu\text{g}/\text{m}^3$  (0.45  $\mu\text{m}$  MMD), or ultra fine particles at 235  $\mu\text{g}/\text{m}^3$  (0.085  $\mu\text{m}$   
2 MMD), for exposure periods of 4 h/day for 3 consecutive days. Animals were analyzed at 1 or  
3 4 days PE for various cellular, biochemical, and immunological endpoints. No changes were  
4 seen in BALF NAF, LDH, or protein with any of the particles. Only small changes were seen in  
5 the cytokines IL-4, IL-6 and TNF- $\alpha$ , which were not considered relevant. Additionally there  
6 were no treatment related effects on lung histopathology or serum IgE levels. The authors  
7 conclude that ammonium bisulfate exerts only marginal responses in this compromised model,  
8 and suggest that the finding of increases in asthma in epidemiological studies is not due to this  
9 component of PM.

10 A second study by this group (Cassee et al, 1998b) using the same exposure regimen, but  
11 with ammonium ferrosulfate at a concentration of 250  $\mu\text{g}/\text{m}^3$  (0.459  $\mu\text{m}$  MMD), found only  
12 marginal changes in TNF- $\alpha$  and cell differential, which were not significant. A third study  
13 (Cassee et al., 1998c), again using the asthmatic mouse model, assessed exposures of 140  $\mu\text{g}/\text{m}^3$   
14 (0.584  $\mu\text{m}$  MMD) or 250  $\mu\text{g}/\text{m}^3$  (0.219  $\mu\text{m}$  MMD) ammonium nitrate aerosols. This particulate  
15 differed from the sulfates in that it caused increases in BAL NAG with exposure to the smaller  
16 particle, and increased neutrophils with exposure to the larger particle. Other parameters showed  
17 no exposure-related effects. The authors state that, as the effects were mostly seen after  
18 exposure to the fine, rather than ultrafine, particle, both mass concentration and specific size of  
19 the particles determine adverse effects.

20 Subsequent studies (Cassee et al., 2002) utilized an animal model of pulmonary  
21 hypertension, MCT treatment, to study the effects of ammonium bisulfate exposure. Exposures  
22 lasting 4 h/day for 3 consecutive days used concentrations of 70  $\mu\text{g}/\text{m}^3$  (0.070  $\mu\text{m}$  MMD),  
23 275  $\mu\text{g}/\text{m}^3$  (0.565  $\mu\text{m}$  MMD), 344  $\mu\text{g}/\text{m}^3$  (0.107  $\mu\text{m}$  MMD), or 407  $\mu\text{g}/\text{m}^3$  (0.633  $\mu\text{m}$  MMD) and  
24 animals were examined at 1 d PE. The same endpoints were assayed in the three previous  
25 studies in addition to phagocytic activity. As with the asthma model, no significant exposure-  
26 related effects were seen with any of the particles.

27 Schlesinger and Cassee (2003) have reviewed the literature on nitrate and sulfate  
28 secondary inorganic particles. They concluded that in healthy humans and animals, and in the  
29 limited number of compromised animal models studied, exposure to environmentally relevant  
30 levels of these particles has little biological potency. They also discuss the chemical basis of  
31 toxicity of these secondary inorganic particles. They state that acidic particles, upon contact

1 with epithelial lining fluid (ELF), can be neutralized by the endogenous ammonia present.  
2 Additionally, the mucus lining the airway buffers the acidic particles. This neutralization and  
3 buffering modulate the effect of the particles, but the capacity of these systems may be reduced  
4 in compromised individuals (Holma, 1989). Sarangapani and Wexler (1996) have modeled this  
5 defense system and predict greater neutralization for small particles ( $< 0.1 \mu\text{m}$ ) than for larger  
6 particles ( $> 1.0 \mu\text{m}$ ).

7 Schlesinger and Cassee (2003) state that the available data indicate an acute exposure of  
8  $> 1000 \mu\text{g}/\text{m}^3$  is necessary to affect pulmonary function in healthy humans. The dosage for  
9 adverse effects in asthmatics is  $68\text{-}100 \mu\text{g}/\text{m}^3$ , though the data are inconsistent. Transient effects  
10 on mucociliary clearance are seen at sulfuric acid aerosol concentrations of  $100 \mu\text{g}/\text{m}^3$ , with no  
11 differences observed between asthmatics and normal individuals. Their evaluation of chronic  
12 exposure studies shows that concentrations of  $100$  to  $250 \mu\text{g}/\text{m}^3$  elicit changes in secretory cell  
13 function, mucociliary clearance, and nonspecific airway hyperresponsiveness. The review also  
14 states that with acute exposures, effects seen are a function of C and T, and that a threshold  
15 appears to exist for both concentration and duration.

16 Thus, the relatively recent new studies provide little evidence indicative of acute or chronic  
17 exposures to aqueous acid aerosols contributing to acute respiratory effects or chronic lung  
18 pathology, except at much higher than current ambient concentrations.

### 19 20 **7.3.5 Diesel Particulate Matter**

21 Studies of controlled exposures to diesel exhaust (DE) and/or diesel particles (DPM) were  
22 previously evaluated in detail in two prior assessment documents, one by the Health Effects  
23 Institute (1995) and the other by the U.S. Environmental Protection Agency (2002). As noted in  
24 these documents, in addition to carcinogenic effects of exposure to diesel exhaust (DE), there are  
25 significant non-cancer health effects.

26 Acute (short-term exposure) effects in both humans and laboratory animals include eye,  
27 throat, and bronchial irritation; neurophysiological symptoms include lightheadedness and  
28 nausea; respiratory effects include cough and phlegm; and immunologic effects such as  
29 exacerbation of allergenic responses to allergens. Chronic (long-term exposure) effects, as  
30 determined mainly from animal studies, include a spectrum of dose-dependent inflammation and  
31 histopathological changes in lung.

1 The most salient findings of the EPA 2002 Health Assessment Document for Diesel  
2 Engine Exhaust noncancer health effects are first briefly recapitulated (at times verbatim) below.  
3 Then some of these findings are elaborated upon further and the results of additional new studies  
4 are discussed.

### 6 **7.3.5.1 Salient Findings from U.S. EPA 2002 Diesel Document**

7 The EPA 2002 Diesel Document (U.S. Environmental Protection Agency, 2002) indicated  
8 that acute human exposure to DE elicits subjective complaints of eye, throat, and bronchial  
9 irritation and neurophysiological symptoms including headache, lightheadedness, nausea,  
10 vomiting, and numbness and tingling of limbs. With increasing concentrations of DE, the odor  
11 is detected more rapidly and the severity of symptoms increase. Studies of occupationally-  
12 exposed workers demonstrated that there are minimal, generally not statistically significant,  
13 increases in respiratory symptoms and decreases in lung function (FVC, FEV<sub>1</sub>, PEF<sub>R</sub>, and FEF<sub>25-</sub>  
14 <sub>75</sub>) during the course of the work shift. Smokers showed greater decrements in respiratory  
15 functions and increased incidence of respiratory symptoms with DE exposure compared to non-  
16 smokers. Taken as a whole, both experimental and epidemiologic studies were not found to  
17 show any consistent pattern of acute DE exposure effects on human pulmonary function or  
18 respiratory symptoms.

19 On the other hand, controlled human exposure studies were found to have shown that acute  
20 exposures to DE induce airway inflammation (Rudell et al., 1990, 1994) and to cause changes  
21 in peripheral blood (Salvi et al., 1999) in healthy humans, as further elaborated on below.

22 As for chronic exposure effects, epidemiologic studies of chronic DE exposures which  
23 occur in occupationally-exposed workers such as bus garage workers, miners, and railroad yard  
24 workers were found to indicate an absence of excess risk of chronic respiratory disease  
25 associated with exposure. Some respiratory symptoms, (primarily cough, phlegm, or chronic  
26 bronchitis) were seen in a few studies; and two studies found statistically significant decrements  
27 in baseline pulmonary functions, though most studies did not find changes in these parameters.  
28 There was little evidence detected for adverse effects of DE on other organ systems, including  
29 the cardiovascular system. The 2002 Diesel Document cautioned that interpretation of these  
30 epidemiologic studies is difficult because of some methodological problems that include  
31 incomplete information regarding effects of potentially confounding variables (smoking and

1 exposure to other toxicants concurrently) and the short durations and low intensity of the  
2 exposures.

3 The 2002 EPA Diesel Document further noted that acute exposure of laboratory animals to  
4 DE had been shown to cause mild functional effects, but only at high concentrations ( $\geq 6 \text{ mg/m}^3$   
5 DPM) and durations (20 h/day; Pepelko et al., 1980a). However, short-term exposures to even  
6 low levels of DE were found to elicit pathophysiological effects such as accumulation of DPM in  
7 lung tissue, inflammation, AM aggregation and accumulation near the terminal bronchioles,  
8 Type II cell proliferation, and thickening of the alveolar walls adjacent to AM.

9 Chronic DPM exposures were found to have little effects on survival in rodents. Some  
10 evidence of reduced body weight in rats was seen with exposure concentrations of  $\geq 1.5 \text{ mg/m}^3$   
11 DPM and durations of 16 to 20 h/day, 5 days/wk for 104 to 130 wks (Heinrich et al., 1995;  
12 Nikula et al, 1995). Species-specific changes in organ weights were reported with cats having  
13 decreased lung and kidney weights with exposure and rodents having increased lung weights,  
14 lung to body-weight ratios, and heart to body-weight ratios. The LOEL for these effects in rats  
15 was 1 to 2  $\text{mg/m}^3$  DPM for 7h/day, 5 days/wk for 104 wks (Brightwell et al., 1986; Heinrich  
16 et al., 1986a,b).

17 Chronic exposures were also found to impair pulmonary function in rodents, cats, and  
18 monkeys. Parameters affected by DE exposure included lung compliance, resistance, diffusing  
19 capacity, volume and ventilatory performance. The exposure levels at which pulmonary  
20 function was affected differed among species: 1.5 and 3.5  $\text{mg/m}^3$  DPM in rats (Gross, 1981;  
21 Mauderly et al., 1988; McClellan et al 1986), 4.24 and 6  $\text{mg/m}^3$  PDM in hamsters (Vinegar et al,  
22 1980, 1981a,b), 11.7  $\text{mg/m}^3$  in cats (Pepelko et al, 1980b, 1981), and 2  $\text{mg/m}^3$  in cynomolgus  
23 monkeys (only level tested in this species; Lewis et al, 1989). Exposures were typically 7 to 8  
24 h/day, 5 days/wk for 104 to 130 wks and resulted in restrictive lung disease in all species except  
25 monkeys. Gross (1981) estimated that observed changes in expiratory flow rates in rats  
26 indicated a LOEL of 1.5  $\text{mg/m}^3$  for chronic exposures. Obstructive airway disease was  
27 evidenced in monkeys exposed chronically to 2  $\text{mg/m}^3$  DE. This disparity with other species  
28 tested is probably due to differences in anatomy and physiology, dose delivered, dose retained,  
29 site of deposition, and effectiveness of clearance and repair mechanisms.

30 Histopathological effects were also reported to have been observed with chronic DE  
31 exposures. These typically included alveolar histiocytosis, AM aggregation, tissue

1 inflammation, increase in PMNs, hyperplasia of bronchiolar and alveolar Type II cells, thickened  
2 alveolar septa, edema, fibrosis, emphysema, and lesions of the trachea and bronchi. These were  
3 accompanied by histochemical changes in lung including increases in lung DNA, total protein,  
4 alkaline and acid phosphatase, and glucose-6-phosphate dehydrogenase. Additionally, increased  
5 synthesis of collagen and release of inflammatory mediators have also been observed with  
6 chronic exposures. There appears to be a threshold of exposure to DPM below which these  
7 histopathologic effects are not observed. Reported no observed effect levels (NOELs) include:  
8 0.11 to 0.35 mg/m<sup>3</sup> for rats (Ishinishi et al., 1986, 1988); 0.25 mg/m<sup>3</sup> for guinea pigs (Barnhart  
9 et al., 1981, 1982); and 2 mg/m<sup>3</sup> for cynomolgus monkeys (only level tested in this species;  
10 Lewis et al., 1989) for exposures of 7 to 20 h/day, 5 to 5.5 days/wk for 104 to 130 wks.

11 Chronic exposures to DPM were further found to have an effect on airway clearance,  
12 which in large part determines the pathological effects. Alveolar macrophages phagocytose  
13 DPM as part of a multiphasic process of clearance. Exposures of  $\geq 1$  mg/m<sup>3</sup> DPM were shown to  
14 have a detrimental effect on clearance (Wolff et al, 1987; Wolff and Gray, 1980), the net effect  
15 being focal aggregations of particle-laden AMs in the peribronchiolar and alveolar regions and  
16 also the hilar and mediastinal lymph nodes. As mentioned above, species differences exist in  
17 anatomy, physiology, rate of uptake, deposition, clearance, size of AM population, rate of influx  
18 of AM and leukocytes, and the relative efficiencies for removal of particles by the mucociliary  
19 escalator and lymphatic transport system. Any decrease in AM function of will cause a  
20 reduction in clearance. It is mostly particles that are persistently retained in the lungs that impair  
21 clearance and this occurs in F344 rats at a PM burden of 0.1 to 1 mg/g lung tissue (Health  
22 Effects Institute, 1995). Morrow (1988) estimated that AM loading of  $\geq 60$   $\mu\text{m}^3$  PM impairs  
23 clearance and  $\geq 600$   $\mu\text{m}^3$  causes clearance to cease. This results in agglomerated particle-laden  
24 AMs remaining in the alveolar region and particles translocating to the pulmonary interstitium.

25 Consistent with impairment of AM function and clearance, reduction of an animal's  
26 resistance to respiratory infection was found with exposure to DPM. This effect was seen after  
27 an acute exposure of 5 to 8 mg/m<sup>3</sup> for as little as 2 or 6 h. The effect is thought not to be due to  
28 direct impairment of the lymphoid or splenic immune systems. Both animal and human acute  
29 exposure data also suggest that DPM is a factor in the increasing incidence of allergic  
30 hypersensitivity. Both the nonextractable carbon core and the organic fraction of DPM were

1 implicated in the effect. It was noted that synergies with DPM may increase the potency of  
2 known airborne allergens, and DPM was posited to act as an adjuvant in immune responses.

3 Chronic DE exposures in rats lasting from birth to 28 days of age were also shown to have  
4 behavioral effects on spontaneous locomotor activity and decrements in learning in adulthood  
5 (Laurie et al, 1980). These findings were corroborated by physiological evidence of delayed  
6 neuronal maturation (Laurie and Boyes, 1980, 1981). These studies, published in the early  
7 1980s, used exposures of 6 mg/m<sup>3</sup> DPM for 8 h/day, 7 days/wk. No recent studies have added to  
8 this literature. Also, based on the weight of evidence of a number of studies, essentially no  
9 effects were noted for reproductive and teratogenic effects in mice, rats, rabbits, and monkeys; in  
10 clinical chemistry and hematology in rat, cat, hamster, and monkeys; and in enzyme induction in  
11 the rat and mouse.

12 Key conclusions arrived at, based on the studies assessed in the U.S. EPA 2002 Health  
13 Assessment Document for Diesel Engine Exhaust, included: (1) short-term exposure to the  
14 DPM component of DE can result in allergenic inflammatory disorders of the airway; (2) acute  
15 occupational exposures to DE can cause respiratory symptoms of cough, phlegm, chest tightness  
16 and wheezing (all suggestive of an irritant mechanism) but do not generally cause pulmonary  
17 function decrements; and (3) pulmonary histopathology (principally fibrosis) and chronic  
18 inflammation are non-cancer effects seen in laboratory animals, but non-cancer effects in  
19 humans from long-term chronic exposures to DPM are not evident. Also, current knowledge  
20 indicates that the carbonaceous core of DPM is probably the causative agent of lung effects.  
21 Further, progressive impairment of AM is a factor in the extent of lung injury. Lung effects  
22 occur in response to DE exposures in several species and occur in rats at doses lower than those  
23 inducing particle overload and a tumorigenic response.

24 It is important to note that several DE toxicity studies cited in the EPA 2002 Diesel  
25 Document compared the effects of whole, unfiltered exhaust to those produced by the gaseous  
26 components of the exhaust. A comparison of the toxic responses in laboratory animals exposed  
27 to whole exhaust or filtered exhaust containing no particles demonstrates across studies that,  
28 when the exhaust is sufficiently diluted to limit the concentrations of gaseous irritants (NO<sub>2</sub> and  
29 SO<sub>2</sub>), irritant vapors (aldehydes), CO, or other systemic toxicants, the diesel particles are clearly  
30 contributors to noncancer health effects, although additivity or synergism with the gases cannot  
31 be ruled out. These toxic responses are both functional and pathological and represent a



1 cascading sequelae of lung pathology based on concentration and species. The diesel particles  
2 plus gas exposures produced biochemical and cytological changes in the lung that are much  
3 more prominent than those evoked by the gas phase alone. Such marked differences between  
4 whole and filtered DE are also evident from general toxicological indices, such as decreases in  
5 body weight and increases in lung weights, pulmonary function measurements, and pulmonary  
6 histopathology (e.g., proliferative changes in Type II cells and respiratory bronchiolar epithelium  
7 fibrosis). Hamsters, under equivalent exposure regimens, have lower levels of retained DPM in  
8 their lungs than rats and mice and, consequently, less pulmonary function impairment and  
9 pulmonary pathology. These differences may result from lower DPM inspiration and deposition  
10 during exposure, greater DPM clearance, or lung tissue less susceptible to the cytotoxicity of  
11 deposited DPM.

12 The above past assessment findings, on the whole, tend to suggest the potential importance  
13 of DPM contributing to at least some ambient PM-related toxic effects, particularly in urban  
14 micro-environments with heavy diesel traffic. The findings of some DE- or DPM-related  
15 controlled human exposure studies are elaborated on below and then are further interrelated to  
16 pertinent laboratory animal studies discussed later in Section 7.5.3 (Particulate Matter Effects on  
17 Allergic Hosts).

18 Pulmonary function and inflammatory markers (as assayed in induced sputum samples or  
19 BAL) have been studied in human subjects exposed to either resuspended or freshly generated  
20 and diluted DPM. In one controlled human exposure study, Sandstrom and colleagues (Rudell  
21 et al., 1994) exposed eight healthy subjects in an exposure chamber to diluted exhaust from a  
22 diesel engine for 1 h with intermittent exercise. Dilution of the DE was controlled to provide a  
23 median NO<sub>2</sub> level of ~1.6 ppm. Median particle number was  $4.3 \times 10^6$  /cm<sup>3</sup>, and median levels  
24 of NO and CO were 3.7 and 27 ppm, respectively (particle size and mass concentration were not  
25 provided). There were no effects on spirometry or on airway closing volume. Five of eight  
26 subjects experienced unpleasant smell, eye irritation, and nasal irritation during exposure. BAL  
27 performed 18 hs after exposure was compared with a control BAL performed 3 wks prior to  
28 exposure. There was no control air exposure. Small, yet statistically significant, reductions  
29 were seen in BAL mast cells, AM phagocytic function, and lymphocyte CD4 to CD8+ cell  
30 ratios, along with a small increase in neutrophils. These findings suggest that DE may induce  
31 mild airway inflammation in the absence of spirometric changes. Although this study generated

1 some potentially important information on the effect of DE exposure in humans, only one  
2 exposure level was used, the number of subjects was low, a limited range of endpoints was  
3 reported, and no comparisons to clean control exposures were provided. Several follow-up  
4 studies have been done by the same and other investigators.

5 Rudell et al. (1996) later exposed 12 healthy volunteers to DE for 1 h in an exposure  
6 chamber. Light work on a bicycle ergometer was performed during exposure. Random, double-  
7 blinded exposures included exposures to clean air, DE, or DE with particle numbers reduced  
8 46% by a particle filter. The engine used was a new Volvo model 1990, a six-cylinder direct-  
9 injection turbocharged diesel with an intercooler, run at a steady speed of 900 rpm during the  
10 exposures. It is hard to compare this study with others, because neither exhaust dilution ratios  
11 nor particle concentrations were reported. Concentrations of 27 to 30 ppm CO and of 2.6 to  
12 2.7 ppm NO, however, estimated DPM concentrations likely equaled several mg/m<sup>3</sup>. The most  
13 prominent symptoms during exposure were irritation of the eyes and nose, accompanied by an  
14 unpleasant smell. Both airway resistance and specific airway resistance increased significantly  
15 during the exposures. Despite the 46% reduction in particle numbers by the filter, effects on  
16 symptoms and lung function were not significantly reduced. A follow-up study on the  
17 usefulness of a particle filter confirmed the lack of effect of the filter on DE-induced symptoms  
18 (Rudell et al., 1999). In this study, 10 healthy volunteers also underwent BAL 24 hs after  
19 exposure. Exposure to DE produced inflammatory changes in BAL, as evidenced by increases  
20 in neutrophils and decreases in macrophage phagocytic function in vitro. A 50% reduction in  
21 the particle number concentration by the particle filter did not alter these BAL cellular changes.

22 As reported in the studies by Rudell and Sandstrom (Rudell et al., 1990, 1996, 1999;  
23 Blomberg et al., 1998; Salvi et al., 1999), significant increases in neutrophils and  
24 B lymphocytes, as well as histamine and fibronectin in airway lavage fluid, were not  
25 accompanied by decrements in pulmonary function. Salvi et al. (1999) exposed healthy human  
26 subjects to diluted DE (DPM = 300 µg/m<sup>3</sup>) for 1 h with intermittent exercise. Bronchial  
27 biopsies obtained 6 h after DE exposure showed a significant increase in neutrophils, mast cells,  
28 and CD4+ and CD8+ T lymphocytes, along with upregulation of the endothelial adhesion  
29 molecules ICAM-1 and vascular cell adhesion molecule-1 (VCAM-1) and increases in the  
30 number of leukocyte function-associated antigen-1 (LFA-1+) in the bronchial tissue.

1 Importantly, extra-pulmonary effects were observed in these subjects. Significant increases in  
2 neutrophils and platelets were found in peripheral blood following exposure to DE.

3 In a follow-up investigation of potential mechanisms underlying the DE-induced airway  
4 leukocyte infiltration, Salvi et al. (2000) exposed healthy human volunteers to diluted DE of  
5  $300 \mu\text{g}/\text{m}^3$  on two separate occasions for (1 h each) in an exposure chamber. Fiber-optic  
6 bronchoscopy was performed 6 h after each exposure to obtain endobronchial biopsies and  
7 bronchial wash (BW) cells. These workers observed that diesel exhaust (DE) exposure enhanced  
8 gene transcription of interleukin-8 (IL-8) in the bronchial tissue and BW cells and increased  
9 growth-regulated ontogeny- $\alpha$  protein expression and IL-8 in the bronchial epithelium; there was  
10 also a trend toward an increase in interleukin-5 (IL-5) mRNA gene transcripts in the bronchial  
11 tissue. Whether these effects were due to DPM or associated DE gaseous components (or both)  
12 could not be disentangled with the study design used.

13 Nightingale et al. (2000) reported inflammatory changes in healthy volunteers exposed to  
14  $200 \mu\text{g}/\text{m}^3$  resuspended DPM for 2 h under resting conditions in a double-blinded study. Small  
15 but statistically significant increases in neutrophils and myeloperoxidase (an index of neutrophil  
16 activation) were observed in sputum samples induced 4 hs after exposure to DPM in comparison  
17 to air. Exhaled carbon monoxide was measured as an index of oxidative stress and was found to  
18 increase maximally at 1 h after exposure. These biochemical and cellular changes occurred in  
19 the absence of any decrements in pulmonary function, thus confirming that markers of  
20 inflammation are more sensitive than pulmonary function measurements.

21 Because of the concern about inhalation of ambient particles by sensitive subpopulations,  
22 (Nordenhäll et al., 2001) also studied the effect of a 1 h exposure to DE (containing  $300 \mu\text{g}/\text{m}^3$   
23 DPM, 1.2 ppm  $\text{NO}_2$ , 3.4 ppm NO, 2.6 ppm HC, and 9.1 ppm CO) on 14 atopic asthmatics with  
24 stable disease and on inhaled corticosteroid treatment. At 6 hs after exposure, there was a  
25 significant increase in airway resistance ( $p < 0.004$ ) and in IL-6 in induced sputum ( $p < 0.048$ )  
26 following exposure to DE versus filtered air. At 24 hs after exposure, there was a significant  
27 increase in the nonspecific airway responsiveness to inhaled methacholine. Although the DPM  
28 exposure level was high relative to ambient PM levels, these findings may be important, as noted  
29 by the authors, in terms of supporting epidemiologic evidence for increased asthma morbidity  
30 associated with episodic exposure to ambient PM.

1           The IL-6 increase seen here 6 hs after DE exposure in asthmatic subjects parallels similar  
2 significant IL-6 increases in sputum 6 hs after DE exposure of healthy subjects, suggesting that  
3 the IL-6 release represents an acute response of both healthy and asthmatic persons to DE  
4 exposures. Other work by Steerenberg, et al. (1998) showed that DE particles are effective in  
5 inducing release of IL-6 from human bronchial epithelial cells (see Section 7.4).

6           The role of antioxidant defenses in protecting against acute diesel exhaust exposure has  
7 also been studied. Blomberg et al. (1998) investigated changes in the antioxidant defense  
8 network within the respiratory tract lining fluids of human subjects following diesel exhaust  
9 exposure. Fifteen healthy, nonsmoking, asymptomatic subjects were exposed to filtered air or  
10 DE (containing 300 mg/m<sup>3</sup> DPM) for 1 h on two separate occasions at least 3 wks apart. Nasal  
11 lavage fluid and blood samples were collected prior to, immediately after, and 5.5 h  
12 postexposure. Bronchoscopy was performed 6 h after the end of DE exposure. Nasal lavage  
13 ascorbic acid concentration increased 10-fold during DE exposure, but returned to basal levels  
14 5.5 h postexposure. Diesel exhaust had no significant effects on nasal lavage uric acid or GSH  
15 concentrations and did not affect plasma, bronchial wash, or bronchoalveolar lavage antioxidant  
16 concentrations or malondialdehyde or protein carbonyl concentrations. The authors concluded  
17 that the acute increase in ascorbic acid in the nasal cavity induced by DE may help prevent  
18 further oxidant stress in the upper respiratory tract of healthy individuals.

19           Seagrave et al. (2002) evaluated the inflammation and cytotoxicity created by exposure to  
20 exhaust from a number of vehicles including automobiles, SUVs and pickup trucks from 1976 to  
21 2000. Both PM and semivolatile organic compound (SVOC) fractions were collected, both at  
22 room temperature and in a cold environment. The PM and SVOC fractions were recombined  
23 and tested for toxicity in male F344/CrlBR rats at age ~11 wks. The emission samples were  
24 intratracheally instilled at doses of 0.1 to 3 mg/rat. BAL was collected at 4 h for cytokine  
25 endpoints and collected at 24 h for examination of histopathology and lavage parameters. Three  
26 different assays, histopathology, LDH and protein, were used to determine the cytotoxicity of the  
27 emission samples. Total protein in BAL and LDH similarly ranked cytotoxicity of the samples,  
28 and histology results created similar rankings, except for gasoline, which was ranked least toxic  
29 by LDH and protein and fourth by histopathology. The authors uniformly scaled the potencies  
30 and ranked the cytotoxicity as: gasoline engine emitting white smoke > gasoline engine emitting  
31 black smoke > high emitter diesel > normal diesel 72 °F > current diesel at 30 °F > normal

1 gasoline 30 °F > normal gasoline 72 °F. Inflammatory endpoints examined were total  
2 leukocytes, macrophages, PMNs/mL BALF , MIP-2, TNF- $\alpha$ , and histopathology. There was  
3 good agreement among data for total leukocytes, PMNs, and macrophages for which the three  
4 highest emissions were ranked: gasoline engine emitting white smoke > gasoline engine  
5 emitting black smoke = high emitter diesel. These three exhausts as had equally high  
6 inflammatory effects (as indicated by increases in MIP-2, but were less consistent for effects on  
7 TNF- $\alpha$ , it being suppressed in some samples and slightly increased in others. Uniformly scaled  
8 potencies for inflammation using total leukocytes, PMA, macrophages, histopathology, and  
9 MIP-2 endpoints were: gasoline engine emitting white smoke > gasoline engine emitting black  
10 smoke > high emitter diesel > current diesel at 30 °F > normal gasoline 72 °F > normal gasoline  
11 30 °F > normal diesel 72 °F.

### 12 13 **7.3.6 Ambient Bioaerosols**

14 Bioaerosols are airborne particles consisting of large molecules or volatile compounds that  
15 are living, contain living organisms, or have been released from living organisms. Major types  
16 of bioaerosol particles encountered in ambient (outdoor) air, indoor air, and/or in contaminated  
17 indoor or outdoor dusts that can be resuspended into air include: (1) intact pollen and pollen  
18 fragments; (2) fungi, their spores, and other fungal byproducts; (3) humus-like substances  
19 (HULIS) and other plant debris; (4) certain animals or associated debris, e.g., dust mites or their  
20 excreta, shed mammalian or avian skin cells, etc.; (5) bacteria or fragments thereof, e.g.,  
21 endotoxins consisting of proteins and lipopolysaccharides (LPS) that comprise portions of cell  
22 walls of Gram-negative bacteria; (6) (1-3)- $\beta$ -D-glucan, a polyglucose compound in the cell  
23 walls of Gram-positive bacteria, fungi, and plants; and (7) viruses.

24 Such particles are suspended and/or transported in air as distinct separate entities or  
25 adhered to other organic and non-organic particles or in water droplets. Biological particles can  
26 range in size from 0.01  $\mu\text{m}$  (viruses) to > 20  $\mu\text{m}$  (some pollen), with the smaller ones < 10.0  $\mu\text{m}$   
27 being inhalable and, upon inhalation, being capable of penetrating into tracheobronchial and  
28 alveolar regions of the lower respiratory tract — thus creating potentially serious health  
29 problems for sensitive human populations.

30 The relationship between bioaerosol exposure and illness is complex. Numerous studies  
31 published since the 1996 PM AQCD have produced extensive new information which has

1 greatly enhanced our knowledge regarding environmental occurrence of such biological  
2 aerosols, their health effects, and possible combined influences of their being copresent along  
3 with other biological and/or non-biological particles in ambient air. In particular, there is  
4 growing recognition that bioaerosols may contribute to health effects related to ambient PM  
5 exposures partly through their own direct toxic effects and/or in combination with other PM that  
6 carries biologically-derived materials which may elicit untoward effects.

7 Appendix 7B recapitulates a number of key points regarding ambient bioaerosols derived  
8 from the 1996 PM AQCD and goes on to update and integrate information derived from newer  
9 studies, as well. This includes background information on types and sources of ambient  
10 bioaerosols, factors affecting their dispersal and airborne concentrations, and both epidemiologic  
11 and toxicologic evaluations of health effects associated with different classes of them. As such  
12 some of the materials discussed may have been touched on in other chapters, but are brought  
13 together in Appendix 7B and summarized here to provide a coherent overall picture related to  
14 bioaerosols as potentially important contributors to ambient PM-related health effects.

15 A large number of studies show relationships between exposure to bioaerosols and airways  
16 inflammation and other signs/symptoms of allergic/asthmatic responses. Generally these  
17 exposures are most often associated with: certain occupational settings (cotton milling, grain  
18 workers, feed mill employees, farmers); humid and poorly ventilated indoor environments where  
19 moisture/dampness can harbor these organisms; and households having domestic animals/ pets  
20 (Wheatley and Platts-Mills, 1996).

21 Bioaerosols mainly tend to be in the coarser fraction of ambient PM, but some (e.g., fungal  
22 spores, pollen fragments) are in the fine fraction as well. Flowering plants, trees, and grasses  
23 produce pollen, the species and quantity being determined by region, season, and meteorological  
24 factors (especially humidity/moisture levels). For example, increased levels of grass pollen  
25 allergens following thunderstorms have been linked to increased levels of asthma attacks i.e.,  
26 “thunderstorm asthma” (Bellomo et al., 1992; Ong, 1994; Rosas et al., 1998; Schäppi et al.,  
27 1999). Wind-pollinated plants produce large grains >10-20  $\mu\text{m}$ , which when intact, deposit in  
28 upper airways, inducing allergic rhinitis. However, rupture of these grains following rain events  
29 generates allergen-containing cytoplasmic pollen fragments that constitute respirable particles  
30 (~0.1 to 5.0  $\mu\text{m}$ ) associated with exacerbation of asthma.

1           Very importantly, it is now known that interactions between aerosolized allergen-laden  
2 pollen debris and other types of ambient airborne particles occur. Pollen, in addition to  
3 containing cytoplasmic allergens, has also been shown to be a carrier of other allergenic  
4 materials. Several different types of immunoactive, allergenic materials (e.g., Gram-negative  
5 and Gram-positive bacteria; endotoxin, fungi) have been shown to be associated with grass and  
6 tree pollens in Poland (Spiewak, 1996a,b). Also, Taylor et al. (2002) suggest that the polycyclic  
7 hydrocarbon component of diesel exhaust may interact with allergen-laden pollen debris in a  
8 synergistic combination to explain, in part, the notable increase in the prevalence of pollen-  
9 induced asthma during the past 50 ys. Ormstad et al. (1998) and Knox et al. (1997)  
10 demonstrated that DPM (especially < 2.5 µm) can act as a carrier for plant (and animal)  
11 allergens and, further, may act as a mechanism whereby plant allergens can become concentrated  
12 in air and trigger asthma attacks. Additionally, evidence from Behrendt et al. (1992, 1995, 1997,  
13 2001) show that pollen grains may incorporate other atmospheric pollutants that alter the pollen  
14 surface, leading to exocytosis of proteinaceous material and increased allergen release. As for  
15 health-related studies of pollen effects (see Table 7B-2), Hastie and Peters (2001) evaluated in  
16 vivo ragweed allergen exposure (via bronchoscopic segmented ragweed challenge) effects on  
17 ciliary activity of bronchial epithelial cells harvested 24 h after challenge in nonallergic human  
18 adults and in allergic subjects with severe inflammatory response. Allergic subjects with mild  
19 inflammatory changes showed slight increases in albumin and doubling of bronchoalveolar cell  
20 levels whereas allergic subjects with severe inflammatory changes showed a 12-fold increase in  
21 albumin and a 9-fold increase in bronchoalveolar cell levels.

22           In another study of mice, a mixture of DPM and Japanese cedar pollen caused increased  
23 IgE and IL-4 production compared to pollen alone (Fujimaki et al., 1994). Synergistic  
24 relationships were also observed with DPM and ragweed allergen in the production of specific  
25 cytokines (Diaz-Sanchez et al., 1997).

26           In an epidemiologic study in The Netherlands, Brunekreef et al. (2000) found a positive  
27 correlation between mortality rates and pollen concentration, suggesting that pollen-associated  
28 acute exacerbation of allergic inflammation may cause death among some compromised  
29 individuals. Increases in hospitalizations for asthma have also been correlated with pollen  
30 exposure in Mexico City (Rosas et al., 1998) and London (Celenza et al., 1996), as have  
31 increased asthma incidence and medication use (Delfino et al., 1996, 1997).

1 In summary, newly available information indicates release of allergen-laden material from  
2 pollen-spores in respirable-sized aerosols; suggests possible ways by which binding of such  
3 material to other airborne particles (e.g., DPM) may concentrate such allergens in ambient air or,  
4 once inhaled, jointly exacerbate allergic reactions in susceptible human populations; and  
5 indicates that pollen itself may act as a carrier for other allergenic materials. Thus, new  
6 information about the synergistic relationship between plant allergens and other forms of PM  
7 suggest a possible mechanism which may explain, in part, the increased morbidity (especially  
8 asthma) and mortality associated with increased pollen levels.

9 In addition to pollen, other plant-related bioaerosols are generated by human activities such  
10 as the storage, handling and transport of plant material, and they, too cause adverse health  
11 effects. A growing database suggests that plant debris is a significant contributor to organic  
12 aerosols at continental sites. This debris has a considerable component that is insoluble. Humic-  
13 like substances (HULIS), originating from biomass fires and secondary atmospheric reactions,  
14 comprise up to 24% of organic carbon in some aerosol samples. In many areas in the western  
15 U.S. there are episodic or seasonal increases in plant-derived bioaerosol material from biomass  
16 burning emissions. These controlled agricultural burns, forest fires and domestic wood burning  
17 all contribute to ambient PM in these regions.

18 Fungi, growing on dead organic matter, are ubiquitous and produce huge quantities of  
19 aerosols including spores, body fragments, and fragments of decomposed substrate material.  
20 Fungal spores, ranging in size from 1.5  $\mu\text{m}$  to  $> 100 \mu\text{m}$ , form the largest and most consistently  
21 present component of outdoor bioaerosols. These cause allergic rhinitis and asthma, while  
22 allergic fungal sinusitis and allergic bronchopulmonary mycoses are caused by fungi colonizing  
23 thick mucous in the sinuses or lungs of allergic individuals. Yang and Johanning (2002) have  
24 shown that, once an individual is sensitized to the fungi, small concentrations can trigger an  
25 asthma attack or other allergic response.

26 Several studies have found relationships between exposure to fungi and their byproducts in  
27 respiratory illnesses and immune pathology (Hodgson et al., 1998; Tuomi et al., 2000; Yang and  
28 Johanning, 2002). Larsen et al. (1996) showed non-immunological histamine release from  
29 leukocytes exposed to a suspension of fungal spores and hyphal fragments. Some fungal  
30 byproducts have also been shown to stop ciliary activity in vitro and may act to produce general



1 intoxication of macroorganisms through the lung tissue or to enhance bacterial or viral infection  
2 (Piecková and Kunová, 2002; Yang and Johanning, 2002).

3 Fungal concentrations in most parts of the world have a pattern of peak levels in the  
4 summer and early fall, but low levels in the winter months. Outdoor air fungal composition  
5 affects culturable fungal propagules indoors, but it appears that the levels of fungi inside do not  
6 just reflect the outdoor levels. Analogous to pollen exposures, fungal spore exposures have been  
7 positively correlated with asthma hospital admissions of children in Mexico City (Rosas et al.,  
8 1998) and with asthma deaths in Chicago (Targonski et al., 1995), airborne fungal concentrations  
9 of  $\geq 1000$  spores/m<sup>3</sup> were reportedly associated with asthma deaths among 5 to 34 y olds in  
10 Chicago between 1985 and 1989 (Targonski et al., 1995). The odds of death occurring on days  
11 with airborne fungal concentrations of  $\geq 1000$  spores/m<sup>3</sup> were 2.16 times higher than other days.

12 All classes of animals including humans, house pets, wild and domesticated birds, and  
13 insects produce bioaerosols capable of producing hypersensitivity diseases. Dust mites and  
14 cockroaches are prolific insects from which fecal material and shed body parts create allergens  
15 that are a major causes of sensitization in children (Burge, 1995).

16 Bacteria and viruses are infectious agents that are released from hosts in droplets exhaled  
17 from the respiratory tract. The antigenic component of bacteria can be the whole living bacteria  
18 or enzymes or cell wall components of the bacteria. Viruses, composed of either DNA or RNA  
19 surrounded by a protein coat, utilize living cells for reproduction. Virus are extremely small  
20 ( $\ll 1$   $\mu\text{m}$ ), but the infectious droplets are usually larger (1 to 10  $\mu\text{m}$ ).

21 Endotoxins are present in the outer cell membrane of gram-negative (Gram -) bacteria.  
22 Heederik et al. (2000) noted that animal feces and plant materials contaminated with bacteria  
23 contribute most to organic dust-related endotoxin exposure. Although there is strong evidence  
24 that inhaled endotoxin plays a major role in the toxic effects of bioaerosols encountered in the  
25 work place (Castellan et al., 1984, 1987; Rose et al., 1998; Vogelzang et al., 1998; Zock et al.,  
26 1998), it is not clear as to what extent typical ambient concentrations of endotoxin are sufficient  
27 to produce toxic pulmonary or systemic effects in healthy or compromised individuals.

28 Endotoxins act on cells in the respiratory system by binding to receptors and triggering  
29 production of cytokines, which initiates a cascade of inflammation, smooth muscle constriction,  
30 and vasodilation (Young et al., 1998). Table 7B-3 summarizes studies of the respiratory effects  
31 of inhaled endotoxin-laden ambient bioaerosols. Some new occupational exposure studies

1 suggest declines in lung function due to exposure to endotoxins in pig farm waste (Vogelzang  
2 et al., 1998) and potato processing (Zock et al., 1998). Also, increases in BAL lymphocytes  
3 were observed in life guards exposed to endotoxins at a swimming pool (Rose et al., 1998).  
4 However, these studies do not rule out the effects of other agents in the complex airborne  
5 organic aerosols that may contribute to the functional and cellular effects observed. Still, the  
6 authors noted that their results support the selection of the lower of two proposed (Clark, 1986;  
7 Palchak et al., 1988) occupational exposure threshold levels of 30 or 100 ng/m<sup>3</sup> for airborne  
8 endotoxin.

9 Two German cities 80 km apart with a differing prevalence of hay fever and allergic  
10 sensitization in children were studied for the possible effects of endotoxin (Heinrich et al.,  
11 2002a,b), but the researchers could not attribute observed differences between the towns in  
12 respiratory disease prevalence to endotoxin levels. Later work by this group showed higher  
13 concentration and absolute mass of endotoxin in coarse-mode particles versus fine particles.  
14 Levels of endotoxin were also seasonal, demonstrating increased levels in late spring/summer  
15 and lower levels in winter.

16 Dose-response studies in healthy human adults exposed to doses ranging up to 50 µg  
17 endotoxin, by the inhalation route, suggested a threshold for pulmonary and systemic effects for  
18 endotoxin between 0.5 and 5.0 µg (Michel et al., 1997). Inhalation of 5 or 50 µg of LPS, but not  
19 0.0 or 0.5 µg increased PMNs in blood and sputum. Another controlled human exposure study  
20 of endotoxin, involving inhalation of lipopolysaccharide (LPS: the purified derivative of  
21 endotoxin) by known smokers showed increases in myeloperoxidase and eosinophilic cationic  
22 protein, decreases in FEV<sub>1</sub> and FVC, and irritation, dry cough, breathlessness, and tiredness at a  
23 LPS dose of 40 µg (Thorn and Rylander, 1998a).

24 Lastly, Monn and Becker (1999) also examined effects of size fractionated outdoor PM on  
25 human monocytes and found cytokine induction characteristic of endotoxin activity in the  
26 coarse-size fraction but not in the fine fraction.

27 Certain gram-positive bacteria, fungi, and plants contain the polyglucose compound (1→3)-  
28 β-D-glucan in their cells walls, which has been shown to induce stimulation of the reticulo-  
29 endothelial system, activation of PMNs, AMs, and complement. Heederik et al. (2000) found  
30 T-lymphocyte activation and proliferation with glucan exposure of experimental animals.  
31 In homes in Sweden where (1→3)-β-D-glucan levels ranged between 0 and 19 ng/m<sup>3</sup>, Thorn and

1 Rylander (1998b) found that there was a significantly larger number of atopic subjects in the  
2 > 65 y old group exposed to > 3 ng/m<sup>3</sup> (1→3)-β-D-glucan in their homes. Rylander (1996) also  
3 found that an acute exposure to (1 → 3)-β-D-glucan can produce symptoms of airway  
4 inflammation in normal human subjects without a history of airway reactivity after exposing  
5 subjects to 210 ± 147 ng/m<sup>3</sup> (1 → 3)-β-D-glucan for 3 separate 4 h sessions 5 to 8 days apart.

6 Douwes et al. (1998) examined the relationship between exposure to (1 → 3)-β-D-glucan  
7 and endotoxins and peak expiratory flow (PEF) in children (ages 7 to 11 y) with and without  
8 chronic respiratory symptoms. As indicated by linear regression analysis, peak expiratory flow  
9 variability in the children with chronic respiratory symptoms was strongly associated with  
10 (1→3)-β-D-glucan levels in dust from living room floors. The association was strongest for  
11 atopic children with asthma.

12 Thus, new research is focusing on the bioaerosol component of ambient PM. Findings  
13 include a greater-than-realized impact of pollen on asthma, and synergistic associations between  
14 pollen and other PM, with the potential for increased risk of adverse health effects. Fungi, and  
15 especially the spores, are the largest component of outdoor bioaerosols and have been linked to  
16 allergic rhinitis, asthma, sinusitis, and allergic bronchopulmonary mycoses. Much research is  
17 being directed at characterizing the mechanism by which bacterial endotoxins and (1→3)-β-D-  
18 glucan cause adverse health effects, especially in compromised individuals.

19 Of much importance are the seasonal variations in ambient air concentrations of all types  
20 of airborne allergens (both plant- and animal-derived) typically observed in temperate climate  
21 areas. Typically, (given that warmer, humid conditions tend to facilitate pollen, fungal and  
22 bacterial growth) outdoor levels of pollen fragments, fungal materials, endotoxins, and glucans  
23 all tend to increase in the spring/summer months and decrease to low ambient levels in late  
24 fall/winter months in most U.S. and other temperate areas. Also of much importance are  
25 increased levels of cellulose and other plant debris in respirable size fractions of ambient  
26 aerosols during the spring and summer months — plant materials that can act as carriers for  
27 allergenic materials (bacterial, fungal, etc.). The copresence in ambient air of other biological  
28 particles capable of acting as carriers of such allergens would probably enhance the risk of  
29 allergic/asthmatic reactions to them. Pertinent to this, it is of interest to note, that endotoxin  
30 concentrations tend to be higher in coarse fraction ambient PM samples than in fine (< 2.5 μm)

1 ambient PM samples; but endotoxin concentrations are typically very low, rarely exceeding  
2 0.5 mg/m<sup>3</sup>.

### 4 **7.3.7 Summary of Respiratory Effects**

5 The respiratory effects of PM having varying physical and chemical characteristics have  
6 been extensively studied for more than 30 years using a wide range of techniques and with  
7 exposure durations ranging from brief periods to months. The most extensively studied  
8 materials have been sulfates and acid aerosols formed as secondary pollutants in the atmosphere.  
9 Fly ash from coal-fired power plants or other coal-combustion sources has been less extensively  
10 studied. The toxicological data available today provide little basis for concluding that these  
11 specific PM constituents have substantial respiratory effects at current ambient levels of  
12 exposure. Recently, ROFA, a very specific kind of PM, has been studied extensively and found  
13 to produce a range of respiratory effects, especially lung inflammation.

14 Recent studies evaluating controlled human exposures to concentrated ambient particles  
15 (CAPs) from diverse locations (e.g., Boston, New York City, Los Angeles, Toronto, and  
16 Chapel Hill, NC) have found little or no effects on pulmonary function or respiratory symptoms  
17 in healthy human adults acutely exposed (for 2 h) to CAPs concentrations that ranged from about  
18 25 up to about 300 µg/m<sup>3</sup>. Some indications of mild lung inflammation were reported with such  
19 exposures in some of the studies, but not others. Analogous controlled exposures to CAPs of  
20 rats, hamsters, and dogs at concentrations varying across a range of ~100 to 1000 µg/m<sup>3</sup> for  
21 1-6 h/day for 1 to 3 days yielded similar minimal effects on respiratory functions, but some  
22 signs of mild inflammation in normal healthy animals and somewhat enhanced indications of  
23 lung inflammation in at least one compromised animal model of chronic bronchitis. Another  
24 study found some indications of mild impairment of lung immune defense functions and  
25 exacerbation of bacterial infection with an acute (3 h) exposure of rats to New York City CAPs  
26 (at 100-350 µg/m<sup>3</sup>). There is also new evidence for the transition metal components of ROFA  
27 and ambient PM from diverse locations having a mediating role in producing injury.

28 There still remains, however, a critical need for the systematic conduct of studies of the  
29 potential respiratory effects of major components of PM from different regions of the U.S., in  
30 recognition that PM of different composition and from different sources can vary markedly in its  
31 potency for producing different respiratory effects.

## 1 **7.4 CARDIOVASCULAR AND RESPIRATORY PATHOPHYSIOLOGY** 2 **AND TOXICITY: IN VITRO PM EXPOSURES**

### 3 **7.4.1 Introduction**

4 Toxicological studies play an important role in providing evidence by which to evaluate  
5 the biological plausibility of health effects associations with ambient PM exposure observed in  
6 epidemiologic studies. At the time of 1996 PM AQCD (U.S. Environmental Protection Agency,  
7 1996a) little was known about potential mechanisms that could explain associations between  
8 morbidity and mortality and ambient airborne PM observed in human populations studies. One  
9 of the difficulties in trying to sort out possible mechanisms is the nature of ambient PM mixes.  
10 Ambient PM has diverse physicochemical properties, ranging from physical characteristics of  
11 the particles to chemical components in or on the surface of the particles. Any one of these  
12 properties could change at any time in the ambient exposure atmosphere, making it difficult to  
13 duplicate actual properties of ambient PM in a controlled experiment. As a result, controlled  
14 exposure studies have as yet neither clearly identified those particle properties nor specific  
15 mechanisms by which ambient PM may affect biological systems. However, new in vitro  
16 toxicologic studies that have become available since the 1996 PM AQCD have provided  
17 additional information useful to help explain how ambient particles may exert toxic effects on  
18 the respiratory and cardiovascular systems. Such studies are summarized in Tables 7-10  
19 (ambient PM) and 7-11 (ROFA and other combustion source PM) and are discussed in the next  
20 several subsections.

21 In vitro exposure is a useful technique by which to obtain information on potentially  
22 hazardous PM constituents and mechanisms of PM injury, especially when only limited amounts  
23 of PM test material are available. For example, respiratory epithelial cells lining the airway  
24 lumen have been featured in numerous studies involving airborne pollutants and show  
25 inflammatory responses similar to that of human primary epithelial cultures. Also, alveolar  
26 macrophage cells from humans, rats, or other species have been employed in vitro to evaluate  
27 effects on phagocytosis and various other aspects of lung defense mechanisms. Limitations of  
28 in vitro studies include possible alterations in physicochemical characteristics of PM because of  
29 collection and resuspension processes, exposure conditions that do not fully simulate air-cell  
30 interface conditions within the lungs, and difficulties in estimating comparable dosage delivered  
31 to target cells in vivo. Also, doses delivered in vitro, like intratracheal administration, can be

**TABLE 7-10. IN VITRO EFFECTS OF AMBIENT PARTICULATE MATTER AND PARTICULATE MATTER CONSTITUENTS**

Species, Cell Type, etc. <sup>a</sup>	Particle or Constituent <sup>b</sup>	Cell Count	Concentration	Particle Size	Exposure Duration	Effect of Particles	Reference
BEAS-2B Primary culture human tracheal and bronchial epithelial cells	TSP (Provo, Utah)	$2 \times 10^5$ cells/mL	TSP filter samples (36.5 mg/mL) agitated in deionized H <sub>2</sub> O <sub>2</sub> for 96 h, centrifuged at 1200 g for 30 min, lyophilized and resuspended in deionized H <sub>2</sub> O <sub>2</sub> or saline 100 - 500 µg/well	N/A (TSP samples, comprised 50 to 60% PM <sub>10</sub> )	Sacrificed at 24 h	Provo particles caused cytokine-induced neutrophil-chemoattractant-dependent inflammation of rat lungs; Provo particles stimulated IL-6 at 500 µg/mL and IL-8 at $\geq 200$ µg/mL, increased IL-8 mRNA at 500 µg/mL and ICAM-1 at 100 µg/mL in BEAS-2B cells, and stimulated IL-8 secretion at $\geq 125$ µg/mL in primary cultures of human tracheal and bronchial epithelial cells; cytokine secretion was preceded by activation of NF-κB and was reduced by SOD, DEF, or NAC; quantities of Cu <sup>2+</sup> found in Provo particles replicated the effects	Kennedy et al. (1998)
BEAS-2B	PM <sub>10</sub> extract (Provo, UT)		125, 250, 500 µg/mL	PM <sub>10</sub>	2 and 24 h	Dose-dependent increase in IL-6 and IL-8 induced at all doses after 24 h for cells by particles collected while steel mill in operation (years 1 and 3). Increase noted for year 2 for particles taken during plant closure, but not dose-dependent; and particles collected during plant closure had the lowest concentrations of soluble Fe, Cu, and Zn. Cytotoxicity seen at 500 µg/mL.	Frampton et al. (1999)
BEAS-2B	(Provo, UT) TSP soluble and insoluble extract		500 µg/mL	TSP	24 h	Water soluble fraction caused greater release of IL-8 than insoluble fraction. The effect was blocked by deferoxamine and presumably because of metals (Fe, Cu, Zn, Pb).	Ghio et al. (1999a)
NHBE BEAS-2B	Utah Valley PM <sub>10</sub> extract		50, 100, 200 µg/mL	PM <sub>10</sub>	24 h	Dose-dependent increase in expression of IL-8 produced at $\geq 50$ µg/mL by particles collected when the steel mill was in operation; effects seen at lowest dose tested.	Wu et al. (2001)
Human AMs	PM <sub>10</sub> extract (Provo, UT)	$2 \times 10^5$ cells/mL	500 µg	PM <sub>10</sub>	24 h	AM phagocytosis of (FITC)-labeled <i>Saccharomyces cerevisiae</i> inhibited 30% by particles collected before steel mill closure.	Soukup et al. (2000)

**TABLE 7-10 (cont'd). IN VITRO EFFECTS OF AMBIENT PARTICULATE MATTER AND PARTICULATE MATTER CONSTITUENTS**

Species, Cell Type, etc. <sup>a</sup>	Particle or Constituent <sup>b</sup>	Cell Count	Concentration	Particle Size	Exposure Duration	Effect of Particles	Reference
Human and rat AM	Four urban air particles (UAP): St. Louis; Wash, DC; Ottawa ERC-93; Dusseldorf). ROFA (Florida) MSH Vol. Ash DPM Silica	$2.5 \times 10^5$ cells/mL	Urban and DPM: 12, 27, 111, 333, or 1000 $\mu\text{g/mL}$ SiO <sub>2</sub> and TiO <sub>2</sub> : 4, 12, 35, 167, or 500 $\mu\text{g/mL}$ Fe <sub>2</sub> O <sub>3</sub> : 1:1, 3:1; 10:1 particles/cell ratio	Urban particles: 0.3-0.4 $\mu\text{m}$ DPM: 0.3 $\mu\text{m}$ ROFA: 0.5 $\mu\text{m}$ MSH Vol. Ash: 1.8 $\mu\text{m}$ Silica: 05-10 $\mu\text{m}$ TiO <sub>2</sub> : < 5 $\mu\text{m}$ Latex: 3.8 $\mu\text{m}$	2 h for cytotoxicity, 16-18 h for cytokine assay; chemiluminescence at 30 minutes	UAP-induced cytokine production (TNF, IL-6) in AM of both species that is not related to respiratory burst or transition metals but may be related to LPS (blocked by polymyxin B but not DEF). The effects were seen in human AM at UAP concentrations of $\geq 56 \mu\text{g/mL}$ and in rat AM at all exposures. ROFA induced strong chemiluminescence (all conc. in humans and $\geq 35 \mu\text{g/mL}$ in rats) but had no effects on TNF production.	Becker et al. (1996)
Human AM and blood monocytes M and F 20 - 35 y	Urban air particles (UAP): St. Louis SRM 1648; Washington, DC, SRM 1649; Ottawa, Canada, EHC-93 ROFA (Florida #6) MSH Vol. Ash	$2 \times 10^5$ cells/mL	33 or 100 $\mu\text{g/mL}$	0.2 to 0.7 $\mu\text{m}$	3, 6, or 18-20 h	AM and MO phagocytosis inhibited by exposure to 100 $\mu\text{g/mL}$ UAP for 18 h. UAP caused decreased expression of $\beta_2$ -integrins involved in antigen presentation and phagocytosis in the AMs exposed to 100 $\mu\text{g/mL}$ .	Becker and Soukup (1998)
Human lung epithelial (A549) cells ØX174 RFI DNA	Urban particles: SRM 1648, St. Louis SRM 1649, Washington, DC	20,000 cells/cm <sup>2</sup>	100 $\mu\text{g/cm}^2$ for Fe mobilization assay	SRM 1648: 50% < 10 $\mu\text{m}$ SRM 1649: 30% < 10 $\mu\text{m}$	Up to 25 h	Single-strand breaks in DNA were induced by PM only in the presence of ascorbate, and correlated with amount of Fe that can be mobilized; ferritin in A549 cells was increased with treatment of PM suggesting mobilization of Fe in the cultured cells.	Smith and Aust (1997)
Rat AM	UAP (St. Louis) DPM	$1 \times 10^6$ for TNF- $\alpha$ secretion; $3 \times 10^6$ cells/mL for gene egression	25 to 200 $\mu\text{g/mL}$	DPM: 1.1 – 1.3 $\mu\text{m}$	2 h incubation; supernatant collected following 18 h of culture	Dose-dependent increase in TNF- $\alpha$ , IL-6, CINC, MIP-2 gene expression by UAP but not DPM (TNF- $\alpha$ increase at all doses with peak at 200 $\mu\text{g/mL}$ ). Cytokine production not related to ROS but inhibited by polymyxin B; LPS detected on UAP but not DPM. Endotoxin responsible for cytokine gene expression induced by UAP in AM. Increase in gene expression determined semi-quantitatively.	Dong et al. (1996)

**TABLE 7-10 (cont'd). IN VITRO EFFECTS OF AMBIENT PARTICULATE MATTER AND PARTICULATE MATTER CONSTITUENTS**

Species, Cell Type, etc. <sup>a</sup>	Particle or Constituent <sup>b</sup>	Cell Count	Concentration	Particle Size	Exposure Duration	Effect of Particles	Reference
Rat AM	PM <sub>10</sub> (from Mexico City 1993); MSH Vol. Ash		10 µg/cm <sup>2</sup>	< 10 µm	24 h	PM <sub>10</sub> stimulated AMs to induce up-regulation of PDGF $\alpha$ receptor on myofibroblasts. Endotoxin and metal components of PM <sub>10</sub> stimulate release of IL- $\beta$ . This is a possible mechanism for PM <sub>10</sub> -induced airway remodeling.	Bonner et al. (1998)
Human erythrocytes; mouse monocyte-macrophage cell RAW 264.7	PM <sub>10-2.5</sub> ; PM <sub>2.5</sub> (Rome, Italy)	1 $\times$ 10 <sup>6</sup> cells/mL Raw cells	5 doses across range of 0 to 80 µg/mL saline solution	PM <sub>2.5</sub> PM <sub>10-2.5</sub>	1 h for hemolysis 24 h for oxidative stress	Increased hemolysis of erythrocytes linearly related to PM <sub>2.5</sub> doses across 0 to 80 µg/mL range, but not to PM <sub>10-2.5</sub> below 50 µg/mL. However, little difference seen between PM <sub>2.5</sub> and PM <sub>10-2.5</sub> effects based on surface per volume unit of suspension, suggesting that oxidative stress on cell membranes is related to PM surface area. PM <sub>2.5</sub> also caused dose-dependent decrease in viability and increased markers of inflammation in RAW 264.7 cells, but significance levels not reported..	Diociaiuti et al. (2001)
Peripheral blood monocytes	Organic extract of TSP, Italy	1 $\times$ 10 <sup>4</sup> cells/mL	5, 10, 21, 42, 85, 340 µg	N/A, collected from high-volume sampler (60 m <sup>3</sup> /h)	2 h	Superoxide anion generation was inhibited at a particulate concentration of 0.17 mg/mL (340 µg) when stimulated with PMA; dose-dependent increase in LDH; at 0.17 mg/mL LDH increased 50%; disintegration of plasma membrane.	Fabiani et al. (1997)
ØX174 RF1 DNA	PM <sub>10</sub> (Edinburgh, Scotland)		3.7 or 7.5 µg/assay	PM <sub>10</sub>	8 h	Significant free radical activity on degrading supercoiled DNA at both concentrations; mainly because of hydroxyl radicals (inhibited by mannitol); Fe involvement (DEF-B conferred protection); more Fe <sup>3+</sup> was released compared to Fe <sup>2+</sup> , especially at pH 4.6 than at 7.2.	Gilmour et al. (1996)
Supercoiled DNA	PM <sub>10</sub> from Edinburgh, Scotland		996.2 $\pm$ 181.8 µg/filter in 100 µL	PM <sub>10</sub>	8 h	PM <sub>10</sub> caused damage to DNA; mediated by hydroxyl radicals (inhibited by mannitol) and iron (inhibited by DEF). Clear supernatant has all of the suspension activity. Free radical activity is derived either from a fraction that is not centrifugeable on a bench centrifuge or that the radical generating system is released into solution.	Donaldson et al. (1997)



**TABLE 7-10 (cont'd). IN VITRO EFFECTS OF AMBIENT PARTICULATE MATTER AND PARTICULATE MATTER CONSTITUENTS**

Species, Cell Type, etc. <sup>a</sup>	Particle or Constituent <sup>b</sup>	Cell Count	Concentration	Particle Size	Exposure Duration	Effect of Particles	Reference
Human AM from smokers (mean age 68) and non-smokers (mean age 72), male and female	EHC-93 (Ottawa) ROFA latex beads carbon particles	$0.5 \times 10^6$ cells/mL	0.01-0.1 mg/mL	< 10 $\mu$ m  0.1,1, and 10 $\mu$ m	2, 4, 8, 12, and 24 h (only 24 h data shown)	TNF- $\alpha$ increased at 0.01 to 0.1 mg/mL EHC-93 and at 0.1 mg/mL latex, carbon and ROFA. EHC93 at 0.1 mg/mL increased levels of IL6, IL-1 $\beta$ , MIP-1 $\alpha$ , and GM-CSF	Van Eeden, et al. (2001)
Human AM from age 62 $\pm$ 5 smokers	EHC-93 (Ottawa)	$0.5 \times 10^6$ cells/mL	0.01-0.1 mg/mL	4-5 $\mu$ m mass median diameter	2, 4, 8, 12, and 24 h (only 24 h data shown)	0.1 mg/mL produced significant increase in TNF- $\alpha$ . Instillation of supernatants from human and rabbit PM-exposed AMs into the lungs of rabbits caused increases in circulating PMNs and circulating band cells and shortening the transit time of PNMs through mitotic and postmitotic bone marrow pools.	Mukae et al. (2000)
Rabbit AM 6 wk old							
Rat AM and AM primed with LPS	PM <sub>2.5</sub> (Boston) Indoor and outdoor	$1 \times 10^6$ cells/mL	100 $\mu$ g/mL	< 2.5 $\mu$ m	20 h	Increased TNF production in both indoor and outdoor exposures. LPS-primed AMs had greater responses. Indoor PM <sub>2.5</sub> caused significantly more TNF production than outdoor PM <sub>2.5</sub> .	Long et al. (2001)
Rat AM and AM primed with LPS	Boston CAPS, separated in soluble/ insoluble fractions SRM1649, iron oxide, carbon black, diesel dust	$2.4 \times 10^6$ cells/mL	100 $\mu$ g/mL	Fe, CV and DD all < 1 $\mu$ m, UAP was 30% larger	20 h	Priming enhanced AM release of TNF and MIP-2 in response to UAP and some CAPs samples. Other CAPs and CB, DD, Fe did not induce cytokines. Toxicity associated with insoluble fractions. The activation state of the AM determines which particle-associated components are most bioactive.	Imrich et al. (2000)
Mouse AM	Boston CAPs	$1 \times 10^6$ cells/mL	~5-120 $\mu$ g/mL	$\leq 2.5 \mu$ m	5 h	Soluble and insoluble CAPs caused MIP-2 and TNF- $\alpha$ production. Cytokine induction and endotoxin content was associated with the insoluble fraction. PB neutralization of endotoxin abrogated > 80% of TNF- $\alpha$ induction, but inhibited MIP-2 production by only 40%.	Ning et al. (2000)
Rat AM	Switzerland PM collected during the four seasons.	$4 \times 10^5$ /mL		< 10 $\mu$ m	40 h	All exposures produced significant toxicity in MTT assay. Spring and summer samples induced the most TNF- $\alpha$ . Oxidative response was greatest in non-winter months.	Monn et al. (2003)

**TABLE 7-10 (cont'd). IN VITRO EFFECTS OF AMBIENT PARTICULATE MATTER AND PARTICULATE MATTER CONSTITUENTS**

Species, Cell Type, etc. <sup>a</sup>	Particle or Constituent <sup>b</sup>	Cell Count	Concentration	Particle Size	Exposure Duration	Effect of Particles	Reference
Human PMN	Aqueous and organic extracts of TSP (from Dusseldorf and Duisburg, Germany)	1 × 10 <sup>6</sup> cells/mL	0.51 and 0.78 mg/mL (aqueous extracts)  0.42 – 0.65 mg/mL (organic extracts)	Collected by high volume sampler, 90% < 5 μm, 50% < 1μm, max at 0.3-0.45 μm  Water and dichloromethane used to yield aqueous and organic extracts	Up to 35 min	PM aqueous extract significantly stimulated the production and release of ROS at 0.42 mg/mL in resting but not in zymosan-stimulated PMN. The effects of the PM extracts were inhibited by SOD, catalase and sodium azide (NaN <sub>3</sub> ); Zymosan-induced LCL is inhibited by both types of extracts, but aqueous extracts have a stronger inhibitory effect. Phagocytosis not affected.	Hitzfeld et al. (1997)
RLE-6TN cells (type II like cell line)	PM <sub>2.5</sub> (Burlington, VT); Fine/ultrafine TiO <sub>2</sub>	1 × 10 <sup>6</sup> cells/mL	α-quartz, [0-200 μg/mL] 1, 2.5, 5, 10 μg/mL PM <sub>2.5</sub> , or up to 5 μg/mL TiO <sub>2</sub>	PM <sub>2.5</sub> : 39 nm Fine TiO <sub>2</sub> : 159 nm UF TiO <sub>2</sub> : 37 nm	24 and 48 h exposure	PM increases in c-Jun kinase activity at ≥ 10 μg/mL, levels of phosphorylated c-Jun immunoreactive protein at ≥ 5 μg/mL; and transcriptional activation of activator protein-1-dependent gene expression; elevation in number of cells incorporating 5'-bromodeoxyuridine at ≥ 1 μg/mL. UF TiO <sub>2</sub> increased c-Jun kinase activity compared to fine TiO <sub>2</sub> .	Timblin et al. (1998)
Human AMs	Chapel Hill PM extract; both H <sub>2</sub> O soluble(s) and insoluble(is)	2 × 10 <sup>6</sup> cells/mL	100 μg/mL	PM <sub>2.5</sub> PM <sub>10-2.5</sub>	24 h	Increased cytokine production (IL-6, TNF-α, MCP-1); isPM <sub>10</sub> > sPM <sub>10</sub> > isPM <sub>2.5</sub> ; sPM <sub>2.5</sub> was inactive; endotoxin was partially responsible.	Soukup and Becker (2001)
Human AM from healthy males and females, age 20-35 CHO expressing CD14 and TLR2 or TLR4	EHC-93 (Ott) MSH Vol. Ash ROFA (Niagra, NY) silica PM bacteria from Chapel Hill, NC ambient air	2-3 × 10 <sup>5</sup> cells/mL	PM - 30 μg/mL; bacteria - 10 <sup>3</sup> - 2×10 <sup>6</sup> /tube	2.5-10 μm	overnight	Three times more gram+ bacteria were required to elicit the same level of cytokine induction as gram- bacteria. This induction was inhibited by anti-CD14 and required serum. TLR4 was involved in PM <sub>10-2.5</sub> and gram-induced activation. TLR2 activation was induced by both gram + and - bacteria and by PM.	Becker et al. (2002)
Human AM	Urban PM (Netherlands)	3 × 10 <sup>5</sup> cells/mL	770 pg/mL  1781 pg/mL  20411 pg/mL	< 0.1 μm  0.1-2.5 μm  2.5-10 μm	18-20 h	IL-6 levels induced by PM <sub>2.5-10</sub> were 10x higher than PM <sub>0.1-2.5</sub> . Levels induced by PM <sub>0.1-2.5</sub> were 2-3x higher than PM <sub>&lt;0.1</sub> . Induction was inhibited by antibody to CD14 Phagocytosis of osonized yeast and yeast-induced oxidative burst inhibited by larger PM. Larger PM decreased CD11b expression more.	Becker et al. (2003)

**TABLE 7-10 (cont'd). IN VITRO EFFECTS OF AMBIENT PARTICULATE MATTER AND PARTICULATE MATTER CONSTITUENTS**

Species, Cell Type, etc. <sup>a</sup>	Particle or Constituent <sup>b</sup>	Cell Count	Concentration	Particle Size	Exposure Duration	Effect of Particles	Reference
Mouse monocytes and mouse mesenchymal cells	PM from Northern and Southeastern Mexico City		20, 40 or 80 µg/cm <sup>2</sup>	10 or 2.5 µm	24 h	S.E. Mexico City PM <sub>10</sub> had most endotoxins and induced the most TNF-α and IL-6 at all doses. Cytokine release was reduced 50-75% by rENPNorthern PMs most cytotoxic.	Osornio-Vargas, et al. (2003)
Mouse monocyte-macrophage cell line RAW 264.7	PM from Taiwan		40 µg/mL	< 2.5 µm 2.5-10 µm	16 h	PM <sub>2.5-10</sub> had greater endotoxin content and TNF-α production, which was inhibited by polymyxinB.	Huang et al. (2002)

<sup>a</sup>Cell types: RTE = Rat tracheal epithelial cells; GPTE = Guinea pig tracheal epithelial cells; NHBE = Normal human bronchial epithelial cells; A549 = Human lung epithelial cell line; BEAS - 2B = human airway epithelial cell line; AM = Alveolar macrophage.

<sup>b</sup>DEF = Deferoxamine  
CAP = Concentrated air particles  
UAP = Urban ambient PM  
TSP = Total suspended particles  
ROFA = Residual oil fly ash  
DOFA = Domestic oil fly ash

CFA = Coal fly ash  
PFA = Pulverized fuel ash  
DPM = Diesel particulate matter  
VO = Vanadate oxide  
TiO<sub>2</sub> = Titanium oxide  
DPM = Diesel particulate matter

**TABLE 7-11. IN VITRO EFFECTS OF ROFA AND OTHER COMBUSTION-SOURCE PARTICULATE MATTER CONSTITUENTS**

Species, Cell Type, etc. <sup>a</sup>	Particle or Constituent <sup>b</sup>	Cell Count	Concentration	Particle Size	Exposure Duration	Effect of Particles	Reference
Rat AM	ROFA (Florida), iron sulfate, nickel sulfate, vanadyl sulfate Latex particles with metal complexed on the surface	0.5 – 1.0 × 10 <sup>6</sup> cells/mL	0.01–1.0 mg/mL	3.6 µm MMAD (dust)  0.945 µm (latex beads)	Up to 400 min	At all concentrations, increased chemiluminescence, inhibited by DEF and hydroxyl radical scavengers; solutions of metal sulfates and metal-complexed latex particles similarly elevated chemiluminescence. Effects were generally dose-dependent, with largest dose creating effects over the shortest period of exposure.	Ghio et al. (1997a)
NHBE BEAS-2B	ROFA (Florida)		5, 50, 200 µg/mL	3.6 µm	2 and 24 h	mRNA for ferritin did not change; ferritin protein increase at ≥ 50 µg/mL; mRNA for transferrin receptor decreased at ≥ 50 µg/mL; mRNA for lactoferrin increased; transferrin decreased at ≥ 50 µg/mL, whereas lactoferrin increased at ≥ 50; deferoxamine alone increased lactoferrin mRNA; effects significant for two highest exposure following 24 h exposure.	Ghio et al. (1998c)
BEAS-2B respiratory epithelial cells	ROFA (Florida)		100 µg/mL	3.6 µm	5 min – 1 h	Lactoferrin binding with PM metal occurred within 5 min and Fe <sup>(III)</sup> , but not Ni, increased the concentration of lactoferrin receptor.	Ghio et al. (1999b)
NHBE cells	ROFA (Florida)		0, 5, 50, or 200 µg/mL (actual dose delivered 1.6 – 60 µg/cm <sup>2</sup> )	< 10 µm	2 or 24 h	Increase in expression of the cytokines IL-6 and IL-8 at all exposure concentrations; TNF-α increased at ≥ 50 µg/mL; inhibition by DMTU or deferoxamine.	Carter et al. (1997)
Primary cultures of RTE	ROFA; (Florida) metal solutions		5, 10, or 20 µg/cm <sup>2</sup>	1.95 µm MMAD	Analysis at 24 h	ROFA, V, or Ni + V (at ≥ 10 µg/cm <sup>2</sup> ), but not Fe or Ni, increased epithelial permeability, decreased cellular glutathione, cell detachment, and lytic cell injury; treatment with DMTU inhibited expression of MIP-2 and IL-6 genes.	Dye et al. (1999)
Hamster AM	ROFA or CAPs (Boston)	0.5 × 10 <sup>6</sup> cells/mL	ROFA: 0, 25, 50, 100, or 200 µg/mL CAPs: 1:5, 1:10, 1:20 (described as 4, 10, 20 µg/mL)	CAPs: 0.1–2.5 µm (from Harvard concentrator) TiO <sub>2</sub> : 1 µm	30 min incubation, analysis immediately following	Dose-dependent increase in AM oxidant stress with both ROFA and CAPs (at 4 µg/mL). Increase in particle uptake; Mac-type SR mediate a substantial proportion of AM binding; particle-associated components (e.g., transition metals) are likely to mediate intracellular oxidant stress and proinflammatory activation.	Goldsmith et al. (1997)

**TABLE 7-11 (cont'd). IN VITRO EFFECTS OF ROFA AND OTHER COMBUSTION-SOURCE PARTICULATE MATTER CONSTITUENTS**

Species, Cell type, etc. <sup>a</sup>	Particle or Constituent <sup>b</sup>	Cell Count	Concentration	Particle Size	Exposure Duration	Effect of Particles	Reference
Hamster AM Mouse AM	ROFA, CAPs, and their water-soluble and particulate fractions (Boston)	$0.5 \times 10^6$ cells/mL	ROFA: 25, 50, 100, 200 $\mu\text{g/mL}$ , 50 and 250 $\mu\text{g/mL}$ , and 100, 200, 400 $\mu\text{g/mL}$  CAPs: 38-180 $\mu\text{g/mL}$	CAPs = 0.1-2.5 $\mu\text{m}$  ROFA = 1.0 $\mu\text{m}$	30 min	ROFA (particles -50, 100, and 200 $\mu\text{g/mL}$ and water soluble components -200 $\mu\text{g/mL}$ only dose tested) and CAPs (all doses for particulate fraction and 150-180 $\mu\text{g/mL}$ for soluble fraction - only dose tested) caused increases in DCFH oxidation; CAPs samples and components showed substantial day-to-day variability in their oxidant effects; ROFA increased MIP-2 in hamster AMs exposed to 50 or 250 $\mu\text{g/mL}$ and TNF- $\alpha$ production in mouse AM exposed to 100, 200, 400 $\mu\text{g/mL}$ . Effects inhibited by NAC.	Goldsmith et al. (1998)
Human AM	ROFA (Florida) UAP (#1648, 1649) MSH Vol. Ash	$1 \times 10^6$ cells/mL	0, 25, 100, or 200 $\mu\text{g/mL}$	Volume median diameter: ROFA: 1.1 $\mu\text{m}$ #1648: 1.4 $\mu\text{m}$ #1649: 1.1 $\mu\text{m}$ MSH: 2.3 $\mu\text{m}$	24 h	ROFA highly toxic; urban PM toxic at 200 $\mu\text{g/mL}$ ; ROFA produced significant apoptosis as low as 25 $\mu\text{g/mL}$ ; UAP produced apoptosis at 100 $\mu\text{g/mL}$ ; ROFA and UAP also affect AM phenotype: increased immune stimulatory, whereas decreased immune suppressor phenotype.	Holian et al. (1998)
BEAS-2B	ROFA (Florida, #6 LoS)		0, 6, 12, 25, or 50 $\mu\text{g/mL}$	1.96 $\mu\text{m}$	1 to 24 h	Transient activation at 50 $\mu\text{g/mL}$ of IL-6 gene by NF- $\kappa\text{B}$ activation and binding to specific sequences in promoter of IL-6 gene at all dose levels; inhibition of NF- $\kappa\text{B}$ activation by DEF and NAC; activation NF-B may be a critical first step in the inflammatory cascade following exposure to ROFA particles.	Quay et al. (1998)
BEAS-2B	ROFA (Florida)	$5 \times 10^6$ cells/mL	0, 0.5, or 2.0 mg in 10 mL	1.95 $\mu\text{m}$	1 h	ROFA induced production of acetaldehyde in dose-dependent fashion. No effects on cell viability.	Madden et al. (1999)
Primary GPTE cells	ROFA (Florida) DOFA (Durham) STL (St. Louis) WDC (Wash., DC) OT (Ottawa) MSH Vol. Ash	$2 - 5 \times 10^5$ cells/cm <sup>2</sup>	6.25, 12.5, 25, and 50 $\mu\text{g/cm}^2$	N/A	4, 8, and 24 h	ROFA the most toxic (effects seen at 12.5 $\mu\text{g/cm}^2$ ), enhancing mucin secretion at 50 $\mu\text{g/cm}^2$ and causing toxicity, assessed by LDH release at $\geq 25 \mu\text{g/cm}^2$ . DOFA produced significant effect at 25 $\mu\text{g/cm}^2$ . Several other particles toxic at 50 $\mu\text{g/cm}^2$ for 24 h.	Jiang et al. (2000)
Human blood monocytes and neutrophils (PMN)	ROFA (Florida); CFA (Linden, NJ; Niagara, NY; Western U.S.). SRM 1649 (Dusseldorf, Eliz. City, NJ; Charlottesville); MSH Vol. Ash	$2 \times 10^5$ cells/ 0.2 mL	100 $\mu\text{g}$ 25, 50, 100, 150, 200 $\mu\text{g}$	N/A	40 min	ROS generation, measured by LCL increase in PMN and monocytes; PMN effects were correlated with Si, Fe, Mn, Ti, and Co content but not V, Cr, Ni, and Cu. Deferoxamine, a metal ion-chelator, did not affect LCL in PMN, suggesting that metal ions are not related to induction of LCL. Effects were generally dose-dependent, with effects seen at lowest dose.	Prahalad et al. (1999)

**TABLE 7-11 (cont'd). IN VITRO EFFECTS OF ROFA AND OTHER COMBUSTION-SOURCE PARTICULATE MATTER CONSTITUENTS**

Species, Cell Type, etc. <sup>a</sup>	Particle or Constituent <sup>b</sup>	Cell Count	Concentration	Particle Size	Exposure Duration	Effect of Particles	Reference
Human BEAS-2B	ROFA (Florida)		2, 20, or 60 µg/cm <sup>2</sup>	1.96 µm	2 or 24-h exposure	Epithelial cells exposed to ROFA at ≥ 20 µg/cm <sup>2</sup> for 24 h secreted substantially increased amounts of the PHS products prostaglandins E <sub>2</sub> and F <sub>2α</sub> ; ROFA-induced increase in prostaglandin synthesis was correlated with a marked increase in PHS activity.	Samet et al. (1996)
Human BEAS-2B	ROFA (Florida) Synthetic ROFA (soluble Ni, Fe, and V)		ROFA: 0–200 µg/mL Synthetic ROFA (100 µg/mL): Ni, 64 µM Fe, 63 µM V, 370 mM	ROFA: 1.96 µm Synthetic ROFA: N/A (soluble)	5 min to 24 h	Tyrosine phosphatase activity, which was known to be inhibited by vanadium ions, was markedly diminished after ROFA treatment at ≥ 50 µg/mL; effects were dose- and time-dependent; ROFA exposure induces vanadium ion-mediated inhibition of tyrosine phosphatase activity, leading to accumulation of protein phosphotyrosines in cells.	Samet et al. (1997)
Human airway epithelium-derived cell lines BEAS-2B	Particle components As, Cr, Cu, Fe, Ni, V, and Zn		500 µM of As, F, Cr (III), Cu, V, Zn	N/A (soluble)	20 min; analyses conducted 6 and 24 h following exposure	Noncytotoxic concentrations of As, V, and Zn induced a rapid phosphorylation of MAPK in cells; activity assays confirmed marked activation of ERK, JNK, and P38 in cells exposed to As, V, and Zn. Cr and Cu exposure resulted in a relatively small activation of MAPK, whereas Fe and Ni did not activate MAPK under these conditions; the transcription factors c-Jun and ATF-2, substrates of JNK and P38, respectively, were markedly phosphorylated in cells treated with As, Cr, Cu, V, and Zn; acute exposure to As, V, or Zn that activated MAPK was sufficient to induce a subsequent increase in IL-8 protein expression in cells. Most effects seen by 6 h postexposure.	Samet et al. (1998)
Human lung mucoepidermoid carcinoma cell line, NCI-H292	ROFA (Florida)	1 × 10 <sup>6</sup> cells/mL	10, 30, 100 µg/mL	N/A	6 and 24 h	Epithelial cells secreted increased mucin at ≥ 10 µg/mL and lysozyme ≥ 30 µg/mL; effect was time- and concentration-dependent; effects significant for mucin at the lowest exposure dose for both exposure periods; effects on lysozyme only significant at highest dose for 6 h exposure and two highest doses for 24 h exposure; caused by V-rich fraction (18.8%).	Longphere et al. (2000)
Rat, Long Evans epithelial cells	CFA PFA α-quartz.	1 × 10 <sup>4</sup> cells/ 100 µL		1.5-3.0 µm 17.7 µm 2.5 µm	3 h	CFA produced highest level of hydroxyl radicals; no relationship between hydroxy/radical generation and CFA particle size, surface area, quartz, or iron content, but positive correlation noted with iron mobilization.	Van Maanen et al. (1999)
BEAS-2B	ROFA (Birmingham, AL) 188 mg/g of VO		100 µg/mL	N/A	2-6 h	ROFA caused increased intracellular Ca <sup>++</sup> , IL-6, IL-and TNF-α through activation of capsaicin- and pH-sensitive receptors; effects seen at the lowest dose tested.	Veronesi et al. (1999a)

**TABLE 7-11 (cont'd). IN VITRO EFFECTS OF ROFA AND OTHER COMBUSTION-SOURCE PARTICULATE MATTER CONSTITUENTS**

Species, Cell Type, etc. <sup>a</sup>	Particle or Constituent <sup>b</sup>	Cell Count	Concentration	Particle Size	Exposure Duration	Effect of Particles	Reference
Human lung epithelial (A549) cells	ROFA (Boston), $\alpha$ -quartz, TiO <sub>2</sub>	$2.5 \times 10^5$ cells/mL	25-200 $\mu\text{g/mL}$	N/A	60 min	Exposure of A549 cells to ROFA at $\geq 50 \mu\text{g/mL}$ , $\alpha$ -quartz at $\geq 25 \mu\text{g/mL}$ , but not TiO <sub>2</sub> , caused increased IL-8 production in TNF- $\alpha$ primed cells.	Stringer and Kobzik (1998)
Male (Wistar) rat lung macrophages	Urban dust SRM 1649, TiO <sub>2</sub> , quartz	$2 \times 10^5$ cells/mL	0-100 $\mu\text{g/mL}$	0.3 – 0.6 $\mu\text{m}$	18 h	Cytotoxicity ranking was quartz > SRM 1649 > TiO <sub>2</sub> , based on cellular ATP decrease and LDH, acid phosphatase, and $\beta$ -glucuronidase release. Effects were noted at the lowest exposure dose.	Nadeau et al. (1996)
Human lung epithelial (A549) cells	TiO <sub>2</sub> , Fe <sub>2</sub> O <sub>3</sub> , CAP (Boston), and the fibrogenic particle $\alpha$ -quartz	$3 \times 10^5$ cells/mL	TiO <sub>2</sub> : 40 $\mu\text{g/mL}$ ; Fe <sub>2</sub> O <sub>3</sub> : 100 $\mu\text{g/mL}$ , $\alpha$ -quartz: 200 $\mu\text{g/mL}$ ; CAP: 40 $\mu\text{g/mL}$	N/A	24 h	TiO <sub>2</sub> > Fe <sub>2</sub> O <sub>3</sub> > $\alpha$ -quartz > CAP in particle binding; binding of particle was found to be calcium-dependent for TiO <sub>2</sub> and Fe <sub>2</sub> O <sub>3</sub> , while $\alpha$ -quartz binding was calcium-independent; scavenger receptor, mediate particulate binding; $\alpha$ -quartz caused a dose-dependent production of IL-8 ( $\geq 26.6 \mu\text{g/cm}^2$ ). IL-8 was not present in TiO <sub>2</sub> and CAPs treated cells.	Stringer et al. (1996)
Rat (Wistar) AM RAM cells (a rat AM cell line)	TiO <sub>2</sub>	$1 \times 10^6$ cells/mL	20, 50, or 80 $\mu\text{g/mL}$	N/A	4 h	Opsonization of TiO <sub>2</sub> with surfactant components resulted in a modest dose-dependent increase in AM uptake compared with that of unopsonized TiO <sub>2</sub> at $\geq 50 \mu\text{g/mL}$ ; surfactant components increase AM phagocytosis of particles.	Stringer and Kobzik (1996)
Human bronchial epithelial cells, asthmatic (ASTH) nonasthmatic (NONA)	DPM		10-100 $\mu\text{g/mL}$	0.4 $\mu\text{m}$	2, 4, 6, 24 h	DPM caused no gross cellular damage. Ciliary beat frequency was attenuated at all doses. DPM caused IL-8 release at 10 $\mu\text{g/mL}$ in ASTH and at 50 $\mu\text{g/mL}$ in NONA. Higher concentrations (50 and 100 $\mu\text{g/mL}$ ) DPM suppressed IL-8 and GM-CSF, in ASTH cells.	Bayram et al. (1998a)
Human bronchial epithelial cells (smokers)	DPM		10-100 $\mu\text{g/mL}$ in culture medium 50 $\mu\text{g/mL}$ filtered solution	0.4 $\mu\text{m}$	24 h	DPM attenuated ciliary beating. Release of IL-8 protein increased by exposure to $\geq 50 \mu\text{g/mL}$ DPM in culture medium, but 10-fold higher increase by DPM filtered solution. GM-CSF and CAM-1 increased after 50-100 $\mu\text{g/mL}$ .	Bayram et al. (1998b)

<sup>a</sup> Cell types; RTE = Rat tracheal epithelial cells; GPTE = Guinea pig tracheal epithelial cells; NHBE = Normal human bronchial epithelial cells; A549 = Human lung epithelial cell line; BEAS-2B = human airway epithelial cell line; AM = Alveolar macrophage.

<sup>b</sup> DEF = Deferoxamine  
 CAP = Concentrated air particles  
 UAP = Urban ambient PM  
 TSP = Total suspended particles  
 ROFA = Residual oil fly ash  
 DOFA = Domestic oil fly ash  
 CFA = Coal fly ash  
 PFA = Pulverized fuel ash  
 DPM = Diesel particulate matter  
 VO = Vanadate oxide  
 TiO<sub>2</sub> = Titanium oxide  
 DPM = Diesel particulate matter

1 very high on a cellular basis, thus requiring much caution in attempting to extrapolate in vitro  
2 findings to in vivo exposure conditions. It would be useful if in vitro studies included, in  
3 addition to the high doses, lower doses more comparable to environmental doses predicted to  
4 occur at the cellular level under in vivo conditions. Even with these limitations, however,  
5 in vitro studies do provide a useful approach by which to explore potential cellular and  
6 molecular mechanisms by which PM mediates health effects, allowing mechanisms identified in  
7 vitro to be evaluated later in vivo or possibly helping to confirm mechanisms suggested by the  
8 results of in vivo studies.

9 The following subsection discusses the more recently published studies that provide an in  
10 vitro approach toward identifying potential mechanisms by which PM mediates cardiovascular  
11 and respiratory health effects. Based on these available data the ensuing subsection then  
12 discusses the potential mechanisms in relation to PM size or chemical characteristics.

#### 14 **7.4.2 Ambient Particles Effects**

15 Newly available in vitro studies since the 1996 PM AQCD include many that exposed  
16 airway epithelial cells, alveolar macrophages, or blood monocytes and erythrocytes to aqueous  
17 extracts of ambient PM to investigate cellular processes, e.g., oxidant generation and cytokine  
18 production, that may contribute to respiratory and/or cardiovascular pathophysiological  
19 responses seen in vivo. The ambient PM evaluated includes samples collected from: Boston,  
20 MA (Goldsmith et al., 1998); North Provo, UT (Ghio et al., 1999a,b); St. Louis, MO (SRM  
21 1648, Dong et al., 1996; Becker and Soukup, 1998); Washington, DC (SRM 1649, Becker and  
22 Soukup, 1998); Ottawa, Canada (EHC-93, Becker and Soukup, 1998); Dusseldorf and Duisburg,  
23 Germany (Hitzfeld et al., 1997), Mexico City (Bonner et al., 1998), Terni, Italy (Fabiani et al.,  
24 1997); and Rome, Italy (Diociaiuti et al., 2001).

25 Because soluble metals from ROFA-like particles have been shown to be associated with  
26 pathophysiologic/toxic effects, several new studies have investigated whether the soluble  
27 components of ambient PM may exert similar effects. For example, extracts of ambient PM  
28 samples collected from North Provo, UT, (during 1981 and 1982) were used to test whether the  
29 soluble components or ionizable metals, which accounted for only ~0.1% of the mass, are  
30 responsible for the biological activity of the extracted PM components. These North Provo  
31 extracts stimulated IL-6 and IL-8 production, as well as increased IL-8 mRNA and enhanced



1 expression of intercellular adhesion molecule-1 (ICAM-1) in human airway epithelial  
2 (BEAS-2B) cells (Kennedy et al., 1998). Cytokine secretion was preceded by activation of  
3 nuclear factor kappa B (NF-κB) and was reduced by treatment with superoxide dismutase  
4 (SOD), Deferoxamine (DEF), or N-acetylcysteine. The addition of similar quantities of Cu<sup>+2</sup> as  
5 found in the Provo extract replicated the biological effects observed with particles alone. When  
6 normal constituents of airway lining fluid (mucin or ceruloplasmin) were added to BEAS cells,  
7 particulate-induced secretion of IL-8 was modified. Mucin reduced IL-8 secretion; whereas  
8 ceruloplasmin significantly increased IL-8 secretion and activation of NF-κB. The authors  
9 suggest that copper ions may cause some of the biologic effects of inhaled PM in the Provo  
10 region and may provide an explanation for the sensitivity of asthmatics to Provo PM seen in  
11 epidemiologic studies. Also, release of IL-8 from BEAS-2B cells, oxidant generation  
12 (thiobarbituric acid reactive products), and PMN influx in rats exposed to these samples  
13 correlated with sulfate content and the ionizable concentrations of metals in such Provo-PM  
14 extracts (Ghio et al., 1999a,b).

15 Frampton et al. (1999) examined the effects of the same ambient PM samples collected  
16 from Utah Valley in the late 1980s (see Section 7.2.1). Aqueous extracts of the filters were  
17 analyzed for metal and oxidant production and added to cultures of human respiratory epithelial  
18 cells (BEAS-2B) for 2 or 24 h. Particles collected in 1987, when the steel mill was closed had  
19 the lowest concentrations of soluble iron, copper, and zinc and showed the least oxidant  
20 generation. Ambient PM collected before and after plant closing induced expression of IL-6 and  
21 IL-8 in a dose-response relationship (125, 250, and 500 µg/mL) with effects seen at all doses.  
22 Ambient PM collected after reopening of the steel mill also caused cytotoxicity, as demonstrated  
23 by microscopy and LDH release at the highest concentration used (500 µg/mL).

24 Molinelli et al. (2002) also exposed human airway epithelial cell line (BEAS-2B) cultures  
25 for 24 h to an aqueous extract of PM collected in the Utah Valley. A portion of the extract was  
26 treated with Chelex, an agent that removes transition metals from solution. Cells incubated with  
27 the untreated extract showed a significant concentration-dependent increase at the lowest  
28 concentration of 62.5 µg/mL in the inflammatory mediator interleukin-8 (IL-8) when compared  
29 to the control cells. However, cells incubated with Chelex-treated extract produced no change  
30 (relative to control) in IL-8. They exposed rats in vivo for 24 h to the same treatments as the in  
31 vitro cells and found significant increases in lactate dehydrogenase (LDH) and total protein in

1 the rats exposed to the untreated extract and to the Chelex-treated extract with metals added back  
2 to achieve original concentrations. There was an attenuation of the observed LDH and total  
3 protein increases in the rats instilled with the Chelex-treated extract. The authors concluded that  
4 removal of metal cations attenuates cellular responses to the aqueous extract and suggest a role  
5 for transition metal involvement in PM-associated increases in morbidity and mortality.

6 Soukup et al. (2000) used similar ambient PM extracts as Frampton et al. (1999) to  
7 examine effects on human alveolar macrophages (AM). The phagocytic activity and oxidative  
8 response of AMs was measured after segmental instillation of aqueous extracts from the Utah  
9 Valley or after overnight in vitro cell culture a PM concentration of 500 µg/mL. Ambient PM  
10 collected before closure of the steel mill inhibited AM phagocytosis of (FITC)-labeled  
11 *Saccharomyces cerevisiae* by 30%; no significant effect on phagocytosis was seen with the other  
12 two extracts. Furthermore, although extracts of ambient PM collected before and after plant  
13 closure inhibited oxidant activity of AMs when incubated overnight in cell culture, only the  
14 former particles caused an immediate oxidative response in AMs. Host defense effects were  
15 attributed to apoptosis which was most evident in particles collected before plant closure.  
16 Interpretation of loss of these effects by chelation removal of the metals was complicated by the  
17 observed differences in apoptosis despite similar metal contents of ambient PM collected during  
18 the steel mill operation.

19 Wu et al. (2001) investigated intracellular signaling mechanisms related to pulmonary  
20 responses to Utah Valley PM extracts. Human primary airway epithelial cells were exposed to  
21 aqueous extracts of PM at doses of 50, 100, or 200 µg/mL collected from the year before, during,  
22 and after the steel mill closure in Utah Valley. Transfection with kinase-deficient extracellular  
23 signal-regulated kinase (ERK) constructs partially blocked the PM-induced interleukin (IL)-8  
24 promoter reporter activity that was present at all doses. The mitogen-activated protein  
25 kinase/ERK kinase (MEK) activity inhibitor PD-98059 significantly abolished IL-8 released in  
26 response to the PM, as did the epidermal growth factor (EGF) receptor kinase inhibitor  
27 AG-1478. Western blotting showed that the PM-induced phosphorylation of EGF receptor  
28 tyrosine, MEK1/2, and ERK1/2 could be ablated with AG-1478 or PD-98059. The results  
29 indicate that the potency of Utah Valley PM collected during plant closure was lower than that  
30 collected while the steel mill was in operation and imply that Utah Valley PM can induce IL-8

1 expression at concentrations  $\geq 50 \mu\text{g/mL}$  partially through the activation of the EGF receptor  
2 signaling.

3 There are regional as well as daily variations in the composition of ambient PM and, hence,  
4 its biological activities. For example, concentrated ambient PM (CAP), from Boston urban air  
5 has substantial day-to-day variability in its composition and oxidant effects (Goldsmith et al.,  
6 1998). Similar to Utah PM, the water-soluble component of Boston CAPs significantly  
7 increased AM oxidant production and inflammatory cytokine (MIP2 and  $\text{TNF-}\alpha$ ) production  
8 over negative control values. These effects could be blocked by metal chelators or antioxidants,  
9 suggesting important roles for metals in contributing to the observed Boston particle effects on  
10 AM function.

11 In another study, the effects of water soluble as well as organic components (extracted in  
12 dichloromethane) of ambient PM were investigated by exposing human PMN to PM extracts  
13 (Hitzfeld et al., 1997). PM was collected with high-volume samplers in two German cities,  
14 Dusseldorf and Duisburg; these sites have high traffic and high industrial emissions,  
15 respectively. Organic, but not aqueous, extracts of PM at concentrations of  $0.03 \mu\text{g/mL}$  alone  
16 significantly stimulated production and release of ROS in resting human PMN. The effects of  
17 the PM extracts were inhibited by SOD, catalase, and sodium azide ( $\text{NaN}_3$ ). Similarly, the  
18 organic fraction (extractable by acetone) of ambient PM from Terni, Italy, was shown to produce  
19 cytotoxicity, superoxide release in response to PMA, and zymosan in peripheral monocytes  
20 (Fabiani et al., 1997).

21 Becker and Soukup (1998) found interesting differences between biological activity of PM  
22 materials from urban air particle (UAP) sources (baghouse collection in St. Louis and Ottawa),  
23 ROFA samples from a power plant, and Mt. St. Helens volcanic ash (VA) stored since 1980.  
24 Exposure of human alveolar macrophages (AM) and blood-derived monocytes (MO) to  
25  $100 \mu\text{g/mL}$  of UAP ( $0.2$  to  $0.7 \mu\text{m}$  MMAD originally) from both Boston and St. Louis reduced  
26 expression of certain receptors (important for recognition of microbial entities), the phagocytosis  
27 of bioparticles (yeast cell walls), and oxidant generation (an important bactericidal mechanism)  
28 in both AM and MO. All of these were little affected at  $33 \mu\text{g/mL}$  of UAP. Exposure to  
29  $100 \mu\text{g/mL}$  of ROFA ( $0.5 \mu\text{m}$  MMAD originally) also significantly decreased AM (but not MO)  
30 phagocytosis (likely due to ROFA cytotoxic effects on AM), but VA had little effect on  
31 phagocytosis. The oxidative burst response was significantly decreased by ROFA in both AM

1 and MO, but only in AM by VA. Administration of 10 mg/mL of lipopolysaccharide (LPS), the  
2 active endotoxin component, reduced AM receptor expression similar to UAP, but did not  
3 reduce all the same receptor expression as UAP in MO. The authors noted that their results  
4 indicated (a) differences in biological activity between urban air-related particles (both baghouse  
5 collected and ROFA) and the more inert Mt. St. Helens volcanic ash particles (that had little  
6 effect on any of the receptors or phagocytosis functions studied); and (b) that UAP endotoxin  
7 content may be an important effector in UAP-modulation of some, but certainly not all,  
8 macrophage functions.

9 The findings of Dong et al. (1996) also suggest that biological activity of some ambient  
10 PM materials may result from the presence of endotoxin on the particles. Using the same urban  
11 particles (SRM 1648), cytokine production (TNF- $\alpha$ , IL-1, IL-6, CINC, and MIP-2) was  
12 increased in macrophages following treatment with 50 to 200  $\mu\text{g/mL}$  of urban PM (Dong et al.,  
13 1996). The urban particle-induced TNF- $\alpha$  secretion was abrogated completely by treatment with  
14 polymyxin B (an antibiotic that blocks LPS-associated activities), but not by antioxidants.

15 The potential involvement of endotoxin, at least partially, in some PM-induced biological  
16 effects has been explored further by Bonner et al. (1998) and Soukup and Becker (2001).  
17 Bonner et al. (1998) used urban PM<sub>10</sub> at a concentration of 10  $\mu\text{g/cm}^2$  collected from north,  
18 south, and central regions of Mexico City with SD rat AM to examine PM effects on platelet-  
19 derived growth factor (PDGF) receptors on lung myofibroblasts. Mexico City PM<sub>10</sub> (but not  
20 volcanic ash) stimulated secretion of upregulatory factors for the PDGF  $\alpha$  receptor, possibly via  
21 IL-1 $\beta$ . In the presence of an endotoxin-neutralizing protein, the Mexico City PM<sub>10</sub> effect on  
22 PDGF was blocked partially, suggesting that LPS was partly responsible for the PM<sub>10</sub> effect.  
23 In addition, both LPS and vanadium (both present in the PM<sub>10</sub>) acted directly on lung  
24 myofibroblasts, even though the ambient vanadium levels in Mexico City PM<sub>10</sub> were probably  
25 not high enough to exert an independent effect. The authors concluded that PM<sub>10</sub> exposure could  
26 lead to airway remodeling by enhancing myofibroblast replication and chemotaxis.

27 Soukup and Becker (2001) used a dichotomous sampler to collect fresh PM<sub>2.5</sub> and PM<sub>10-2.5</sub>  
28 from the ambient air of Chapel Hill, NC, and compared the activity of these two particle size  
29 fractions. Both water soluble and insoluble components at concentrations of 100  $\mu\text{g/mL}$  were  
30 assessed for cytokine production, inhibition of phagocytosis, and induction of apoptosis. The  
31 insoluble PM<sub>10-2.5</sub> fraction was the most potent in terms of inducing cytokines and increasing

1 oxidant generation, thus suggesting the importance of the coarse fraction in contributing to  
2 ambient PM health effects. Endotoxin appeared to be responsible for much of the cytokine  
3 production, whereas inhibition of phagocytosis was induced by other moieties in the coarse  
4 material. None of the activities were inhibited by the metal chelator deferoxamine.

5 Diociaiuti et al. (2001) compared the in vitro toxicity of fine ( $PM_{2.5}$ ) and thoracic coarse  
6 ( $PM_{10-2.5}$ ) fraction particulate materials extracted from sampling filters collected in an urban area  
7 of Rome (average 24-h concentrations of 31 and 19  $\mu\text{g}/\text{m}^3$ , respectively). Cell cultures were  
8 exposed to the extracted PM materials suspended in saline at doses ranging from 0 to 80  $\mu\text{g}/\text{mL}$ .  
9 The in vitro toxicity assays included evaluation of human red blood cell hemolysis, cell viability,  
10 and nitric oxide (NO) release in the RAW 264.7 macrophage cell line. There was a dose-  
11 dependent hemolysis in human erythrocytes when they were incubated with either fine or coarse  
12 particles, but the hemolytic potential was greater for the fine than for the coarse particles in equal  
13 mass concentration, the fine particles being linearly related from 0 to 80  $\mu\text{g}/\text{mL}$ , but the coarse  
14 ones not showing any effect below 50 $\mu\text{g}/\text{mL}$ . However, when data were expressed in terms of  
15 PM surface area per volume of suspension, the hemolytic activity of the fine fraction was not  
16 markedly different from that of the coarse fraction, thus suggesting that oxidative stress induced  
17 by PM on the blood cell membranes could be due mainly to the interaction between the particle  
18 surfaces and the cell membranes. Although RAW 264.7 cells challenged with fine and coarse  
19 particles showed decreased viability and an increased release of NO (a key inflammatory  
20 mediator) both effects were not dose-dependent in the tested concentration range. The fine  
21 particles were the most effective in inducing these effects either when the data were expressed as  
22 mass concentration or as surface area per unit volume. The authors concluded that these  
23 differences in biological activity were due to differences in the physicochemical nature of the  
24 particles, their noting that the possible causative agent in the fine fraction could be carbon-rich  
25 particles with an associated S acidic component.

### 27 **7.4.3 Comparison of Ambient and Combustion Source-Related Particles**

28 In vitro toxicology studies using alveolar macrophages as target cells (Imrich et al., 2000;  
29 Long et al., 2001; Ning et al., 2000; Mukae et al., 2000, 2001; Van Eeden et al., 2001) have  
30 found that urban ambient air particles are much more potent for inducing cellular responses than  
31 individual combustion particles such as diesel or ROFA. Metals, on the other hand, do not seem

1 to affect cytokine production, consistent with studies showing that ROFA does not induce  
2 macrophage cytokine production. However, in some studies (Long et al., 2001), cytokine  
3 responses in alveolar macrophages appeared to be correlated with LPS content of the PM  
4 samples tested. These results may be important because LPS is an important component  
5 associated with both ambient coarse and fine particles (Menetrez et al., 2001).

6 Van Eeden et al. (2001) compared effects of EHC-93 atmospheric PM sample materials  
7 from Ottawa, ROFA, and different size latex particles on cytokine induction by human alveolar  
8 macrophages. The EHC-93 particles produced greater than 8-fold induction of various cytokines  
9 (including IL-1, TNF, GMCSF) at concentrations as low as 0.01 mg/mL. The other particles at  
10 concentrations of 0.1 mg/mL only induced these cytokines by ~2-fold. Using the same EHC-93  
11 particles, Mukae et al. (2000, 2001) found that inhalation exposure of 0.1 mg/mL also stimulated  
12 bone marrow band cell-granulocyte precursor production and that the magnitude of the response  
13 was correlated with the amount of phagocytosis of the particles by alveolar macrophages. These  
14 results may indicate that macrophages produce factors which stimulate bone marrow, including  
15 IL-6 and GMCSF. In fact, alveolar macrophages exposed in vitro to these particles released  
16 cytokines; and when the supernatant of PM-stimulated macrophages was instilled into rabbits,  
17 the bone marrow was stimulated.

18 In a series of studies using the same ROFA samples collected from an oil-burning power  
19 plant in Florida, several in vitro experiments have investigated the biochemical and molecular  
20 mechanisms involved in ROFA induced cellular injury. Prostaglandin metabolism in cultured  
21 human airway epithelial cells (BEAS-2B and NHBE) exposed to ROFA was investigated by  
22 Samet et al. (1996). Epithelial cells exposed to 20  $\mu\text{g}/\text{cm}^2$  ROFA for 24 h secreted substantially  
23 increased amounts of prostaglandins E2 and F2 $\alpha$ . The ROFA-induced increase in prostaglandin  
24 synthesis was correlated with a marked increase in activity of the prostaglandin H synthase-2  
25 (PHS-2) as well as mRNA coded for this enzyme. In contrast, expression of the PHS1 form of  
26 the enzyme was not affected by ROFA treatment of airway epithelial cells. These investigators  
27 further demonstrated that the ROFA induced a significant dose- and time-dependent increase in  
28 protein tyrosine phosphate, an important index of signal transduction activation leading to a  
29 broad spectrum of cellular responses. Concentrations used were 5 to 200  $\mu\text{g}/\text{mL}$ , with effects  
30 seen at  $\geq 50$   $\mu\text{g}/\text{mL}$  ROFA. ROFA-induced increases in protein phosphotyrosines were

1 associated with its soluble fraction and were mimicked by V-containing solutions but not iron or  
2 nickel solutions (Samet et al., 1997).

3 ROFA also stimulates respiratory cells to secrete inflammatory cytokines such as IL-6,  
4 IL-8, and TNF. Normal human bronchial epithelial (NHBE) cells exposed to Florida ROFA  
5 produced significant amounts of IL-8, IL-6, and TNF, as well as mRNAs coding for these  
6 cytokines (Carter et al., 1997). Increases in cytokine production were dose-dependent. The  
7 cytokine production was inhibited by the addition of metal chelator, DEF, or the free radical  
8 scavenger dimethylthiourea (DMTU). Similar to the data of Samet et al. (1997), V but not Fe or  
9 Ni compounds were responsible for these effects. Cytotoxicity and decreased cellular  
10 glutathione levels in primary cultures of rat tracheal epithelial (RTE) cells exposed to  
11 suspensions of ROFA indicated that respiratory cells exposed to ROFA were under oxidative  
12 stress. Treatment with buthionine sulfoxamine (an inhibitor of  $\gamma$ -glutamyl cysteine synthetase)  
13 augmented ROFA-induced cytotoxicity; whereas treatment with DMTU that inhibited ROFA-  
14 induced cytotoxicity further suggested that ROFA-induced cell injury may be mediated by  
15 hydroxyl-radical-like reactive oxygen species (ROS; Dye et al., 1997). Using BEAS-2B cells,  
16 a time- and dose-dependent increase in IL-6 mRNA induced by ROFA was shown to be  
17 preceded by the activation of nuclear proteins, for example, nuclear factor- $\kappa$ B (NF- $\kappa$ B; Quay  
18 et al., 1998). Taken together, these studies indicate that exposure to ROFA in high doses  
19 increases oxidative stress, perturbs protein tyrosine phosphate homeostasis, activates NF- $\kappa$ B, and  
20 up-regulates inflammatory cytokine and prostaglandin synthesis and secretion to produce lung  
21 injury.

22 Stringer and Kobzik (1998) observed that “primed” lung epithelial cells exhibited  
23 enhanced cytokine responses to certain particulate materials. Compared to normal cells,  
24 exposure of tumor necrosis factor (TNF)- $\alpha$ -primed A549 cells to ROFA (Boston area) or  
25  $\alpha$ -quartz caused increased IL-8 production in a concentration-dependent manner for particle  
26 concentrations ranging from 0 to 200  $\mu$ g/mL. Addition of the antioxidant N-acetylcysteine  
27 (NAC; 1.0 mM) decreased ROFA and  $\alpha$ -quartz-mediated IL-8 production by about 50% in both  
28 normal and TNF- $\alpha$ -primed A549 cells. Exposure of A549 cells to ROFA caused an increase in  
29 oxidant levels that could be inhibited by NAC. These data suggest that (1) lung epithelial cells  
30 primed by inflammatory mediators show increased cytokine production after exposure to PM  
31 and (2) oxidant stress is an important mechanism for this response.

1 Imrich et al. (2000) found that, when mouse alveolar macrophages were stimulated with  
2 CAPs (PM<sub>2.5</sub>) at a concentration of 100 µg/mL, the resulting TNF responses could be inhibited  
3 by an endotoxin neutralizing agent [e.g., polymyxin-B (PB)]. Because the MIP-2 response  
4 (IL-8) was only partly inhibited by PB, however, the authors concluded that endotoxin primed  
5 AM cells to respond to other particle components. In a related study (Ning et al., 2000), the use  
6 of PB showed that particle-absorbed endotoxin in CAPs suspensions caused activation of normal  
7 (control) AMs, while other (nonendotoxin) components were predominantly responsible for the  
8 enhanced cytokine release observed for primed AMs incubated with CAPs. The non-LPS  
9 component was not identified in this study; however, the AM biological response did not  
10 correlate with any of several elements quantified within the insoluble CAPs samples (e.g., Al,  
11 Cd, Cr, Cu, Fe, Mg, Mn, Ni, S, Ti, V).

12 Osornio-Vargas et al. (2003) compared exposures of mouse monocytes to PM<sub>2.5</sub> or to PM<sub>10</sub>  
13 collected in either southeastern or northern Mexico City, and characterized as to metal and  
14 endotoxin content. Tumor necrosis factor-α and IL-6 were measured from exposures both with  
15 and without recombinant endotoxin-neutralizing protein (rENP). The southeastern PM<sub>10</sub> samples  
16 had the highest endotoxin levels, which correlated with greater cytokine secretion. rENP  
17 reduced cytokine secretion by 50-75%, suggesting to the authors that the endotoxin-independent,  
18 transition metal-dependent mechanism for fine PM contributed to cytotoxicity effects, whereas  
19 an endotoxin-dependent mechanism was responsible for the proinflammatory response to PM<sub>10</sub>.

20 Rat AM exposed to PM<sub>10</sub> collected from both rural and urban sites in Switzerland during  
21 all four seasons demonstrated increased cytotoxicity from all PM samples (Monn et al., 2003).  
22 TNF-α and oxidative radical release were highest with PM collected during non-winter months.  
23 ENP inhibited cytotoxic effects and oxidative radical release, suggesting that endotoxin in some  
24 ambient PM<sub>10</sub> samples during warm months may affect some types of macrophage activity.

25 In central Taiwan, Huang et al. (2002) collected PM<sub>2.5</sub> and PM<sub>10</sub> samples, to which RAW  
26 264.7 cells, a mouse monocyte-macrophage cell line, were then exposed at 40 µg/mL. After 6 h  
27 exposure, either with or without polymyxin B, TNF-α levels were assayed. Higher TNF-α  
28 secretion was stimulated by PM<sub>10</sub>-exposed cells; and polymyxin B inhibited TNF-α by 42% and  
29 32% in PM<sub>10</sub> and PM<sub>2.5</sub> exposures, respectively, suggesting that endotoxin may contribute more  
30 to TNF-α stimulation by coarse than fine fraction particles.



1 Becker et al. (2002) hypothesized that PM activates receptors involved in recognition of  
2 microbial cell structures. They coated model pollution particles with either gram-negative  
3 (*Pseudomonas*) or gram-positive (*Staphylococcus* or *Streptococcus*) bacteria. Three times more  
4 gram-positive bacteria were required to elicit the same level of cytokine induction as gram-  
5 negative bacteria. This inhibition was inhibited by anti-CD14 and required serum. This study  
6 further found a suggested role of Toll-like receptors (TLR) in PM recognition, thus implicating  
7 likely bacterial components as a factor contributing to PM-induced AM inflammatory responses.  
8

9 Becker et al. (2003) exposed human AM to ultrafine ( $< 0.1 \mu\text{m}$ ), fine ( $\text{PM}_{0.1-2.5}$ ) or coarse  
10 ( $\text{PM}_{2.5-10}$ ) particles collected in two urban sites in the Netherlands. IL-6 induction levels and  
11 reductions in CD11b phagocyte receptor expression were positively correlated with particle size.  
12 Induction of IL-6 was inhibited by an antibody to CD14. Yeast-induced oxidative burst and  
13 inhibition of phagocytosis of opsonized yeast was also correlated with size, with the ultrafine  
14 particles having no effect. The authors concluded that human AM recognize microbial cell  
15 structures, which are more prevalent in larger particles, and that exposure to PM is associated  
16 with inflammatory events and decreased pulmonary defenses.

17 In summary, exposure of lung epithelial cells to ambient PM or ROFA leads to increased  
18 production of cytokines and the effects may be mediated, at least in part, through production of  
19 ROS. Day-to-day variations in the components of PM (such as soluble transition metals) which  
20 may be critical to eliciting the response are suggested. The involvement of organic components  
21 (e.g., endotoxins) in ambient PM was also suggested by some studies as contributing to ambient  
22 PM (especially coarse thoracic  $\text{PM}_{10-2.5}$ ) effects on some types of AM functions.  
23

#### 24 **7.4.4 Potential Cellular and Molecular Mechanisms**

25 The numerous studies assessed in the foregoing sections provide evidence for various types  
26 of PM effects on cardiopulmonary system components and functions. Considerable interest and  
27 research attention has been accorded to effects aimed at characterizing specific cellular and  
28 molecular mechanisms underlying PM effects. The ensuing sections highlight information  
29 derived in part from in vivo, but more so, from in vitro, studies that supports identification of  
30 several general types of mechanisms as mediating various PM-induced pathophysiological  
31 responses likely underlying PM effects on cardiopulmonary and other functions. This includes,

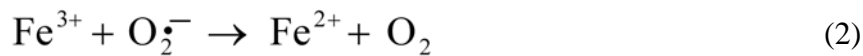
1 in particular, evidence for important involvement in mediating PM effects of (a) reactive oxygen  
2 species; (b) intracellular signaling mechanisms; and (c) other types of mechanisms, e.g., impacts  
3 on sensory nerve receptors.

#### 4 5 **7.4.4.1 Reactive Oxygen Species**

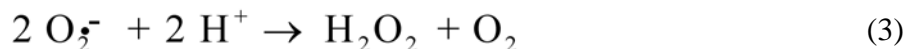
6 These metals are capable of catalyzing the production of reactive free radicals such as the  
7 hydroxyl ( $\cdot\text{OH}$ ) radical through the following reaction:



9 It should be noted that the actual reaction is more complex than given above and is commonly  
10 referred to as the iron-catalyzed Haber-Weiss Reaction or Fenton's Reaction.  $\text{Fe}^{3+}$  produced in  
11 the above reaction can be reduced to  $\text{Fe}^{2+}$  by reactions such as:



12 where  $\text{O}_2^{\cdot-}$  is the superoxide radical. Hydrogen peroxide is formed by



13 This reaction is catalyzed by superoxide dismutase (SOD). SODs are present as Cu-Zn SOD in  
14 cytoplasm, Mn-SOD in mitochondria and extra-cellularly as Cu SOD. Iron will participate in  
15 the above reactions and hydroxyl radicals will continue to be generated so long as there are  
16 sufficient reductants and  $\text{H}_2\text{O}_2$  present. In addition to hydroxyl radicals, electronically excited  
17  $\text{O}_2$  produced in the reactions given above may also be involved in promoting cellular damage.

18 Soluble metals from inhaled PM dissolved into the fluid lining of the airway lumen can  
19 react directly with biological molecules (acting as a reductant in the above reactions) to produce  
20 ROS. For example, ascorbic acid in the human lung epithelial lining fluid can react with Fe(III)  
21 from inhaled PM to cause single strand breaks in supercoiled plasmid DNA,  $\phi\text{X174}$  RFI (Smith  
22 and Aust, 1997). The DNA damage caused by some  $\text{PM}_{10}$  samples can be inhibited by mannitol,

1 an hydroxyl radical scavenger, further confirming the involvement of free radicals in these  
2 reactions (Gilmour et al., 1996; Donaldson et al., 1997; Li et al., 1997). Because the clear  
3 supernatant of the centrifuged PM<sub>10</sub> suspension contained all of the suspension activity, the free  
4 radical activity is derived either from a fraction that is not centrifugable (10 min at 13,000 rpm  
5 on a bench centrifuge) or the radical generating system is released into solution (Gilmour et al.,  
6 1996; Donaldson et al., 1997; Li et al., 1997).

7 In addition to measuring the interactions of ROS and biomolecules directly, the role of  
8 ROS in PM-induced lung injury also can be assessed by measuring the electron spin resonance  
9 (ESR) spectrum of radical adducts or fluorescent intensity of dichlorofluorescein (DCFH), an  
10 intracellular dye that fluoresces on oxidation by ROS. Alternatively, ROS can be inhibited using  
11 free radical scavengers, such as dimethylthiourea (DMTU); antioxidants, such as glutathione or  
12 N-acetylcysteine (NAC); or antioxidant enzymes, such as superoxide dismutase (SOD). The  
13 diminished response to PM after treatment with these antioxidants may indicate the involvement  
14 of ROS; but, some antioxidants (e.g., thiol-containing) can interact with metal ions directly.

15 As described earlier, Kadiiska et al. (1997) used the ESR spectra of 4-POBN [ $\alpha$ -(4-pyridyl  
16 1-oxide)-N-tert-butyl nitron] adducts to measure ROS in rats instilled with ROFA and  
17 demonstrated the association between ROS production within the lung and soluble metals in  
18 ROFA. Using DMTU to inhibit ROS production, Dye et al. (1997) had shown that systemic  
19 administration of DMTU impeded development of the cellular inflammatory response to ROFA,  
20 but did not ameliorate biochemical alterations in BAL fluid. Goldsmith et al. (1998), as  
21 described earlier, showed that ROFA and CAPs caused increases in ROS production in AMs.  
22 The water-soluble component of both CAPs and ROFA significantly increased AM oxidant  
23 production over negative control values. In addition, increased PM-induced cytokine production  
24 was inhibited by NAC. Li et al. (1996, 1997) instilled rats with PM<sub>10</sub> particles (collected on  
25 filters from an Edinburgh, Scotland, monitoring station). Six hours after intratracheal  
26 instillation of PM<sub>10</sub>, they observed a decrease in glutathione (GSH) levels in the BAL fluid.  
27 Although this study does not describe the composition of the PM<sub>10</sub>, the authors suggest that  
28 changes in GSH, an important lung antioxidant, support the contention that the free radical  
29 activity of PM<sub>10</sub> is responsible for its biological activity in vivo.

30 In addition to ROS generated directly by PM, resident or newly recruited AMs or PMNs  
31 also are capable of producing these reactive species on stimulation. The ROS produced during

1 the oxidative burst can be measured using a chemiluminescence (CL) assay. With this assay,  
2 AM CL signals in vitro have been shown to be greatest with ROFA containing primarily soluble  
3 V and were less with ROFA containing Ni plus V (Kodavanti et al., 1998a). As described  
4 earlier, exposures to Dusseldorf and Duisburg PM increased the resting ROS production in  
5 PMNs, which could be inhibited by SOD, catalase, and sodium azide (Hitzfeld et al., 1997).  
6 Stringer and Kobzik (1998) showed that addition of NAC (1.0 mM) decreased ROFA-mediated  
7 IL-8 production by approximately 50% in normal and TNF- $\alpha$ -primed A549 cells. In addition,  
8 exposures of A549 cells to ROFA caused a substantial (and NAC inhibitable) increase in oxidant  
9 levels as measured by DCFH oxidation. In human AMs, Becker et al. (1996) found a CL  
10 response for ROFA, but not urban air particles (Ottawa and Dusseldorf) or volcanic ash.

11 Metal compounds of PM are the most probable species capable of catalyzing ROS  
12 generation on exposure to airborne PM. To determine elemental content and solubility in  
13 relation to their ability to generate ROS, PMN or monocytes were exposed to a wide range of air  
14 particles from divergent sources (one natural dust, two types of oil fly ash, two types of coal fly  
15 ash, five different ambient air samples, and one carbon black sample), and CL production was  
16 measured over a 20-min period postexposure (Pralhad et al., 1999). Percent of sample mass  
17 accounted for by X-ray fluorescence (XRF) detectable elements was 1.2% (carbon black); 22 to  
18 29% (natural dust and ambient air particles); 13 to 22% (oil fly ash particles); and 28 to 49%  
19 (coal fly ash particles). The major proportion of elements in most of these particles were  
20 aluminosilicates and insoluble iron, except oil derived fly ash particles in which soluble  
21 vanadium and nickel were in highest concentration, consistent with particle acidity as measured  
22 in the supernatants. All particles induced CL response in cells, except carbon black. The CL  
23 response of PMNs in general increased with all washed particles, with oil fly ash and one urban  
24 air particle showing statistical differences between deionized water washed and unwashed  
25 particles. These CL activities were significantly correlated with the insoluble Si, Fe, Mn, Ti, and  
26 Co content of the particles. No relationship was found between CL and soluble transition metals  
27 such as V, Cr, Ni, and Cu. Pretreatment of the particles with a metal ion chelator, deferoxamine,  
28 did not affect CL activities. Particle sulfate content and acidity of the particle suspension did not  
29 correlate with CL activity.

30 Soluble metals can be mobilized into the epithelial cells or AMs to produce ROS  
31 intracellularly. Size-fractionated coal fly ash particles (2.5, 2.5 to 10, and < 10  $\mu$ m) of

1 bituminous b (Utah coal), c (Illinois coal), and lignite (Dakota coal) were used to compare the  
2 amount of iron mobilization in A549 cells and by citrate (1 mM) in cell-free suspensions (Smith  
3 et al., 1998). Iron was mobilized by citrate from all three size fractions of all three coal types.  
4 More iron, in Fe(III) form, was mobilized by citrate from the < 2.5- $\mu$ m fraction than from the  
5 > 2.5- $\mu$ m fractions. In addition, the amount of iron mobilized was dependent on the type of coal  
6 used to generate the fly ash (Utah coal > Illinois coal = Dakota coal) but was not related to the  
7 total amount of iron present in the particles. Ferritin (an iron storage protein) levels in A549  
8 cells increased by as much as 12-fold in cells treated with coal fly ash (Utah coal > Illinois  
9 coal > Dakota coal). More ferritin was induced in cells treated with the < 2.5- $\mu$ m fraction than  
10 with the > 2.5- $\mu$ m fractions. Mossbauer spectroscopy of a fly ash sample showed that the  
11 bioavailable iron was associated with the glassy aluminosilicate fraction of the particles (Ball  
12 et al., 2000). As with the bioavailability of iron, there was an inverse correlation between the  
13 production of IL-8 and fly ash particle size, with the Utah coal fly ash being the most potent.

14 Using ROFA and colloidal iron oxide, Ghio et al. (1997b; 1998a,b,c; 1999c; 2000b) have  
15 shown that exposures to these particles disrupted iron homeostasis and induced the production of  
16 ROS in vivo and in vitro. Treatment of animals or cells with metal-chelating agents such as  
17 DEF with an associated decrease in response has been used to infer the involvement of metal in  
18 PM-induced lung injury. Metal chelation by DEF (1 mM) caused significant inhibition of  
19 particulate-induced AM oxidant production, as measured using DCFH (Goldsmith et al., 1998).  
20 DEF treatment also reduced NF- $\kappa$ B activation and cytokine secretion in a human bronchial  
21 epithelial cell line (BEAS-2B cells) exposed to Provo PM (Kennedy et al., 1998). However,  
22 treatment of ROFA suspension with DEF was not effective in blocking leachable metal induced  
23 acute lung injury (Dreher et al., 1997). Dreher et al. (1997) indicated that DEF could chelate  
24 Fe(III) and V(II), but not Ni(II), suggesting that metal interactions played a significant role in  
25 ROFA-induced lung injury.

26 Other than Fe, several V compounds have been shown to increase mRNA levels for  
27 selected cytokines in BAL cells and to induce pulmonary inflammation (Pierce et al., 1996).  
28 NaVO<sub>3</sub> and VOSO<sub>4</sub>, highly soluble forms of V, tended to induce pulmonary inflammation and  
29 inflammatory cytokine mRNA expression more rapidly and intensely than the less soluble form,  
30 V<sub>2</sub>O<sub>5</sub>, in rats. Neutrophil influx was greatest following exposure to VOSO<sub>4</sub> and lowest after  
31 exposure to V<sub>2</sub>O<sub>5</sub>. However, metal components of fly ash have not been shown to consistently

1 increase ROS production from bovine AM treated with combustion particles (Schlüter et al.,  
2 1995). As(III), Ni(II), and Ce(III), major components of fly ash, did inhibit the secretion of  
3 superoxide anions ( $O_2^-$ ) and hydrogen peroxide, but in the same study,  $O_2^-$  were lowered by  
4 Mn(II) and Fe(II), whereas V(IV) increased  $O_2^-$  and  $H_2O_2$ . In contrast, Fe(III) increased  $O_2^-$   
5 production, showing that the oxidation state of metal may influence its oxidant generating  
6 properties. Other fly ash components, e.g., Cd(II), Cr(III), and V(V), had no effects on ROS.

7 It is likely that a combination of several metals rather than a single metal in ambient PM is  
8 responsible for PM-induced cellular responses. For example, V and Ni+V but not Fe or Ni alone  
9 (in saline with the final pH at 3.0) resulted in increased epithelial permeability, decreased  
10 cellular glutathione, cell detachment, and lytic cell injury in rat tracheal epithelial cells exposed  
11 to soluble salts of these metals at equivalent concentrations found in ROFA (Dye et al., 1999).  
12 Treatment of V-exposed cells with buthionine sulfoximine further increased cytotoxicity.  
13 Conversely, treatment with radical scavenger dimethyl thiourea inhibited the effects in a  
14 dose-dependent manner. These results suggest that soluble metal or combinations of several  
15 metals in ROFA may be responsible for these effects.

16 Similar to combustion particles such as ROFA, the biological response to exposure to  
17 ambient PM also may be influenced by the metal content of the particles. Human subjects were  
18 instilled with 500  $\mu$ g (in 20 mL sterile saline) of Utah Valley dust (UVD1, 2, 3, collected during  
19 3 successive years) on the left segmental bronchus and on the right side with sterile saline as  
20 control. Phagocytic cells were obtained from the segmental bronchi on both sides via a second  
21 bronchoscopy at 24 hs post-instillation. Alveolar macrophage from subjects instilled with UVD,  
22 obtained by BAL 24 h post-instillation, were incubated with fluoresceinated yeast  
23 (*Saccharomyces cerevisiae*) to assess their phagocytic ability. Although the same proportion of  
24 AMs that were exposed to UVD phagocytized yeast, AMs exposed to UVD1, (which was  
25 collected while a local steel mill was open), took up significantly less particles than AMs  
26 exposed to other extracts (UVD2 when the steel mill was closed and UVD3 when the plant  
27 reopened). AMs exposed to UVD1 also exhibited a small decrease in oxidant activity (using  
28 dihydrorhodamine-123, DHR). AMs from healthy volunteers were incubated in vitro with the  
29 various UVD extracts to assess whether similar effects on human AMs could be observed to  
30 those seen following in vivo exposure. The percentage of AMs that engulfed yeast particles was  
31 significantly decreased by exposure to UVD1 at 100  $\mu$ g/mL, but not at 25  $\mu$ g/mL. However, the

1 amount of particles engulfed was the same following exposure to all three UVD extracts. AMs  
2 also demonstrated increased oxidant stress (using chemiluminescence) after in vitro exposure to  
3 UVD1, and this effect was not abolished with pretreatment of the extract with the metal chelator  
4 deferoxamine. As with the AMs exposed to UVD in vivo, AM exposed to UVD in vitro had a  
5 decreased oxidant activity (DHR assay). UVD1 contains 61 times and 2 times the amount of Zn  
6 compared to UVD 2 and UVD3, respectively; whereas UVD3 contained 5 times more Fe than  
7 UVD1. Ni and V were present only in trace amounts. Using similarly extracted samples,  
8 Frampton et al. (1999) exposed BEAS-2B cells for 2 and 24 h. Similar results were observed for  
9 oxidant generation in these cells (i.e., UVD 2, which contains the lowest concentrations of  
10 soluble iron, copper, and zinc, produced the least response). Only UVD 3 produced cytotoxicity  
11 at a dose of 500  $\mu\text{g/mL}$ . UVD 1 and 3, but not 2, induced expression of IL-6 and 8 in a  
12 dose-dependent fashion. Taken together, the above results showed that the biological response  
13 to ambient particle extracts is heavily dependent on the source and, hence, the chemical  
14 composition of PM.

#### 16 **7.4.4.2 Intracellular Signaling Mechanisms**

17 In has been shown that the intracellular redox state of the cell modulates the activity of  
18 several transcription factors, including NF- $\kappa\text{B}$ , a critical step in the induction of a variety of  
19 proinflammatory cytokine and adhesion-molecule genes. NF- $\kappa\text{B}$  is a heterodimeric protein  
20 complex that in most cells resides in an inactive state in the cell cytoplasm by binding to  
21 inhibitory kappa B alpha ( $\text{I}\kappa\text{B}\alpha$ ). On appropriate stimulation by cytokines or ROS,  $\text{I}\kappa\text{B}\alpha$  is  
22 phosphorylated and subsequently degraded by proteolysis. The dissociation of  $\text{I}\kappa\text{B}\alpha$  from NF-  
23  $\kappa\text{B}$  allows the latter to translocate into the nucleus and bind to appropriate sites in the DNA to  
24 initiate transcription of various genes. Two in vitro studies (Quay et al., 1998; Kennedy et al.,  
25 1998) have shown the involvement of NF- $\kappa\text{B}$  in particulate-induced cytokine and intercellular  
26 adhesion molecule-1 (ICAM-1) production in human airway epithelial cells (BEAS-2B).  
27 Cytokine secretion was preceded by activation of NF- $\kappa\text{B}$  and was reduced by treatment with  
28 antioxidants or metal chelators. These results suggest that metal-induced oxidative stress may  
29 contribute to the initiation phase of the inflammatory cascade following some PM exposures.

30 A second well-characterized human transcription factor, AP-1, also responds to the  
31 intracellular ROS concentration. AP-1 exists in two forms, either in a homodimer of c-jun

1 protein or a heterodimer consisting of c-jun and c-fos. Small amounts of AP-1 already exist in  
2 the cytoplasm in an inactive form, mainly as phosphorylated c-jun homodimer. Many different  
3 oxidative stress-inducing stimuli, such as UV light and IL-1, can activate AP-1. Exposure of rat  
4 lung epithelial cells to ambient PM in vitro resulted in increases in c-jun kinase activity, levels of  
5 phosphorylated c-jun immunoreactive protein, and transcriptional activation of AP-1-dependent  
6 gene expression (Timblin et al., 1998). This study showed that interaction of ambient particles  
7 with lung epithelial cells initiates a cell signaling cascade related to aberrant cell proliferation.

8 Early response gene transactivation has been linked to the development of apoptosis,  
9 a potential mechanism to account for PM-induced changes in cellular response. Apoptosis of  
10 human AMs exposed to urban PM or ROFA (25 µg/mL) was observed by Holian et al. (1998).  
11 In addition, both urban PM and ROFA upregulated the expression of the RFD1<sup>+</sup> (immune  
12 stimulating macrophages) AM phenotype; whereas only ROFA decreased the RFD1<sup>+7+</sup>  
13 (suppressor macrophages) phenotype. It has been suggested that an increase in the AM  
14 phenotype ratio of RFD1<sup>+</sup>/RFD1<sup>+7+</sup> may be related to disease progression in patients with  
15 inflammatory diseases. These data showed that urban PM and ROFA can induce apoptosis of  
16 human AMs and increase the ratio of AM phenotypes toward a higher immune active state and  
17 may contribute to or exacerbate lung inflammation.

18 Inhaled fine and coarse particles are trapped in the epithelial lining of the nasal and  
19 tracheal airways. Somatosensory neurons located in the dorsal root ganglia (DRG) innervate the  
20 upper thoracic region of the airways and extend their terminals over and between the epithelial  
21 lining of the lumen. Given this anatomical proximity, the sensory fibers and the tracheal  
22 epithelial cells that they innervate encounter inhaled pollutants, such as PM, early during  
23 inhalation. The differential responses of these cell types to PM derived from various sources  
24 (i.e., industrial, residential, volcanic) were examined with biophysical and immunological  
25 endpoints (Veronesi et al., 2002a). Although the majority of PM tested stimulated IL-6 release  
26 in both BEAS-2B epithelial cells and DRG neurons in a receptor-mediated fashion, the degree of  
27 these responses was markedly higher in the sensory neurons. Epithelial cells are damaged or  
28 denuded in many common health disorders (e.g., asthma, viral infections), allowing PM particles  
29 to directly encounter the sensory terminals and their acid-sensitive receptors.

30 Another intracellular signaling pathway that could lead to diverse cellular responses such  
31 as cell growth, differentiation, proliferation, apoptosis, and stress responses to environmental



1 stimuli, is the phosphorylation-dependent, mitogen-activated protein kinase (MAPK).  
2 Significant dose- and time-dependent increases in protein tyrosine phosphate levels have been  
3 seen in BEAS cells exposed to 100 µg/mL ROFA for periods ranging from 5 min to 24 h (Samet  
4 et al., 1997). In a subsequent study, the effects of As, Cr, Cu, Fe, Ni, V, and Zn on the MAPK,  
5 extracellular receptor kinase (ERK), c-jun N-terminal kinase (JNK), and P38 in BEAS cells were  
6 investigated (Samet et al., 1998). Arsenic, V, and Zn induced a rapid phosphorylation of MAPK  
7 in BEAS cells. Activity assays confirmed marked activation of ERK, JNK, and P38 in BEAS  
8 cells exposed to As, V, and Zn; Cr and Cu exposure resulted in a relatively small activation of  
9 MAPK; whereas Fe and Ni did not activate MAPK. Similarly, the transcription factors c-Jun  
10 and ATF-2, substrates of JNK and P38, respectively, were markedly phosphorylated in BEAS  
11 cells treated with As, Cr, Cu, V, and Zn. The same acute exposure to As, V, or Zn that activated  
12 MAPK was sufficient to induce a subsequent increase in IL-8 protein expression in BEAS cells.  
13 All exposures were non-cytotoxic based on measurement of lactate dehydrogenase release and  
14 microscopic examination of trypan blue or propidium iodide exclusion (Samet et al., 1996).  
15 These data suggest that MAPK may mediate metal-induced expression of inflammatory proteins  
16 in human bronchial epithelial cells. The ability of ROFA to induce activation of MAPKs in vivo  
17 was demonstrated by Silbajoris et al. (2000; see Table 7-6). In addition, Gercken et al. (1996)  
18 showed that the ROS production induced by PM was markedly decreased by the inhibition of  
19 protein kinase C as well as phospholipase A<sub>2</sub>. Comparisons of in vitro and in vivo exposures of  
20 ROFA to airway epithelial cells requires consideration of in vivo dosimetry and ambient  
21 concentrations. Therefore, such extrapolations must be made with caution.

22 The major cellular response downstream of ROS and the cell signaling pathways described  
23 above is the production of inflammatory cytokines or other reactive mediators. In an effort to  
24 determine the contribution of cyclooxygenase to the pulmonary responses to ROFA exposure  
25 in vivo, Samet et al. (2000) intratracheally instilled Sprague-Dawley rats with ROFA (200 or  
26 500 µg in 0.5 mL saline). These animals were pretreated ip with 1 mg/kg NS398, a specific  
27 prostaglandin H synthase 2 (COX2) inhibitor, 30 min prior to intratracheal exposure. At 12 h  
28 after intratracheal instillations, ip injections (1 mL of NS398 in 20% ethanol in saline) were  
29 repeated. ROFA treatment induced a marked increase in the level of PGE<sub>2</sub> recovered in the BAL  
30 fluid, which was effectively decreased by pretreating the animals with the COX2 inhibitor.  
31 Immunohistochemical analyses of rat airway showed concomitant expression of COX2 in the

1 proximal airway epithelium of rats treated with soluble fraction of ROFA. This study further  
2 showed that, although COX2 products participated in ROFA induced lung inflammation, the  
3 COX metabolites are not involved in IL-6 expression nor the influx of PMN influx into the  
4 airway. However, the rationale for the use of intraperitoneal challenge was not elaborated.

5 The production of cytokines and mediators also has been shown to depend on the type of  
6 PM used in the experiments. A549 cells (a human airway epithelial cell line) were exposed  
7 in vitro to several particulate materials: carbon black (CB, Elftex-12, Cabot Corp.), diesel soot  
8 from two sources (ND from NIST, LD produced from General Motors LH 6.2 V8 engine at light  
9 duty cycle), ROFA (from the heat exchange section of the Boston Edison), OAA (Ottawa  
10 ambient air PM, EHC-93), SiO<sub>2</sub>, and Ni<sub>3</sub>S<sub>2</sub> at 0.01, 0.03, 0.1, 0.3, 1.0, 3.0, 100, 300, 1000 µg/cm<sup>2</sup>  
11 for 18 h (Seagrave and Nikula, 2000). Endpoints included loss of adherence to tissue culture  
12 substratum as evaluated by crystal violet staining, cell death measured by lactate dehydrogenase  
13 release, mitotic fraction and apoptosis, release of interleukin-8 (IL-8) measured by enzyme-  
14 linked immunosorbent assay, and release of alkaline phosphatase measured by enzymatic  
15 activity using paranitrophenol phosphate. Results indicated that (a) SiO<sub>2</sub> and Ni<sub>3</sub>S<sub>2</sub> caused dose  
16 dependent acute toxicity and apoptotic changes; (b) ROFA and ND were acutely toxic only at the  
17 highest concentrations; (c) SiO<sub>2</sub> (30, 100, 300 µg/cm<sup>2</sup>) and Ni<sub>3</sub>S<sub>2</sub> (10, 30, 100, 300 µg/cm<sup>2</sup>)  
18 increased IL-8 (three and eight times over the control, respectively) but suppressed IL-8 release  
19 at the highest concentration; (d) OAA and ROFA also induced IL-8 but to a lesser degree; and  
20 (e) both diesel soots suppressed IL-8 production. The authors speculated that the suppression of  
21 IL-8 release may contribute to increased respiratory disease as a result of decreased response to  
22 infectious agents. Silicon dioxide and Ni<sub>3</sub>S<sub>2</sub> increased the release of alkaline phosphatase, a  
23 marker of toxic responses, only slightly. The less acutely toxic compounds caused significant  
24 release of alkaline phosphatase. The order of potency in alkaline phosphatase production was  
25 OAA > LD = ND > ROFA >> SiO<sub>2</sub> = Ni<sub>3</sub>S<sub>2</sub>. These results indicate that the type of particle used  
26 has a strong influence on the biological response.

27 Dye et al. (1999) carried out reverse transcriptase-polymerase chain reactions on RNA  
28 from rat tracheal epithelial cells to evaluate changes in steady-state gene expression of IL-6,  
29 MIP-2, and iNOS in cells exposed for 6 h to ROFA (5 µg/cm<sup>2</sup>) and Ni, V, or Ni and V (water-  
30 soluble equivalent metal solution [pH 3.0]). Expression of MIP-2 and IL-6 genes was  
31 significantly upregulated as early as 6 h post-ROFA-exposure in rat tracheal epithelial cells;

1 whereas gene expression of iNOS was maximally increased 24 h postexposure. Vanadium but  
2 not Ni appeared to be mediating the effects of ROFA on gene expression. Treatment with  
3 dimethylthiourea (4 and 40 mm) inhibited both ROFA and V induced gene expression in a dose-  
4 dependent manner.

5 It appears that many biological responses are produced by PM whether it is composed of a  
6 single component or a complex mixture. The newly developed gene array monitors the  
7 expressions of many mediator genes that regulate complex and coordinated cellular events  
8 involved in tissue injury and repair. Using an array consisting of 27 rat genes representing  
9 inflammatory and anti-inflammatory cytokines, growth factors, adhesion molecules, stress  
10 proteins, metalloproteinases, vascular tone regulatory molecules, transcription factors, surfactant  
11 proteins and antioxidant enzymes, Nadadur et al. (2000) measured pulmonary effects in rats 3  
12 and 24 h following intratracheal instillation of ROFA (3.3 mg/kg), NiSO<sub>4</sub> (1.3 μmol/kg), and  
13 VSO<sub>4</sub> (2.2 μmol/kg). Their data revealed a 2- to 3-fold increase in the expression of IL-6 and  
14 TIMP-1 at 24 h post-Ni exposure. The expression of cellular fibronectin (cFn-EIIIA) and iNOS  
15 increased 24 h following ROFA exposure. Cellular fibronectin, interferon, iNOS, ICAM-1 was  
16 increased 24 h following Ni exposure and IL-6 was increased 24 h postexposure in V exposed  
17 animals. There was a modest increase in the expression of SP-A and β-actin genes. There was a  
18 2-fold increase in the expression of IL-6 24 h following exposure to ROFA, Ni, and V using the  
19 Northern blot analysis. A densitometric scan of an autoradiograph of blots stripped and reprobbed  
20 with SP-A cDNA insert indicated a minimal increase in the expression of SP-A, both 3 and 24 h  
21 postexposure in all test groups. The findings in this study suggest that gene array may provide a  
22 tool for screening the expression profile of tissue specific markers following exposure to PM.  
23 However, care should be taken in reviewing such findings because of the variations in dose,  
24 instillation versus inhalation, and the time-course for gene expression.

25 To investigate the interaction between respiratory cells and PM, Kobzik (1995) showed  
26 that scavenger receptors are responsible for AM binding of unopsonized PM and that different  
27 mechanisms mediate binding of carbonaceous dusts such as DPM. In addition, surfactant  
28 components can increase AM phagocytosis of environmental particles in vitro, but only slightly  
29 relative to the already avid AM uptake of unopsonized particles (Stringer and Kobzik, 1996).  
30 Respiratory tract epithelial cells are also capable of binding with PM to secrete cytokine IL-8.  
31 Using a respiratory epithelial cell line (A549), Stringer et al. (1996) found that binding of

1 particles to epithelial cells was calcium-dependent for  $\text{TiO}_2$  and  $\text{Fe}_2\text{O}_3$ , while  $\alpha$ -quartz binding  
2 was not calcium dependent. In addition, as observed in AMs, PM binding by A549 cells also  
3 was mediated by scavenger receptors, albeit those distinct from the heparin-insensitive  
4 acetylated-LDL receptor. Furthermore,  $\alpha$ -quartz, but not  $\text{TiO}_2$  or CAPs, caused a dose-  
5 dependent production of IL-8 (range 1 to 6 ng/mL), demonstrating a particle-specific spectrum  
6 of epithelial cell cytokine (IL-8) response.

#### 7 8 **7.4.4.3 Particle Charge and Stimulation of Sensory Nerve Receptors**

9 Colloidal particles carry an inherently negative surface charge (i.e., zeta potential) that  
10 attracts protons from their vaporous milieu. These protons form a neutralizing, positive ionic  
11 cloud around the individual particle (Hunter, 1981). Several early studies in the 1980s  
12 demonstrated the influence of surface charge on toxicity of particulates. Work by Heck and  
13 Costa (1983), for example, found crystalline NiS,  $\text{Ni}_3\text{S}_2$ , and NiO, all particulates with strong  
14 zeta potentials (i.e., electronegativity) to be more rapidly phagocytosed than amorphous  
15 positively-charged NiS. Additionally, they found that freshly suspended amorphous NiS were  
16 phagocytosed to a greater degree than particles aged for 1 to 7 days in water or culture medium.  
17 These data suggested to the authors that a loss of negative charge during aging is responsible for  
18 decreased phagocytosis, and correspondingly, decreased carcinogenicity. The significance of  
19 particulate aging was also shown by Vallyathan et al. (1988), who compared the effects of  
20 freshly-ground and aged silica in isolated rat AM. Freshly ground silica produced greater  
21 respiratory burst, hydrogen peroxide release, superoxide anion secretion, and cytotoxicity in AM  
22 than the aged dust. The authors suggested that this freshly fractured silica dust is responsible for  
23 the pathogenesis of acute silicosis. A similar relationship between fresh and aged particles was  
24 also observed with coal dust (Dalal et al., 1989). Both bituminous (72% carbon) and anthracite  
25 (95% carbon) coal were ground and assayed for free radical concentration by electron spin  
26 resonance spectroscopy. The freshly-ground anthracite coal had both greater concentrations of  
27 free radicals and greater free radical activity than the bituminous coal. This free radical activity  
28 correlated with toxicity of the coal dust. After several hours of being ground, the coal dust lost  
29 significant free radical activity. Further, Dalal et al. examined lung tissue from coal miners at  
30 autopsy and found free radicals, which they suggested may be available for biological effects  
31 years after deposition.

1 New insights with regard to the potential importance of particle charge have begun to  
2 emerge in connection with the delineation of the important role of sensory nerve receptors in the  
3 initiation of PM inflammation, as demonstrated in a series of newly available studies.  
4 Neuropeptide and acid-sensitive sensory irritant (i.e., capsaicin, VR1) receptors were first  
5 identified on human bronchial epithelial cells (i.e., BEAS-2B). To address whether PM could  
6 initiate airway inflammation through these acid sensitive sensory receptors, BEAS-2B cells were  
7 exposed to ROFA from Birmingham, AL. The BEAS-2B cells responded with an immediate  
8 increase in  $[Ca^{+2}]_i$  at 100  $\mu\text{g}/\text{mL}$  ROFA, followed by a concentration-dependent release of  
9 inflammatory cytokines (i.e., IL-6, IL-8, TNF- $\alpha$ ) and their transcripts at doses of 12-200  $\mu\text{g}/\text{mL}$   
10 (significance levels not given; Veronesi et al., 1999a). To test the relevance of neuropeptide or  
11 capsaicin VR1 receptors to these changes, BEAS-2B cells were pretreated with neuropeptide  
12 receptor antagonists or capsazepine (CPZ), the antagonist for the capsaicin (i.e., VR1) receptor.  
13 The neuropeptide receptor antagonists reduced ROFA-stimulated cytokine release by 25%-50%.  
14 However, pretreatment of cells with CPZ inhibited the immediate increases in  $[Ca^{+2}]_i$ ,  
15 diminished transcript (i.e., IL-6, IL-8, TNF- $\alpha$ ) levels and reduced IL-6 cytokine release to  
16 control levels (Veronesi et al., 1999a). The above studies suggested that ROFA inflammation  
17 was mediated by acid sensitive VR1 receptors located on the sensory nerve fibers that innervate  
18 the airway and on epithelial target cells.

19 Since VR1 irritant receptors were found to respond to acidity (i.e., protonic charge),  
20 experiments have been conducted to see if the surface charge carried by ROFA or other PM  
21 particles could biologically activate cells and stimulate inflammatory cytokine release.  
22 Oortgiesen et al. (2000) measured the mobility of ROFA particles in an electrically charged field  
23 (i.e., micro-electrophoresis) microscopically and calculated their zeta potential. Next, synthetic  
24 polymer microspheres (SPM) i.e., polymethacrylic acid nitrophenylacrylate microspheres were  
25 prepared with attached carboxyl groups to yield SPM particles with a geometric diameter of  
26  $2 \pm 0.1$  and  $6 \pm 0.3$   $\mu\text{m}$  and with negative zeta potentials ( $-29 \pm 0.9$  mV) similar to ROFA  
27 particles. These SPM acted as ROFA surrogates with respect to their size and surface charge,  
28 but lacked all contaminants thought to be responsible for its toxicity (e.g., transition metals,  
29 sulfates, volatile organics and biologicals). Concentrations of SPM at 18.8  $\mu\text{g}/\text{mL}$  and ROFA  
30 particles from Birmingham, AL at 50  $\mu\text{g}/\text{mL}$  were used to test BEAS-2B cells and mouse dorsal  
31 root ganglia (DRG) sensory neurons, both targets of inhaled PM. Equivalent degrees of

1 biological activation (i.e., increase in intracellular calcium,  $[Ca^{+2}]_i$ , IL-6 release) occurred in both  
2 cell types in response to either ROFA or SPM, and both responses could be reduced by  
3 antagonists to VR1 receptors or acid-sensitive pathways. Neutrally charged SPM (i.e., zeta  
4 potential of 0 mV), however, failed to stimulate increases in  $[Ca^{+2}]_i$  or IL-6 release (Oortgiesen  
5 et al., 2000).

6 To expand on these findings, a larger set of PM was obtained from urban (St. Louis,  
7 Ottawa), residential (wood stove), volcanic (Mt. St. Helens), and industrial (oil fly ash, coal fly  
8 ash) sources. Each PM sample was described physicochemically (i.e., size and number of  
9 particles, acidity, zeta potential) and used to test BEAS-2B epithelial cells at a concentration of  
10 10  $\mu\text{g}/\text{mL}$ . The resulting biological effect (i.e., increases in  $[Ca^{+2}]_i$ , IL-6 release) was related to  
11 their physicochemical characteristics. When examined by linear regression analysis, the only  
12 measured physicochemical property that correlated with increases in  $[Ca^{+2}]_i$  and IL-6 release was  
13 the zeta potential of the visible particles ( $r^2 > 0.97$ ; Veronesi et al., 2002b).

14 A recent study (Agopyan et al., 2003) has evaluated the hypothesis that the mechanism by  
15 which negatively-charged PM acts on bronchial epithelial cells and sensory neurons is by  
16 activation of capsaicin-sensitive vanilloid or acid-sensing receptors. They used BEAS-2B cells,  
17 HEK293 cells expressing vanilloid receptors, and rat trigeminal ganglion neurons to which they  
18 exposed negatively charged 2 and 10  $\mu\text{m}$  polystyrene carboxylate-modified particles. They  
19 found that the negatively-charged particles can activate capsazepine- and amiloride-sensitive  
20 proton-gated receptors. This activation leads to increases in intracellular  $Ca^{2+}$ , cyclic AMP, and  
21 IL-6 release. Corroborating this study, Veronesi et al. (2003) conducted similar experiments  
22 using positively- or negatively-charged synthetic polystyrene micells exposures to BEAS-2B  
23 cells. They reported increases in intracellular  $Ca^{2+}$  and IL-6, which they attributed to the  
24 negative charge on the particles. This negative charge, they hypothesize, acquires a cloud of  
25 protons which then activates the proton-sensitive vanilloid and acid-sensitive receptors.

26 Thus, both older and newer studies have provided evidence that both the charge and the  
27 age of the PM are important factors in its toxicity. Also, several newer studies demonstrate a  
28 plausible neurogenic basis for PM inflammation by which the positively-charged proton cloud  
29 associated with negatively-charged colloidal PM particles can activate acid-sensitive VR1  
30 receptors found on human airway epithelial cells and sensory terminals. This activation is  
31 thought to result in an immediate influx of calcium and release of inflammatory cytokines and

1 neuropeptides, which then initiate and sustain inflammatory events in the airways via neurogenic  
2 inflammation (Veronesi and Oortgiesen, 2001).

#### 3 4 **7.4.4.4 Other Potential Cellular and Molecular Mechanisms**

5 A potential mechanism involved in the alteration of surface tension may be related to  
6 changes in the expression of matrix metalloproteinases (MMPs), such as pulmonary matrilysin  
7 and gelatinase A and B, and tissue inhibitor of metalloproteinase (TIMP; Su et al., 2000a,b).  
8 Sprague-Dawley rats exposed to ROFA by intratracheal injection (2.5 mg/rat) had increased  
9 mRNA levels of matrilysin, gelatinase A, and TIMP-1. Gelatinase B, not expressed in control  
10 animals, was increased significantly from 6 to 24 h following ROFA exposure. Alveolar  
11 macrophages, epithelial cells, and inflammatory cells were major cellular sources for the  
12 pulmonary MMP expression. The expression of Gelatinase B in rats exposed to the same dose  
13 of ambient PM (< 1.7  $\mu\text{m}$  and 1.7 to 3.7  $\mu\text{m}$ ) collected from Washington, DC, was significantly  
14 increased as compared to saline control; whereas the expression of TIMP-2 was suppressed.  
15 Ambient PM between 3.7 and 20  $\mu\text{m}$  also increased the Gelatinase B expression. Increases in  
16 MMPs, which degrade most of the extracellular matrix, suggest that ROFA and ambient PM can  
17 similarly increase the total pool of proteolytic activity to the lung and contribute in the  
18 pathogenesis of PM-induced lung injury. Since no control particles were used in this study, the  
19 results must be interpreted with caution because it is possible that any particle administered in  
20 high doses could have a similar effect.

#### 21 22 **7.4.5 Specific Particle Size and Surface Area Effects**

23 Most particles used in laboratory animal toxicology studies are greater than 0.1  $\mu\text{m}$  in size.  
24 However, the enormous number and huge surface area of ultrafine particles highlight the likely  
25 importance of considering the size of the particle in assessing response. Ultrafine particles with  
26 a diameter of 20 nm, when inhaled at the same mass concentration, have a number concentration  
27 that is approximately 6 orders of magnitude higher than for a 2.5- $\mu\text{m}$  diameter particle; particle  
28 surface area is also greatly increased (Table 7-12).

29 Many studies assessed in 1996 PM AQCD, as well as here, suggest that the surface of  
30 particles or substances released from the surface (e.g., transition metals, organics) interact with  
31 biological substrates, and that surface-associated free radicals or free radical-generating

**TABLE 7-12. NUMBERS AND SURFACE AREAS OF MONODISPERSE PARTICLES OF UNIT DENSITY OF DIFFERENT SIZES AT A MASS CONCENTRATION OF 10  $\mu\text{g}/\text{m}^3$**

Particle Diameter ( $\mu\text{m}$ )	Particle Number (per $\text{cm}^3$ air)	Particle Surface Area ( $\mu\text{m}^2$ per $\text{cm}^3$ air)
0.02	2400000	3016
0.1	19100	600
0.5	153	120
1	19	60
2.5	1.2	24

Source: Oberdörster (1996a).

1 systems may be responsible for toxicity. Thus, if ultrafine particles were to cause toxicity by a  
 2 transition metal-mediated mechanism, for example, then the relatively large surface area for a  
 3 given mass of ultrafine particles would imply high concentrations of transition metals being  
 4 available to cause oxidative stress to cells.

5 Two groups have examined toxicity differences between fine and ultrafine particles, with  
 6 the general finding that ultrafine particles show a significantly greater response at similar mass  
 7 doses (Oberdörster et al., 1992; Li et al., 1996, 1997, 1999). However, only a few studies have  
 8 investigated the ability of ultrafine particles to generate a greater oxidative stress when compared  
 9 to fine particles of the same material. Studies by Gilmour et al. (1996) have shown that, at equal  
 10 mass, ultrafine  $\text{TiO}_2$  caused more plasmid DNA strand breaks than fine  $\text{TiO}_2$ . This effect could  
 11 be inhibited with mannitol. Osier and Oberdörster (1997) compared the response of rats (F344)  
 12 exposed by intratracheal inhalation to “fine” (~250 nm) and “ultrafine” (~21 nm)  $\text{TiO}_2$  particles  
 13 and found the ultra fine particles to be more effective in producing lung inflammatory responses  
 14 as indexed by several markers.

15 Consistent with these in vivo studies, Finkelstein et al. (1997) has shown that exposing  
 16 primary cultures of rat Type II cells to 10  $\mu\text{g}/\text{mL}$  ultrafine  $\text{TiO}_2$  (20 nm) causes increased TNF  
 17 and IL-1 release throughout the entire 48-h incubation period. In contrast, fine  $\text{TiO}_2$  (200 nm)  
 18 had no effect. In addition, ultrafine polystyrene carboxylate-modified microspheres (UFP,



1 fluorospheres, molecular probes  $44 \pm 5$  nm) have been shown to induce a significant  
2 enhancement of both substance P and histamine release after administration of capsaicin  
3 ( $10^{-4}$  M), to stimulate C-fiber, and carbachol ( $10^{-4}$  M), a cholinergic agonist in rabbit  
4 intratracheally instilled with UFP (Nemmar et al., 1999). A significant increase in histamine  
5 release also was recorded in the UFP-instilled group following the administration of both  
6 Substance P ( $10^{-6}$  M) plus thiorpan ( $10^{-5}$  M) and compound 48/80 (C48/80,  $10^{-3}$  M) to stimulate  
7 mast cells. Bronchoalveolar lavage analysis showed an influx of PMN, an increase in total  
8 protein concentration, and an increase in lung wet weight/dry weight ratio. Electron microscopy  
9 showed that both epithelial and endothelial injuries were observed. The pretreatment of rabbits  
10 in vivo with a mixture of either SR 140333 and SR 48368, a tachykinin NK<sub>1</sub> and NK<sub>2</sub> receptor  
11 antagonist, or a mixture of terfenadine and cimetidine, a histamine H<sub>1</sub> and H<sub>2</sub> receptor  
12 antagonist, prevented UFP-induced PMN influx and increased protein and lung WW/DW ratio.

13 It is believed that ultrafine particles cause greater cellular injury because of the relatively  
14 large surface area for a given mass. In addition, the fate of ultrafines after deposition is also  
15 different in that they interact more rapidly with epithelial target cells rather than to be  
16 phagocytized by alveolar macrophages. However, in a study that compared the response to  
17 carbon black particles of two different sizes, Li et al. (1999) demonstrated that in the instillation  
18 model, a localized dose of particle over a certain level causes the particle mass to dominate the  
19 response, rather than the surface area. Ultrafine carbon black (ufCB, Printex 90), 14 nm in  
20 diameter, and fine carbon black (CB, Huber 990), 260 nm in diameter, were instilled  
21 intratracheally in rats, and BAL profile at 6 h was assessed. At mass of 125  $\mu$ g or below, ufCB  
22 generated a greater response (increase LDH, epithelial permeability, decrease in GSH, TNF, and  
23 NO production) than fine CB at various times postexposure. However, higher doses of CB  
24 caused more PMN influx than the ufCB. In contrast to the effect of CB, which showed dose-  
25 related increasing inflammatory response, ufCB at the highest dose caused less of a neutrophil  
26 influx than at the lower dose, confirming earlier work by Oberdörster et al. (1992). Moreover,  
27 when the PMN influx was expressed as a function of surface area, CB produced greater response  
28 than ufCB at all doses used in this study. Although particle interstitialization with a consequent  
29 change in the chemotatic gradient for PMN was offered as an explanation, these results need  
30 further scrutiny. Moreover, these findings imply that mass is relatively less important than  
31 surface area and that the latter metric may be more useful for assessing PM toxicity. However, it

1 is unclear if this finding is restricted to the particular endpoints addressed and/or carbon black,  
2 the PM compound studied.

3 Oberdörster et al. (2000) reported on a series of studies in rats and mice using ultrafine  
4 particles of various chemical composition. In rats sensitized with endotoxin (70 EU) and  
5 exposed to ozone (1 ppm) plus ultrafine carbon particles ( $\sim 100 \mu\text{g}/\text{m}^3$ ), they found a 9-fold  
6 greater release of reactive oxygen species in old rats (20 mo) than in similarly treated young rats  
7 (10 wk). Exposure to ultrafine PM alone in sensitized old rats also caused an inflammatory  
8 response.

9 Although the potential mechanisms of ultrafine-induced lung injury remain unclear, it is  
10 likely that ultrafine particles, because of their small size, are not effectively phagocytized by  
11 alveolar macrophages and can easily penetrate the airway epithelium, gaining access to the  
12 interstitium. Using electron microscopy, Churg et al. (1998) examined particle uptake in rat  
13 tracheal explants. Explants were submerged in a 5 mg/mL suspension of either fine ( $0.12 \mu\text{m}$ ) or  
14 ultrafine ( $0.021 \mu\text{m}$ )  $\text{TiO}_2$  particles in Dulbecco's minimal Eagle's medium, without serum and  
15 examined after 3 or 7 days. They found both size particles in the epithelium at both time points;  
16 but, in the subepithelial tissues, only at day 7. The volume proportion (the volume of  $\text{TiO}_2$  over  
17 the entire volume of epithelium or subepithelium area) of both fine and ultrafine particles in the  
18 epithelium increased from 3 to 7 days. It was greater for ultrafine at 3 days but was greater for  
19 fine at 7 days. The volume proportion of particles in the subepithelium at day 7 was equal for  
20 both particles, but the ratio of epithelial to subepithelial volume proportion was 2:1 for fine and  
21 1:1 for ultrafine. Ultrafine particles persisted in the tissue as relatively large aggregates; whereas  
22 the size of fine particle aggregates became smaller over time. Ultrafine particles appeared to  
23 enter the epithelium faster and, once in the epithelium, a greater proportion of them were  
24 translocated to the subepithelial space compared to fine particles. However, the authors assumed  
25 that the volume proportion is representative of particle number and the number of particles  
26 reaching the interstitial space is directly proportional to the number applied (i.e., there is no  
27 preferential transport from lumen to interstitium by size). These data are in contrast to the  
28 results of instillation or inhalation of fine and ultrafine  $\text{TIO}_2$  particles reported earlier (Ferin  
29 et al., 1990, 1992). However, the explant and intratracheal instillation test systems differ in  
30 many aspects, making direct comparisons difficult. Limitations of the explant test system  
31 include traumatizing the explanted tissue, introducing potential artifacts through the use of liquid

1 suspension for exposure, the absence of inflammatory cells, and possible overloading of the  
2 explants with dust.

3 Two studies examined the influence of specific surface area on biological activity (Lison  
4 et al., 1997; Oettinger et al., 1999). The biological responses to various MnO<sub>2</sub> dusts with  
5 different specific surface area (0.16, 0.5, 17, and 62 m<sup>2</sup>/g) were compared in vitro and in vivo  
6 (Lison et al., 1997). In both systems, the results show that the amplitude of the response is  
7 dependent on the total surface area that is in contact with the biological system, indicating that  
8 surface chemistry phenomena are involved in the biological reactivity. Freshly ground particles  
9 with a specific surface area of 5 m<sup>2</sup>/g also were examined in vitro. These particles exhibited an  
10 enhanced cytotoxic activity that was almost equivalent to that of particles with a specific surface  
11 area of 62 m<sup>2</sup>/g, indicating that undefined reactive sites produced at the particle surface by  
12 mechanical cleavage also may contribute to the toxicity of insoluble particles.

13 In another study (Oettinger et al., 1999), two types of carbon black particles were used:  
14 (1) Printex 90 or P90 (formed by controlled combustion and consisting of defined granules with  
15 specific surface area of 300 m<sup>2</sup>/g and particle size of 14 nm) is predominantly loaded with  
16 metallic components (< 100 ppm Fe; < 50 ppm Pb; < 10 ppm Se; < 10 ppm As; < 10 ppm Zn);  
17 and (2) soot FR 101 (with specific surface area of 20 m<sup>2</sup>/g, particle size of < 95 nm) has the  
18 ability to adsorb polycyclic and other carbons. Exposure of AMs to 100 µg/10<sup>6</sup> cells of FR 101  
19 and P90 resulted in a 1.4- and 2.1-fold increase in ROS release, respectively. These exposures  
20 also caused a 4-fold up-regulation of NF-κB gene expression. This suggests that carbon  
21 particles with larger surface area produce greater biological response than carbon particles with  
22 smaller surface area. Another study by Schluter et al. (1995), showed that by exposing bovine  
23 AMs to metal oxide coated silica particles, most of the metal coatings (As, Ce, Fe, Mn, Ni, Pb,  
24 and V) had no effect on ROS production by these cells. However, coating with CuO markedly  
25 lowered the O<sub>2</sub><sup>-</sup> and H<sub>2</sub>O<sub>2</sub>, whereas V(IV) increases both reactive oxygen intermediates (ROI).  
26 This study demonstrated that, in addition to specific surface area, chemical composition of the  
27 particle surface also influences its cellular response.

28 Thus, ultrafine particles apparently have the potential to significantly contribute to the  
29 adverse effects of PM. These studies, however, have not considered the portion of ambient  
30 ultrafine particles not solid in form. Droplets (e.g., sulfuric acid droplets) and organic-based

1 ultrafine particles exist in the ambient environment; and they can spread, disperse, or dissolve  
2 after contact with liquid surface layers and may thereby contribute further to PM-related effects.

3

4

## 7.5 FACTORS AFFECTING SUSCEPTIBILITY TO PARTICULATE MATTER EXPOSURE EFFECTS

Susceptibility of an individual to adverse health effects of PM can vary depending on a variety of host factors such as age, physiological activity profile, genetic predisposition, or preexistent disease. The potential for preexistent disease to alter pathophysiological responses to toxicant exposure is widely acknowledged but poorly understood. Epidemiologic studies have demonstrated that the effects of PM exposure tend to be more evident in populations with pre-existing disease; and it is logical that important mechanistic differences may exist among these populations. However, because of inherent variability (necessitating large numbers of subjects) and ethical concerns associated with using diseased subjects in clinical research studies, a solid database on human susceptibilities is lacking. For more control over both environmental and host variables, animal models are often used. Many laboratory studies have shown alterations in a variety of endpoints in experimental animals following exposure to laboratory-generated particles. These findings (e.g., increased pulmonary inflammation, increased airway resistance, and decrements in pulmonary host defenses) may be of limited value because of uncertainties in extrapolating between the laboratory-generated particles and actual ambient air particle mixes. Thus, care must be taken in extrapolation from animal models of human disease to humans. Rodent models of human disease, their use in toxicology, and the criteria for judging their appropriateness as well as their limitations must be considered (Kodavanti et al., 1998b; Kodavanti and Costa, 1999; Costa, 2000; Conn et al., 2000; Bice et al., 2000; Mauderly et al., 2000; Muggenburg et al., 2000b).

### 7.5.1 Pulmonary Effects of Particulate Matter in Compromised Hosts

Epidemiologic studies suggest that there may be subsegments of human populations that are especially susceptible to effects from inhaled particles (see Chapter 8). The elderly with chronic cardiopulmonary disease, those with pneumonia and possibly other lung infections, and those with asthma (at any age) appear to be at higher risk than healthy people of similar age. Apropos to this, although many of the newly available toxicology studies used healthy adult animals, a growing number of other newer studies examined effects of ambient or surrogate particles in compromised host models. For example, Costa and Dreher (1997) used a rat model of cardiopulmonary disease to explore the question of susceptibility and possible mechanisms by

1 which PM effects are potentiated. Rats with advanced monocrotaline (MCT)-induced  
2 pulmonary vasculitis/hypertension were given intratracheal instillations of ROFA (0, 0.25,  
3 1.0, and 2.5 mg/rat ). The MCT animals had a marked neutrophilic inflammation. In the context  
4 of this inflammation, ROFA induced a 4- to 5-fold increase in BAL PMNs. There was also a  
5 ROFA dose dependent increased mortality at 96 h postexposure.

6 As discussed previously, Kodavanti et al. (1999) also studied PM effects in the MCT rat  
7 model of pulmonary disease. Rats treated with 60 mg/kg MCT were exposed to 0, 0.83 or  
8 3.3 mg/kg ROFA by intratracheal instillation and to 15 mg/m<sup>3</sup> ROFA by inhalation. Both  
9 methods of exposure caused inflammatory lung responses; and ROFA exacerbated the lung  
10 lesions, as shown by increased lung edema, inflammatory cells, and alveolar thickening.

11 The manner in which MCT can alter the response of rats to inhaled particles was examined  
12 by Madl and colleagues (1998). Rats were exposed to fluorescent colored microspheres (1 µm)  
13 2 wks after treatment with MCT. In vivo phagocytosis of the microspheres was altered in the  
14 MCT rats in comparison with control animals. Fewer microspheres were phagocytized in vivo  
15 by alveolar macrophages, and there was a concomitant increase in free microspheres overlaying  
16 the epithelium at airway bifurcations. The decrease in in vivo phagocytosis was not  
17 accompanied by a similar decrease in vitro. Macrophage chemotaxis, however, was impaired  
18 significantly in MCT rats compared with control rats. Thus, MCT appeared to impair particle  
19 clearance from the lungs via inhibition of macrophage chemotaxis.

20 Respiratory infections are common in all individuals. The infections are generally cleared  
21 quickly, depending on the virulence of the organism; however, in individuals with immunologic  
22 impairment or lung diseases such a COPD, the residence time in the lung is extended. A variety  
23 of viral and bacterial agents have been used to develop infection models in animals. Viral  
24 infection models primarily use mice and rats. The models focus on the proliferation and  
25 clearance of the microorganisms and the associated pulmonary effect. The models range from  
26 highly virulent and lethal (influenza A/Hong Kong/8/68, H3N2) to nonlethal (rat-adapted  
27 influenza virus model [RAIV]). The lethal model terminates in extensive pneumonia and lung  
28 consolidation. Less virulent models (A/Port Chalmers/1/73 and H3N2) exhibit airway epithelial  
29 damage and immune responses. The non-lethal model exhibits airway reactivity that subsides,  
30 with recovery being complete in about 2 wks (Kodavanti et al., 1998b). Bacterial infection  
31 models mimic the chronic bacterial infections experienced by humans with other underlying

1 disease conditions. The animal models develop signs similar to those in humans but to a milder  
2 degree. To mimic the chronic infections, the bacteria are encased in agar beads to prevent rapid  
3 clearance. Generally, the models involve pre-exposure to the irritant followed by the bacterial  
4 challenge. More recently, bacterial infection models have involved pre-exposure by the bacteria  
5 followed by exposure to the irritant (Kodavanti et al., 1998b).

6 Elder et al. (2000a,b) exposed 8-wk to 22-mo old Fischer 344 rats and 14- to 17-mo old T<sub>sk</sub>  
7 mice to 100 µg/m<sup>3</sup> of ultrafine carbon (UF) and/or 1.0 ppm O<sub>3</sub> for 6 hs after a 12 min exposure to  
8 a low dose (70 EU) of endotoxin (lipopolysaccharide, LPS). The ultrafine carbon had a small  
9 effect on lung inflammation and inflammatory cell activation. The effects were enhanced in the  
10 compromised lung and in older animals. The greatest effect was in the compromised lung  
11 exposed to both ultrafine carbon and ozone.

12 Chronic bronchitis is the most prevalent of the COPD-related illnesses. In humans, chronic  
13 bronchitis is characterized by pathologic airway inflammation and epithelial damage, mucus cell  
14 hyperplasia and hypersecretion, airway obstruction and in advance cases, airway fibrosis. The  
15 most widely used animal models of bronchitis (rat and dog) are those produced by subchronic  
16 exposure to high concentrations of SO<sub>2</sub> (150 to 600 ppm) for 4 to 6 wks. Exposure to SO<sub>2</sub>  
17 produces changes in the airways similar to those of chronic bronchitis in humans. There is an  
18 anatomical difference between the rat and the human in the absence of submucosal glands in the  
19 rat. However, like humans, rats exhibit increased airway responsiveness to inhaled  
20 bronchoconstricting agonists. Sulfur dioxide-induced lesions include increased numbers of  
21 epithelial mucus-producing cell, loss of cilia, airway inflammation, increased pro-inflammatory  
22 cytokine expression, and thickening of the airway epithelium. When the cause of the chronic  
23 bronchitis is removed, the pathology slowly reverses. The time course and the extent of reversal  
24 differs between the human and rodent. Consequently, care should be exercised when applying  
25 this model (Kodavanti et al., 1998b).

26 The sulfur dioxide (SO<sub>2</sub>)-induced model of chronic bronchitis has been used to examine the  
27 potential interaction of PM with preexisting lung injury. Clarke and colleagues pretreated  
28 Sprague-Dawley rats for 6 wks with air or 170 ppm SO<sub>2</sub> for 5 h/day and 5 days/wk (Clarke et al.,  
29 1999; Saldiva et al., 2002). Exposure to concentrated ambient air particles (CAPs) for 5 h/day  
30 for 3 days to concentrations ranging from 73.5 to 733 µg/m<sup>3</sup> produced significant changes in  
31 both cellular and biochemical markers in lavage fluid. In comparison to control animal values,

1 protein was increased approximately 3-fold in SO<sub>2</sub>-pretreated animals exposed to concentrated  
2 ambient PM. Lavage fluid neutrophils and lymphocytes were increased significantly in both  
3 groups of rats exposed to concentrated ambient PM, with greater increases in both cell types in  
4 the SO<sub>2</sub>-pretreated rats. Thus, exposure to concentrated ambient PM produced adverse changes  
5 in the respiratory system, but no deaths, in both normal rats and in a rat model of chronic  
6 bronchitis.

7 Clarke et al. (2000b) next examined the effect of CAPs from Boston, MA, in normal rats of  
8 different ages. Unlike the earlier study that used Sprague-Dawley rats, 4- and 20-mo-old Fischer  
9 344 rats were examined after exposure to concentrated ambient PM for 5 h/day for 3 consecutive  
10 days. They found that exposure to the daily mean concentrations of 80, 170, and 50 µg/m<sup>3</sup> PM,  
11 respectively, produced statistically significant increases in total neutrophil counts (over 10-fold)  
12 in lavage fluid of the young, but not the old, rats. Thus, repeated exposure to relatively low  
13 concentrations of ambient PM produced an inflammatory response, although the actual percent  
14 neutrophils in the concentrated ambient PM-exposed young adult rats was low (~3%). On the  
15 other hand, Gordon et al. (2000) found no evidence of neutrophil influx in the lungs of normal  
16 and monocrotaline-treated Fischer 344 rats exposed in nine separate experiments to concentrated  
17 ambient PM from New York, NY at concentrations as high as 400 µg/m<sup>3</sup> for a 6-h exposure or  
18 192 µg/m<sup>3</sup> for three daily 6-h exposures. Similarly, normal and cardiomyopathic hamsters  
19 showed no evidence of pulmonary inflammation or injury after a single exposure to the same  
20 levels of concentrated ambient PM. Gordon and colleagues did report a statistically significant  
21 doubling in protein concentration in lavage fluid in MCT-treated rats exposed for 6 h to  
22 400 µg/m<sup>3</sup> New York City CAPs.

23 Kodavanti and colleagues (1998b) also have examined the effect of CAPs in normal rats  
24 and rats with sulfur dioxide-induced chronic bronchitis. Among the four separate exposures to  
25 PM, there was a significant increase in lavage fluid protein in bronchitic rats from only one  
26 exposure protocol in which the rats were exposed to 444 and 843 µg/m<sup>3</sup> PM on 2 consecutive  
27 days (6 h/day). Neutrophil counts were increased in bronchitic rats exposed to concentrated  
28 ambient PM in three of the four exposure protocols, but was decreased in the fourth protocol.  
29 No other changes in normal or bronchitic rats were observed, even in the exposure protocols  
30 with higher PM concentrations. Thus, rodent studies have demonstrated that inflammatory  
31 changes can be produced in normal and compromised animals exposed to CAPs. These findings



1 are important because only a limited number of studies have used real-time inhalation exposures  
2 to actual ambient urban PM.

3 Pulmonary function measurements are often less invasive than other means to assess the  
4 effects of inhaled air pollutants on the mammalian lung. After publication of the 1996 PM  
5 AQCD, a number of investigators examined the response of rodents and dogs to inhaled ambient  
6 particles. In general, these investigators have demonstrated that ambient PM has minimal effects  
7 on pulmonary function. Gordon et al. (2000) exposed normal and monocrotaline-treated rats to  
8 filtered air or 181  $\mu\text{g}/\text{m}^3$  concentrated ambient PM for 3 h. For both normal and monocrotaline-  
9 treated rats, no differences in lung volumes or diffusing capacities for carbon monoxide were  
10 observed between the air or PM exposed animals at 3 or 24 h after exposure. Similarly, in  
11 cardiomyopathic hamsters, concentrated ambient PM had no effect on these same pulmonary  
12 function measurements.

13 Other pulmonary function endpoints have been studied in animals exposed to concentrated  
14 ambient PM. Clarke et al. (1999) observed that tidal volume was increased slightly in both  
15 control rats and rats with sulfur dioxide-induced chronic bronchitis exposed to 206 to 733  $\mu\text{g}/\text{m}^3$   
16 PM on 3 consecutive days. No changes in peak expiratory flow, respiratory frequency, or  
17 minute volume were observed after exposure to concentrated ambient PM. In the series of dog  
18 studies by Godleski et al. (2000; also see Section 7.3), no significant changes in pulmonary  
19 function were observed in normal mongrel dogs exposed to concentrated ambient PM, although  
20 a 20% decrease in respiratory frequency was observed in dogs that underwent coronary artery  
21 occlusion and were exposed to PM. Thus, studies using normal and compromised animal  
22 models exposed to concentrated ambient PM have found minimal biological effects of ambient  
23 PM on pulmonary function.

24 Kodavanti et al. (2000b; 2001) used genetically predisposed spontaneously hypertensive  
25 (SH) rats as a model of cardiovascular disease to study PM-related susceptibility. The SH rats  
26 were more susceptible to acute pulmonary injury from intratracheal ROFA exposure than  
27 normotensive control Wistar Kyoto (WKY) rats (Kodavanti et al., 2001). The primary metal  
28 constituents of ROFA, V and Ni, caused differential species-specific effects. Vanadium, which  
29 was less toxic than Ni in both strains, caused inflammatory responses only in WKY rats;  
30 whereas Ni was injurious to both WKY and SH rats (SH > WKY). This differential  
31 responsiveness of V and Ni was correlated with their specificity for airway and parenchymal

1 injury, discussed in another study (Kodavanti et al., 1998b). When exposed to the same ROFA  
2 by inhalation (15 mg/m<sup>3</sup>, 6 h/d, 3 days), protein levels in BAL of both WKY and SH increased  
3 significantly, but the increase in SH rats was greater than that of the WKY rats (Kodavanti et al.,  
4 2000b). The SH rats exhibited a hemorrhagic response to ROFA. Oxidative stress was much  
5 higher in ROFA exposed SH rats than matching WKY rats. Also, SH rats, unlike WKY rats,  
6 showed a compromised ability to increase BAL glutathione in response to ROFA, suggesting  
7 a potential link to increased susceptibility. However, lactate dehydrogenase and  
8 n-acetylglucosaminidase activities were higher in WKY rats. Lactate dehydrogenase was  
9 slightly higher in SH rats instilled with ROFA (Kodavanti et al., 2001). Cardiovascular effects  
10 were characterized by ST-segment area depression of the ECG in ROFA-exposed SH but not  
11 WKY rats. When the same rats were exposed to ROFA by inhalation to 15 mg/m<sup>3</sup>, 6 h/d, 3 d/wk  
12 for 1, 2, or 4 wk compared to intratracheal exposure to 0, 1.0, 5.0 mg/kg in saline (Kodavanti  
13 et al., 2002), differences in effects were dependent on the length of exposure. After acute  
14 exposure, increased plasma fibrinogen was associated with lung injury; longer-term, episodic  
15 ROFA exposure resulted in progressive protein leakage and inflammation that was significantly  
16 worse in SH rats when compared to WKY rats. These studies demonstrate the potential utility of  
17 cardiovascular disease models for the study of PM health effects and show that genetic  
18 predisposition to oxidative stress and cardiovascular disease may play a role in increased  
19 sensitivity to PM-related cardiopulmonary injury.

20 On the basis of in vitro studies, Sun et al. (2001) predicted that the antioxidant and lipid  
21 levels in the lung lining fluid may determine susceptibility to inhaled PM. In a subsequent study  
22 from the same laboratory, Norwood et al. (2001) conducted inhalation studies on guinea pigs to  
23 test this hypothesis. On the basis of dietary supplementation or depletion of ascorbic acid and  
24 glutathione (GSH) the guinea pigs were divided into four groups: (+C + GSH), (+C - GSH),  
25 (-C + GSH), and (-C - GSH). All groups were exposed (nose-only) for 2 h to clean air or  
26 ROFA (< 2.5 µm) at 19-25 mg/m<sup>3</sup>. Nasal lavage and BAL fluid and cells were examined at 0 h  
27 and 24 h postexposure. Exposure to ROFA increased lung injury in the (-C-GSH) group only (as  
28 shown by increased BAL fluid protein, LDH, and PMNs and decreased BAL macrophages) and  
29 resulted in lower antioxidant concentrations in BAL fluid than were found with single  
30 deficiencies.

1 In summary, although more of these studies are just beginning to emerge and are only now  
2 being replicated or followed more thoroughly to investigate underlying mechanisms, they do  
3 provide evidence suggestive of enhanced susceptibility to inhaled PM in “compromised” hosts.  
4

## 5 **7.5.2 Genetic Susceptibility to Inhaled Particles and Their Constituents**

6 A key issue in understanding adverse health effects of inhaled ambient PM is identification  
7 of which classes of individuals are susceptible to PM. Although factors such as age and health  
8 status have been studied in both epidemiology and toxicology studies, some investigators have  
9 begun to examine the importance of genetic susceptibility in the response to inhaled particles  
10 because of evidence that genetic factors play a role in the response to inhaled pollutant gases.  
11 To accomplish this goal, investigators typically have studied the interstrain response to particles  
12 in rodents. The response to ROFA instillation in different strains of rats has been investigated by  
13 Kodavanti et al. (1996, 1997a). In the first study, male Sprague-Dawley (SD) and Fischer-344  
14 (F-344) rats were instilled intratracheally with saline or ROFA particles (8.3 mg/kg). ROFA  
15 instillation produced an increase in lavage fluid neutrophils in both SD and F-344 rats; whereas a  
16 time-dependent increase in eosinophils occurred only in SD rats. In the subsequent study  
17 (Kodavanti et al., 1997a), SD, Wistar (WIS), and F-344 rats (60 days old) were exposed to saline  
18 or ROFA (8.3 mg/kg) by intratracheal instillation and examined for up to 12 wks. Histology  
19 indicated focal areas of lung damage showing inflammatory cell infiltration as well as alveolar,  
20 airway, and interstitial thickening in all three rat strains during the week following exposure.  
21 Trichrome staining for fibrotic changes indicated a sporadic incidence of focal alveolar fibrosis  
22 at 1, 3, and 12 wks in SD rats; whereas WIS and F-344 rats showed only a modest increase in  
23 trichrome staining in the septal areas. One of the isoforms of fibronectin mRNA was  
24 upregulated in ROFA-exposed SD and WIS rats, but not in F-344 rats. Thus, in rats there  
25 appears to be a genetic based difference in susceptibility to lung injury induced by instilled  
26 ROFA.

27 Differences in the degree of pulmonary inflammation have been described in rodent strains  
28 exposed to airborne pollutants. To understand the underlying causes, signs of airway  
29 inflammation (i.e., airway hyper-responsiveness, inflammatory cell influx) were established in  
30 responsive (BABL/c) and non-responsive (C57BL/6) mouse strains exposed to ROFA (Veronesi  
31 et al., 2000). Neurons taken from the ganglia (i.e., dorsal root ganglia) that innervate the nasal

1 and upper airways were cultured from each mouse strain and exposed to 25 or 50  $\mu\text{g}/\text{mL}$  ROFA  
2 for 4 h. The difference in inflammatory response noted in these mouse strains in vivo was  
3 retained in culture, with C57BL/6 neurons showing significantly lower signs of biological  
4 activation (i.e., increased intracellular calcium levels) and cytokine (i.e., IL-6, IL-8) release  
5 relative to BALB/c mice. RT-PCR and immunocytochemistry indicated that the BALB/c mouse  
6 strain had a significantly higher number of neuropeptide and acid-sensitive (i.e., NK1, VR1)  
7 sensory receptors on their sensory ganglia relative to the C57BL/6 mice. Such data indicate that  
8 genetically-determined differences in sensory inflammatory receptors can influence the degree  
9 of PM-induced airway inflammation.

10 Kleeberger and colleagues have examined the role that genetic susceptibility plays in the  
11 effect of inhaled acid-coated particles on macrophage function. Nine inbred strains of mice were  
12 exposed nose-only to very high doses of carbon particles coated with acid (10  $\text{mg}/\text{m}^3$  carbon  
13 with 285  $\mu\text{g}/\text{m}^3$  sulfate) for 4 h (Ohtsuka et al., 2000a). Significant inter-strain differences in  
14 Fc-receptor-mediated macrophage phagocytosis were seen with C57BL/6J mice being the most  
15 sensitive. Although neutrophil counts were increased more in C3H/HeO<sub>u</sub>J and C3H/HeJ strains  
16 of mice than in the other strains, the overall magnitude of change was small and not correlated  
17 with the changes in macrophage phagocytosis. In follow-up studies using the same type particle,  
18 Ohtsuka et al. (2000a,b) performed a genome-wide scan with an intercross cohort derived from  
19 C57BL/6J and C3H/HeJ mice. Analyses of phenotypes of segregant and nonsegregant  
20 populations derived from these two strains indicate that two unlinked genes control  
21 susceptibility. They identified a 3-centiMorgan segment on mouse chromosome 17 which both  
22 contains an acid-coated particle susceptibility locus. Interestingly, this quantitative trait locus  
23 (a) overlaps with those described for ozone-induced inflammation (Kleeberger et al., 1997) and  
24 acute lung injury (Prows et al., 1997) and (b) contains several promising candidate genes that  
25 may be responsible for the observed genetic susceptibility for macrophage dysfunction in mice  
26 exposed to acid-coated particles.

27 Leikauf and colleagues (Leikauf et al., 2000; Wesselkamper et al., 2000; McDowell et al.,  
28 2000; Prows and Leikauf, 2001; Leikauf et al., 2001) have identified a genetic susceptibility in  
29 mice that is associated with mortality following exposures to high concentrations (from 15 to  
30 150  $\mu\text{g}/\text{m}^3$ ) of a “NiSO<sub>4</sub>” aerosol (0.22  $\mu\text{m}$  MMAD) for up to 96 h. These studies also have  
31 preliminarily identified the chromosomal locations of a few genes that may be responsible for

1 this genetic susceptibility. This finding is particularly significant in light of the toxicology  
2 studies demonstrating that bioavailable, first-row transition metals participate in acute lung  
3 injury following exposure to emission and ambient air particles. Similar genes may be involved  
4 in human responses to particle-associated metals; but additional studies are needed to determine  
5 whether the identified metal susceptibility genes are involved in human responses to ambient  
6 levels of particulate-associated metals.

7 One study has examined the interstrain susceptibility to ambient particles. C57BL/6J and  
8 C3H/HeJ mice were exposed to 250  $\mu\text{g}/\text{m}^3$  concentrated ambient  $\text{PM}_{2.5}$  for 6 h and examined at  
9 0 and 24 h after exposure for changes in lavage fluid parameters and cytokine mRNA expression  
10 in lung tissue (Shukla et al., 2000). No interstrain differences in response were observed.  
11 Surprisingly, although no indices of pulmonary inflammation or injury were increased over  
12 control values in the lavage fluid, increases in cytokine mRNA expression were observed in both  
13 murine strains exposed to  $\text{PM}_{2.5}$ . Although the increase in cytokine mRNA expression was  
14 generally small (approximately 2-fold), the effects on IL-6, TNF- $\alpha$ , TGF- $\beta$ 2, and  $\gamma$ -interferon  
15 were consistent.

16 Thus, a handful of studies have begun to demonstrate that genetic susceptibility can play a  
17 role in the response to inhaled particles. However, the doses of PM administered in these  
18 studies, whether by inhalation or instillation, were extremely high when compared to ambient  
19 PM levels. Similar strain differences in response to inhaled metal particles have been observed  
20 by other investigators (McKenna et al., 1998; Wesselkamper et al., 2000), although the  
21 concentration of metals used in these studies were also more relevant to occupational rather than  
22 environmental exposure levels. The extent to which genetic susceptibility plays as significant a  
23 role in the adverse effects of ambient PM as does age or health status remains to be determined.  
24

### 25 **7.5.3 Particulate Matter Effects on Allergic Hosts**

26 Relatively little is known about the effects of inhaled particles on humoral (antibody) or  
27 cell-mediated immunity. Alterations in the response to a specific antigenic challenge have been  
28 observed in animal models at high concentrations of acid sulfate aerosols (above 1000  $\mu\text{g}/\text{m}^3$ ;  
29 Pinto et al., 1979; Kitabatake et al., 1979; Fujimaki et al., 1992). Several studies have reported  
30 an enhanced response to nonspecific bronchoprovocation agents, such as acetylcholine and  
31 histamine, after exposure to inhaled particles. This nonspecific airway hyperresponsiveness,

1 a central feature of asthma, occurs in animals and human subjects exposed to sulfuric acid under  
2 controlled conditions (Utell et al., 1983; Gearhart and Schlesinger, 1986). Although, its  
3 relevance to specific allergic responses in the airways of atopic individuals is unclear, it  
4 demonstrates that the airways of asthmatics may become sensitized to either specific or  
5 nonspecific triggers that could result in increases in asthma severity and asthma-related hospital  
6 admissions (Peters et al., 1997; Jacobs et al., 1997; Lipsett et al., 1997). Combustion particles  
7 also may serve as carrier particles for allergens (Knox et al., 1997).

8 A number of in vivo and in vitro studies have demonstrated that particles (PM) can alter  
9 the immune response to challenge with specific antigens and suggest that PM may act as an  
10 adjuvant. For example, studies have shown that treatment with diesel particulate matter (DPM)  
11 enhances the secretion of antigen-specific IgE in mice (Takano et al., 1997) and in the nasal  
12 cavity of human subjects (Diaz-Sanchez et al., 1996, 1997; Ohtoshi et al., 1998; Nel et al., 2001).  
13 Because IgE levels play a major role in allergic asthma (Wheatley and Platts-Mills, 1996),  
14 upregulation of its production could lead to an increased response to inhaled antigen in particle-  
15 exposed individuals.

16 Van Zijverden et al. (2000) and Van Zijverdan and Granum (2000) used mouse models to  
17 assess the potency of particles (diesel, carbon black, silica) to adjuvate an immune response to a  
18 protein antigen. All types of particles exerted an adjuvant effect on the immune response to co-  
19 administered antigen, apparently stimulated by the particle core rather than the attached chemical  
20 factors. Different particles, however, stimulated distinct types of immune responses. In one  
21 model (Van Zijverden et al., 2001), BALB/c mice were intranasally treated with a mixture of  
22 antigen (model antigen TNP-Ovalbumin, TNP-OVA) and particles on three consecutive days.  
23 On day 10 after sensitization, mice were challenged with the antigen TNP-OVA alone, and five  
24 days later the immune response was assessed. Diesel particulate matter, as well as carbon black  
25 particles (CB), were capable of adjuvating the immune response to TNP-OVA as evidenced by  
26 an increase of TNP-specific antibody (IgG1 and IgE) secreting B cells antibodies in the lung-  
27 draining lymph nodes. Increased antigen-specific IgG1, IgG2a, and IgE isotypes were measured  
28 in the serum, indicating that the response resulted in systemic sensitization. Importantly, an  
29 increase of eosinophils in the bronchio-alveolar lavage was observed with CB. Companion  
30 studies with the intranasal exposure model showed that the adjuvant effect of CB particles was  
31 even more pronounced when the particles were given during both the sensitization and challenge

1 phases; whereas administration during the challenge phase caused only marginal changes in the  
2 immune response. These data show that PM can increase both the sensitization and challenge  
3 responses to a protein antigen, and the immune stimulating activity of particles appears to be a  
4 time-dependent process, suggesting that an inflammatory microenvironment (such as may be  
5 created by the particles) is crucial for enhancing sensitization by particles.

6 Only a small number of studies have examined mechanisms underlying the enhancement  
7 of allergic asthma by ambient urban particles. Ohtoshi et al. (1998) reported that a coarse size-  
8 fraction of resuspended ambient PM, collected in Tokyo, induced the production of granulocyte  
9 macrophage colony stimulating factor (GMCSF), an upregulator of dendritic cell maturation and  
10 lymphocyte function, in human airway epithelial cells in vitro. In addition to increased GMCSF,  
11 epithelial cell supernatants contained increased IL-8 levels when incubated with DPM, a  
12 principal component of ambient particles collected in Tokyo. Although the sizes of the two  
13 types of particles used in this study were not comparable, the results suggest that ambient PM, or  
14 at least the DPM component of ambient PM, may be able to upregulate the immune response to  
15 inhaled antigen through GMCSF production. Similarly, Takano et al. (1998) has reported airway  
16 inflammation, airway hyperresponsiveness, and increased GMCSF and IL-5 in mice exposed to  
17 diesel exhaust.

18 In a study by Walters et al. (2001), PM<sub>10</sub> was found to induce airway hyperresponsiveness,  
19 suggesting that PM exposure may be an important factor contributing to increases in asthma  
20 prevalence. Naive mice were exposed to a single dose (0.5 mg/ mouse) of ambient PM, coal fly  
21 ash, or diesel PM. Exposure to PM<sub>10</sub> induced increases in airway responsiveness and BAL  
22 cellularity; whereas diesel PM induced significant increases in BAL cellularity, but not airway  
23 responsiveness. On the other hand, coal fly ash exposure did not elicit significant changes in  
24 either of these parameters. Ambient PM-induced airway hyperresponsiveness was sustained  
25 over 7 days. The increase in airway responsiveness was preceded by increases in BAL  
26 eosinophils; whereas a decline in airway responsiveness was associated with increases in  
27 macrophages. Thus, ambient PM can induce asthma-like parameters in naive mice.

28 Several other studies have examined in greater detail the contribution of the particle  
29 component and the organic fraction of DPM to allergic asthma. Tsien et al. (1997) treated  
30 transformed IgE-producing human B lymphocytes in vitro with the organic extract of DPM. The  
31 organic phase extraction had no effect on cytokine production but did increase IgE production.

1 In these in vitro experiments, DPM appeared to be acting on cells already committed to IgE  
2 production, thus suggesting a mechanism by which the organic fraction of combustion particles  
3 can directly affect B cells and influence human allergic asthma.

4 Cultured epithelial cells from atopic asthmatics show a greater response to DPM exposure  
5 when compared with cells from nonatopic nonasthmatics. IL-8, GM-CSF, and soluble ICAM-1  
6 increased in response to DPM at a concentration of 10 µg/mL DPM (Bayram et al., 1998a,b).  
7 This study suggests that particles could modulate airway disease through their actions on airway  
8 epithelial cells. This study also suggests that bronchial epithelial cells from asthmatics are  
9 different from those of nonasthmatics in regard to their mediator release in response to DPM.

10 Sagai and colleagues (1996) repeatedly instilled mice with DPM for up to 16 wks and  
11 found increased numbers of eosinophils, goblet cell hyperplasia, and nonspecific airway  
12 hyperresponsiveness, changes which are central features of chronic asthma (National Institutes  
13 of Health, 1997). Takano et al. (1997) extended this line of research and examined the effect of  
14 repeated instillation of DPM on the antibody response to antigen OVA in mice. They observed  
15 that antigen-specific IgE and IgG levels were significantly greater in mice repeatedly instilled  
16 with both DPM and OVA. Because this upregulation in antigen-specific immunoglobulin  
17 production was not accompanied by an increase in inflammatory cells or cytokines in lavage  
18 fluid, it would suggest that, in vivo, DPM may act directly on immune system cells, as described  
19 in the work by Tsien et al. (1997). Animal studies have confirmed that the adjuvant activity of  
20 DPM also applies to the sensitization of Brown-Norway rats to timothy grass pollen  
21 (Steerenberg et al., 1999).

22 Steerenberg et al. (2003) expanded on these findings using a range of PM collected for the  
23 EU study, "Respiratory Allergy and Inflammation Due to Ambient Particles." The Brown  
24 Norway rat (BN) was utilized as a pollen allergy model and the BALB/c mouse was used as an  
25 OVA allergy model. PM included were two DEP samples (DEP<sub>I</sub> from Lovelace Respiratory  
26 Research Institute, DEP<sub>II</sub> from NIST, SRM 2975), ROFA (collected in Niagra, NY), Ottawa dust  
27 (EHC-93), and road tunnel dust (RTD, collected in Noord tunnel near Hendrik-Ido Ambacht,  
28 NL). Endotoxins in the PM were below detection levels except for EHC-93 (50 ng  
29 endotoxin/mL) and RTD (1 ng endotoxin/mL). The animals were exposed to either just allergen  
30 or allergen and PM combined during the sensitization and/or challenge phases. In the BN pollen  
31 model only DEP<sub>I</sub> stimulated IgE and IgG response to pollen allergens. The pollen + PM rats had



1 fewer eosinophilic granulocytes than rats exposed to pollen alone. In the BALB/c OVA model  
2 all of the PM samples when coexposed with OVA during the sensitization phase (but not the  
3 challenge phase), created increases in IgE serum responses. Both histopathological examination  
4 of the lung and BAL analysis showed inflammatory response in the lung, predominantly due to  
5 an influx of eosinophilic granulocytes. Increases were also seen in BAL levels of IL-4. The  
6 authors ranked the adjuvant capacity of the particles tested based on the OVA model results as:  
7 RTD > ROFA > EHC-93 > DEP<sub>I</sub> > DEP<sub>II</sub>.

8 Diaz-Sanchez and colleagues (1996) have continued to study the mechanism of DPM-  
9 induced upregulation of allergic response in the nasal cavity of human subjects. In one study,  
10 a 200- $\mu$ L aerosol bolus containing 0.15 mg of DPM was delivered into each nostril of subjects  
11 with or without seasonal allergies. In addition to increases in IgE in nasal lavage fluid (NAL),  
12 they found an enhanced production of IL-4, IL-6, and IL-13, cytokines known to be B cell  
13 proliferation factors. The levels of several other cytokines also were increased, suggesting a  
14 general inflammatory response to a nasal challenge with DPM. In a following study, these  
15 investigators delivered ragweed antigen, alone or in combination with DPM, on two occasions,  
16 to human subjects with both allergic rhinitis and positive skin tests to ragweed (Diaz-Sanchez  
17 et al., 1997). They found that the combined challenge with ragweed antigen and DPM produced  
18 significantly greater antigen-specific IgE and IgG4 in NAL. A peak response was seen at 96 h  
19 postexposure. The combined treatment also induced expression of IL-4, IL-5, IL-10, and IL-13,  
20 with a concomitant decrease in expression of Th1-type cytokines. Although the treatments were  
21 not randomized (antigen alone was given first to each subject), the investigators reported that  
22 pilot work showed no interactive effect of repeated antigen challenge on cellular and  
23 biochemical markers in NAL. Diesel particulate matter also resulted in the nasal influx of  
24 eosinophils, granulocytes, monocytes, and lymphocytes, as well as the production of various  
25 inflammatory mediators. The combined DPM plus ragweed exposure did not increase the  
26 rhinitis symptoms beyond those of ragweed alone. Thus, DPM can produce an enhanced  
27 response to antigenic material in the nasal cavity.

28 Extrapolation of these findings of enhanced allergic response in the nose to extremely high  
29 concentrations of DPM to the human lung would suggest that ambient combustion particles  
30 containing any ambient PM may have significant effects on allergic asthma. A study by  
31 Nordenhall et al. (2001) has addressed the effects of diesel PM on airway hyperresponsiveness,

1 lung function and airway inflammation in a group of atopic asthmatics with stable disease. All  
2 were hyperresponsive to methacholine. Each subject was exposed to DE (DPM = 300  $\mu\text{g}/\text{m}^3$ )  
3 and air for 1 h on two separate occasions. Lung function was measured before and immediately  
4 after the exposures. Sputum induction was performed 6 h, and methacholine inhalation test 24 h,  
5 after each exposure. Exposure to DE was associated with a significant increase in the degree of  
6 hyperresponsiveness, as compared to after air, a significant increase in airway resistance and in  
7 sputum levels of interleukin (IL)-6 ( $p = 0.048$ ). No changes were detected in sputum levels of  
8 methyl-histamine, eosinophil cationic protein, myeloperoxidase, and IL-8.

9 These studies provide biological plausibility support for the exacerbation of allergic asthma  
10 likely being associated with episodic exposure to PM. Although DPM may make up only a  
11 fraction of the mass of urban PM, because of their small size, DPM may represent a significant  
12 fraction of the ultrafine particle mode in urban air, especially in cities and countries that rely  
13 heavily on diesel-powered vehicles.

14 In an examination of the effect of concentrated ambient PM on airway responsiveness in  
15 mice, Goldsmith et al. (1999) exposed control and ovalbumin-sensitized mice to an average  
16 concentration of 787  $\mu\text{g}/\text{m}^3$  PM for 6 h/day for 3 days. Although ovalbumin sensitization itself  
17 produced an increase in the nonspecific airway responsiveness to inhaled methylcholine,  
18 concentrated ambient PM did not change the response to methylcholine in ovalbumin-sensitized  
19 or control mice. For comparison, these investigators examined the effect of inhalation of an  
20 aerosol of the active soluble fraction of ROFA on control and ovalbumin-sensitized mice and  
21 found that ROFA could produce nonspecific airway hyperresponsiveness to methylcholine in  
22 both control and ovalbumin-sensitized mice. Similar increases in airway responsiveness have  
23 been observed after exposure to ROFA in normal and ovalbumin-sensitized rodents (Gavett  
24 et al., 1997, 1999; Hamada et al., 1999, 2000).

25 Gavett et al. (1999) have investigated the effects of ROFA (intratracheal instillation) in  
26 ovalbumin (OVA) sensitized and challenged mice. Instillation of 3 mg/kg (approximately  
27 60  $\mu\text{g}$ ) ROFA induced inflammatory and physiological responses in the OVA mice that were  
28 related to increases in Th2 cytokines (IL-4, IL-5). Compared to OVA sensitization alone, ROFA  
29 induced greater than additive increases in eosinophil numbers and in airway responsiveness to  
30 methylcholine.

1 Hamada et al. (1999, 2000) have examined the effect of a ROFA leachate aerosol in a  
2 neonatal mouse model of allergic asthma. In the first study, neonatal mice sensitized by  
3 intraperitoneal (ip) injection with OVA developed airway hyperresponsiveness, eosinophilia, and  
4 elevated serum anti-ovalbumin IgE after a challenge with inhaled OVA. Exposure to the ROFA  
5 leachate aerosol had no marked effect on the airway responsiveness to inhaled methacholine in  
6 nonsensitized mice, but did enhance the airway hyperresponsiveness to methylcholine produced  
7 in OVA-sensitized mice. No other interactive effects of ROFA exposure with OVA were  
8 observed. In a subsequent study, Hamada et al. clearly demonstrated that, whereas inhaled OVA  
9 alone was not sufficient to sensitize mice to a subsequent inhaled OVA challenge, pretreatment  
10 with a ROFA leachate aerosol prior to the initial exposure to aerosolized OVA resulted in an  
11 allergic response to the inhaled OVA challenge. Thus, exposure to a ROFA leachate aerosol can  
12 alter the immune response to inhaled OVA both at the sensitization stage at an early age and at  
13 the challenge stage.

14 Lambert et al. (1999) and Gilmour et al. (2001) also examined the effect of ROFA on a  
15 rodent model of pulmonary allergy. Rats were instilled intratracheally with 200 or 1000 µg  
16 ROFA 3 days prior to sensitization with house dust mite (HDM) antigen. HDM sensitization  
17 after 1000 µg ROFA produced increased eosinophils, LDH, BAL protein, and IL-10 relative to  
18 HDM alone. Although ROFA treatment did not affect antibody levels, it did enhance pulmonary  
19 eosinophil numbers. The immediate bronchoconstrictive and associated antigen-specific IgE  
20 response to a subsequent antigen challenge was increased in the ROFA-treated group in  
21 comparison with the control group. Together, these studies suggest that components of ROFA  
22 can augment the immune response to antigen.

23 Evidence that metals are responsible for the ROFA-enhancement of an allergic  
24 sensitization was demonstrated by Lambert et al. (2000). In this follow-up study, Brown  
25 Norway rats were instilled with 1 mg ROFA or the three main metal components of ROFA (Fe,  
26 V, or Ni) prior to sensitization with instilled house dust mite. The three individual metals  
27 augmented different aspects of the immune response to house dust mite: Ni and V produced an  
28 enhanced immune response to the antigen as seen by higher house dust mite-specific IgE serum  
29 levels after an antigen challenge at 14 days after sensitization, Ni and V also produced an  
30 increase in the lymphocyte proliferative response to antigen in vitro; and the antigen-induced  
31 bronchoconstrictive response was greater only in nickel-treated rats. Thus, instillation of metals

1 at concentrations equivalent to those present in the ROFA leachate mimicked the response to  
2 ROFA, suggesting that the metal components of ROFA may be responsible for increased allergic  
3 sensitization observed in ROFA-treated animals.

4 Although these studies demonstrate that inhalation or instillation of ROFA augments the  
5 immune response in allergic hosts, the applicability of these findings to ambient PM is an  
6 important consideration. Goldsmith et al. (1999) compared the effects of inhalation of CAPs for  
7 6 h/day for 3 days versus the effect of a single exposure to a ROFA leachate aerosol on the  
8 airway responsiveness to methylcholine in OVA-sensitized mice. Exposure to ROFA leachate  
9 aerosols at a concentration of 50 ng/mL significantly enhanced the airway hyperresponsiveness  
10 in OVA-sensitized mice; whereas exposure to CAPs (average concentration of 787  $\mu\text{g}/\text{m}^3$ ) had  
11 no effect on airway responsiveness in six separate experiments. Thus, the effect of the ROFA  
12 leachate aerosols on the induction of airway hyperresponsiveness in allergic mice was  
13 significantly different than that of a high concentrations of ambient PM. Although airway  
14 responsiveness was examined at only one postexposure time point, these findings do suggest that  
15 a great deal of caution should be used in interpreting the results of studies using ROFA particles  
16 or leachates in the attempt to investigate the biologic plausibility of the adverse health effects of  
17 ambient PM.

#### 18 19 **7.5.4 Resistance to Infectious Disease**

20 Development of an infectious disease requires both the presence of an appropriate  
21 pathogen and host susceptibility to the pathogen. There are numerous specific and nonspecific  
22 host defenses against microbes, and the ability of inhaled particles to modify resistance to  
23 bacterial infection could result from a decreased ability either to clear or to kill microbes.  
24 Rodent infectivity models have frequently been used to examine effects of inhaled particles on  
25 host defense and infectivity. Mice or rats are challenged with a bacterial or viral load either  
26 before or after exposure to the particles (or gas) of interest; mortality rate, survival time, or  
27 bacterial clearance are then examined. Numerous studies that used the infectivity model to  
28 assess inhaled PM effects were assessed previously (U.S. Environmental Protection Agency,  
29 1982, 1989, 1996a). In general, acute exposure to sulfuric acid aerosols at concentrations up to  
30 5,000  $\mu\text{g}/\text{m}^3$  were not very effective in enhancing mortality in a bacterially mediated murine  
31 model. In rabbits, however, sulfuric acid aerosols altered anti-microbial defenses after exposure

1 to 750  $\mu\text{g}/\text{m}^3$  for 2 h/day for 4 days (Zelikoff et al., 1994). Acute or short-term repeated  
2 exposures to high concentrations of relatively inert particles have produced conflicting results.  
3 Carbon black (10,000  $\mu\text{g}/\text{m}^3$ ) was found to have no effect on susceptibility to bacterial infection  
4 (Jakab, 1993); whereas  $\text{TiO}_2$  (20,000  $\mu\text{g}/\text{m}^3$ ) decreased the clearance of microbes and the  
5 bacterial response of lymphocytes isolated from mediastinal lymph nodes (Gilmour et al.,  
6 1989a,b). Also, exposure to DPM (2  $\text{mg}/\text{m}^3$ , 7h/d, 5d/wk for 3 and 6 mo) has been shown to  
7 enhance the susceptibility of mice to the lethal effects of some, but not all, microbial agents  
8 (Hahon et al., 1985). Pritchard et al. (1996) observed in CD-1 mice exposed by instillation to  
9 particles (0.05 mL of a 1.0  $\text{mg}/\text{mL}$  suspension) with a high concentration of metals (e.g.,  
10 ROFA), that the increased mortality rate after streptococcus infection was associated with the  
11 amount of metal in the PM. Thus, the pulmonary defense responses to microbial agents has been  
12 altered at relatively high particle concentrations in animal models, with observed effects being  
13 highly dependent on the microbial challenge and the test animal studied.

14 There are a few more recent studies that have examined mechanisms potentially  
15 responsible for the effect of PM on infectivity. In one study, Cohen and colleagues (1997)  
16 examined the effect of inhaled vanadium (V) on immunocompetence. Healthy rats were  
17 repeatedly exposed first to 2  $\text{mg}/\text{m}^3$  V, as ammonium metavanadate, and then instilled with  
18 polyinosinic-polycytidilic acid (poly I:C), a double-stranded polyribonucleotide that acts as a  
19 potent immunomodulator. Increases in lavage fluid protein and neutrophils were greater in  
20 animals preexposed to V. Similarly, IL-6 and interferon-gamma were increased in V-exposed  
21 animals. Alveolar macrophage function, as determined by zymosan-stimulated superoxide anion  
22 production and by phagocytosis of latex particles, was also depressed more after poly I:C  
23 instillation in V-exposed rats as compared to filtered air-exposed rats. These findings provide  
24 evidence that inhaled V, a trace metal found in combustion particles and shown to be toxic  
25 in vivo in studies using instilled or inhaled ROFA (Dreher et al., 1997; Kodavanti et al., 1997b,  
26 1999), has the potential to inhibit the pulmonary response to microbial agents. However, it must  
27 be remembered that these effects were found at very high exposure concentrations of V, and as  
28 with most studies, care must be taken in extrapolating the results to ambient exposures of healthy  
29 individuals or those with preexisting cardiopulmonary disease to trace concentrations (~3 orders  
30 of magnitude lower concentration) of metals in ambient PM.

31

## 7.6 RESPONSES TO PARTICULATE MATTER AND GASEOUS POLLUTANT MIXTURES

Ambient PM itself is comprised of mixtures of particles of varying size and composition which co-exist in outdoor and indoor air with a number of ubiquitous co-pollutant gases (e.g., O<sub>3</sub>, SO<sub>2</sub>, NO<sub>2</sub>, CO) and innumerable other non-PM components that are not routinely measured. The following discussion examines effects of mixtures of ambient PM or PM constituents with gaseous pollutants, as evaluated by studies summarized in Table 7-13. Toxicological interactions between PM and gaseous co-pollutants may be antagonistic, additive, or synergistic (Mauderly, 1993). The presence and nature of any interaction likely depends on chemical composition, size, concentration and ratios of pollutants in the mixture, exposure duration, and the endpoint being examined. It is difficult to predict *a priori* from the presence of certain pollutants whether any interaction will occur and, if so, whether it will be synergistic, additive, or antagonistic.

Mechanisms responsible for the various forms of interaction are speculative. In terms of potential health effects, the greatest hazard from pollutant interaction is the possibility of synergy between particles and gases, especially if effects occur at concentrations at which no effects occur when individual constituents are inhaled. Various physical and chemical mechanisms may underlie synergism. For example, physical adsorption or absorption of some other material on a particle could result in transport to more sensitive sites or accumulation at sites where this material would not normally be deposited in toxic amounts. This physical process may explain, for example, interactions found in studies of mixtures of carbon black and formaldehyde or of carbon black and acrolein (Jakab, 1992, 1993).

Also, chemical interactions between PM and gases can occur on particle surfaces, thus forming secondary products whose surface layers may be more active toxicologically than the primary materials and that can then be carried to a sensitive site. The hypothesis of such chemical interactions has been examined in gas and particle exposure studies by Amdur and colleagues (Amdur and Chen, 1989; Chen et al., 1992) and Jakab and colleagues (Jakab and Hemenway, 1993; Jakab et al., 1996). These investigators have suggested that synergism occurs as secondary chemical species are produced, especially under conditions of increased temperature and relative humidity.

**TABLE 7-13. RESPIRATORY AND CARDIOVASCULAR EFFECTS OF PM AND GASEOUS POLLUTANT MIXTURES**

Species, Gender, Strain Age, or Body Weight	Gases and PM	Exposure Technique	Exposure Concentration	Particle Size	Exposure Duration	Cardiopulmonary Effects of Inhaled PM and Gases	Reference
Humans; healthy 15 M, 10 F, 34.9±10 ys of age	CAPs + O <sub>3</sub>	Inhalation	150 µg/m <sup>3</sup> CAPs 120 ppm O <sub>3</sub>	PM <sub>2.5</sub>	2 h	PM <sub>2.5</sub> CAPs + O <sub>3</sub> exposure increased acute brachial artery vasoconstriction (as determined by vascular ultrasonography performed before and 10 min after exposure), but not endothelial-dependent or -independent nitroglycerine-mediated dilation. Lack of comparison between exposure to PM or O <sub>3</sub> alone precludes attribution of observed effects to PM or O <sub>3</sub> alone or to joint effect.	Brook et al. (2002)
	Filtered air (control)		1.6 µg/m <sup>3</sup> PM <sub>2.5</sub> 8.5 ppb O <sub>3</sub>	PM <sub>2.5</sub>	2h		
Mice, BALB/c, 3 days old	CAPs (Boston) O <sub>3</sub>	Inhalation	0-1500 µg/m <sup>3</sup> 0.3 ppm	PM <sub>2.5</sub>	5 h	A small increase in pulmonary resistance and airway responsiveness was found in both normal mice and mice with ovalbumin-induced asthma immediately after exposure to CAPs, but not O <sub>3</sub> ; no evidence of synergy; activity attributed to the AlSi PM component. For every 100 µg/m <sup>3</sup> CAPs, Penh increased 0.86%.	Kobzik et al. (2001)
	CAPs + O <sub>3</sub>		100-500 µg/m <sup>3</sup> + 0.3 ppm				
Rats	Resuspended Ottawa urban PM and O <sub>3</sub>	Inhalation (whole-body)	5,000 or 50,000 µg/m <sup>3</sup> PM and 0.8 ppm O <sub>3</sub>		Single 4-h exposure	PM alone caused no change in cell proliferation in bronchioles or parenchyma. Co-exposure at both dose levels with O <sub>3</sub> greatly potentiated the proliferative changes induced by O <sub>3</sub> alone. These changes were greatest in the epithelium of the terminal bronchioles and alveolar ducts.	Vincent et al. (1997)
Rats	Ottawa urban PM and O <sub>3</sub>	Inhalation	40,000 µg/m <sup>3</sup> and 0.8 ppm O <sub>3</sub>	4.5 µm MMAD	Single 4-h exposure followed by 20 h clean air	Co-exposure to particles potentiated O <sub>3</sub> -induced septal cellularity. Enhanced septal thickening associated with elevated production of macrophage inflammatory protein-2 and endothelin 1 by lung lavage cells.	Bouthillier et al. (1998)
Rats, F344: male and female 9 wks old	Ambient particles and gases	Natural 23 h/day exposure to filtered and unfiltered Mexico City air.	0.018 ppm O <sub>3</sub> 3.3 ppb CH <sub>2</sub> O 0.068 mg/m <sup>3</sup> TSP 0.032 mg/m <sup>3</sup> PM <sub>10</sub> 0.016 mg/m <sup>3</sup> PM <sub>2.5</sub>		23 h/day for 7 wks	Histopathology examination revealed no nasal lesions in exposed or control rats; tracheal and lung tissue from both groups showed similar levels of minor abnormalities.	Moss et al. (2001)

**TABLE 7-13 (cont'd). RESPIRATORY AND CARDIOVASCULAR EFFECTS OF PM AND GASEOUS POLLUTANT MIXTURES**

Species, Gender, Strain Age, or Body Weight	Gases and PM	Exposure Technique	Exposure Concentration	Particle Size	Exposure Duration	Cardiopulmonary Effects of Inhaled PM and Gases	Reference
Humans, children: healthy (N = 15) asthma (N = 26); Age 9-12 y.	H <sub>2</sub> SO <sub>4</sub> , SO <sub>2</sub> , and O <sub>3</sub>	Inhalation (chamber)	100 ± 40 µg/m <sup>3</sup> H <sub>2</sub> SO <sub>4</sub> , 0.1 ppm SO <sub>2</sub> , and 0.1 ppm O <sub>3</sub>	0.6 µm H <sub>2</sub> SO <sub>4</sub>	Single 4-h exposure with intermittent exercise	Positive association seen between acid dose and respiratory symptoms, but not spirometry, in asthmatic children. No significant changes in healthy children.	Linn et al. (1997)
Rats	H <sub>2</sub> SO <sub>4</sub> and O <sub>3</sub>	Inhalation, whole body	20 to 150 µg/m <sup>3</sup> H <sub>2</sub> SO <sub>4</sub> and 0.12 or 0.2 ppm O <sub>3</sub>	0.4 to 0.8 µm	Intermittent (12 h/day) or continuous exposure for up to 90 days	No interactive effect of H <sub>2</sub> SO <sub>4</sub> and O <sub>3</sub> on biochemical and morphometric endpoints.	Last and Pinkerton (1997)
Rats, S-D, male, 250-300 g	H <sub>2</sub> SO <sub>4</sub> and O <sub>3</sub>	Inhalation, nose-only	500 µg/m <sup>3</sup> H <sub>2</sub> SO <sub>4</sub> aerosol (two different particle sizes), with or without 0.6 ppm O <sub>3</sub>	Fine (0.3 µm MMD, σ <sub>g</sub> = 1.7) and ultrafine (0.06 µm, σ <sub>g</sub> = 1.4)	4 h/day for 2 days	The volume percentage of injured alveolar septae was increased only in the combined ultrafine acid/O <sub>3</sub> animals. BrdU labeling in the periacinar region was increased in a synergistic manner in the combined fine acid/O <sub>3</sub> animals.	Kimmel et al. (1997)
Rats, S-D 300 g	H <sub>2</sub> SO <sub>4</sub> -coated carbon and O <sub>3</sub> .	Inhalation, nose-only	0.2 ppm O <sub>3</sub> + 50 µg/m <sup>3</sup> C + 100 µg/m <sup>3</sup> H <sub>2</sub> SO <sub>4</sub>  0.4 ppm O <sub>3</sub> + 250 µg/m <sup>3</sup> C + 500 µg/m <sup>3</sup> H <sub>2</sub> SO <sub>4</sub>	0.26 µm σ <sub>g</sub> = 2.2	4 h/day for 1 day or 5 days	No airway inflammation at low dose. Greater inflammatory response at high dose; greater response at 5 days than 1 day. Contrasts with O <sub>3</sub> alone where inflammation was greatest at 0.40 ppm on Day 1.	Kleinman et al. (1999)
Mice, Swiss: female, age 5 wks	Carbon and SO <sub>2</sub>	Inhalation, flow-past, nose-only	10,000 µg/m <sup>3</sup> carbon with or without 5 to 20 ppm SO <sub>2</sub> at 10% or 85% RH	0.3 µm MMAD σ <sub>g</sub> = 2.7	Single 4-h exposure	Macrophage phagocytosis was depressed only in animals exposed to the combination of SO <sub>2</sub> and carbon at 85% humidity. This inhibition in macrophage function lasted at least 7 days after exposure.	Jakab et al. (1996) Clarke et al. (2000c)
Rats, Fischer NNia, male, 22 to 24 mo old	Carbon, ammonium bisulfate, and O <sub>3</sub>	Inhalation	50 µg/m <sup>3</sup> carbon + 70 µg/m <sup>3</sup> ammonium bisulfate + 0.2 ppm O <sub>3</sub> or 100 µg/m <sup>3</sup> carbon + 140 µg/m <sup>3</sup> ammonium bisulfate + 0.2 ppm O <sub>3</sub>	0.4 µm MMAD σ <sub>g</sub> = 2.0	4 h/day, 3 days/wk for 4 wks	No changes in protein concentration in lavage fluid or in prolyl 4-hydroxylase activity in blood. Slight, but statistically significant decreases in plasma fibronectin in animals exposed to the combined atmospheres compared to animals exposed to O <sub>3</sub> alone.	Bolarin et al. (1997)



**TABLE 7-13 (cont'd). RESPIRATORY AND CARDIOVASCULAR EFFECTS OF PM AND GASEOUS POLLUTANT MIXTURES**

Species, Gender, Strain Age, or Body Weight	Gases and PM	Exposure Technique	Exposure Concentration	Particle Size	Exposure Duration	Cardiopulmonary Effects of Inhaled PM and Gases	Reference
Rats	Elemental carbon + O <sub>3</sub> + ammonium bisulfate	Inhalation	0.2 ppm O <sub>3</sub> + elemental carbon 50 µm/m <sup>3</sup> + ammonium bisulfate 70 µg/m <sup>3</sup>	0.46 µm 0.3 µm	4 hr/d 3 d/wk 4 wk	Increased macrophage phagocytosis and increased respiratory burst; decreased lung collagen.	Kleinman et al. (2000)
Rats, F344/N male	O <sub>3</sub> + nitric acid NO <sub>2</sub> + carbon particles + ammonium bisulfate	Inhalation	low: 0.16 ppm + 0.11 ppm + 0.05 mg/m <sup>3</sup> + 0.03 mg/m <sup>3</sup> medium: 0.3 ppm + 0.21 ppm + 0.06 mg/m <sup>3</sup> + 0.1 mg/m <sup>3</sup> high: 0.59 ppm + 0.39 ppm + 0.1 mg/m <sup>3</sup> + 0.22 mg/m <sup>3</sup>	0.3 µm	4 h/d 3 d/wk 4 wk	Dose-dependent decrease in macrophage Fc-receptor mediated-phagocytosis (only significant in high dose group), nonsignificant increase in epithelial permeability and proliferation, altered breathing pattern in high dose group.	Mautz et al. (2001)
Rats, F344/N male	O <sub>3</sub> HNO <sub>3</sub> O <sub>3</sub> + HNO <sub>3</sub>	Inhalation	0.151 ± 0.003 ppm 51.1 ± 5.4 µg/m <sup>3</sup> 0.152 ± 0.003 ppm + 49.9 ± 7.0 µg/m <sup>3</sup>		4 h/d 3 d/wk 40 wk	Increased lung putrescine content in all exposed rats. Synergistic effect.	Sindhu et al. (1998)

1 Another potential mechanism of gas-particle interaction may involve a pollutant-induced  
2 change in the local microenvironment of the lung, enhancing the effects of the co-pollutant.  
3 For example, Last et al. (1984) suggested that the observed synergism between ozone (O<sub>3</sub>) and  
4 acid sulfates in rats was due to a decrease in the local microenvironmental pH of the lung  
5 following deposition of acid, enhancing the effects of O<sub>3</sub> by producing a change in the reactivity  
6 or residence time of reactants, such as radicals, involved in O<sub>3</sub>-induced tissue injury.

7 One newly available controlled exposure study evaluated the effects of a combined  
8 inhalation exposure to PM<sub>2.5</sub> CAPs and O<sub>3</sub> in human subjects. In a randomized, double-blind  
9 crossover study, Brook et al. (2002) exposed 25 healthy male and female subjects, 34.9 ± 10  
10 (SD) yrs of age, to filtered ambient air containing 1.6 µg/m<sup>3</sup> PM<sub>2.5</sub> and 8.5 ppb O<sub>3</sub> (control) or to  
11 unfiltered air containing 150 µg/m<sup>3</sup> PM<sub>2.5</sub> CAPs and 120 ppb O<sub>3</sub> while at rest for 2 h. Blood  
12 pressure was measured and high-resolution brachial artery ultrasonography was performed prior  
13 to and 10 min after exposure. The brachial artery ultrasonography (BAUS) technique was used  
14 to measure brachial artery diameter (BAD), endothelium-dependent flow-mediated dilation  
15 (FMD), and endothelial-independent nitroglycerine-mediated dilation (NMD). Although no  
16 changes in blood pressure or endothelial-dependent or endothelial-independent dilatation were  
17 observed, a small (2.6%) but statistically significant (p = 0.007) decrease in BAD was observed  
18 in CAPs plus O<sub>3</sub> exposures (-0.09 mm) when compared to filtered air exposures (+0.01 mm).  
19 Pre-exposure BAD showed no significant day-to-day variation (± 0.03 mm). This finding  
20 suggests that combined exposure to a mixture of PM<sub>2.5</sub> CAPs plus O<sub>3</sub> produces vasoconstriction,  
21 potentially via autonomic reflexes or as the result of an increase in circulating endothelin, as has  
22 been described in rats exposed to urban PM (Vincent et al., 2001). It is not known, however,  
23 whether this effect is caused by CAPs or O<sub>3</sub> alone. The likelihood that analogous vasoactive  
24 responses could be found at ambient PM<sub>2.5</sub> and O<sub>3</sub> levels typically found in some U.S. urban  
25 locations is enhanced by the fact that such responses would likely have been seen at distinctly  
26 lower exposure levels had the PM and O<sub>3</sub> exposures occurred during light, moderate, or heavy  
27 exercise (which enhances delivery of both PM and O<sub>3</sub> to lower regions of the respiratory tract).

28 The interaction of PM and O<sub>3</sub> was further examined in a murine model of ovalbumin  
29 (OVA)-induced asthma. Kobzik et al. (2001) investigated whether coexposure to inhaled,  
30 concentrated PM from Boston, MA and to O<sub>3</sub> could exacerbate asthma-like symptoms. On days  
31 7 and 14 of life, half of the BALB/c mice used in this study were sensitized by ip injection of

1 OVA and then exposed to OVA aerosol on three successive days to create the asthma phenotype.  
2 The other half received the ip OVA, but were exposed to a phosphate-buffered saline aerosol  
3 (controls). The mice were further subdivided ( $n \geq 61/\text{group}$ ) and exposed for 5 h to CAPs,  
4 ranging from 63 to 1569  $\mu\text{g}/\text{m}^3$ , 0.3 ppm  $\text{O}_3$ , CAPs +  $\text{O}_3$ , or to filtered air. Pulmonary resistance  
5 and airway responsiveness to an aerosolized MCh challenge were measured after exposures.  
6 A small, statistically significant increase in pulmonary resistance and airway responsiveness,  
7 respectively, was found in both normal and asthmatic mice immediately after exposure to CAPs  
8 alone and to CAPs +  $\text{O}_3$ , but not to  $\text{O}_3$  alone or to filtered air. By 24 h after exposure, the  
9 responses returned to baseline levels. No significant increases in airway inflammation were seen  
10 after any of the pollutant exposures. In this well-designed study of a small-animal model of  
11 asthma, CAPs and  $\text{O}_3$  did not appear to be synergistic. In further analysis of the data using  
12 specific elemental groupings of the CAPs, the acutely increased pulmonary resistance was found  
13 to be associated with the AlSi fraction of PM. Thus, some components of concentrated  $\text{PM}_{2.5}$   
14 may affect airway caliber in sensitized animals.

15 Linn and colleagues (1997) examined the effect of a single exposure to 60 to 140  $\mu\text{g}/\text{m}^3$   
16  $\text{H}_2\text{SO}_4$ , 0.1 ppm  $\text{SO}_2$ , and 0.1 ppm  $\text{O}_3$  in healthy ( $N = 15$ ) and asthmatic children ( $N = 26$ ).  
17 The children performed intermittent exercise during the 4-h exposure to increase the inhaled  
18 dose of the pollutants. An overall effect on the combined group of healthy and asthmatic  
19 children was not observed. The combined pollutant exposure had no effect on spirometry in  
20 asthmatic children, and no changes in symptoms or spirometry were observed in healthy  
21 children. A positive association between acid concentration and symptoms was seen, however,  
22 in the subgroup of asthmatic children. Thus, the effect of combined exposure to PM and gaseous  
23 co-pollutants appeared to have less effect on asthmatic children exposed under controlled  
24 laboratory conditions in comparison with field studies of children attending summer camp  
25 (Thurston et al., 1997). However, prior exposure to  $\text{H}_2\text{SO}_4$  aerosol may enhance the subsequent  
26 response to  $\text{O}_3$  exposure (Linn et al., 1994; Frampton et al., 1995); and the timing and sequence  
27 of the exposures may be important.

28 Vincent et al. (1997) exposed rats to 5 or 50  $\text{mg}/\text{m}^3$  of resuspended Ottawa urban ambient  
29 particles for 4 h in combination with 0.8 ppm  $\text{O}_3$ . Although PM alone caused no change in cell  
30 proliferation ( $^3\text{H}$ -thymidine labeling), co-exposure to either concentration of resuspended PM  
31 with  $\text{O}_3$  greatly potentiated the proliferative effects of exposure to  $\text{O}_3$  alone. These interactive

1 changes occurred in epithelial cells of the terminal bronchioles and the alveolar ducts.  
2 These findings using resuspended ambient PM, although at high concentrations, are consistent  
3 with studies showing interactions between sulfuric acid (H<sub>2</sub>SO<sub>4</sub>) aerosols and O<sub>3</sub>.

4 Kimmel and colleagues (1997) examined the effect of acute co-exposure to O<sub>3</sub> (0.6 ppm)  
5 and fine (MMD = 0.3 μm) or ultrafine (MMD = 0.06 μm) H<sub>2</sub>SO<sub>4</sub> aerosols (0.5 mg/m<sup>3</sup>) on rat  
6 lung morphology. They determined morphometrically that alveolar septal volume was increased  
7 in animals co-exposed to O<sub>3</sub> and ultrafine, but not fine, H<sub>2</sub>SO<sub>4</sub>. Interestingly, cell labeling, an  
8 index of proliferative cell changes, was increased only in animals co-exposed to fine H<sub>2</sub>SO<sub>4</sub> and  
9 O<sub>3</sub>, as compared to animals exposed to O<sub>3</sub> alone. Importantly, Last and Pinkerton (1997), in  
10 extending their previous work, found that subchronic exposure to acid aerosols (20 to 150 μg/m<sup>3</sup>  
11 H<sub>2</sub>SO<sub>4</sub>) had no interactive effect on the biochemical and morphometric changes produced by  
12 either intermittent or continuous O<sub>3</sub> exposure (0.12 to 0.2 ppm). Thus, the interactive effects of  
13 O<sub>3</sub> and acid aerosol co-exposure in the lung disappeared during the long-term exposure.

14 Kleinman et al. (1999) examined the effects of O<sub>3</sub> (0.2 and 0.4 ppm) plus fine  
15 (MMAD = 0.26 μm), H<sub>2</sub>SO<sub>4</sub>-coated, carbon particles (100, 250, and 500 μg/m<sup>3</sup>) for 1 or 5 days.  
16 They found the inflammatory response with the O<sub>3</sub>-particle mixture was greater after 5 days  
17 (4 h/day) than after Day 1. This contrasted with O<sub>3</sub> exposure alone (0.4 ppm), which caused  
18 marked inflammation on acute exposure, but no inflammation after 5 consecutive days of  
19 exposure.

20 Kleinman et al. (2000) examined the effects of a mixture of elemental carbon particles  
21 (50 μg/m<sup>3</sup>), O<sub>3</sub> (0.2 ppm), and ammonium bisulfate (70 μg/m<sup>3</sup>) on rat lung collagen content and  
22 macrophage activity in senescent rats. Exposures were nose-only, 4 h/day, 3 consecutive days  
23 per week for a total of 4 wks. Decreases in lung collagen, and increases in macrophage  
24 respiratory burst and phagocytosis were observed. They found small changes in macrophage  
25 function and in injury to cells of the lung parenchyma, with exposures to just carbon and  
26 ammonium bisulfate. With the addition of O<sub>3</sub>, changes in those biological responses became  
27 significant. These results suggest that (a) ozone may enhance the toxicity of inhaled particles in  
28 terms of the above types of pathophysiologic responses and/or (b) conversely, PM<sub>2.5</sub> exposure  
29 may enhance O<sub>3</sub>-induced toxicity in aged rats. Mautz et al. (2001) used a similar mixture (i.e.,  
30 elemental carbon particles, O<sub>3</sub>, ammonium bisulfate, but with NO<sub>2</sub> also) and exposure regimen as  
31 Kleinman et al. (2000). There were decreases in pulmonary macrophage Fc-receptor binding

1 and phagocytosis and increases in acid phosphatase staining. Bronchioalveolar epithelial  
2 permeability and cell proliferation were increased. Altered breathing patterns were also seen,  
3 but with some adaptation evident over the course of repeated O<sub>3</sub> exposure.

4 Other studies have also examined interactions between carbon particles and gaseous co-  
5 pollutants. Jakab et al. (1996) and Clarke et al. (2000c) challenged mice with a single 4-h  
6 exposure to a high concentration of carbon particles (10 mg/m<sup>3</sup>) in the presence of 10 ppm SO<sub>2</sub>  
7 (~140 µg cpSO<sub>4</sub><sup>2-</sup>) at low and high relative humidities. Macrophage phagocytosis was depressed  
8 significantly only in mice exposed to the combined pollutants under high relative humidity  
9 (85%) conditions. There was no evidence of an inflammatory response based on total cell  
10 counts and differential cell counts from BAL; however, macrophage phagocytosis remained  
11 depressed for 7 to 14 days. Intrapulmonary bactericidal activity also was suppressed and  
12 remained suppressed for 7 days. This study suggests that fine carbon particles can serve as an  
13 effective carrier for acidic sulfates where chemical conversion of adsorbed SO<sub>2</sub> to acid sulfate  
14 species occurred. Interestingly, the depression in macrophage function was present as late as  
15 7 days postexposure.

16 Bolarin et al. (1997) exposed rats to 50 or 100 µg/m<sup>3</sup> carbon particles in combination with  
17 ammonium bisulfate and O<sub>3</sub> for 4 h/day, 3 days/wk for 4 wks. Despite 4 wks of exposure, they  
18 observed no changes in protein concentration in lavage fluid or blood prolyl 4-hydroxylase, an  
19 enzyme involved in collagen metabolism. Slight decreases in plasma fibronectin were present in  
20 animals exposed to the combined pollutants versus O<sub>3</sub> alone. Thus, as previously noted, the  
21 potential for adverse effects in the lungs of animals challenged with a combined exposure to  
22 particles and gaseous pollutants is dependent on numerous factors, including the gaseous co-  
23 pollutant, concentration, and time.

24 The effects of O<sub>3</sub> modifying the biological potency of PM (diesel PM and carbon black)  
25 was examined by Madden et al. (2000). Reaction of NIST Standard Reference Material # 2975  
26 diesel PM with 0.1 ppm O<sub>3</sub> for 48 h increased the potency (compared to unexposed or  
27 air-exposed diesel PM) to induce neutrophil influx, total protein, and LDH in lung lavage fluid in  
28 response to intratracheal instillation. Exposure of the diesel PM to high, non-ambient O<sub>3</sub>  
29 concentration (1.0 ppm) attenuated the increased potency, suggesting destruction of the bioactive  
30 reaction products. Unlike the diesel particles, carbon black particles exposed to 0.1 ppm O<sub>3</sub> did  
31 not exhibit an increase in biological potency, which suggested that the reaction of organic

1 components of the diesel PM with O<sub>3</sub> contributed to the increased potency. Reaction of particle  
2 components with O<sub>3</sub> was ascertained by chemical determination of specific classes of organic  
3 compounds.

4 In a complex series of exposures, Oberdörster and colleagues examined the interaction of  
5 ultrafine carbon particles (100 µg/m<sup>3</sup>) and O<sub>3</sub> (1 ppm) in young and old Fischer 344 rats that  
6 were pretreated with aerosolized endotoxin (Elder et al., 2000a,b). In old rats, exposure to  
7 singlet ultrafine carbon and O<sub>3</sub> produced an interaction that resulted in a greater influx in  
8 neutrophils than that produced by either agent alone. This interaction was not seen in young  
9 rats. Oxidant release from lavage fluid cells was also assessed and the combination of  
10 endotoxin, carbon particles, and O<sub>3</sub> produced an increase in oxidant release in old rats. This  
11 combination produced the opposite response in the cells recovered from the lungs of the young  
12 rats, indicating that the lungs of the aged animals underwent greater oxidative stress in response  
13 to this complex pollutant mix of particles, O<sub>3</sub>, and a biogenic agent.

14 The effects of gaseous pollutants on PM-mediated responses also have been examined by  
15 in vitro studies, though to a limited extent. Churg et al. (1996) demonstrated increased uptake of  
16 asbestos or TiO<sub>2</sub> into rat tracheal explant cultures in response to 10 min O<sub>3</sub> (up to 1.0 ppm) pre-  
17 exposure. These data suggest that O<sub>3</sub> may increase the penetration of some types of PM into  
18 epithelial cells. Additionally, Madden et al. (2000) demonstrated a greater potency for ozonized  
19 diesel PM to induce prostaglandin E<sub>2</sub> production from human epithelial cell cultures, suggesting  
20 that O<sub>3</sub> can modify the biological activity of PM derived from diesel exhaust.

21 In summary, the newly available combined (PM and gaseous co-pollutant) studies provide  
22 only relatively limited evidence for additive or interactive joint PM/gaseous pollutant effects on  
23 one or the other few health endpoints evaluated. For example, recent studies have demonstrated  
24 that co-exposures of CAPs and O<sub>3</sub> cause potentiation of proliferative changes in the epithelium  
25 of terminal bronchioles (Vincent et al., 1997) and enhanced septal cellularity (Bouthillier et al.,  
26 1998) seen with O<sub>3</sub> exposure alone. Both combined CAPs/O<sub>3</sub> and O<sub>3</sub>-alone exposure in a mouse  
27 asthma model (Kobzik et al., 2001) showed increases in airway responsiveness and pulmonary  
28 resistance, thus indicating a lack of synergism with the combined exposure. Mixtures of  
29 elemental carbon particles, O<sub>3</sub>, and ammonium bisulfate showed changes in lung collagen,  
30 AM respiratory burst, and phagocytosis (Kleinman et al, 2000), the results are ambiguous as to  
31 whether PM was enhancing the effects of O<sub>3</sub> or the converse. A short exposure of combined

1 carbon particle/ SO<sub>2</sub> caused depressed AM phagocytosis and suppressed intrapulmonary  
2 bactericidal activity which lasted for a week (Jakab et al., 1996; Clarke et al., 2000c). On the  
3 other hand, other studies using co-exposures of PM and gases have demonstrated no changes in  
4 histopathological (Moss et al., 2001) or biochemical and morphometric endpoints (Last and  
5 Pinkerton, 1997).

6 The mechanisms by which interactions between PM and gases occur is thought to be by:  
7 (1) formation of secondary products by chemical interactions between the gas and the particle,  
8 (2) adherence of material to the particle and subsequent transport to sensitive sites, and/or  
9 (3) pollutant-induced change in the local microenvironment of the lung (e.g., by decreasing the  
10 pH). All of these interactions have the potential to create antagonistic, additive, or synergistic  
11 interactions between PM and gases, which can greatly modify their individual effects.

12

## **7.7 QUANTITATIVE COMPARISONS OF EXPERIMENTAL PM EFFECTS ON CARDIOVASCULAR/RESPIRATORY ENDPOINTS IN HUMANS AND LABORATORY ANIMALS**

### **7.7.1 Introduction**

The extensive literature assessed in the foregoing sections provides considerable new information on experimentally-induced effects of various types of PM on cardiovascular and respiratory endpoints. The ensuing subsections attempt to characterize salient exposure/dose-effect relationships; including comparisons between lowest observed effect levels (LOELs) reported thus far for normal and compromised subjects. In the sections that follow, for both the cardiovascular/systemic and the respiratory effects, the LOELs derived from inhalation studies are first discussed and then those from instillation studies, followed by discussion of in vitro observed effect levels. In addition, efforts are made to delineate key factors important in attempting to extrapolate observed effects across species (rat to human) and/or to human ambient exposure conditions and to provide illustrative examples of some extrapolation modeling outcomes.

#### **7.7.1.1 Cardiovascular and Systemic Effects of Inhaled Particulate Matter**

Newly available studies examining the cardiovascular and systemic effects of inhaled PM have for the most part not carried out dose-response evaluations using multiple exposure levels in the same study. However, various types of effects reported across a wide range of concentrations for various types of PM tested at single exposure levels do allow one to gain some impressions about possible lowest-observed-effect-levels (LOELs).

Concentrated ambient particles were used in a number of studies examining cardiovascular and systemic endpoints, but none were done in a manner so as to allow clear delineation of dose-response relationships for the endpoints evaluated. Probably the lowest concentrations of U.S. ambient air observed to experimentally induce any cardiovascular effect in humans were those in the study by Ghio et al. (2000a). Increases in plasma fibrinogen were observed in healthy adult subjects exposed to Chapel Hill CAPS at concentrations in the range of 23.1 to 331.1  $\mu\text{g}/\text{m}^3$ . Another very small human exposure study was also reported by Petrovic et al. (2000) to show a trend toward increased blood fibrinogen in two of four human adults exposed for 2 h to Toronto CAPs ranging up to  $\sim 125 \mu\text{g}/\text{m}^3$ . Also, in laboratory animal studies, Godleski et al. (2000) used



1 CAPs from the Boston area and found effects on heart rate and ECG at a CAPs dose of ~100 to  
2 1000  $\mu\text{g}/\text{m}^3$  in some dogs. Both normal dogs and dogs compromised by coronary occlusion  
3 were reported to be affected. However, a study exposing both F344 rats and hamsters to CAPs  
4 collected in Manhattan at concentrations ranging from 132 to 919  $\mu\text{g}/\text{m}^3$  had contrasting findings  
5 (Gordon et al., 2000). That is, in hamsters and in rats, both normal and MCT-treated, there was  
6 an increase in HR and peripheral blood cell differential counts, but no other cardiovascular  
7 effects were observed. In contrast to these studies, a number of other studies have examined a  
8 wide range of cardiovascular endpoints and found no changes in cardiovascular parameters, e.g.,  
9 following inhalation exposures of dogs to Boston CAPS at 3 to 360  $\mu\text{g}/\text{m}^3$  (Clarke et al., 2000a),  
10 of rats to NYC CAPs at 95 to 341  $\mu\text{g}/\text{m}^3$  (Nadziejko et al., 2002), and of humans to ultrafine  
11 carbon particles at 10  $\mu\text{g}/\text{m}^3$  (Frampton, 2001).

12 A number of other studies have examined cardiovascular and systemic endpoints at much  
13 higher concentrations, using UAP and ROFA. For example, two other new studies showed  
14 effects of Ottawa UAP on levels of endothelin. Bouthellier et al. (1998) found that 40  $\text{mg}/\text{m}^3$   
15 Ottawa UAP in Fischer 344 rats caused an increase in plasma endothelin-1 levels without  
16 causing acute lung injury. Also, Vincent et al. (2001) found that 48  $\text{mg}/\text{m}^3$  Ottawa UAP caused  
17 increases in both endothelin-1 and endothelin-3 in Wistar rats, the endothelins being likely  
18 powerful cardiotoxic agents. However, the relevance of these effects of exposures to such  
19 extremely high ambient PM concentrations to evaluation of current ambient PM exposures in the  
20 U.S. is questionable.

21 Two studies reported arrhythmias in response to ROFA exposure. Wellenius et al. (2002)  
22 exposed healthy SD rats and rats with a model of myocardial infarction to 3  $\text{mg}/\text{m}^3$  Boston  
23 ROFA and found arrhythmias, ECG abnormalities, and decreases in heart rate variability in the  
24 compromised animals. Watkinson et al. (2000b) exposed healthy SD rats and rats with cold  
25 stress,  $\text{O}_3$  pre-exposure, or MCT to 15  $\text{mg}/\text{m}^3$  ROFA (source not reported). They observed  
26 increased arrhythmias, decreased heart rates, and hypothermia in the compromised animals. The  
27 same concentration in SH rats caused cardiomyopathy, monocytic cell infiltration, and increased  
28 expression of cardiac cytokines IL-6 and TGF- $\beta$ . The ROFA-exposed SH rats also showed  
29 increased ECG abnormalities compared to air-exposed SH rats. In another study, Muggenburg  
30 et al. (2000a) exposed beagles to 3  $\text{mg}/\text{m}^3$  Boston ROFA and found no effects on ECG and a

1 trend toward decreased heart rate, these overall results not being consistent with the Godleski  
2 et al. (2000) findings noted above.

3 Comparisons were made also between normotensive WKY rats and SH rats following an  
4 exposure to 15 mg/m<sup>3</sup> Boston ROFA (Kodavanti et al., 2002). The SH animals demonstrated  
5 increased plasma fibrinogen and small but consistent decreased total white blood cell numbers,  
6 the decrease being due mostly to decreased numbers of lymphocytes. Boston ROFA was used in  
7 another study by Kodavanti et al. (2003) at a concentration of 2, 5, or 10 mg/m<sup>3</sup> (for 6 h/day for  
8 4 consecutive days) to compare cardiovascular endpoints in normal SD, WKY, and SH rats.  
9 In this exposure paradigm, no significant effects were seen for any of the rat strains. However,  
10 with a second exposure paradigm (10 mg/m<sup>3</sup> for 6 h/day for 16 wks) WKY rats showed cardiac  
11 lesions in the form of randomly distributed foci of fibrosis and inflammation in the ventricles  
12 and the interventricular septum. Also, normal SD and MCT-treated rats exposed to 0.58 mg/m<sup>3</sup>  
13 Boston ROFA showed increased expression of MIP-2, predominantly in heart macrophages, in  
14 the MCT-treated animals.

15 In general, in the studies noted above, lower inhalation doses of CAPs than ROFA have  
16 been found to elicit at least some cardiovascular effects. Some PM<sub>2.5</sub> studies have demonstrated  
17 effects (increased blood fibrinogen) at concentrations as low as ~25 to 330 µg/m<sup>3</sup>, whereas other  
18 studies of CAPs at similar or higher concentrations did not show effects at such levels. Studies  
19 of UAP or ROFA at much higher concentrations have also reported effects, but the relevance for  
20 evaluation of health effects associated with current ambient PM levels in the United States is  
21 unclear. The lack of more data from studies completing dose-response evaluations highlights a  
22 need for more rigorous future evaluation of dose-effect relationships.

### 23 24 **7.7.1.2 Cardiovascular and Systemic Effects of Instilled Particulate Matter**

25 Recent studies characterizing the cardiovascular and systemic effects of instilled PM show  
26 that most effects have been seen in a concentration range of 0.7 to 9 mg/kg body weight.  
27 To better compare studies here, all reported instillation study doses were converted to mg/kg  
28 body weight.

29 Urban air particles (UAPs) were used in several studies that evaluated changes in heart  
30 rate, temperature, and blood parameters. Ottawa UAP at a concentration of 7 mg/kg was  
31 instilled in aged (15 mo old) SH rats (Watkinson et al., 2000a, 2000b). Effects seen at this dose

1 were hypothermia and bradycardia. Mukae et al. (2001) exposed female New Zealand White  
2 rabbits to 2 mg/kg Ottawa UAP and found a number of altered cardiovascular endpoints; e.g.,  
3 increases in circulating PMN band cell numbers and in the size of the bone marrow mitotic pool  
4 of PMNs, as well as a shortened transit time of PMN through the postmitotic pool in marrow.  
5 Suwa et al. (2002) evaluated similar endpoints with the same UAP, using 1.6 mg/kg in female  
6 Watanabe heritable hyperlipidemic rabbits. The same increases in PMN parameters were  
7 observed in this study, along with progression of atherosclerotic lesions, increases in plaque cell  
8 turnover, extracellular lipid pools, and total lipids in aortic lesions.

9 Dose-response evaluations were carried out in several ROFA studies. Boston or Florida  
10 was the origin of ROFA used in many of the IT studies that investigated cardiovascular and  
11 systemic effects, (though several research groups neglected to report the source of the ROFA).  
12 Arrhythmias were observed with both normal and MCT-treated rats at a concentration of 3  
13 mg/kg of Florida ROFA (Watkinson et al., 1998). In another study by the same investigators, a  
14 concentration of 0.7 mg/kg of ROFA (origin not reported) in SH rats was shown to create  
15 significant arrhythmias, whereas 7 mg/kg induced arrhythmias in normal rats (Watkinson et al.,  
16 2000a, 2000b). One study demonstrated ECG abnormalities in SD rats compromised by either  
17 MCT-pretreatment or cold stress (10°C) at a concentration of 3 mg/kg ROFA (origin not  
18 reported). Bradycardia was seen in a number of studies at concentrations of 0.7 to 7 mg/kg  
19 ROFA. Campen et al. (2000) observed a decreased heart rate at 3 mg/kg ROFA (origin not  
20 reported) in normal SD rats and at 0.7 mg/kg in rats compromised by cold stress,  
21 O<sub>3</sub>-pre-exposure, or MCT. Florida ROFA, tested at 7 mg/kg only, caused bradycardia in both  
22 normal SD and MCT-treated rats (Costa and Dreher, 1997). Aged SH rats displayed decreased  
23 heart rates when exposed to 1.4 mg/kg ROFA (origin not reported; Watkinson et al., 2000a).

24 The systemic response of hypothermia has been observed in normal SD rats and SD rats  
25 compromised by cold stress, O<sub>3</sub>-pre-exposure, or MCT when exposed to 0.7 mg/kg ROFA  
26 (origin not reported; Campen et al., 2000). Watkinson et al. (2000b) observed the hypothermic  
27 response in compromised rats at 1.4 mg/kg and in normal SD rats at 7 mg/kg. Increases in  
28 plasma fibrinogen have been observed in normal SD rats following exposure to 8.3 mg/kg  
29 Florida ROFA (Gardner et al., 2000). However, other hemostatic parameters and cardiovascular  
30 risk factors, such as activated partial thromboplastin time, prothrombin time, plasma viscosity,  
31 and complete blood count, were unaltered by the exposure. Kodavanti et al. (2002) compared

1 the response to Boston ROFA at concentrations of 1 and 5 mg/kg in normal WKY and  
2 spontaneously hypertensive (SH) rats. Both strains demonstrated increased plasma fibrinogen at  
3 the 5 mg/kg concentration, while only the WKY rats showed increased hematocrit at that dose.  
4 The SH rats demonstrated decreases in blood lymphocytes and increases in blood neutrophils at  
5 5 mg/kg. Lethality was observed in MCT-treated SD rats exposed to 3 or 7 mg/kg Florida  
6 ROFA (Costa and Dreher, 1997).

7 Overall, then, some cardiovascular and systemic effects of instilled ambient PM were  
8 observed at instilled doses of ~1.5 to 7 mg/kg body weight. Some effects were also apparent  
9 with exposures to ROFA in a concentration range of 0.7 to 9 mg/kg body weight. In many cases  
10 the compromised animals in these studies showed effects at lower doses than their normal  
11 counterparts.

### 13 **7.7.1.3 Respiratory Effects of Inhaled Particulate Matter**

14 The few available inhalation studies of ambient PM respiratory effects in humans have  
15 yielded consistent results in finding little or no indications of pulmonary function decrements or  
16 increased respiratory symptoms among healthy adults exposed for 2 h to CAPs from several  
17 locations (Toronto, Los Angeles, Chapel Hill, NC) at concentrations across a range of ~25 up to  
18 ~300  $\mu\text{g}/\text{m}^3$  (Ghio et al., 2000a; Petrovic et al., 2000; Gong et al., 2000; Gong et al., 2003).  
19 On the other hand, some of these studies did find indications of mild lung inflammatory  
20 responses, although some were of unclear health significance.

21 Relatively few laboratory animal studies have been done to examine the respiratory effects  
22 of inhaled PM, versus instillation studies. Mongrel dogs were exposed to Boston CAPs for  
23 6 h/day for 3 days at concentrations varying from ~100 to 1000  $\mu\text{g}/\text{m}^3$  (Godleski et al., 2000).  
24 The only small effects seen were decreased respiratory rate over time and some increases in  
25 BAL neutrophils. Also, Clarke et al. (1999) exposed SD rats, both normal and  $\text{SO}_2$ -pretreated  
26 bronchitic rats to Boston CAPs for 5 h/day for 3 days at concentrations of 200, 600, and  
27 730  $\mu\text{g}/\text{m}^3$  (mean CAPs level for each day). With 3 day exposures to those CAPs  
28 concentrations, PEF, and TV were increased in the bronchitic rats; and increased levels of BAL  
29 protein and percent neutrophils were seen in both normal and bronchitic rats. Comparing this  
30 same bronchitic model to normal SD rats, Kodavanti et al. (2000b) observed similar responses to  
31 CAPs collected in Research Triangle Park, NC. That is, at a concentration of 650  $\mu\text{g}/\text{m}^3$ ,

1 bronchitic rats had increased levels of BAL protein and neutrophils compared to CAPs-exposed  
2 normal SD rats. To test the effects on the respiratory system of combined bacterial infections  
3 and CAPs exposures, F-344 rats were exposed for 3 h to NYC CAPs at a mean concentration of  
4 225  $\mu\text{g}/\text{m}^3$  (Zelikoff et al., 2003). The CAPs exposures had little effect on respiratory  
5 parameters when they preceded lung infection with IT-administered *Streptococcus pneumoniae*;  
6 but CAPs exposure of previously-infected rats caused reductions in basal superoxide, decreased  
7 percentages of neutrophils, and increased bacterial burdens. These CAPs studies most clearly  
8 provide indications that exposure to ambient PM from several locations for 1 to 6 h/day for 1 to  
9 3 days at concentrations across a range of  $\sim 200$  to  $700 \mu\text{g}/\text{m}^3$  can cause (a) some lung  
10 inflammation in normal and compromised animals and (b) exacerbation of preexisting  
11 respiratory infection.

12 In a study of combustion emission source materials, Killingsworth et al. (1997) exposed by  
13 inhalation both normal SD and MCT-treated SD rats to Boston ROFA at a concentration of  
14  $580 \mu\text{g}/\text{m}^3$ . Consequent respiratory effects included increases in neutrophils in MCT-treated  
15 rats and increases in MIP-2 mRNA in normal SD rats. Kodavanti's group (1999, 2000b, 2002)  
16 also completed a number of studies that examined a range of endpoints using a concentration of  
17  $15 \text{ mg}/\text{m}^3$  of Boston or Florida ROFA. One inhalation study (Kodavanti et al., 2002) used  
18 Boston ROFA inhalation at a concentration of  $15 \text{ mg}/\text{m}^3$  in both WKY and SH rats to compare  
19 normal and cardiovascular compromised animals. Effects seen at this concentration were  
20 increases in PMN, AM, BAL protein, LDH, and lung lesions in both rat strains. Only the WKY  
21 rats showed increased glutathione in this study. This group also completed two inhalation  
22 studies utilizing Florida ROFA, also at a concentration of  $15 \text{ mg}/\text{m}^3$ . Comparisons made of  
23 normal SD and MCT-treated rats (Kodavanti et al., 1999) showed that both the normal and  
24 MCT-treated rats display lung lesions at this dose; and both groups displayed increases in BAL  
25 protein, LDH levels, and IL-6 levels. The healthy SD rats also showed increased MIP-2  
26 expression. A subsequent comparison of WKY and SH rats (Kodavanti et al., 2000a) showed  
27 that Florida ROFA had very similar effects on most respiratory parameters in both strains.  
28 Airway hyper-reactivity, lung lesions, AM counts, RBCs in BAL, BAL protein, BAL AM, BAL  
29 oxidants, and IL-6 all increased with ROFA exposure. As in the previous study, only the normal  
30 animals exhibited increased MIP-2 expression. Only one study of combustion source materials  
31 (Dormans et al., 1999) reported completing a dose-response evaluation. This laboratory used

1 doses of 0, 10, 30, and 100 mg/m<sup>3</sup> CFA and only observed a fibrotic reaction at 100 mg/m<sup>3</sup>, thus  
2 confirming the relatively inert nature of CFA in comparison to ROFA.

3 Thus, from among the growing number of animal studies in the literature describing the  
4 respiratory effects of inhaled PM, dose-response characterizations were generally not reported.  
5 So possibilities for reliably estimating LOELs from these data or for attempting extrapolations to  
6 human exposures are limited. Probably of most pertinence, for present purposes, are  
7 (a) indications from several studies that inhalation exposures to CAPs of several species (rats,  
8 hamsters, dogs) for 1 to 6 h/day for 1 to 3 days had little or not effect on pulmonary function, but  
9 induced some signs of lung inflammation in healthy animals and enhanced inflammatory  
10 responses in chronic bronchitic rats at CAPs concentrations varying across a range of ~100 to  
11 1000 µg/m<sup>3</sup> (with the inflammatory responses being most clearly shown in a range of ~200 to  
12 700 µg/m<sup>3</sup>); and (b) some exacerbation of respiratory infection following acute (3 h) exposure to  
13 New York City CAPs at ~225 µg/m<sup>3</sup>. On the other hand, analogous but more intensive  
14 inflammatory responses were reported for ROFA responses at a concentration of 15 mg/m<sup>3</sup>, and  
15 coal fly ash was not found to produce any effects until indications of fibrotic changes were seen  
16 at 100 mg/m<sup>3</sup>.

#### 17 18 **7.2.1.4 Respiratory Effects of Instilled Particulate Matter**

19 Recent studies characterizing respiratory effects of instilled PM indicate that most effects  
20 are observed for endpoints such as PMN, AM, protein, and LDH accumulation in BAL at a  
21 concentration range of 0.7 to 10 mg/kg body weight in rats, mice and hamsters. Changes in  
22 cytokines and oxidant formation have been seen in a similar concentration range in rats. Dose-  
23 response evaluations were carried out in about one third of these studies. To better compare  
24 studies, all concentrations from the instillation studies were converted to mg/kg body weight in  
25 the instances where researchers reported a dose per animal and an average weight for the  
26 animals.

27 Three studies examined the respiratory effects of instilled ambient PM collected in the  
28 Utah Valley near a steel mill that was closed during 1987. Filters were collected before, during,  
29 and after the closing and the PM was water-extracted for use in the studies. Ghio and Devlin  
30 (2001) intrabronchially instilled the Utah ambient PM in healthy humans at a concentration of  
31 0.007 mg/kg and found increases in the cytokines IL-8, TNF, and IL-1β following exposure to

1 the extracted PM collected while the plant was open. Other parameters increased by this PM  
2 exposure were fibrinogen, fibronectin, PMN, and BAL protein, and tissue factor. Dye et al.  
3 (2001) found analogous increases with this Utah ambient PM sample in male SD rats at much  
4 higher exposure levels. Exposure concentrations of 3 mg/kg increased BAL LDH, PMN, and  
5 total cells counts, whereas concentrations of 8 mg/kg increased lung lesions and airway  
6 reactivity. Sprague-Dawley rats exposed to pre- and post-closure Utah PM demonstrated  
7 increased BAL PMN and protein at a concentration of 1.8 mg/kg and increased oxidant  
8 formation at a dose of 3.6 mg/kg (Ghio et al., 1999a).

9 The respiratory effects of UAPs were compared to the effects of ambient PM collected  
10 from the Kuwaiti oil fires of 1991 in male Syrian golden hamsters (Brain et al., 1998). Doses of  
11 1.5, 7.5, and 37.5 mg/kg were used; and at the lowest concentrations, increased in PMNs were  
12 observed. At a dose of 7.5 mg/kg, effects seen were increases in BAL AM, protein and LDH.

13 Instillation of ROFA has been used in many of the newer studies examining the respiratory  
14 effects of PM. Residual oil fly ash collected at a temperature of 250-300°C, downstream from  
15 the cyclone of a power plant in Florida burning low-sulfur residual oil was the ROFA most  
16 commonly used in the following studies. Kodavanti et al. (1997a) found increases in lung  
17 lesions, PMN, AM, MIP-2, and IL-6 following instillations of 8.3 mg/kg ROFA in male SD rats.  
18 Evaluating possible strain differences, Kodavanti et al. (1997a) found similar inflammatory cell  
19 infiltration and alveolar, airway, and interstitial thickening in SD, Wistar, and F-344 rats at the  
20 same 8.3 mg/kg ROFA concentration. Another comparison of SD and F-344 rats showed  
21 increases in neutrophils in both strains at 8.3 mg/kg (Kodavanti et al., 1996). Florida ROFA at a  
22 slightly higher concentration, 9.4 mg/kg, caused increases in airway hyper-reactivity, AM, PMN,  
23 LDH, and protein in male SD rats (Gavett et al. (1997). The same laboratory (Gavett et al.,  
24 1999) found similar effects in BALB/cJ mice at a concentration of 3 mg/kg. Kadiiska et al.  
25 (1997) exposed male SD rats to 3.3 mg/kg Florida ROFA and found increases in both PNM and  
26 protein. A dose-response study was completed by Kovavanti et al. (2001) that showed that much  
27 lower exposures to Florida ROFA could elicit the same effects. At 0.83 mg/kg there were  
28 increases in BAL protein, LDH, and PMN in both WKY and SH rats. In the same study,  
29 increases in AM were seen at 0.83 mg/kg in SH rats and at 3.3 mg/kg in WKY rats. Another rat  
30 strain, Brown Norway, was shown to have increased production of LDH at 5.8 mg/kg and  
31 increased BAL protein at 1.1 mg/kg Florida ROFA, (Lambert et al., 1999), thus demonstrating

1 some similarity of observed effects across rat strains. In line with these studies, Madden et al.  
2 (1999) found increased production of acetaldehyde at a concentration of 3.6 mg/kg Florida  
3 ROFA. In another study (Costa and Dreher, 1997), comparing Florida ROFA, domestic oil fly  
4 ash (DOFA), coal fly ash (CFA), and four UAPs (St. Louis, Washington DC, Dusseldorf, and  
5 Ottawa), instillations of 7 mg/kg caused increases in PMNs albumin and LDH.

6 One study reported on respiratory effects of diesel particles (Ghio et al., 2000c) instilled  
7 into SD rats at a concentration of 1.8 mg/kg. Effects seen included increases in BAL protein,  
8 LDH, PMN, MIP-2, TNF, and total cells. A decrease in glutathione was also observed.

9 Overall, the studies of respiratory effects of instilled PM materials have provided limited  
10 but interesting information. Perhaps of most importance are the observations of increased levels  
11 of inflammatory indicators in BAL samples from adult humans exposed via instillation to as  
12 little as 0.007 mg/kg (i.e., 7 µg/kg) of Utah Valley ambient PM<sub>10</sub> extract obtained during the  
13 time the nearby steel mill was operating. Analogously, increased oxidant formation and BAL  
14 LDH, PNM and total cell counts were seen in rats instilled with 1.8 or 3.6 mg/kg of the pre-  
15 closure Utah ambient PM. As for other laboratory animal studies, effects in animals were  
16 observed for the commonly assayed respiratory endpoints, in a PM concentration range of 0.7 to  
17 10 mg/kg body weight. ROFA was the most commonly used PM for instillation studies,  
18 reflecting a significant data gap for other types of PM and leaving open the question of how  
19 relevant many of the results might be for assessing ambient air PM effects at concentrations  
20 pertinent to current U.S. conditions.

#### 21 22 **7.7.1.5 In Vitro Effects of Particulate Matter on ng/Cell Dose Basis**

23 A number of the in vitro studies described previously have reported cell numbers used in  
24 the exposures. Based on this information, it is possible to determine the actual dose applied on a  
25 per cell basis. This information is important if any comparisons are to be made across studies  
26 and, further, so that extrapolations between in vitro studies and in vivo studies may be attempted.  
27 In most of these experiments, cells are plated at  $1 \times 10^4$  to  $5 \times 10^6$  cells per mL of media, with an  
28 average of about a half million cells per experiment. Studies where cell counts were reported,  
29 but wherein cells were given additional time to proliferate or possibly grow until confluent, were  
30 not used to make PM/cell determinations. Researchers in most cases have carried out dose-  
31 response evaluations, so that LOELs can be determined for the endpoints studied. Overall, there



1 is some consistency among studies as to concentrations of PM required to elicit effects, most of  
2 which fall within a range across an order of magnitude difference between 0.02 and 0.2 ng/cell.

3 Urban air particles, ROFA , and CAPS have been most commonly used in these studies.  
4 In studies with exposures of both rat and human AM to UAP from St. Louis, Ottawa, Dusseldorf,  
5 and Florida, effects on cytokine production were consistently seen at doses as low as 0.02 ng/cell  
6 (Becker et al., 1996; Van Eden et all, 2001; Mukae et al., 2000). Washington DC and Boston  
7 UAP were both shown to increase TNF- $\alpha$  production in rat AM at doses of 0.1 ng/cell (Imrich  
8 et al., 2000). Interestingly, it appears that cytokine production is induced at slightly lower  
9 concentrations in human AM than in rat AM (Becker et al., 1996). Oxidant formation is also  
10 induced by UAP exposure in vitro. St. Louis, Ottawa, and Dusseldorf UAP all were shown to  
11 induce reactive oxygen species at doses of 0.05 to 0.5 ng/cell in human AM and blood  
12 monocytes (Becker et al., 1996; Becker and Soukup, 1998). Exposure of human AM and blood  
13 monocytes to St. Louis and Ottawa UAP inhibited phagocytosis as doses of 0.5 and 0.02 ng/cell,  
14 respectively (Becker and Soukup, 1998; Van Eeden et al., 2001). Washington DC UAP has been  
15 shown to decrease viability in rat AM at doses of 0.05 ng/cell (Nadeau et al., 1996) and 0.1  
16 ng/cell (Imrich et al., 2000). Washington, DC UAP has also been shown to increase levels of  
17 apoptosis at 0.2 ng/cell in human AM (Holian et al., 1998) and to deplete ATP at 0.5 ng/cell in  
18 rat AM (Nadeau et al., 1996).

19 In vitro effects on a wide range of endpoints have been observed with ROFA from Florida  
20 and Boston. Tumor necrosis factor- $\alpha$  has been induced with Florida ROFA in human AM at  
21 0.02 ng/cell (Van Eeden et al., 2001) and with Boston ROFA in mouse RAW 264.7 cells at  
22 0.2 ng/cell. Alabama ROFA has been shown to induce IL-6 production in BEAS-2B cells at  
23 0.08 ng/cell (Oortgeisen et al., 2000). Oxidant formation has been induced by Florida ROFA in  
24 human AM and human blood monocytes at 0.05 ng/cell (Becker et al., 1996; Becker and  
25 Soukup, 1998). A slightly higher concentration of Florida ROFA (0.15 ng/cell) was shown to  
26 induce oxidant formation in rat AM (Ghio et al., 1997a; Becker et al., 1996). Boston ROFA was  
27 found to induce both oxidant formation and inhibition of phagocytosis at 0.1 ng/cell in hamster  
28 AM (Goldsmith et at., 1997; Goldsmith et al., 1998). Florida ROFA in human lung  
29 mucoepidermoid carcinoma cells induced mucin secretion at 0.01 ng/cell and lysozyme at  
30 0.03 ng/cell (Longphere et al., 2000). Other observed effects of Florida ROFA include increased  
31 apoptosis in human AM at 0.025 ng/cell (Holian et al., 1998), increased acetaldehyde production

1 in BEAS-2B cells at 0.04 ng/cell (Madden et al., 1999), and increased calcium release in BEAS-  
2 2B cells at 0.08 ng/cell (Oortgiesen et al., 2000).

3 Fewer studies have used in vitro exposures to CAPs. Goldsmith et al. (1998) induced  
4 oxidant formation in hamster AM with Boston CAPs at 0.08 ng/cell. This group (Goldsmith  
5 et al., 1997) also demonstrated oxidant formation and inhibition of phagocytosis in hamster AM  
6 with Boston CAPS at doses of 0.01 ng/cell. One PM<sub>10</sub> study was found that reported cell  
7 numbers (Soukup and Becker, 2001). In that study, Chapel Hill PM<sub>10</sub> (both the soluble and  
8 insoluble fractions) caused increased production of IL-6, TNF- $\alpha$ , and MCP-1 at 0.01 ng  
9 PM<sub>10</sub>/cell and inhibition of phagocytosis at 0.05 ng/cell in human AMs. Long et al. (2001)  
10 reported that Boston area PM<sub>2.5</sub> caused increase production of TNF- $\alpha$  at 0.2 ng/cell. Kennedy  
11 et al. (1998) exposed BEAS-2B cells to Provo total suspended particulate (TSP) and found  
12 increased IL-6 release at 2.5 ng/cell and increased IL-8 release at 1.0 ng/cell. They also exposed  
13 human primary tracheal epithelial cells to TSP and saw effects at 0.06 ng/cell, but did not report  
14 dose-response information for these effects.

15 Thus, it appears that the most commonly studied in vitro endpoints have very similar  
16 LOELs across many types of PM evaluated, which range from about 0.02 to 0.2 ng/cell.  
17 As more in vitro studies are completed with information regarding specific PM exposure  
18 parameters and cell numbers used, clearer patterns should begin to emerge with regard to relative  
19 toxicities by PM class, cell type, and endpoints affected.

## 21 **7.7.2 Interspecies Comparisons of Experimental Results**

### 22 **7.7.2.1 Introduction**

23 Much of the new toxicologic data assessed in this chapter has been derived from either  
24 (a) in vivo exposures of human subjects or laboratory animals via inhalation exposures or  
25 instillation of PM materials or (b) in vitro exposures of various (mostly respiratory tract) cells or  
26 tissues to diverse types of PM. The experimental exposure conditions used in these studies are  
27 typically different from those experienced through inhalation of airborne PM by human  
28 populations in ambient environments. Most notably, the exposure concentrations used in many  
29 of the experimental studies are well above ambient PM levels. Therefore, consideration of the  
30 relevance of effects demonstrated under experimental conditions compared to the effects  
31 observed in humans following ambient PM exposures is useful, especially to the extent that

1 quantitative extrapolation of experimental results across species or to ambient conditions may be  
2 feasible based on currently available data.

3 Appendix 7A provides an analysis of the relationship between rat and human lung doses  
4 predicted for various exposure scenarios ranging from ambient PM exposures to PM instillations  
5 into the lung. In many studies, both toxicologic and epidemiologic, health endpoints are  
6 presented and analyzed as a function of exposure concentration. However, it is generally  
7 accepted that the dose to target cells or tissues, rather than exposure concentration per se, is  
8 responsible for adverse responses. As discussed in Appendix 7A, establishing a firm linkage  
9 between exposure and dose requires that consideration be given to particle characteristics and  
10 biological normalizing factors. Optimally, the dose metrics and normalizing factors should be  
11 based on the biological mechanisms mediating an effect. For some effects, the mass of soluble  
12 PM depositing in a region of the lung may be an appropriate dose metric. For example,  
13 an appropriate normalizing factor for soluble PM could be the surface area of the airways for  
14 irritants, whereas body mass might be more suitable when considering systemic effects.

15 There are two principle applications for the dosimetric assessments presented in  
16 Appendix 7A. First, experimental exposure concentrations can be estimated that should result in  
17 the same tissue dose in a rat as received by a human exposed to various levels of ambient PM as  
18 a function of dose metric, normalizing factor, and level of human exertion. As no single dose  
19 metric nor normalizing factor appears to be appropriate for all situations, numerous scenarios  
20 were considered in Appendix 7A. The parameters chosen can dramatically affect the rat  
21 exposure concentration estimated to be required to provide a normalized dose equivalent to that  
22 occurring in a human, as illustrated in Tables 7A-7a through 7A-9b in Appendix 7A. Second,  
23 the dose to the lung can be estimated for both animal and human inhalation studies. These  
24 analyses make it possible to compare biological responses as a function of dose rather than just  
25 exposure. Equal lung doses should not be assumed in comparing studies, even if PM mass  
26 concentrations, animal species, and exposure times are identical. Differences in the aerosol size  
27 distributions to which animals are exposed also affect dose delivered or retained. For example,  
28 in a comparison of several CAPs studies, one study was estimated to have 1.7 times the alveolar  
29 dose of another study despite a 10% lower exposure concentration in the first study. Thus, to  
30 make accurate estimates of dose, it is essential to have accurate and complete information  
31 regarding exposure conditions, i.e., not only concentration and duration of exposure, but also the

1 aerosol size distribution and the level of exertion (and hence breathing rates) for exposed  
2 subjects.

3 It is obviously not feasible, given the complexity involved, to attempt extrapolation  
4 modeling for more than a few illustrative health endpoints that were evaluated in the multitude  
5 of studies assessed in this Chapter. Nor would such an effort necessarily be particularly useful  
6 for present purposes. However, providing some modeling results that estimate comparative  
7 exposure concentrations/doses demonstrated experimentally in animal or human studies to be  
8 effective in producing a few important types of health endpoints should be of value in helping to  
9 provide a context by which to gauge the potential relevance of experimental results for ambient  
10 human exposure conditions.

#### 11 12 **7.7.2.2 Dosimetric Intercomparison for PMN Influx as a Marker for Lung Inflammation**

13 Various types of particulate materials (both ambient PM and combustion source particles)  
14 have been shown to cause inflammation of the lung by migration of PMNs (predominantly  
15 neutrophils) into the airways. These cells are initially produced by bone marrow and, along with  
16 AM, constitute an important defense mechanism triggered by invasion of PM, bacteria, or some  
17 other foreign matter. The PMNs, once in the lung, ingest PM and then degranulate, forming  
18 hydrogen peroxide and superoxide anions. Excessive quantities of PM in the lung can cause the  
19 lysosomal enzymes in PMNs to enter the extracellular fluid, creating further inflammatory  
20 responses. Additionally, PMN produce thromboxanes, prostaglandins, and leukotrienes.

21 Three recent studies provide data on PMN increases following CAPs exposure that allow  
22 comparison of rat to human responses. Kodavanti et al. (2000b) exposed both healthy SD rats  
23 and rats with SO<sub>2</sub>-induced bronchitis to CAPs collected in Research Triangle Park, NC. The  
24 particle size distribution in this study averaged 0.98 μm MMAD ( $\sigma_g = 1.41$ ), the average  
25 concentration was 740 μg/m<sup>3</sup>, and exposures consisted of whole-body inhalation of 6 h/day for  
26 2 or 3 days. Inflammation was assessed immediately after exposure or 18 h later. Increases in  
27 BAL PMNs were seen only in the CAPs-exposed bronchitic rats compared to healthy  
28 CAPs-exposed rats in 2 of 4 separate experiments when rats were lavaged immediately  
29 postexposure. The healthy CAPs-exposed rats had no significant differences in PMN counts  
30 compared to healthy air-exposed rats. In a similar study, Clarke et al. (1999) exposed healthy  
31 and SO<sub>2</sub>-induced bronchitic rats to Boston CAPs at an average concentration of 515 μg/m<sup>3</sup>.

1 Particle size averaged 0.18  $\mu\text{m}$  MMAD ( $\sigma_g=2.9$ ) and exposures consisted of whole-body  
 2 inhalation for 5 h/day for 3 consecutive days. PMN levels were assayed 24 h after exposure.  
 3 Increases in PMNs (both in terms of total PMN counts and as PMN as percent of total cell count)  
 4 in both the normal and bronchitic rats were seen with CAPs exposure. It is possible to compare  
 5 these two rat studies to a human study, wherein Ghio et al. (2000a) exposed human subjects to  
 6 Chapel Hill CAPs. In that study, healthy human volunteers were exposed to  $\sim 120 \mu\text{g}/\text{m}^3$  for 2 h,  
 7 with 15 minute periods of exercise alternating with 15 minutes of rest. Particle size was 0.65  $\mu\text{m}$   
 8 MMAD ( $\sigma_g=2.35$ ) and BAL analysis was at 18 h PE. Consistent with data from the rat studies,  
 9 the total numbers of PMNs increased with the human CAPs exposure.

10 Appendix Section 7A.7.2 compares tissue doses predicted to occur in human and rat CAPs  
 11 exposures using the Ghio et al. (2000a), Kodavanti et al. (2000b), and Clarke et al. (1999)  
 12 studies. The Kodavanti et al. (2000a) study consisted of five separate CAPS experiments and the  
 13 retained CAPs determinations were made from the experiment that utilized the 18 h PE time  
 14 point. Comparisons of these rat and human studies indicate that in order to obtain the noted  
 15 similarities in PMN responses observed, rats actually received a far greater alveolar tissue dose  
 16 than humans. That is, 60 to 500% increases in PMN numbers were observed in the rat studies  
 17 with estimated retained alveolar tissue doses of 28 to 47  $\mu\text{g}/\text{m}^2$  of CAPs PM; whereas a 267%  
 18 increase in PMNs was seen in humans with estimated doses of only 0.7  $\mu\text{g}/\text{m}^2$  of alveolar tissue.  
 19 This suggests that even healthy humans are notably more susceptible to the inflammatory effects  
 20 of CAPs than are rats. Table 7-14, allows more specific comparisons.

**TABLE 7-14. CAPS: RAT AND HUMAN INHALATION STUDY COMPARISONS**

Study	Species	Particle	Exposure Conc. ( $\mu\text{g}/\text{m}^3$ )	MADD ( $\sigma_g$ )	Exposure duration	Analysis PE	Change in PMN	Estimated alveolar dose per surface area
Kodavanti et al. (2000a)	SD rat SO <sub>2</sub> -SD	RTP CAPs	740	0.98 (1.41)	6 h/day for 2-3 days	< 3 h  18 h	255% $\uparrow$ PMN in 2 of 4 exp (bronchitic rats only) no change in PMN	ND  28 $\mu\text{g}/\text{m}^2$ retained
Clarke et al. (1999)	SD rat SO <sub>2</sub> -SD	Boston CAPs	515	0.18 (2.9)	5 h/day for 3 days	24 h	500% $\uparrow$ PMN 367% $\uparrow$ PMN	47 $\mu\text{g}/\text{m}^2$ retained
Ghio et al. (2000a)	humans	Chapel Hill CAPs	120	0.65 (2.35)	2 h	18 h	267% $\uparrow$ PMN	0.7 $\mu\text{g}/\text{m}^2$ retained

### 7.7.2.3 Inhibition of Phagocytosis by PM Exposure

Phagocytosis is a form of endocytosis wherein bacteria, dead tissue, or other foreign material (e.g., inhaled ambient particles) are engulfed by cells such as AM, MO, or PMN as part of normal lung defense mechanisms. Hence, increases in numbers of AM, MO, or PMN cells in lung tissue represent one indicator of mobilization of lung defenses in response to infection or deposition of inhaled particles. Once ingested by AM, lysosomes act to digest engulfed materials. Inhibition of the phagocytosis by AM would signal interference with lung defense mechanisms by which inhaled bacteria and viruses are killed or other foreign particles are detoxified and/or cleared from the lung. Also, if an AM is overwhelmed by the amount or toxicity of ingested material, that material may be released along with the AM's digestive enzymes onto the alveolar surface and numbers of AM or their phagocytic activities may decrease.

A number of experimental (especially in vitro) studies have demonstrated, that in some instances, one or another type of PM has caused an inhibition of phagocytosis. As with other endpoints affected by PM, this inhibitory effect is determined by the size and composition of the specific particulate materials tested.

For example, Becker and Soukup (1998) exposed human AM to UAP from St. Louis (0.2 to 0.7  $\mu\text{m}$  MMAD) and ROFA from Florida (0.5  $\mu\text{m}$  MMAD). Exposures periods were 18 to 20 hs at 100  $\mu\text{g}/\text{mL}$  per  $2 \times 10^5$  cells/mL for a dose per cell of 0.5 ng/cell. AM had a 50% decrease in phagocytosis of *Saccharomyces cerevisiae* with St. Louis UAP and a 30% decrease with ROFA, which the authors attributed to the toxicity of ROFA. The authors noted decreased phagocytosis in cells with both high and low particle burden, and further, that inhibited phagocytosis was more pronounced in the cells with a low burden. They attributed this effect to soluble fine constituents of the UAP more so than to particle-bound insoluble constituents. These researchers (Soukup and Becker, 2001) extended these findings with human AM exposures to Chapel Hill CAPs. They separated the CAPs into  $\text{PM}_{2.5}$  and  $\text{PM}_{10}$ , (soluble and insoluble components) and exposed  $2 \times 10^5$  cells/mL to 12.5, 25 or 100  $\mu\text{g}/\text{mL}$  for 18 h. Phagocytosis was then assayed with fluorescein-tagged, zymosan particles. They observed a dose-dependent decrease in uptake with the insoluble  $\text{PM}_{10}$  (12% at 12.5  $\mu\text{g}/\text{mL}$ , 30% at 25  $\mu\text{g}/\text{mL}$ , and 50% at 100  $\mu\text{g}/\text{mL}$ ). This correlates with doses per cell of 0.06, 0.12, and 0.5 ng/cell, respectively. There was a similar percentage of AM that appeared to be undergoing

1 apoptosis. They postulated that the decrease in phagocytosis is due to the cells undergoing  
2 programmed cell death. In another study by this group, Soukup et al. (2000) found decreased  
3 phagocytosis of yeast particles in human AM exposed to Provo PM<sub>10</sub> (Utah Valley Dust)  
4 collected before a steel plant closed. Exposures of 100 µg/mL to 2×10<sup>5</sup> cells/mL (for a dose of  
5 0.5 ng/cell) caused a 30% decrease in phagocytosis. Particles collected during and after the steel  
6 mill closure did not cause a similar change in phagocytosis, even though the amount of particles  
7 engulfed was the same for all samples of the dust. They suggested that the metal content may  
8 not be predictive of decreases in AM phagocytic responses. In another study, Van Eeden et al.  
9 (2001) studied human AM exposed to UAP (Ottawa) and ROFA (Florida), both reported to be  
10 < 10 µm in diameter, and found an inhibition of phagocytosis at 100 ug/mL, which they attribute  
11 to toxicity to the cells. At 24 h PE, phagocytosis was determined by visual inspection of the  
12 cells. Cells were plated at a concentration of 0.5×10<sup>6</sup> and phagocytosis was decreased at a dose  
13 of 0.2 ng/cell.

14 These in vitro studies of human AM may be compared to three available studies that  
15 investigated animal AM responses to vitro PM exposures. In one, Renwick et al. (2001) used a  
16 mouse macrophage cell line (J774.2 MΦ) to evaluate inhibition of phagocytosis by both fine and  
17 ultrafine particles. They used fine carbon black CB (260.2 nm diameter), ultrafine CB (UCB,  
18 14.3 nm), fine TiO<sub>2</sub> (250.0 nm) and ultrafine TiO<sub>2</sub> (UTiO<sub>2</sub>, 29.0 nm). The cultured cells at a  
19 concentration of 5×10<sup>6</sup> cells/mL were exposed to particles at concentrations of 15.6, 31, 63, or  
20 125 µg/mL for 8h, after which phagocytosis was assessed using 2 µm fluorescent latex beads.  
21 Phagocytosis was inhibited by UCB at 63 µg/mL and by all the particles at 125 µg/mL, which  
22 corresponds to doses of 0.013 and 0.025 ng/cell, respectively.

23 More recently, Renwick et al. (2004) sought to further characterize the effect of particle  
24 size on inhibition of phagocytosis in vitro. Using the same particles just described, rats were  
25 instilled with 125 or 500 ug of each of the particle types. AM were removed from BAL and  
26 cultured at concentrations of 5×10<sup>5</sup> cells/mL. Phagocytic activity was assayed in vitro with  
27 2 µm fluorescent latex beads. All of the particles significantly inhibited phagocytosis at the  
28 higher dose. No effect of particle size was seen in this study. It is important to stress that this  
29 study differs from others being discussing in that the PM exposure took place in vivo, whereas  
30 the other studies utilized an in vitro exposure.

1 Goldsmith et al. (1997) exposed hamster AM to Boston CAPs (1  $\mu\text{m}$ ) or Boston ROFA  
2 (0.1 to 2.5  $\mu\text{m}$ ) for 30 minutes. They measured right angle light scatter (RAS) to determine cell  
3 granularity, as an indicator of phagocytosis. At concentrations of up to 20  $\mu\text{g/mL}$  of CAPs and  
4 200  $\mu\text{g/mL}$  of ROFA, they observed no inhibition of phagocytosis. They listed two limitations  
5 of this type of assay to quantify phagocytosis; (1) it provides only a relative measure, not  
6 absolute numbers or mass of particles and, (2) it requires cells to be in suspension; whereas in  
7 the previously mentioned studies, the AM are adherent and thus capable of functioning in a more  
8 realistic manner. Further, as the exposure was only 30 minutes, it is difficult to compare their  
9 results to those of studies using exposures over 18 h.

10 To make comparisons between rodent and human studies investigating the inhibition of  
11 AM phagocytosis by PM, an understanding of the species-specific differences in AM should be  
12 noted. Appendix 7A Section 7.3 discusses the function of rat AM function versus volumetric  
13 loading. The volume, and presumably the capacity, of AM in rodents are smaller than for human  
14 AM. A human AM has an internal volume (not including the cell nucleus) of  $\sim 1350 \mu\text{m}^3$ ,  
15 compared to the SD rat ( $1010 \mu\text{m}^3$ ), F344 rat ( $760 \mu\text{m}^3$ ), hamster ( $420 \mu\text{m}^3$ ), or mouse ( $370 \mu\text{m}^3$ ;  
16 Miller, 2000). The phagocytic activity of an AM is thought to slowly decrease above a particle  
17 loading of  $\sim 6\%$  of its interior volume. At about 60% loading, alveolar macrophages become  
18 immobile. Considering the phagocytosis of a single particle, a human AM would likely become  
19 immobilized following the ingestion of a 11.6  $\mu\text{m}$  diameter particle (0.816 ng assuming unit  
20 density), whereas a mouse AM could only ingest a 7.5  $\mu\text{m}$  diameter particle (0.221 ng, unit  
21 density). Typically, considerably smaller particles than these (7.5 to 11.6  $\mu\text{m}$  particles) deposit  
22 in the alveolar region of the lung and become phagocytosed by AM. In addition to the volume  
23 occupied by engulfed particles, another 30% or more of an AM capacity is lost to void spaces  
24 between particles packed within an AM. Table 7-15 compares several in vitro studies of human  
25 and rodent AM function and makes estimations of the AM loads based on reported PM  
26 characteristics.

27 Only one study was found that used both rat and human AM to compare the effects of PM  
28 on AM phagocytosis. Seemayer et al. (1990) exposed AM isolated from BAL to UAP from  
29 Duisburg (F.R.G). Both species demonstrated a reduction in phagocytic activity (% cells with  
30  $> 2$  particles) and phagocytic capacity (particles per cell), with little effect on cell viability. Of  
31 note, this study indicated a greater inhibition of phagocytosis in human AM compared to rat AM



**TABLE 7-15. INTERSPECIES COMPARISONS OF NON-EFFECTIVE AND EFFECTIVE DOSES (estimated as ng/cell) PRODUCING NO CHANGE OR DECREASED PHAGOCYTOSIS BY HUMAN OR RODENT ALVEOLAR MACROPHAGE CELLS**

Study	Species	PM	Conc	Exposure duration	Particle size	Change in phagocytosis	Estimate dose/cell	Estimated % of cell filled
Becker and Soukup (1998)	human	UAP (St. Louis) ROFA (Florida)	100 µg per 2 × 10 <sup>5</sup> cells	18-20 h	0.2-0.7 µm 0.5	↓50% ↓30%	0.5 ng	53
Soukup et al. (2000)	human	CAPs (Chapel Hill - separated into soluble and insoluble components)	12.5 25 100 µg per 2 × 10 <sup>5</sup> cells	18 h	2.5 or 10 µm	↓12% ↓30% ↓50% with insoluble PM <sub>10</sub> only	0.06 ng 0.12 0.5	6.3 13 53
Soukup and Becker (2001)	human	PM <sub>10</sub> (Utah Valley)	100 µg per 2 × 10 <sup>6</sup> cells	overnight	10 µm	↓30%	0.05 ng	5.3
Goldsmith et al. (1997)	hamster	CAPs (Boston)  ROFA (Boston)	4 µg 10 20 25 50 100 200 per 0.5 × 10 <sup>6</sup> cells	30 min	1 µm  0.1-2.5	no change	0.008 ng 0.02 0.04 0.05 0.1 0.2 0.4	2.7 6.9 14 17 34 69 140
VanEeden et al. (2001)	human	UAP (Ottawa) ROFA (Florida)	10 µg 100 per 0.5 × 10 <sup>6</sup> cells	2,4,8,12,24 h (only 24 h data reported)	< 10 µm	no change ↓	0.02 ng 0.2	2.121
Renwick et al. (2001)	mouse macrophage cell line J774.2 MΦ	CB UCB TiO <sub>2</sub> , UTiO <sub>2</sub>	15, 31,63, or 125 µg  per 5 × 10 <sup>6</sup> cells	8h	0.260 µm 0.014 0.250 0.029	↓@ 125 µg ↓@ 63 ↓@ 125 ↓@ 125	0.025 ng 0.013 0.025 0.025	9.7 5.0 9.7 9.7

CB = carbon black

UCB = ultrafine carbon black

TiO<sub>2</sub> = titanium dioxideUTiO<sub>2</sub> = ultrafine titanium dioxide

1 by both criteria, suggesting that human AM are more sensitive to the effects of PM than rat.  
2 Unfortunately, given that the study only reported the volume of air from which particles were  
3 collected and not particle mass, size, or composition, it is not possible to compare the data with  
4 more recent studies. In summary, the above comparisons provide interesting results suggesting  
5 that human AM are at least as sensitive to ambient PM as to ROFA.

6 Whereas two studies reported no change in AM phagocytosis with exposures of human  
7 cells to doses of Ottawa ambient PM or ROFA (Florida) ranging up to 0.4 mg/cell, other studies  
8 showed decreased phagocytosis in human AM's exposed to 0.05 to 0.5 mg/cell of Chapel Hill  
9 CAPs, Utah Valley PM<sub>10</sub> extract, St. Louis ambient PM, or Florida ROFA. However, additional  
10 more systematic work is necessary to fully characterize the phagocytic dose-response to various  
11 species of PM. The efficient removal of inhaled PM by viable, functioning AM cells is a critical  
12 respiratory defense mechanism, one thought likely to be impaired by at least some types of  
13 ambient PM constituents.

14

## 7.8 MUTAGENICITY/GENOTOXICITY EFFECTS

The majority of newly-published PM research since the 1996 PM AQCD have focused on acute cardiovascular or respiratory effects associated with short-term exposure to ambient PM or selected constituents. However, new epidemiologic analyses by Pope et al. (2002) not only substantiate associations between long-term exposure to ambient PM and increases in cardiopulmonary mortality but also provide the strongest evidence yet linking such PM exposures to lung cancer. In view of these new ambient PM-carcinogenicity findings (and others from earlier epidemiologic studies), salient results both from some older studies (pre-1996 PM AQCD) and newly available ones are discussed below with regard to evaluations of mutagenic or other genotoxic effects of ambient PM, its constituents, and/or combustion emission source particles thought to be useful as indices of likely carcinogenic potential of such materials. The pertinent studies discussed below are summarized in Tables 7-16, 7-17, and 7-18.

### 7.8.1 Ambient Particulate Matter Effects

A limited number of new in vitro studies have examined the mutagenic and/or other genotoxic potential of ambient PM from various geographic locations in the U.S. or elsewhere; and, in general, they show some evidence that appears to support the biologic plausibility of lung cancer effects being causally related to long-term exposure to ambient PM, as implied by the epidemiologic findings.

The World Health Organization (1993) has found that the induction of sister chromatid exchanges (SCE) to be a sensitive cytogenic endpoint for the demonstration of genotoxic activity of environmental mutagens and carcinogens. In vitro SCE assays using various types of human or laboratory animal cells have been used in new studies, along with other techniques, to evaluate the genotoxic potential of ambient PM samples, ambient PM constituents and/or PM emission source constituents. These studies, listed in Table 7-18, have focused mainly on the ability of the organic fraction of ambient PM to induce mutagenic effects in mammalian cell lines and bacteria.

Probably of most direct relevance and usefulness for assessing U.S. ambient air carcinogenic potential, Hannigan et al. (1997) examined the mutagenicity of PM from five monitoring sites in southern California. San Nicholas Island in upwind Los Angeles was considered to be a background site with low levels of PM. Central Los Angeles was

**TABLE 7-16. MUTAGENIC/CARCINOGENIC EFFECTS OF AMBIENT PARTICULATE MATTER**

Species, Gender, Strain Age, or Body Weight	Particle or Constituent	Exposure Technique	Concentration Dose ( $\mu\text{g}/\text{mL}$ )	Particle Characteristics Size ( $\mu\text{m}$ ); $\mu\text{g}$	Exposure Duration	Effects of Particles on Mammalian Cells or Bacteria	Reference
Human h1A1v2	Ambient PM from Los Angeles, San Nicolas Island, Long Beach, Azusa, and Rubidoux, CA	in vitro	120 $\mu\text{g}$ EOC per 12 mL assay	< 2 $\mu\text{m}$	72h	No seasonal variation in mutagenic potency, leading authors to suggest that mutagenicity is due to ubiquitous emission sources like vehicle traffic or stationary combustion rather than isolated point sources. LA air had 10 times more mutagenicity than background levels (San Nicolas)	Hannigan, et al. (1997)
Human h1A1v2	Composite of ambient PM from Los Angeles, San Nicolas Island, Long Beach, Azusa, and Rubidoux, CA. Fractionated into nonpolar, polar and semipolar components	in vitro	300 - 1200 $\mu\text{g}$ EOC per 12 mL assay	< 2 $\mu\text{m}$	72 h	Most of the mutagenic potency was in the unsubstituted PAC fraction. 2-nitrofluoranthene and 6H-benzo [cd] pyrene were semipolar mutagens.	Hannigan et al. (1998)
Cultured tracheal epithelial cells from Hamster (Syrian golden, young) or rat	Ambient PM: industrial or high traffic areas (Germany)	in vitro	Not given	Dichloromethane extraction of high volume samples.	Dilutions of extracted organic phase of particles incubated with cells for 48 hs.	Dose-related increases in sister chromatid exchanges seen in both species. PM from industrial sample had LOEL of 0.11 $\text{m}^3$ air/mL medium. PM from high traffic area had LOEL of 0.16 $\text{m}^3$ air/mL medium.	Hornberg et al. (1996)
Human bronchioepithelial cell line (BEAS-2B)	Urban $\text{PM}_{2.5}$ Urban $\text{PM}_{10}$ Industrial $\text{PM}_{2.5}$ Industrial $\text{PM}_{10}$ Rural $\text{PM}_{2.5}$ Rural $\text{PM}_{10}$ (Germany)	in vitro	6.6 to 26.5 $\mu\text{g}/\text{mL}$ 1.7 to 6.9 $\mu\text{g}/\text{mL}$ 10.8 to 43.2 $\mu\text{g}/\text{mL}$ 5.8 to 23.1 $\mu\text{g}/\text{mL}$ 7.8 to 34.1 $\mu\text{g}/\text{mL}$ 3.7 to 14.4 $\mu\text{g}/\text{mL}$	Dichloromethane extraction of coarse ( $\text{PM}_{10}$ ) and fine ( $\text{PM}_{2.5}$ ) fractions.	Dilutions of extracted organic phase of size-segregated particles incubated with cells for 72 hs.	Significant increases in sister chromatid exchanges were greater from all sampling sites at all doses of $\text{PM}_{10}$ and $\text{PM}_{2.5}$ from urban and industrial regions. Extraction phase of coarse particles produced fewer sister chromatid exchanges than did the fine particles.	Hornberg et al. (1998)

**TABLE 7-16 (cont'd). MUTAGENIC/CARCINOGENIC EFFECTS OF AMBIENT PARTICULATE MATTER**

Species, Gender, Strain Age, or Body Weight	Particle or Constituent	Exposure Technique	Concentration Dose ( $\mu\text{g}/\text{mL}$ )	Particle Characteristics Size ( $\mu\text{m}$ ); $\mu\text{g}$	Exposure Duration	Effects of Particles on Mammalian Cells or Bacteria	Reference
Kidney cells from hamster (Syrian golden, 8-10 wks old)	Ambient PM from urban and industrial areas (Germany)	in vitro	Not given	Dichloromethane (DCM) extraction of high volume samples.	Dilutions of extracted organic phase of particles incubated with cells for 18 hs followed by infection with simian virus SV-40.	Significantly greater SV-40-induced transformation of hamster kidney cells pre-treated with organic extractions of urban particles/extracted from 4 m <sup>3</sup> air.	Seemayer and Hornberg (1998)
Cultured hepatoma cells	Ambient PM (Netherlands)	in vitro	Not given	Acetone/DCM extraction of high volume samples.	Dilutions of extracted organic phase of particles incubated with cells for 6 or 48 hs.	Extracts of ambient PM both upwind and downwind of highway had genotoxic effects, although PAH content was greater in the downwind samples.	Hamers (2000)
Liver tumor cell line (HEPA1c1c7)	Urban air PM	in vitro	6 - 12 $\mu\text{g}$	Aqueous and organic extraction from filters of particles collected with high volume samplers.	4 hs	Inhibition of gap-junctional intercellular communication (GJIC) only significant in cells treated with aqueous extract of diesel, compost, or rubber particles.	Alink (1998)
	DEP		17 - 37 $\mu\text{g}$				
	Rubber industries PM		36 - 47 $\mu\text{g}$				
	Metal industries PM		32 - 175 $\mu\text{g}$				
	Poultry/swine farm		81 - 137 $\mu\text{g}$				
	Compost		42 $\mu\text{g}$				

PAC = polyaromatic compounds.

**TABLE 7-17. MUTAGENIC/CARCINOGENIC EFFECTS OF WOOD AND COAL COMBUSTION-SOURCE PM**

Species, Gender, Strain Age, or body weight	Particle or constituent	Exposure Technique	Mass Conc µg/mL or µg/m <sup>3</sup>	Particle Characteristics Size (µm)	Exposure Duration	Effects of particles on mammalian cells or bacteria	Reference
Salmonella	Emissions from wood (birch, pine, and spruce) combustion	in vitro Ames assay	32 to 100 µg/m <sup>3</sup> of PM and 2.6 to 200 µg organics	PM and organic fractions from wood stoves combustion	48 hs	Organic fraction: mutagenic potency of 0.5-21 revertants/µg. The PM fraction demonstrated only very low mutagenicity	Löfroth et al. (1986)
Salmonella: TA98 TA100	Wood, diesel, and coal emissions	in vitro Ames assay (comparing standard plate and spiral assays)	200 µg/plate woodsmoke, 500 µg/plate DE and 200 µg/plate coal		72 h	DE had greatest mutagenicity under all conditions, creating both frameshift and base-pair substitution mutations. Coal just slightly less mutagenic than diesel creating indirect-acting frameshift mutations. Woodsmoke only weakly mutagenic.	Houk et al. (1991)
Salmonella: TA98  Human WBC	Emission from open fireplaces	in vitro Ames assay  <sup>32</sup> P-postlabelling analysis of DNA adducts		PM extracted with methanol	1 wk	Control: 28 revertants/30 m <sup>3</sup> (-S9) and 69 (+S9). Combustion: 153 (-S9) and 369 (+S9). No change in DNA adducts.	Heussen et al. (1994)
Salmonella: TA98  TA100	Wood smoke condensate (Sigma)	in vitro Ames assay	0, 125, 250, 500, 750 and 100 µg/plate		48 hs	Not mutagenic at all doses	Putnam et al. (1999)
Salmonella: TA100	Emission PM - collected throughout year from burning fields	in vitro Ames assay	130 units µg/m <sup>3</sup> (winter) to 15 (summer),  170 (winter), 37 (summer)	PM <sub>2.5</sub> and  PM <sub>10</sub>	48 hs	PM <sub>2.5</sub> : 30.6 revertants/m <sup>3</sup> air volume (winter) to 0.1 (summer) with increased mutagenicity with S9 activation. PM <sub>10</sub> : 28.1 (winter) to 0.7 (summer), revertants/m <sup>3</sup> air volume, S9 activation increasing the mutagenicity.	Vinitketkumnuen et al. (2002)
Salmonella: TA98  TA100	Wood burning emission PM and gas phase	in vitro Ames assay		Two smoke samples collected, PM and gas phase	48 hs	12 × 10 <sup>6</sup> revertants/kg using TA100-S9 and 3.5 × 10 <sup>6</sup> revertants/kg using TA98-S9. Emissions can cause both frameshift and base pair substitution mutations. The gas phase of the wood smoke emission contributed to more than 60% of the direct-acting mutagenicity	Kim Oanh et al. (2002)

**TABLE 7-17 (cont'd). MUTAGENIC/CARCINOGENIC EFFECTS OF WOOD AND COAL COMBUSTION-SOURCE PM**

Species, Gender, Strain Age, or body weight	Particle or constituent	Exposure Technique	Mass Conc µg/mL or µg/m <sup>3</sup>	Particle Characteristics Size (µm)	Exposure Duration	Effects of particles on mammalian cells or bacteria	Reference
Salmonella: TA98 TA100 TA1535 TA1537 TA1538	Coal fly-ash from fluidized-bed (FBC) and conventional combustion (CC) plants	in vitro Ames assay		< 3µm  FBC mean diameter 0.54 µm  CC mean diameter 1.05 µm	72 hs	FBC mutagenic in TA98 (3.32 revertants/mg) and TA 1538 (3.31), both without activation. S9 decreased the mutagenicity of FBC in TA98 and TA 1538. FBC had no mutagenic response in TA1537 and TA1535.	Munford and Lewtas (1982)
Salmonella: TA98 TA100 TA104	Extracts from smoky coal, China	in vitro Ames assay  PCR and DNA sequencing				TA98 + S9 mutagenic at ≥ 10 ug/plate; TA98-S9 not mutagenic. Mutation spectrum hotspot. TA100 + S9 mutagenic at ≥ 10 ug/plate; TA100-S9 at ≥ 50 ug/plate. Mutation spectrum: GC → TA or GC → AT transversions. TA104: no mutagenicity	Granville et al. (2003)

**TABLE 7-18. MUTAGENIC/CARCINOGENIC EFFECTS OF MOBILE COMBUSTION-SOURCE PM**

Species, Gender, Strain Age, or body weight	Particle or constituent	Exposure Technique	Mass Conc μg/mL or μg/m <sup>3</sup>	Particle Characteristics Size (μm)	Exposure Duration	Effects of particles on mammalian cells or bacteria	Reference
Salmonella	PM diesel gasoline	in vitro Ames assay			48 hs	DE mutagenic response was 800 (PM fraction) revertants/g fuel used and 210 (condensate fraction). Gasoline 24 (PM fraction) and 39 (condensate).	Löfroth (1981)
Salmonella: TA98 TA100	PM from Diesel, Gasoline, Gasoline + alcohol, liquified petroleum	in vitro Ames assay			48 hs	LP cars: 10 rev/L exhaust. Gasoline and gasoline + alcohol: 10-50 rev/L exhaust). Light-duty diesel:50-250 rev/L7	Rannug (1983)
Salmonella: TA98 TA98NR	Fractionate exhaust of gasoline and diesel engines	in vitro Ames assay	Particle emission values for the vehicles were 0.021 g/km and 0.23 g/km		48 hs	Most polar subfraction was most mutagenic TA98-S9: 7.8 rev/m <sup>3</sup> (g); 6.1 (d). TA98+S9: 3.3 (g);1.5 (d). TA98NR-S9: 3.7 (g); 4.1 (d) TA98NR response generally lower than TA98 response. Both had similar TA98NR-S9 response, but differed significantly in TA98-S9 response.	Strandell et al. (1994)
Mutagenicity: Salmonella T. Microsome assay  Cytotoxicity: Mouse fibroblast cell line < 1.292	Diesel exhaust particles (DEP): petroleum DEP vs. rapeseed oil methyl ester (RME) DEP	in vitro Ames assay	Not given	Dichloromethane extraction of particles collected from diesel engine run with diesel fuels with low or high sulfur and plant oil fuel.	48 hs incubation with TA98 and TA100 strains.	Revertants were 2- to 10-fold higher with high sulfur diesel fuel particles. Cytotoxicity in fibroblast cells higher for RME.	Bunger (2000)



**TABLE 7-18 (cont'd). MUTAGENIC/CARCINOGENIC EFFECTS OF MOBILE COMBUSTION-SOURCE PM**

Species, Gender, Strain Age, or body weight	Particle or constituent	Exposure Technique	Mass Conc µg/mL or µg/m <sup>3</sup>	Particle Characteristics Size (µm)	Exposure Duration	Effects of particles on mammalian cells or bacteria	Reference
Salmonella: TA98 TA100	PM and SVOC of exhaust from diesel and gasoline engines	in vitro Ames assay	25-500 µg/plate			Mutagenicity rankings: TA98: current diesel at 30 °F > high emitter diesel > gas emitting white smoke > normal gasoline 72 °F > normal diesel 72 °F > gas emitting black smoke. TA100: current diesel at 30 °F > gas emitting white smoke > high emitter diesel > normal diesel 72 °F > gas emitting black smoke > normal gasoline 30 °F > normal gasoline 72 °F	Seagrave et al. (2002)
Salmonella: TA98  Calf thymus DNA	PM and SVOC of exhaust from diesel and gasoline engines	in vitro Ames assay  Adduct formation	Ames assay: 30-500 µg/PM (-S9) 10-1000 µg/PM (+S9) Adduct: 150 µg/PM gasoline extracts. high doses (42-150 µg/PM) and low doses (7.5-18.5 µg/PM) of gasoline and diesel extracts.			Gas SVOC fraction less mutagenic than PM fraction, but formed more DNA adducts. Diesel PM and gasoline extracts formed more S9-mediated adducts with increasing doses, but no dose response. Diesel extracts formed higher levels of adducts than gasoline extracts, especially in the presence of XOResults suggest high nitro-PAH levels in diesel extract.	Pohjola et al. (2003)

1 characterized as a region of high PM resulting from heavy vehicle traffic. Long Beach was  
2 another high PM site studied with PM originating from power plants and oil refineries. The two  
3 other high PM sites chosen were Azusa and Rubidoux, which were considered receptor sites  
4 located downwind from high density primary emission sources. Mutagenic activity of air  
5 samples collected in 1993 were assayed using a cultured human cell assay in addition to the  
6 standard Ames bacterial mutation assay, which has limitations in terms of relevancy to human  
7 mutagenicity. The human cell assay utilizes h1A1v2 cells, which test mutagenic activity at the  
8 thymidine kinase locus. The cells contain a plasmid pHSRAA with two copies of human  
9 CYP1A1 cDNA, which confers resistance to 1-histidinol. CYP1A1 is a cytochrome P450  
10 capable of activation of PAH. Air samples were collected throughout the year at all sites using a  
11 dichotomous sampler. Both seasonal and spatial differences in component elemental and  
12 organic carbon were observed. However, both the human cell mutagenicity assay and a  
13 *Salmonella* TM677 forward mutation assay showed no systematic seasonal pattern of changes in  
14 mutagenicity. These results suggested to the authors that the proportion of mutagenic  
15 compounds in the fine organic aerosol mass does not change throughout the year and that  
16 perhaps the emission sources that show seasonal variation do not contribute in a major way to  
17 the mutagenicity of the PM. They thusly concluded that, in the Los Angeles area, primary  
18 particulate emissions from sources that operate on a year-round basis are the important human  
19 cell mutagens. Further, since they found very similar mutagenic potencies at all four widely-  
20 separated high PM sites, they suggested that the mutagenicity is due most likely to ubiquitous  
21 emissions sources rather than to isolated point sources.

22 To ascertain which components of the Los Angeles area PM were responsible for the  
23 observed mutagenicity, Hannigan et al. (1998) extended these findings by combining the four  
24 high PM samples and a background site sample described above into a composite sample that  
25 was then separated by liquid chromatography into fractions of organic chemicals of similar  
26 polarity and functionality. A primary fractionation separated the composite sample into four  
27 fractions, designated nonpolar 1, nonpolar 2, semipolar, and polar. To further isolate the  
28 mutagens, additional fractionation steps were done by HPLC. The mutagenic potency of the  
29 unfractionated sample was 150 induced mutant fraction (IMF) per mass of fine particulate  
30 organic carbon or IMF ( $\times 10^6$ )/mg of EOC. They found that six unsubstituted polyaromatic  
31 compounds (PACs) were responsible for much of the mutagenicity. These included benzo [k]

1 fluoranthene, indeno [1, 2, 3-cd] pyrene, benzo [b] fluoranthene, benzo [g, h, i] perylene, benzo  
2 [z] pyrene, and cyclopenta [cd] pyrene. Benzo [k] fluoranthene and benzo [b] fluoranthene  
3 sources include vehicle exhaust and natural gas combustion. The source of the other four PACs  
4 is mainly noncatalyst-equipped gasoline vehicles. Additionally, two semipolar mutagens were  
5 identified: 2-nitrofluoranthene and 6H-benzo[cd]pyren-6-one. In the Los Angeles area, the first  
6 compound is a product of atmospheric chemical reactions and the other is emitted by noncatalyst  
7 gasoline-powered vehicles. The authors estimated that greater than half of the mutagenicity may  
8 be attributed to the semipolar and polar fractions of the sample.

9 Some additional evidence for mutagenetic properties of ambient PM derive from several  
10 European studies. For example, Hornberg et al. (1996), evaluated genotoxic effects on cultured  
11 rodent (rat; Syrian golden hamster) tracheal epithelium cells exposed in vitro to ambient PM  
12 collected on hi-vol (TSP) sampler filters during winter 1991 in a heavily industrialized city  
13 (Duisburg) or in another area (Düsseldorf) of Germany dominated by high density vehicular  
14 traffic. Exposure to ambient PM extracted (by dichloromethane or DCM) from filters from both  
15 types of locations induced highly significant dose-dependent increases in SCE in the tracheal  
16 cells of both rodent species. The authors noted that it was remarkable that even quantities of  
17 chemical substances equivalent to airborne PM from just 0.11 to 3.5 m<sup>3</sup> air for the samples from  
18 the heavy industry area and from 0.16 to 10.2 m<sup>3</sup> for the heavy traffic area induced significant  
19 genotoxic effects (i.e., ~2-fold increases in SCE).

20 Hornberg et al. (1998) also evaluated genotoxic effects on human tracheal epithelial cells  
21 of fine (PM<sub>2.5</sub>) and coarse (PM<sub>10</sub>) fractions of ambient PM collected during winter, 1996 on  
22 dichotomous sampler filters in an urban area (Düsseldorf), an industrial area (Duisburg) and a  
23 rural area (Borken) of Germany. Both ambient PM<sub>10</sub> and especially PM<sub>2.5</sub> extracted (by DCM)  
24 from filters for all three areas significantly increased SCE in the human bronchioepithelial cell  
25 line (BEAS-2B) cultured in vitro for a 72 h exposure. The authors noted that the fine fraction  
26 (PM<sub>2.5</sub>) exerted stronger genotoxic activity than the PM<sub>10</sub> from a given area and that, whereas the  
27 Düsseldorf and Duisburg ambient PM materials had comparable genotoxic activity, samples  
28 from the rural area (Borken) showed lower genotoxicity. The fine fraction PM<sub>2.5</sub> (equivalent to  
29 airborne PM substances from < 0.5 m<sup>3</sup> of air) exerted strong genotoxicity. The PM<sub>2.5</sub> and PM<sub>10</sub>  
30 extracted PM from the filters were reported to have been drawn from ambient air having

1 concentrations of: 18.4 and 4.8  $\mu\text{g}/\text{m}^3$  for Düsseldorf; 45 and 24.1  $\mu\text{g}/\text{m}^3$  for Duisburg, and 21.8  
2 and 10  $\mu\text{g}/\text{m}^3$  for Borcken, respectively (all of which were in 1 mL of medium for exposures).

3 Based on the above results, Hornberg et al. (1996, 1998) concluded that the increases  
4 observed in SCE of tracheal epithelium cells with in vitro exposures to ambient PM materials are  
5 indicative of genotoxic activity of such materials and increased risks for humans due to such  
6 genotoxicity activity. However, insufficient information was provided by which to estimate the  
7 actual exposure doses to the cell cultures in the Hornberg studies. Nevertheless, their results still  
8 appear to provide qualitative evidence for mutagenic effects of ambient PM (especially the fine  
9 fraction drawn from heavily industrialized or trafficked areas). The authors also noted that the  
10 tracheobronchial epithelium is the site of one of the most common cancer in humans, i.e.,  
11 bronchogenic carcinoma (Tomatis, 1990).

12 Further evidence for the likely carcinogenic potential of ambient PM, in addition to the  
13 above findings, is derived from a study by Seemayer and Hornberg (1998), which employed a  
14 bioassay for enhancement of malignant cell transformation in vitro. Exponentially growing  
15 cell cultures from the Syrian golden hamster were exposed for 18 h to varying concentrations of  
16 PM materials extracted (by DCM) from hi-vol sampler filters that collected ambient PM from  
17 Düsseldorf or Duisburg, Germany in winter, 1990. Control and PM-exposed cultures were then  
18 infected with the papovavirus simian virus (SV-40). There was a strong dose-dependent  
19 enhancement of cell transformation frequency in the kidney cell cultures as a function of varying  
20 pretreatment concentrations of ambient PM extracts. Inoculation of transformed cells into  
21 syngeneic animals produced a high percentage of malignant tumors, mostly sarcomas. Positive  
22 control cultures pretreated with benzo-a-pyrene (BaP) showed similar dose-dependent  
23 enhancement of malignant cell transformations. The authors also noted that the human  
24 papovaviruses BK and JC are ubiquitous and infect a large proportion of human populations  
25 worldwide (Monini et al., 1995); and that interactions of environmental carcinogens and viruses  
26 should be considered in human carcinogenesis.

27 Using a different type of bioassay from Hornberg and colleagues, Hamers et al. (2000)  
28 evaluated the genotoxicity of ambient PM collected by hi-vol sampler at several sites in The  
29 Netherlands: (1) one site next to a highway traffic point (density of vehicle passages/day =  
30  $63 \times 10^3$ ); (2) another next to a higher density ( $93 \times 10^3$  vehicle passages/day) traffic point; and  
31 (3) a third in a natural conservation area (with extensive non-manured grasslands and cattle

1 grazing) thought to have background levels of diffuse air pollution. Extracts of PM filter  
2 materials, collected from each of these sites in 1997 and/or 1998, were tested for genotoxic  
3 activity in the umu-assay (using *S. typhimurium*). Arylhydrocarbon-receptor activation was also  
4 assessed by DR-CALUX-assay, using a stably transfected H4IIE hepatoma cell line. Ambient  
5 PM collected downwind from the highway (west-wind) traffic points had increased genotoxicity  
6 that appeared to be attributable at least in part to polycyclic aromatic hydrocarbons (PAHs) from  
7 traffic exhaust. The extracts of ambient PM collected upwind of the highway (eastern wind) had  
8 a different composition of compounds (probably including some transported from nearby  
9 Germany), with higher genotoxicity less related to highway-emitted PAH-like compounds.  
10 Of interest, even the rural site ambient PM extracts showed some genotoxic activity. The  
11 authors concluded that their results showed that the presence of pollutants with genotoxic or  
12 PAH-like characteristics pose an undesirable mutagenic risk.

13 In another study using a less conventional endpoint, Alink, et al. (1998) compared effects  
14 on gap-junctional intercellular communications (GJIC) in liver tumor (HEPA1c1c7) cells of  
15 in vitro exposures to PM from urban air (geographic area not stated), rubber and metal  
16 industries, diesel exhaust, and biological sources (i.e., poultry/pig farming, compost industry).  
17 Only diesel and rubber sample filter extract suspensions significantly inhibited GJIC, with up to  
18 83% of the inhibition attributed to the particles per se. More active organics were reported to  
19 have been extracted from the rubber industry particles than from the diesel particles by organic  
20 solvents. The authors interpreted their results as suggesting that cancer promoting potential (as  
21 indexed by GJIC inhibition) may vary widely depending on particle source and type, possibly  
22 due to the particles per se or to surface-bound bio-active material.

23 Taken together, the results of the above studies provide strong new evidence indicative of  
24 ambient PM (especially the fine fraction) having mutagenic properties, thus supporting the  
25 plausibility of epidemiologic evidence linking ambient PM (especially fine PM) to lung cancer.  
26 The results further suggest likely contributions to the observed mutagenicity of ambient PM of  
27 industrial or motor vehicle combustion sources (which are important emission sources for fine  
28 PM). The ensuing subsections discuss studies that evaluated the mutagenic/genotoxic potential  
29 of several types of major combustion sources known to contribute to ambient PM (especially  
30 fine PM) in many U.S. regions.

31

## 7.8.2 Wood and Coal Combustion-Source Effects

Emissions from the combustion of wood and coal, as well as combustion of oil fuels (diesel and gasoline) by mobile source vehicles, all contribute to ambient PM. A number of studies have been done to evaluate the mutagenicity and genotoxicity of these combustion emissions and to compare their relative mutagenic/genotoxic potentials. Table 7-17 summarizes wood/coal combustion studies, discussed first below. These include some earlier studies, conducted prior to the 1996 PM AQCD, given the only very limited more recent evaluation of wood/coal combustion mutagenic/genotoxic effects.

### 7.8.2.1 Biomass/Wood Burning

Early studies by Löfroth et al. (1986) used the Ames Salmonella assay to determine the mutagenicity of emissions from wood (birch, pine, and spruce) burned in conventional wood stoves. Both the PM fraction and the condensable organic fraction were applied in doses of 0.6 to 4.3 liter flue gas per plate (for a range of 32 to 100 mg/m<sup>3</sup> of PM and 2.6 to 200 mg organics). The wide range of doses was due to use of both updraft and downdraft stoves, the latter generating far less combustion emissions. The organic fraction had a mutagenic potency of 0.5 to 21 revertants/ug (rev/ug). The PM fraction demonstrated only very low mutagenicity. The authors compared these results to earlier studies by Löfroth (1981) and Rannug (1983) of gasoline and diesel cars. On a revertant per hour basis, wood stoves produced  $6 \times 10^6$ , gasoline cars  $0.5$  to  $3 \times 10^6$ , and diesel cars  $3$  to  $20 \times 10^6$  rev/ $\mu$ g.

In testing the spiral Salmonella assay (Houk et al., 1991) compared the mutagenicity of wood smoke, automotive diesel exhaust and coal combustion emission. This automated bacterial mutagenicity assay dispenses Salmonella, the test agent, and the S9 mix in a spiral pattern on an agar plate, creating a uniform density of bacteria and a gradient of test agent. Doses of 200  $\mu$ g/plate woodsmoke, 500  $\mu$ g/plate DE and 200  $\mu$ g/plate coal emission were used on standard Ames assay plates to compare the two assays. Exposures to strains TA98 and TA100, both with and without metabolic activation by S9, showed that DE had the highest mutagenicity. Results from the TA98 and TA100 experiments suggested to the authors that the mutagenic activity is due to both nitrated polynuclear aromatics creating frameshift mutations and nonpolar compounds creating base-pair substitution mutations. Coal was just slightly less mutagenic than diesel; and the data suggested that indirect-acting frameshift mutations were

1 occurring, which is in agreement with Mumford et al. (1987). Woodsmoke was found to be only  
2 weakly mutagenic in both strains.

3 Heussen et al. (1994) collected respirable PM from homes in Wageningen, NL, a region  
4 with no significant industrial pollution. For a 1-mo control period, the fireplaces were not used  
5 in five homes. Wood was then burned in open fireplaces for 4h/day during the evening for 1 wk.  
6 PM was collected during these same periods in the homes and, also, from some outdoor  
7 sampling sites to correct for possible infiltration of ambient mutagens into the homes. Non-  
8 smoking subjects from these homes gave blood samples during the control period, at the  
9 beginning of the combustion period, at the end of the combustion period, and 1 wk later. The  
10 blood was assayed using <sup>32</sup>P-postlabeling analysis of DNA adducts from white blood cells. PM  
11 samples were assayed by the Ames test (using strain TA98), both with and without S9 activation.  
12 The mutagenicity of samples from all 5 homes was increased after the week of fireplace usage.  
13 Control values averaged 28 revertants/30 m<sup>3</sup> (-S9) and 69 (+S9), whereas combustion samples  
14 averaged 153 (-S9) and 369 (+S9), indicating stronger indirect mutagenicity. However, there  
15 was no correlative combustion-related increase in formation of DNA adducts in white blood  
16 cells. The authors suggest several reasons for a lack of correlation between the two endpoints:  
17 (1) the exposure was too short and/or the dose was too low; (2) white blood cells may not be a  
18 suitable cell type for detection of adducts with this type of exposure; and (3) the actual genotoxic  
19 damage that occurred may not be detectable by this method of <sup>32</sup>P-postlabeling analysis.

20 The mutagenicity and toxicity of wood smoke condensate was assayed by Putnam et al.,  
21 (1999) using the Ames assay and neutral red uptake, respectively. The wood smoke condensate  
22 (Sigma #W2000) was prepared from hardwoods by distillation and filtration, removing  
23 'insoluble tars' and low boiling point substances. The wood smoke condensate was tested for  
24 cytotoxicity at concentrations of 0, 10, 25, 50, 75, 100 and 150 µg/mL and found to be toxic  
25 beginning at 25 µg/mL. Mutagenicity was tested using *S. typhimurium* strains TA98 and TA100,  
26 both with and without S9 activation. Concentrations of 0, 125, 250, 500, 750 and 100 µg/plate  
27 were used and the wood smoke condensate was found to be non-mutagenic at all the doses.

28 More recent studies have examined the mutagenicity of biomass combustion in Chaing  
29 Mai, Thailand (Vinitketkumnun et al., 2002). Large open fires created by farmers burning  
30 fields and grass in the winter months correlate with increased in PM at that time of year. PM<sub>2.5</sub>  
31 and PM<sub>10</sub> were collected on Teflon filters at four outdoor sampling sites. Twenty-four hour filter

1 samples were collected over a period of 1 mo and then pooled, dissolved in 1 mL DMSO and  
2 used for the Ames assay (TS100 strain/0.05 mL sample per assay). Monthly averages of PM<sub>2.5</sub>  
3 ranged from ~130 µg/m<sub>3</sub> (winter) to 15 µg/m<sub>3</sub> (summer) and for PM<sub>10</sub>, 170 µg/m<sub>3</sub> to 37 µg/m<sub>3</sub>,  
4 respectively. Mutagenicity, expressed as number of revertants/m<sup>3</sup> air volume, for PM<sub>2.5</sub> ranged  
5 from 30.6 (winter) to 0.1 (summer), with the mutagenicity being increased with S9 activation.  
6 For PM<sub>10</sub> the mutagenicity ranged from 28.1 (winter) to 0.7 (summer) revertants/m<sup>3</sup> air volume,  
7 again with S9 activation increasing the mutagenicity. One of the collection sites showed a much  
8 higher mutagenicity level than the other three, which might be explained by a local source of  
9 diesel exhaust. Mobile source emissions contribute to ambient PM levels in Chaing Mai, but as  
10 they remain constant throughout the year, the authors suggest that the increased mutagenicity  
11 observed in the winter months is due to biomass combustion.

12 Kim Oanh et al. (2002) examined the mutagenicity and toxicity of emissions from various  
13 cooking sources, including wood and kerosene. The wood (*Pterocarpus indicus*) was burned in a  
14 single-stage ceramic cookstove and two samples were collected, a PM phase consisting of the  
15 PM collected on the filter and the PM rinsate and a gas phase consisting of XAD-2, the  
16 condensate knockout and the rinsate. Toxicity was assayed using a Microtox bioassay and  
17 mutagenicity was assayed using the Ames test with TA98 and TA100 strains, both with and  
18 without metabolic activation by S9. The highest mutagenicity factor was observed from wood  
19 fuel which produced 12x 10<sup>6</sup> revertants/kg using TA100-S9 and 3.5 x 10<sup>6</sup> revertants/kg using  
20 TA98-S9. These results indicate that the wood smoke emissions can cause both frameshift and  
21 base pair substitution mutations. The gas phase of the wood smoke emission contributed more  
22 than 60% of the direct-acting mutagenicity.

### 23 24 **7.8.2.2 Coal Combustion**

25 Coal fly-ash samples (< 3 µm) from a southern U.S. conventional combustion (CC) plant  
26 and from a Linden, NJ fluidized-bed combustion (FBC) plant (both burning Pennsylvania  
27 eastern bituminous coal) were collected by Munford and Lewtas (1982). They compared the  
28 mutagenicity of PM from the two sources using the Ames assay with test trains TA98, TA100,  
29 TA1535, TA1537, and TA1538. FBC was mutagenic in TA98 (3.32 revertants/mg) and TA  
30 1538 (3.31), both without S9 metabolic activation. S9 decreased the mutagenicity of FBC in  
31 TA98 and TA 1538. FBC had no mutagenic response in TA1537 and TA1535, with or without



1 S9. Thus, FBC fly ash appeared to create direct-acting frameshift mutations. In all of the five  
2 strains utilized, the CC fly-ash demonstrated no mutagenicity.

3 More recent studies characterizing the health effects of coal emissions have focused mainly  
4 on the mutagenicity and carcinogenicity of coal smoke exposure in regions of China with a  
5 predominance of indoor burning of “smoky” coal (Mumford et al., 1987; Chapman et al., 1988;  
6 Mumford et al., 1999). These regions have very high rates of lung cancer mortality that have  
7 been linked to exposure to unvented coal smoke.

8 Mumford et al., (1987) collected indoor air samples from homes burning smoky coal and  
9 from homes burning wood and smokeless coal in open hearths in kitchens. The PM levels inside  
10 the homes burning smoky coal averaged 23 mg/m<sup>3</sup>, compared to 1.8 mg/m<sup>3</sup> for homes burning  
11 smokeless coal. The distribution of PM size in the homes burning smoky coal was bimodal,  
12 with half the particles < 1 µm and half 1 µm to 10 µm, whereas particle size in wood-burning  
13 homes ranged from 1 to 30 µm. Fractionation of the filter extracts created aliphatic, aromatic,  
14 moderately polar, and polar components. High concentrations of organic matter were present in  
15 the smoky coal (72 to 82%) compared to 27% for the smokeless coal and 55% for the wood  
16 sample. Further, the highest PAH levels were found in smoky coal samples. Both neat samples  
17 and fractions were tested for mutagenicity by the Ames assay using strain T98, with and without  
18 metabolic activation by S9. Most of the samples required S9 activation for mutagenicity,  
19 suggesting to the authors the presence of PAH. Smoky coal samples had the highest  
20 mutagenicity (60-17 revertants/m<sup>3</sup> air) compared to wood (11) and smokeless coal (1.3). The  
21 fractions that displayed the most mutagenicity were the polar and aromatic, which were shown  
22 by GC/MS to consist primarily of nitrogen- and oxygen-containing compounds (polar fraction)  
23 and PAH, methylated PAH, and nitrogen heterocyclic compounds (aromatic fraction).

24 A retrospective epidemiologic study (Lan et al., 2002) evaluated the incidence of lung  
25 cancer in a cohort of farmers born in Yunnan Province. The farmers were raised in homes  
26 burning smoky coal in unvented firepits and 81% changed to homes utilizing stoves with  
27 chimneys that reduced indoor levels of PM<sub>10</sub> (2.08 mg/m<sup>3</sup> to 0.71 mg/m<sup>3</sup>, respectively). After  
28 stove improvement, Lan et al. observed a long-term reduction in lung cancer incidence,  
29 calculating risk ratios of 0.59 in men and 0.54 in women.

30 Very recent work (Granville et al., 2003) has focused on the mutation spectra of coal  
31 smoke emissions from the Yunnan Province. Smoky coal extracts from the same source as

1 above (Mumford et al., 1987) at doses of 0, 10, 25, 50, and 100 ug/plate were used in the Ames  
2 assay with strains TA98, TA100, and TA104, both with and without S9 activation. Molecular  
3 analysis of the revertants was then done to identify the mutations. Coal smoke extract was  
4 mutagenic in TA98 in the presence of S9 at doses  $\geq$  10 ug/plate and not mutagenic without S9  
5 activation. The extract was mutagenic in TA100 with S9 at doses  $\geq$  10 ug/plate and without S9  
6 at doses  $\geq$  50 ug/plate, but it was not mutagenic in the TA104 strain. The authors interpreted  
7 these results to suggest that the coal extract induced mutations primarily at GC sites and that  
8 PAHs were probably involved in the mutations because of the greater mutagenicity in  
9 TA100+S9 compared to TA98+S9. The mutation spectrum in TA98 showed that the extract  
10 induced only the hotspot mutation, which is a 2-base deletion in an 8-base GC repeat. This  
11 suggested to the authors that about 70% of the mutations in TA98 were due to standard PAH  
12 compounds in the coal smoke. The mutation spectrum in TA100 showed that most of the  
13 mutations were GC  $\rightarrow$  TA or GC $\rightarrow$ AT transversions. The authors then compared these mutation  
14 spectra with KRAS and TP53 mutation spectra observed in lung tumors from nonsmoking  
15 women exposed to coal smoke emissions. They found similarities in the GC  $\rightarrow$  TA transversions  
16 in TA100 with human mutations due to PAH exposures, thus linking smoky coal exposures to  
17 human cancer.

### 18 19 **7.8.3 Mobile Combustion-Source Effects**

20 Numerous studies have linked mutagenic/carcinogenic effects to diesel and gasoline  
21 exhaust and/or to particles contained therein, as summarized in Table 7-18 and discussed below.

#### 22 23 **7.8.3.1 Diesel**

24 Results such as those noted in Table 7-18 add further to an extensive database on diesel-  
25 related mutagenicity that was thoroughly reviewed in the 2002 U.S. EPA Diesel Document (U.S.  
26 EPA, 2002) alluded to earlier. Important information drawn from that document's evaluation of  
27 diesel-related mutagenic properties is recapitulated below (at times verbatim) with particular  
28 emphasis on findings bearing on the role of PM components of diesel exhaust.

29 As noted in the 2002 Diesel Document, use of mutagenicity data as an approach to  
30 evaluating potential carcinogenicity of diesel emissions is based on the premise that genetic  
31 alterations are found in all cancers and that several of the chemicals found in diesel emissions

1 possess mutagenic activity in a variety of genetic assays. These genetic alterations can be  
2 produced by gene mutations, deletions, translocations, aneuploidy, or amplification of genes;  
3 hence no single genotoxicity assay should be expected to predict carcinogenicity. Also, because  
4 of the inherent biological differences of measured endpoints, both within genotoxicity assays and  
5 between genotoxicity assays and cancer bioassays, a direct extrapolation should not be expected.  
6 Indeed, most genotoxicity data are generated with in vitro assays that frequently employ test  
7 agent concentrations orders of magnitude greater than encountered in environmental situations.  
8 With diesel emissions or other mixtures, other complications also arise due to the complexity of  
9 the materials tested.

10 Since 1978, more than 100 publications have been reported for genotoxicity assays used  
11 with whole diesel emissions (DE), the volatile and particulate (DPM) fractions (including  
12 extracts), or individual chemicals found in diesel emissions. Interest in the contribution of  
13 mutagens to carcinogenicity was high in the early 1980s and the lack of long- term rodent  
14 carcinogenicity data for DE led to use of semiquantitative mutagenicity (and in vitro cell  
15 transformation) data for DE to augment epidemiology studies of diesel-related carcinogenic  
16 effects.

17 The number of chemicals in diesel emissions is very large; and many have been shown to  
18 exhibit mutagenic activity in a variety of assay systems (see Claxton, 1983). Among some of the  
19 mutagenically active compounds found in the gas phase of diesel exhaust are ethylene, benzene,  
20 1,3-butadiene, acrolein and several PAHs, all of which are also present in comparable or greater  
21 amounts in gasoline exhaust. Of the diesel particle-associated chemicals, several PAHs and  
22 nitro-PAHs have been the focus of mutagenic investigations both in bacteria and in mammalian  
23 cell systems.

24 Numerous studies have evaluated mutagenic effects of DE and/or DPM. In one early  
25 study, Huisinigh et al. (1978) showed that dichloromethane extracts from DPM were mutagenic  
26 in strains TA1537, TA1538, TA98, and TA100 of *S. typhimurium*, both with and without rat  
27 liver S9 activation, based on data from several fractions as well as DPM from different vehicles  
28 and fuels. Similar results with diesel extracts from various engines and fuels were reported by  
29 several other using the salmonella frameshift-sensitive strains TA1537, TA1538, and TA98  
30 (Siak et al., 1981; Claxton, 1981; Dukovich et al., 1981; Brooks et al., 1984). Mutagenic activity

1 was also seen in Salmonella forward mutation assays measuring 8-azaguanine resistance  
2 (Claxton and Kohan, 1981) and in *E. coli* mutation assays (Lewtas, 1983).

3 One approach to identifying significant mutagens in chemically complex environmental  
4 samples such as diesel exhaust or ambient particulate extracts is the combination of short-term  
5 bioassays with chemical fractionation (Schuetzle and Lewtas, 1986). The analysis is most  
6 frequently carried out by sequential extraction with increasingly polar or binary solvents.  
7 Fractionation by silica-column chromatography separates compounds by polarity or into acidic,  
8 basic, and neutral fractions. The resulting fractions are difficult to characterize by chemical  
9 methods, but the bioassay analysis can be used to determine fractions for further analysis.  
10 In most applications, salmonella strain TA98 without the addition of S9 has been used as the  
11 indicator for mutagenic activity.

12 Generally, a variety of nitrated polynuclear aromatic compounds have been found that  
13 account for a substantial portion of the mutagenicity (Liberti et al., 1984; Schuetzle and Frazer,  
14 1986; Schuetzle and Perez, 1983). However, not all bacterial mutagenicity has been identified in  
15 this way, and the identity of the remaining mutagenic compounds remains unknown. The  
16 nitrated aromatics thus far identified in diesel engine exhaust (DE) were the subject of review in  
17 an IARC monograph on DE (International Agency for Research on Cancer, 1989). In addition to  
18 qualitative identification of mutagenic chemicals, several investigators have used numerical data  
19 to express mutagenic activity as activity per distance driven or mass of fuel consumed. These  
20 types of calculations have been the basis for estimates that the nitroarenes (both mono- and  
21 dinitropyrenes) contribute a significant amount of the total mutagenic activity of the whole  
22 extract (Nishioka et al., 1982; Salmeen et al., 1982; Nakagawa et al., 1983). More recently,  
23 Crebelli et al. (1995) used salmonella to examine the effects of different fuel components. They  
24 reported that although mutagenicity was highly dependent on aromatic content, especially di- or  
25 triaromatics, there was no clear effect of sulfur content of the fuel. Later, however, Sjögren et al.  
26 (1996), using multivariate statistical methods with ten diesel fuels, concluded that the most  
27 influential chemical factors in salmonella mutagenicity were sulfur content, certain PAHs  
28 (1-nitropyrene) and naphthenes.

29 Matsushita et al. (1986) tested particle-free DE gas and benzene nitroderivatives and  
30 polycyclic aromatic hydrocarbons (PAHs), identified as components of DE gas. The particle-  
31 free exhaust gas was positive in both TA100 and TA98, but only without S9 activation. Of the

1 94 nitrobenzene derivatives tested, 61 were mutagenic and most showed greatest activity in  
2 TA100 without S9; whereas 28 of 50 PAHs tested were mutagenic, all required the addition of  
3 S9 for detection, and most appeared to show a stronger response in TA100. When  
4 1,6-dinitropyrene was mixed with various PAHs or an extract of heavy-duty (HD) DE, the  
5 mutagenic activity in TA98 was greatly reduced when S9 was absent but increased significantly  
6 with S9 present. These latter results suggest that caution should be used in estimating  
7 mutagenicity (or other toxic effects) of complex mixtures from the specific activity of individual  
8 components.

9 Mitchell et al. (1981) reported mutagenic activity of DPM extracts of diesel emissions in  
10 the mouse lymphoma L5178Y mutation assay. Positive results were seen both with and without  
11 S9 activation in extracts from several different vehicles, with mutagenic activity only slightly  
12 lower in the presence of S9. These findings were confirmed in a numerous other mammalian  
13 cell systems using several different genetic markers. Casto et al. (1981), Chescheir et al. (1981),  
14 Li and Royer (1982), and Brooks et al. (1984) all reported positive responses at the HPRT locus  
15 in Chinese hamster ovary (CHO) cells. Morimoto et al. (1986) used the APRT and Ouar loci in  
16 CHO cells; Curren et al. (1981) used Ouar in BALB/c 3T3 cells. In all of these studies,  
17 mutagenic activity was observed without S9 activation. Liber et al. (1981) used the thymidine  
18 kinase (TK) locus in the TK6 human lymphoblast cell line and observed induced mutagenesis  
19 only in the presence of rat liver S9 when testing a methylene chloride extract of DE. Barfknecht  
20 et al. (1982) also used the TK6 assay to identify some of the chemicals responsible for this  
21 activation-dependent mutagenicity; and they suggested that 1-methylphenanthrene,  
22 9-methylphenanthrene, and fluoranthene could account for over 40% of the observed activity.

23 Belisario et al. (1984) applied the Ames test to urine from SD rats exposed to single  
24 applications of DPM administered by gastric intubation, i.p. injection, or s.c. gletin capsules.  
25 In all cases, dose-related mutagenic increases were seen in TA98 (without and with S9) from  
26 urine concentrations taken 24 h after particle administration. Urine from Swiss mice exposed by  
27 inhalation to filtered exhaust (particle concentration 6 to 7 mg/m<sup>3</sup>) for 7 wks (Pereira et al.,  
28 1981a) or Fischer 344 rats exposed to DPM at a concentration of 1.9 mg/m<sup>3</sup> for 3 mos to 2 ys  
29 (Ong et al., 1985) was negative in Salmonella strains.

30 Specific-locus mutations were not induced in (C3H × 101)F1 male mice exposed to  
31 DE 8 h/day, 7 days/wk for either 5 or 10 wks (Russell et al., 1980). The exhaust was a

1 1:18 dilution and the average particle concentration was 6 mg/m<sup>3</sup>. After exposure, males were  
2 mated to T-stock females and matings continued for the reproductive life of the males. The  
3 results were unequivocally negative; no mutants were detected in 10,635 progeny derived from  
4 postspermatogonial cells or in 27,917 progeny derived from spermatogonial cells.

5 Additional evidence for cytotoxic and mutagenic effects of particles emitted from diesels  
6 comes from a study by Bunger et al. (2000). Filter sample particles, collected from diesel  
7 emissions generated by a tractor engine during combustion of conventional petroleum diesel fuel  
8 or diesel fuel containing rapeseed oil methyl ester (RME), were extracted (by dichloromethane)  
9 and their cytotoxicity was then evaluated by the neutral red assay and their mutagenicity by the  
10 *S. typhini* assay. The diesel petroleum fuel emissions had much higher numbers of smaller  
11 particles than the RME emissions. However, 4-fold stronger toxic effects on mouse fibroblast  
12 cells were exerted by RME extracts from filters taken at “idling” but not at “rated” power load  
13 modes. Both types of extracts were significantly mutagenic at both load modes in both the TA98  
14 and TA100 strain bioassays, but the petroleum fuel extracts had 4-fold more mutagenic effect in  
15 the TA98 and 2-fold more in the TA100 strain assays than did RME extracts. The authors  
16 attributed the lower mutagenic potency of the RME diesel emissions to lower sulfur and PAH  
17 content in the RME emissions.

18 Hou et al. (1995) measured DNA adducts and *hprt* mutations in peripheral lymphocytes of  
19 47 bus maintenance workers and 22 control individuals. All were nonsmoking men from  
20 garages in the Stockholm area; the exposed group consisted of 16 garage workers, 25 mechanics,  
21 and 6 other garage workers. There were no exposure data, but the three groups were considered  
22 to be of higher to lower exposure to diesel engine exhaust, respectively. Levels of DNA adducts  
23 determined by <sup>32</sup>P-postlabeling were significantly higher in workers than controls (3.2 versus  
24  $2.3 \times 10^{-8}$ ), but *hprt* mutant frequencies were not different 8.6 versus  $8.4 \times 10^{-6}$ ). Although  
25 group mean mutant frequencies were not different, both adduct level and mutagenicity were  
26 highest among the 16 most exposed and mutant frequency was significantly correlated with  
27 adduct level. All individuals were genotyped for glutathione transferase GSTM1 and aromatic  
28 amino transferase NAT2 polymorphism. Neither GSTM1 nulls nor NAT2 slow acetylators  
29 exhibited effects on either DNA adducts or *hprt* mutant frequencies.

30 Driscoll et al. (1996) exposed Fischer 344 male rats to aerosols of carbon black (1.1, 7.1,  
31 and 52.8 mg/m<sup>3</sup>) or air for 13 wks (6 hr/day, 5 days/wk) and measured *hprt* mutations in alveolar

1 type II cells in animals immediately after exposure and at 12 and 32 wks after the end of  
2 exposure. The two higher exposures caused significant increases in mutant frequency. Whereas  
3 the mutant frequency from the 7.1 mg/m<sup>3</sup> group returned to control levels by 12 wks, that of the  
4 high-exposure group was still higher than controls even after 32 wks. Carbon black particles  
5 have very little adsorbed PAHs; hence a direct chemically induced mechanism is highly  
6 unlikely. Induction of *hprt* mutations were also seen for rat alveolar epithelial cells after  
7 intratracheal instillation with carbon black, quartz, and titanium dioxide (Driscoll et al., 1997).  
8 All three types of particles elicited an inflammatory response as shown by significant increases  
9 of neutrophils in bronchoalveolar lavage (BAL) fluid. Culturing the BAL from exposed rats  
10 with a rat lung epithelial cell line also resulted in elevation of *hprt* mutational response. This  
11 response was effectively eliminated when catalase was included in the incubation mixture,  
12 providing evidence for cell-derived oxidative damage.

13 Recently, Sato et al. (2000) exposed male Big Blue transgenic F344 rats to diluted DE  
14 (1 and 6 mg/m<sup>3</sup> suspended particle concentration) for 4 wks. Mutant frequency in lung DNA  
15 was significantly elevated (4.8x control) at 6 mg/m<sup>3</sup> but not at 1 mg/m<sup>3</sup>. Lung DNA adduct  
16 levels measured by <sup>32</sup>P-postlabeling and 8-hydroxydeoxyguanosine measured by HPLC were  
17 elevated at both particle concentrations, but to a lesser extent than mutant frequencies. Sequence  
18 analysis of mutants indicated that some, but not all, of the mutations could be explained by an  
19 oxidative damage mechanism.

20 Reed et al. (2004) exposed both male and female A/J mice to DE generated from a 2000  
21 model diesel engine. Whole body exposures included dilutions at concentrations of 30, 100,  
22 300, and 1000 µg/m<sup>3</sup> for exposure periods of 6 h/day, 7 days/wk, for 6 mos. The mice were then  
23 held for 6 mos without DE exposure to allow time for tumors to form; but no significant increase  
24 was found for the incidence or multiplicity of tumors. The authors conceded that the model used  
25 for assessing carcinogenesis is somewhat uncertain in this study. Another index of carcinogenic  
26 potential, micronucleus formation, was also assessed, but demonstrated no significant DE  
27 exposure effects on micronucleated reticulocyte counts.

28 Other diesel studies have evaluated chromosome effects. Mitchell et al. (1981) and Brooks  
29 et al. (1984), for example, reported increased SCE in CHO cells exposed to DPM extracts of  
30 emissions from both LD and HD diesel engines. Morimoto et al. (1986) observed increased SCE  
31 from both LD and HD DPM extracts in PAH-stimulated human lymphocyte cultures. Tucker

1 et al. (1986) exposed human peripheral lymphocyte cultures from four donors to direct DE for  
2 up to 3 h. Samples were taken at 16, 48, and 160 min of exposure. Cell cycle delay was  
3 observed in all cultures; and significantly increased SCE levels were reported for two of the four  
4 cultures. Structural chromosome aberrations were induced in CHO cells by DPM extracts from  
5 a Nissan diesel engine (Lewtas, 1983) but not by similar extracts from an Oldsmobile diesel  
6 engine (Brooks et al., 1984).

7 DPM dispersed in an aqueous mixture containing dipalmitoyl lecithin (DPL), a component  
8 of pulmonary surfactant or extracted with dichloromethane (DCM) induced similar responses in  
9 SCE assays in Chinese hamster V79 cells (Keane et al., 1991), micronucleus tests in V79 and  
10 CHO cells (Gu et al., 1992), and unscheduled DNA synthesis (UDS) in V79 cells (Gu et al.,  
11 1994). After separating the samples into supernatant and sediment fractions, mutagenic activity  
12 was confined to the sediment fraction of the DPL sample and the supernatant of the DCM  
13 sample. These findings suggest that the mutagenic activity of DPM inhaled into the lungs could  
14 be made bioavailable through solubilization and dispersion of pulmonary surfactants. In a later  
15 study in the same laboratory, Liu et al. (1996) found increased micronuclei in V79 cells treated  
16 with crystalline quartz and a noncrystalline silica, but response was reduced after pretreatment of  
17 the particles with the simulated pulmonary surfactant.

18 Guerrero et al. (1981) observed a linear concentration-related increase in SCE in lung cells  
19 cultured after intratracheal instillation of DPM at doses up to 20 mg/hamster. However, they did  
20 not observe any increase in SCE after 3 mos of inhalation exposure to DE particles at 6 mg/m<sup>3</sup>.  
21 Also, Pereira et al. (1981a) exposed female Swiss mice to by inhalation DE 8 h/day, 5 days/wk  
22 for 1, 3, and 7 wks. The incidence of micronuclei and structural aberrations was similar in bone  
23 marrow cells of both control and exposed mice. Increased incidences of micronuclei, but not  
24 SCE, were observed in bone marrow cells of male Chinese hamsters after 6 mos of exposure to  
25 DE (Pereira et al., 1981b).

26 Pereira et al. (1982) measured SCE in embryonic liver cells of Syrian hamsters. Pregnant  
27 females were exposed to DE diluted with air 1:9 to contain about 12 mg/m<sup>3</sup> particles from days  
28 5 to 13 of gestation or injected intraperitoneally with diesel particles or particle extracts on  
29 gestational day 13 (18 h before sacrifice). Neither the incidence of SCE nor mitotic index was  
30 affected by exposure to DE. The injection of DPM extracts but not DPM resulted in a dose-



1 related increase in SCE; however, the toxicity of the DPM was about 2-fold greater than the  
2 DPM extract.

3 In a study using mammalian germ cells, Russell et al. (1980) reported no increase in either  
4 dominant lethals or heritable translocations in males of T-stock mice exposed by inhalation to  
5 DE. In the dominant lethal test, T-stock males were exposed for 7.5 wks and immediately mated  
6 to females of different genetic backgrounds. There were no differences from controls in any of  
7 the parameters measured. For heritable translocation analysis, T-stock males were exposed for  
8 4.5 wks and mated to (SEC × C57BL/6) females, and the F1 males were tested for the presence  
9 of heritable translocations. Although no translocations were detected among 358 progeny tested,  
10 the historical control incidence is  $\leq 1/1,000$ .

11 A number of studies have measured other types of genotoxic effects (e.g., increased DNA  
12 adducts) in animals exposed to DPM, carbon black or other particles, as reviewed by Shirnamé-  
13 Moré (1995). Although modest increases in DNA adducts have been observed in lung tissue of  
14 rats after inhalation of DPM (Wong et al., 1986; Bond et al., 1990), the increases are small in  
15 comparison with those induced by chemical carcinogens present in DE (Smith et al., 1993).  
16 While Gallagher et al. (1994) found no increases in total DNA adducts in lung tissue of rats  
17 exposed to DE, carbon black, or titanium dioxide, they did observe an increase in an adduct with  
18 migration properties similar to nitrochrysene and nitro-benzo(a)pyrene adducts from diesel but  
19 not carbon black or titanium dioxide exposures. The majority of the studies used the  $^{32}\text{P}$   
20 postlabeling assay to detect adducts. Although this method is sensitive, chemical identity of  
21 adducts can only be inferred if an adduct spot migrates to the same location as a known prepared  
22 adduct.

23 DNA adducts have also been measured in humans occupationally exposed to DE. Distinct  
24 adduct patterns were found among garage workers occupationally exposed to DE compared to  
25 nonexposed controls (Nielsen and Autrup, 1994). Furthermore, the findings were concordant  
26 with adduct patterns observed in groups exposed to low concentrations of PAHs from  
27 combustion processes. Hemminki et al. (1994) also reported significantly elevated levels of  
28 DNA adducts in lymphocytes from garage workers with known DE exposure compared with  
29 unexposed mechanics. Hou et al. (1995) found elevated adduct levels in bus maintenance  
30 workers exposed to DE. Although no difference in mutant frequency was observed between the  
31 groups, the adduct levels were significantly different ( $3.2$  versus  $2.3 \times 10^{-8}$ ). Nielsen et al.

1 (1996) reported significantly increased levels of three biomarkers (lymphocyte DNA adducts,  
2 hydroxyethylvaline adducts in hemoglobin, and 1-hydroxypyrene in urine) in DE-exposed bus  
3 garage workers.

4 The role of oxidative damage in causing mutations has received increasing attention. More  
5 than 50 different chemicals have been studied in rodents usually measuring the formation of  
6 8-hydroxydeoxyguanosine (8-OH-dG), a highly mutagenic adduct (Loft et al., 1998). Dose-  
7 dependent increases in that mutagenic DNA adduct were found in mouse lung DNA after  
8 intratracheal instillation of diesel particles (Nagashima et al., 1995). Mice fed on a high-fat diet  
9 showed an increased response, whereas the responses were partially reduced when the  
10 antioxidant,  $\beta$ -carotene, was included in the diet (Ichinose et al., 1997). Oxidative damage also  
11 has been measured in rat lung tissue after intratracheal instillation of quartz (Nehls et al., 1997)  
12 and in rat alveolar macrophages after in vitro treatment with silica dust (Zhang et al., 2000).  
13 Arimoto et al. (1999) demonstrated that redissolved methanol extracts of DPM also induced the  
14 formation of 8-OH-dG adducts in L120 mouse cells. The response was dependent on both DPM  
15 concentration and P450 reductase. A detailed discussion of the potential role of oxidative  
16 damage in DE carcinogenesis is presented in the U.S. EPA Diesel Document (U.S.  
17 Environmental Protection Agency, 2002).

### 18 19 **7.8.3.2 Gasoline**

20 In addition to the above studies of DE and DPM effects, other studies have also evaluated  
21 mutagenic/genotoxic effects of gasoline combustion emissions and/or compared the potencies  
22 of such emissions to DE or DPM potencies.

23 In an early study, Löfroth (1981) compared the mutagenic activity of PM from diesel and  
24 gasoline engine exhaust and found both to be mutagenic in the Ames assay, in the absence of  
25 mammalian metabolic activation. Both particulate and condensate fractions were tested.  
26 Expressed in units of revertants/g fuel used, diesel exhaust mutagenic response was 800 (PM  
27 fraction) and 210 (condensate fraction), which was far greater than the mutagenic response of  
28 gasoline (24 and 39, respectively). In another older study, Rannug (1983) collected both  
29 particulate and gas phase components from motor vehicle exhaust from medium- and heavy-duty  
30 diesel vehicles and light-duty cars burning gasoline and other fuels. The Ames assay was used  
31 with strains TA98 and TA100, both with and without S9 activation. The particulate phase of the

1 exhaust created < 20,000 revertants/km (corresponding to 10 rev/L exhaust) in cars burning  
2 liquified petroleum and cars with catalysts, classified by the authors as the low mutagenicity  
3 group. Light-duty diesels produced > 100,000 rev/km with the highest effect of up to 700,000  
4 rev/km seen with TA100-S9 (corresponding to 50-250 revertants/L exhaust) and were classified  
5 by the authors as the high mutagenicity group. Engines burning gasoline or gasoline-alcohol  
6 fuels created exhaust from which the particulate phase gave 10,000 to 20,000 rev/km (or 10-50  
7 rev/L exhaust). In general, the newer vehicles tested produced exhaust with slightly less  
8 mutagenicity than older models. Also, more mutagenesis was seen in exhaust from cold starts  
9 (0 °C) than in starts at 23 °C.

10 Strandell et al. (1994) fractionated the extracts of gasoline and diesel exhaust from Volvos  
11 to find the most potent mutagens among the subfractions. Particle emission values for the  
12 vehicles were 0.021 g/km and 0.23 g/km, respectively. Mutagenicity testing was done with the  
13 Ames assay with strain TA98, both with and without S9 metabolic activation, and with strain  
14 TA98NR, the nitro reductase-deficient strain used to determine the presence of nitro aromatic  
15 mutagens. The subfraction that was most polar also demonstrated the most mutagenicity (51%  
16 of the total mutagenicity for gasoline and 39% of the total for diesel). This fraction contained  
17 low-boiling point components and some phenol derivatives. Quantitatively, this subfraction's  
18 mutagenicity using TA98-S9, TA98+S9 and TA98NR-S9 was 7.8, 3.3 and 3.7 rev/m<sup>3</sup>,  
19 respectively, for gasoline and 6.1, 1.5, and 4.1 for diesel. The TA98NR response was generally  
20 lower than the TA98 response, which the authors suggested was due to the presence of nitro-  
21 PAH in the fractions. Both fuels had a similar TA98NR-S9 response, but differed significantly  
22 in their TA98-S9 response, which suggests difference in some nitro-reductase-dependent  
23 mutagens. A reduction in mutagenicity was observed with the addition of S9 activation, which  
24 the authors attribute to enzymatic deactivation of direct-acting mutagens or possible activation or  
25 deactivation of unknown compounds.

26 A more recent study (Seagrave, et al., 2002) using vehicles including automobiles, SUVs  
27 and pickup trucks from 1976 to 2000 evaluated the genotoxicity of gasoline and diesel emissions  
28 from normal vehicles, high emitters, and gasoline vehicles emitting smoke. Both PM and  
29 semivolatile organic compound (SVOC) fractions were collected, both at room temperature and  
30 in a cold environment. The PM and SVOC fractions were recombined and tested for  
31 mutagenicity using the Ames assay with strains TA98 and TA100, both with and without S9

1 activation. All of the samples caused mutations in both strains with doses from 25 to 5000  
2 µg/plate (LOEL not given). With most samples evidence pointed to a direct-acting mutagenesis  
3 effect due to the results of TA98 both with and without S9 activation. The assay using TA100  
4 showed greater mutagenicity in the exhausts from the high emitter diesel, the white smoker  
5 gasoline, and the black smoker gasoline. As seen in the Rannug (1983) study, emissions samples  
6 collected from cold engines were more mutagenic than those collected at room temperature. The  
7 authors ranked the mutagenic potency based on the TA98 results as: current diesel at 30 °F >  
8 high emitter diesel > gasoline engine emitting white smoke > normal gasoline > normal diesel  
9 72 °F > gasoline engine emitting black smoke. The mutagenic potency based on the TA100  
10 results were: current diesel at 30 °F > gasoline engine emitting white smoke > high emitter  
11 diesel > normal diesel 72 °F > gasoline engine emitting black smoke > normal gasoline 30 °F >  
12 normal gasoline 72 °F. The authors' goal with this work was to examine the various bioassays  
13 available to ascertain which are most useful in determining differences in mutagenicity, toxicity,  
14 and inflammation. Significant findings indicate that both diesel and gasoline exhaust emissions  
15 are mutagenic, with diesel being more mutagenic in general. The increase in mutagenicity of  
16 gasoline samples with S9 activation indicates the role of PAH in this effect. Decreased  
17 mutagenicity in the diesel sample collected at 30 °F suggested to the authors that the  
18 mutagenicity of the exhaust may be due to nitroarenes.

19 Pohjola et al., (2003) used the extractable organic material from the PM and SVOC  
20 gasoline and diesel exhaust fractions to examine their ability to induce mutations in Salmonella  
21 strain TA98 and to form adducts in calf thymus DNA. Doses used in the Ames assay were  
22 30 to 500 µg/PM for the -S9 experiments and 10 to 1000 µg/PM for the +S9 experiments. Doses  
23 used for oxidative and reductive activation of PAHs were 18-300 µg PM for gasoline and  
24 75-1,500 µg PM for diesel. Using the <sup>32</sup>P-postlabeling method, 4 µg of DNA was analyzed for  
25 bulky aromatic DNA adducts. Only the gasoline was tested in the Ames assay. The PM fraction  
26 had higher mutagenicity, which averaged 431 rev/mg PM (-S9) and 487 rev/mg PM (+S9). The  
27 SVOC fraction had only 106 rev/mg PM (-S9) and 98 rev/mg PM (+S9). However, the SVOC  
28 fraction formed more DNA adducts. PAH-DNA adduct formation with 150 µg PM gasoline  
29 extracts in calf thymus DNA ranged from 3.7 to 8.3 (-S9), 7.7 to 56 (+S9), 5.2 to 18 (-XO), and  
30 19-60 (+XO) adducts/10<sup>8</sup> nucleotides/mg PM. Comparisons were made of PAH-DNA adduct  
31 levels using high doses (42 to 150 µg PM) and low doses (7.5 to 18.5 µg PM) of gasoline and

1 diesel extracts. Diesel PM and gasoline extracts formed more S9-mediated adducts with  
2 increasing doses, but gasoline did not have a linear dose-response. The authors suggested that  
3 complex interactions and/or inhibition of S9 caused lower concentrations of both gasoline and  
4 diesel extracts to bind DNA with greater efficiency than 8-fold higher doses. Diesel extracts  
5 formed higher levels of adducts than gasoline extracts, especially in the presence of xanthine  
6 oxidase (reductive activation), indicating possible high levels of nitro PAHs. Diesel extracts  
7 were also more mutagenic than gasoline extracts in the -S9 (direct-acting) assays, which further  
8 suggests higher concentrations of nitro-PAHs in diesel exhaust. This study corroborates earlier  
9 research demonstrating that diesel exhausts extracts are more mutagenic than gasoline extracts,  
10 and that diesel's mutagenicity can be attributed, in part, to DNA adduct formation.  
11

#### 12 **7.8.4 Summary of Mutagenic/Genotoxic Effects**

13 A number of recent in vivo and in vitro studies have suggested that ambient urban PM is  
14 mutagenic. Research evaluating the mutagenicity of ambient PM from the Los Angeles area has  
15 pointed to ubiquitous emission sources as being responsible for mutagenic activity observed in  
16 vitro (Hannigan et al., 1997, 1998). Fractionation of those ambient samples and subsequent  
17 mutagenicity assessments have indicated that six unsubstituted polyaromatic compounds and  
18 two semi-polar compounds are the likely mutagens. Mutagenicity of urban air from Germany  
19 has also been demonstrated (Hornberg et al., 1996, 1998; Seemayer and Hornberg, 1998), with  
20 evidence showing that the fine fraction of PM exerted greater toxicity. Additionally, ambient  
21 PM from high traffic areas in The Netherlands also induced genotoxic activity.

22 Emissions from wood/biomass burning have been shown to be mutagenic. Studies of  
23 human exposures in China (Vinitketkumnuen et al., 2002) and The Netherlands (Heussen et al.,  
24 1994), examining both chronic seasonal and acute exposures, have demonstrated increased  
25 mutagenicity with environmental exposures. Characterization of wood smoke fractions to assign  
26 mutagenicity have shown that the organic fraction is more mutagenic than the PM component  
27 and that the condensate is not mutagenic (Putnam et al., 1999). Wood smoke emissions can  
28 cause both frameshift and base pair mutations but have not yet demonstrated the production of  
29 DNA adducts.

30 Emissions from coal combustion have been shown to be mutagenic, especially the polar  
31 and aromatic fractions. Research in China examining populations with high lung cancer rates

1 have shown that emission samples from homes burning smoky coal are mutagenic in the Ames  
2 assay, and implicate PAHs as contributors to the mutagenicity (Mumford et al., 1987, 1999; Lan  
3 et al, 2002). Recent work (Granville et al., 2003) characterizing the mechanism of genotoxicity  
4 has examined the mutation spectra of coal smoke emissions from these Chinese homes.  
5 Sequencing the revertants has demonstrated that the mutations in Salmonella exposed to coal  
6 smoke extract are similar to mutations seen in lung tumors of women exposed environmentally  
7 to the coal smoke.

8 Extensive studies have demonstrated mutagenic activity in both particulate and gaseous  
9 fractions of DE. By sequential fractionation of DE, apportionment of the mutagenicity is  
10 possible, which has implicated nitrated polynuclear aromatic compounds as being responsible  
11 for a substantial portion of the mutagenicity. Other mutagenically active compounds include  
12 ethylene, benzene, 1,3-butadiene, acrolein, and several PAHs in the gas phase. In addition to  
13 Ames assay studies, the induction of gene mutations has been reported in several in vitro  
14 mammalian cell lines after exposure to extracts of DPM. Structural chromosome aberrations and  
15 SCE in mammalian cells have been induced by DE particles and extracts.

16 Early studies comparing the mutagenicity of gasoline and diesel exhaust showed that  
17 the PM component of the exhaust is more mutagenic than the condensate fraction, and that  
18 overall, diesel exhaust is more mutagenic than gasoline exhaust. More mutagenicity is also  
19 observed in exhaust from cold starts than from exhausts at room temperature. Examining the  
20 fractional mutagenicity of gasoline and diesel exhausts, it was shown that, as with coal smoke,  
21 the polar component has the most mutagenicity, and further, that nitro-PAH is present in the  
22 fraction. A comprehensive study comparing gasoline and diesel exhaust genotoxicity, using  
23 both the PM and SVOC fractions, demonstrated that both exhausts are mutagenic, but, in  
24 general, diesel exhaust is more mutagenic. Further, the study implicates PAH and nitroarenes in  
25 the genotoxicity. Another current study corroborates these finding, and includes data suggesting  
26 that DNA adduct formation is a component of the mutagenicity.

27 Exact comparisons of the mutagenicity of combustion emissions of these fuels are not  
28 possible because data provided in the studies vary so greatly in units in which mutagenicity is  
29 expressed. However, a very general ranking of these mutagenicity of these emissions may be:  
30 diesel > coal >> wood > gasoline. Thus, there is qualitative evidence for the mutagenic/  
31 genotoxic potential of both ambient PM and some fuel combustion products. Many of the

1 published in vitro studies failed to provide details regarding the dose of PM extract delivered to  
2 the cells in vitro. In general, equal volumes of air or amounts of time were sampled and  
3 reported, but only limited, if any, characterization of the amount of PM mass or size was done or  
4 reported in many studies. Thus, any quantitative extrapolation of the reported findings would be  
5 quite difficult. Nevertheless, they collectively do appear to provide extensive credible evidence  
6 substantiating the biologic plausibility of, and/or elucidating potential mechanisms underlying  
7 reported epidemiologic associations between long-term human exposure to ambient PM and lung  
8 cancer.  
9

## 7.9 INTERPRETIVE SUMMARY OF PM TOXICOLOGY FINDINGS

Toxicological studies can play an integral role in addressing several key important questions regarding ambient PM health effects:

- (1) What types of pathophysiological effects are exerted by ambient PM or constituent substances and what are potential mechanisms that likely mediate various PM health effects?
- (2) What PM characteristics (size, chemical composition, etc.) cause or contribute to health effects?
- (3) What types of interactive effects of particles and gaseous copollutants have been demonstrated?
- (4) What susceptible subgroups are at increased risk for ambient PM health effects and what factors contribute to increased susceptibility?

This summary focuses on highlighting salient findings that reflect the progress made by toxicological studies towards addressing these questions. All these questions have important implications bearing on the matter of biological plausibility of epidemiologically-observed ambient PM effects.

One overarching issue in the interpretation of toxicology study results is the relevance of findings from experimental human or animal studies using controlled exposure/dose concentrations that are high relative to the much lower ambient pollutant exposure concentrations that apply within the context of pertinent epidemiology studies. To provide insight on this issue, EPA conducted a series of illustrative analyses using dosimetric modeling of the type discussed in Chapter 6; these analyses are described in detail in Appendix 7A. First, taking into account certain key points regarding dose metrics, one of the publically available dosimetry models (the MMPD model) discussed in Section 6.6.4 of Chapter 6 and in Appendix 7A Section 3 was employed to compare estimates of deposited and/or retained respiratory tract PM doses in the human and rat lung using different dose metrics as described in Table 7A-4. The second approach involved application of the same publically-available model (a) to estimate likely respiratory tract doses (again using various dose metrics) resulting from experimental exposures (via PM inhalation or instillation) of human or laboratory animals (rats) actually employed in representative published PM toxicology studies assessed in this chapter and (b) to estimate likely ambient PM exposure concentrations that would be needed in order to



1 obtain comparable human and rat PM respiratory tract doses. Given that rats clear PM from the  
2 respiratory tract much faster than humans, MPPD modeling indicates that higher exposure  
3 concentrations in the rat may be needed, in certain cases, in order to evaluate toxicological  
4 endpoints predictive of health outcomes in humans and to investigate biological mechanisms.  
5 The higher doses needed depend on the health endpoint measured. For example, the modeling  
6 results indicate that higher PM concentration exposures in rats are needed to achieve nominally  
7 similar inflammatory responses relative to the human.

### 9 **7.9.1 Particulate Matter Health Effects and Potential Mechanisms of Action**

10 Numerous epidemiologic analyses discussed in Chapter 8 have shown associations  
11 between ambient PM levels and increased risk for cardiorespiratory effects, as well as for lung  
12 cancer. Findings since 1996 have provided evidence supporting many hypotheses regarding  
13 induction of PM effects; and this body of evidence has grown substantially. Various toxicologic  
14 studies using PM having diverse physicochemical characteristics have shown that such  
15 characteristics have a great impact on the specific response that is observed. Thus, there appear  
16 to be multiple biological mechanisms that may be responsible for observed morbidity/mortality  
17 due to exposure to ambient PM, and these mechanisms appear to be highly dependent on the  
18 type and dose of particle in the exposure atmosphere. It also appears that many biological  
19 responses are produced by PM whether it is composed of a single component or a complex  
20 mixture.

21 The following discussion focuses on summarizing key lines of toxicological evidence  
22 useful in (a) delineating various types of health effects attributable to PM exposures, and  
23 (b) identifying potential pathophysiological mechanisms by which the effects of particle  
24 exposure are mediated. Major emphasis is placed on discussions of PM effects on the  
25 cardiopulmonary system, and some attention is accorded to PM-related mutagenic/genotoxic  
26 effects of relevance to evaluating the carcinogenic potential of ambient PM or constituent  
27 substances.

### 7.9.1.1 Direct Pulmonary Effects

When the 1996 PM AQCD was written, the lung was thought to be the primary organ affected by particulate air pollution. Although the lung still is a primary organ affected by PM inhalation, there is growing toxicological and epidemiologic evidence that the cardiovascular system is also affected and may be a co-primary organ system related to certain health endpoints such as mortality. Nonetheless, understanding how particulate air pollution affects respiratory system functions or exacerbates respiratory disease remains an important goal. The toxicological evidence from controlled exposures to ambient PM or constituents appear to support three hypothesized mechanisms for PM inducing direct pulmonary effects: (1) lung injury and inflammation; (2) increased airway reactivity and exacerbation of asthma; and (3) impaired lung defense mechanisms and increased susceptibility to respiratory infections.

#### *Lung Injury and Inflammation*

Particularly compelling evidence pointing towards ambient PM causing lung injury and inflammation derives from the study of extracts of ambient PM materials on filters collected from community air monitors before, during and after the temporary closing of a steel mill in Utah Valley. Ghio and Devlin (2001) found that intratracheal instillation of filter extract materials in human volunteers provoked greater lung inflammatory responses for materials obtained before and after the temporary closing versus that collected during the plant closing. The instilled dose of 500  $\mu\text{g}$  of extract material was calculated by Ghio and Devlin to result in focal lung deposition in the lingula roughly equivalent to 5 times more than would be deposited if an active person experienced 24-h inhalation exposure to 100  $\mu\text{g}/\text{m}^3$   $\text{PM}_{10}$  (during wintertime temperature inversions in Utah Valley 24-h  $\text{PM}_{10}$  levels can exceed 100  $\mu\text{g}/\text{m}^3$ ). Ghio and Devlin (2001) say an active person might have an average ventilation rate of 15 l/min and thus inspire 21.6  $\text{m}^3$  of air per day. Moreover, 100  $\mu\text{g}$  of filter extract collected during the winter before the temporary plant closure similarly instilled into the lungs of human volunteers also increased levels of neutrophils, protein, and inflammatory cytokines. Ghio and Devlin (2001) indicated that these results and calculations suggest that biologic effects found in their study could be experienced during a typical winter inversion in the Utah Valley. Further, the instillation in rats (Dye et al., 2001) of extract materials from before and after the plant closing resulted in a 50% increase in airway hyperresponsiveness to acetylcholine compared to 17 or

1 25% increases with saline or extract materials for the period when the plant was closed,  
2 respectively. Analysis of the extract materials revealed notably greater quantities of metals for  
3 when the plant was opened, thus suggesting that such metals (e.g., Cu, Zn, Fe, Pb, As, Mn, Ni)  
4 may be important contributors to the pulmonary toxicity observed in the controlled exposure  
5 studies, as well as to health effects shown epidemiologically to vary with PM exposures of Utah  
6 Valley residents before, during, and after the steel mill closing.

7 Still other toxicological studies point towards lung injury and inflammation being  
8 associated with exposure of lung tissue to complex combustion-related PM materials, with  
9 metals again being among some ambient PM constituents identified as contributors.  
10 For example, in the last few years, numerous studies have shown that high doses/concentrations  
11 of instilled and inhaled ROFA, a product of fossil fuel combustion, can cause substantial lung  
12 injury and inflammation. The toxic effects of ROFA are largely caused by its high content of  
13 soluble metals, and some of the pulmonary effects of ROFA can be reproduced by equivalent  
14 exposures to soluble metal salts. In contrast, controlled exposures of animals to sulfuric acid  
15 aerosols, acid-coated carbon, and sulfate salts cause little lung injury or inflammation, even at  
16 high concentrations. Inhalation of concentrated ambient PM (which contains only small  
17 amounts of metals) by laboratory animals at concentrations in the range of 100 to 1000  $\mu\text{g}/\text{m}^3$   
18 have been shown in some (but not all) studies to cause mild pulmonary injury and inflammation.  
19 Rats with  $\text{SO}_2$ -induced bronchitis and monocrotaline-treated rats have been reported to have a  
20 greater inflammatory response to concentrated ambient PM than normal rats. These studies  
21 suggest that exacerbation of respiratory disease by ambient PM may be caused in part by lung  
22 injury and inflammation.

23 There are also new in vitro data indicating a potential neurogenic basis for the effects of  
24 particulate matter (Veronesi et al., 1999a,b; Oortgeison et al., 2000; Veronesi et al., 2002b).  
25 More specifically, these studies indicate that the proton cloud associated with negatively charged  
26 colloidal PM particles could activate acid sensitive VR1 receptors found on human airway  
27 epithelial cells and sensory terminals; this activation, in turn, results in an immediate influx of  
28 calcium and the release of inflammatory neuropeptides and cytokines, which initiate and sustain  
29 inflammatory events in the pathophysiology of neurogenic inflammation. This implies that a  
30 wide variety of particulate substances, from many different types of sources (both natural and  
31 anthropogenic), falling across wide size ranges (from ultrafine through accumulation mode and

1 including small, < 10  $\mu\text{m}$ , coarse fraction particles), and of highly diverse chemical composition  
2 could possibly exert neurogenically-mediated pathophysiological effects depending on shared  
3 physical properties of their surface molecules (i.e., negative charges surrounded by a proton  
4 cloud).

### 6 ***Increased Airway Reactivity and Exacerbation of Asthma***

7 The strongest evidence supporting this hypothesis is from studies on diesel particulate  
8 matter (DPM). Diesel particulate matter has been shown to increase production of antigen-  
9 specific IgE in mice and humans (summarized in Section 7.2.1.2). In vitro studies have  
10 suggested that both organic fraction and the carbon black fraction of DPM are involved in the  
11 increased IgE production. ROFA leachate also has been shown to enhance antigen-specific  
12 airway reactivity in mice (Goldsmith et al., 1999), indicating that soluble metals can also  
13 enhance an allergic response. However, in this same study, exposure of mice to concentrated  
14 ambient PM did not affect antigen-specific airway reactivity. Thus the available evidence is  
15 inconclusive with regard to increased airway activity as a possible PM mechanism.

### 17 ***Increased Susceptibility to Respiratory Infections***

18 A few newly published studies have provided some evidence for ambient PM potentially  
19 affecting lung defense mechanisms and increasing susceptibility to infection. The studies of  
20 Zelikoff et al. (2003) showed that brief exposures (3 to 5 h) of Fischer rats to New York City  
21 CAPs ( $\sim 225 \mu\text{g}/\text{m}^3$ ) either before or after IT-instillation of *Streptococcus pneumoniae* increased  
22 numbers of lavageable PAM cells and increased bacterial burden over control levels at 24 h  
23 postinfection. Similarly, Antonini et al. (2002) found that preexposure to ROFA (0.2 or  
24 1.0 mg/100 g body weight) of Sprague-Dawley rats 3 days before IT instillation of *Listeria*  
25 *monocytogenes* (a bacterial pathogen) led to notable lung injury, slowed clearance of the  
26 bacteria, and reduced AM NO production, although AM numbers were not reduced. Lastly, new  
27 studies by Ohtsuka et al. (2000a,b), showing decreased phagocytic activity of alveolar  
28 macrophages (AM) in mice after a 4 h inhalation exposure to acid-coated carbon particles  
29 (albeit at a high mass concentration of  $10 \text{ mg}/\text{m}^3$ ), are suggestive of possible impairment of an  
30 important lung defense mechanism even in the absence of lung injury.

1 **7.9.1.2 Cardiovascular and Other Systemic Effects Secondary to Lung Injury**

2 When the 1996 PM AQCD was written, it was thought that cardiovascular-related  
3 morbidity and mortality most likely would be sequelae occurring secondary to impairment of  
4 oxygenation or some other consequence of lung injury and inflammation. Newly available  
5 toxicologic studies provide evidence regarding such possibilities, as discussed below.

6  
7 ***Impairment of Oxygenation and Increased Work of Breathing That Adversely Affect***  
8 ***the Heart Secondary to Lung Injury***

9 Results from new toxicology studies in which animals (normal and compromised) were  
10 exposed to concentrated ambient PM (at concentrations many times higher than would be  
11 encountered in the United States) indicate that ambient PM is unlikely to cause severe  
12 disturbances in oxygenation or pulmonary function. However, even a modest decrease in  
13 oxygenation can have serious consequences in individuals with ischemic heart disease. For  
14 example, Kleinman et al. (1998) has shown that a reduction in arterial blood saturation from  
15 98 to 94% by either mild hypoxia or by exposure to 100 ppm CO significantly reduced the time  
16 to onset of angina in exercising volunteers.

17 One study of PM effects in a severely compromised animal model hints at possible PM  
18 pathophysiologic effects mediated via hypoxemia. Specifically, the instillation of ROFA (0,  
19 0.25, 1.0, 2.5 mg) was shown (Watkinson et al., 2000a,b) to increase (to 50%) the mortality rate  
20 observed in monocrotaline-treated rats with pulmonary hypertension. Although blood oxygen  
21 levels were not measured in this study, there were ECG abnormalities consistent with severe  
22 hypoxemia in about half of the rats that subsequently died. Given the severe inflammatory  
23 effects of instilled ROFA and the fact that monocrotaline-treated rats have increased lung  
24 permeability as well as pulmonary hypertension, it is plausible that instilled ROFA may cause  
25 severe hypoxemia leading to death in this rat model. However, whether or not ROFA or key  
26 constituents of it causes such effects at relevant ambient or near-ambient exposure  
27 concentrations remains unclear.

28 More information is needed, however, on the effects of PM on arterial blood gases and  
29 pulmonary function to fully address the above hypothesis.

1 ***Systemic Hemodynamic Effects Secondary to Lung Inflammation and Increased***  
2 ***Cytokine Production***

3 It has been suggested that systemic effects of particulate air pollution may result from  
4 activation of cytokine production in the lung (Li et al., 1997). Results from some studies of  
5 compromised animal models provide some support for this idea. For example, there was a  
6 significant decrease in the time of onset of ischemic ECG changes following coronary artery  
7 occlusion in PM-exposed dogs compared to controls (Godleski et al., 2000). Analogously,  
8 Wellenius et al. (2002) found, in another animal model (i.e., left ventricular myocardial  
9 infarction induced by thermocoagulation), that 41% of the MI rats exhibited one or more  
10 premature ventricular complexes (PVCs) during baseline periods 12 to 18 h after surgery; and  
11 exposure to ROFA (but not to carbon black or room air) increased arrhythmia frequency in  
12 animals with prior PVCs and decreased their heart rate variability (HRV). Also, severely  
13 compromised monocrotaline-treated rats exposed to high concentrations of inhaled ROFA  
14 (15,000  $\mu\text{g}/\text{m}^3$ , 6 h/day for 3 days) showed increased pulmonary cytokine gene expression,  
15 bradycardia, hypothermia, and increased arrhythmias (Watkinson et al., 2000a,b). On the other  
16 hand, spontaneously hypertensive rats manifested similar cardiovascular responses to inhaled  
17 ROFA (except that they also developed ST segment depression), but without any increase in  
18 pulmonary cytokine gene expression.

19 Other studies of normal dogs exposed to concentrated ambient PM (322  $\mu\text{g}/\text{m}^3$ ,  
20 MMAD = 0.23 to 0.34  $\mu\text{m}$ ) showed minimal pulmonary inflammation and no positive staining  
21 for IL-8, IL-1, or TNF in airway biopsies (Godleski et al., 2000). In addition, several other  
22 studies (e.g., Muggenburg et al., 2000a,b) of normal dogs and/or rats failed to show changes in  
23 ECG consistent with the types observed in the above studies of compromised models. Thus, the  
24 link between PM-induced changes in the production of cytokines in the lung and effects on  
25 cardiovascular function is not clear, and more basic information on the effects of mild  
26 pulmonary injury on cardiovascular function is needed to more fully evaluate this hypothesis.

27  
28 ***Increased Blood Coagulability Secondary to Lung Inflammation***

29 There is abundant evidence linking small prothrombotic changes in the blood coagulation  
30 system to increased long-term risk of heart attacks and strokes. However, the published  
31 toxicological evidence bearing on whether moderate lung inflammation causes increased blood  
32 coagulability is very mixed and inconsistent.

1           Several new studies have investigated possible effects of ambient PM or surrogate particles  
2 on blood chemistry constituents that would be indicative of increased blood coagulability.  
3 For example, Ghio et al. (2000a) have shown that inhalation of concentrated ambient PM (~20 to  
4 300  $\mu\text{g}/\text{m}^3$ ) in healthy nonsmokers causes increased levels of blood fibrinogen. Gardner et al.  
5 (2000) have also shown that a high dose (8300  $\mu\text{g}/\text{kg}$ ) of instilled ROFA in rats causes increased  
6 blood levels of fibrinogen, but no effect was seen at lower doses. Gordon et al. (1998) also  
7 reported increased blood platelets and neutrophils in control and monocrotaline-treated rats on  
8 some, but not all, days when exposed to concentrated NYC ambient PM (150 to 400  $\mu\text{g}/\text{m}^3$ ) for  
9 3 h. These differences in blood parameters were present at 3 h PE but not 24 h PE.

10           On the other hand, exposure of normal dogs to concentrated ambient PM from Boston  
11 (~100 to 1000  $\mu\text{g}/\text{m}^3$ ) had no effect on fibrinogen levels (Godleski et al., 2000). Nor were any  
12 significant effects on blood fibrinogen or other factors (e.g., blood platelets, tissue plasminogen  
13 activator, Factor VII, etc.) involved in the coagulation cascade seen with exposure of normal rats  
14 to concentrated NYC ambient PM (~130 to 900  $\mu\text{g}/\text{m}^3$ ), as reported by Nadziejko et al. (2002).  
15 Frampton (2001) also reported finding no effects on fibrinogen or clotting Factor VII in healthy,  
16 nonsmoking human adults exposed to 10  $\mu\text{g}/\text{m}^3$  ultrafine carbon for 2 h via mouthpiece  
17 inhalation while at rest.

18           All these latter results, indicative of little effect of PM exposure on blood coagulation  
19 factors in healthy humans or laboratory animals, stand in contrast to the highly suggestive  
20 ambient PM-induced increases in fibrinogen seen by Ghio et al. (2000a) in healthy human adult  
21 volunteers. The coagulation system is as multifaceted and complex as the immune system; and  
22 there are many other sensitive and clinically significant parameters that should, in addition to  
23 fibrinogen, show more extensive and consistent patterns of change reflective of PM effects on  
24 blood coagulation. Thus, it is premature to draw any strong conclusions about the relationship  
25 between PM and blood coagulation.

### 26 27 ***Hematopoiesis Effects Secondary to PM Interactions With the Lung***

28           Terashima et al. (1997) found that instillation of fine carbon particles (20,000  $\mu\text{g}/\text{rabbit}$ )  
29 stimulated release of PMNs from bone marrow. In further support of this hypothesis, Gordon  
30 and colleagues reported that the percentage of PMNs in the peripheral blood increased in rats  
31 exposed to ambient PM in some but not all exposures. On the other hand, Godleski et al. (2000)

1 found no changes in peripheral blood counts of dogs exposed to concentrated ambient PM.  
2 Thus, consistent evidence that PM ambient concentrations can affect hematopoiesis remains to  
3 be demonstrated.

### 4 5 **7.9.1.3 Direct Effects on the Heart**

6 Although the data are still limited, two types of hypothesized direct effects of PM on the  
7 heart are noted below.

#### 8 9 *Effects on the Heart Secondary to Uptake of Particles into the Circulation and/or Release of* 10 *Soluble Substances into the Circulation*

11 Drugs can be rapidly and efficiently delivered to the systemic circulation by inhalation.  
12 This implies that the pulmonary vasculature absorbs inhaled materials, including charged  
13 substances such as small proteins and peptides. Such PM materials could conceivably be rapidly  
14 transported to the heart, where they might exert effects directly on cardiac vasculature or heart  
15 muscle itself. Alternatively, they could also exert very rapid effects on cardiac function through  
16 stimulation of nerve ending receptors in lung tissue, resulting in secretion of inflammatory  
17 messenger substances and/or activation of neurally-mediated autonomic reflexes. This raises the  
18 question of how inhaled particles could affect the autonomic nervous system. Activation of  
19 neural receptors in the lung is a logical area to investigate.

20 Epithelial cells lining lower respiratory tract airways are damaged or denuded in many  
21 common health disorders (e.g., asthma, viral infections, etc.), which may allow inhaled PM to  
22 directly encounter sensory nerve terminals and their acid-sensitive receptors. In vitro studies by  
23 Veronesi and colleagues provide interesting evidence indicating that (a) ROFA-induced  
24 inflammation is mediated by acid-sensitive VR1 receptors on sensory nerve fibers that innervate  
25 the airways and on surrounding bronchial epithelial cells (Veronesi et al., 1999a,b);  
26 (b) negatively-charged, but not neutrally-charged (i.e., zeta potential = 0 MV), particles in  
27 ROFA, synthetic polymer aerosols, or extracts from urban St. Louis, residential (woodstove),  
28 volcanic (Mt. St. Helens), and industrial (coal and oil fly ash) sources activate the VR1 receptors  
29 (Oortgiesen et al., 2000), with their zeta potential being the key physiochemical property  
30 correlated with consequent increases in Ca<sup>+2</sup> and IL-6 release (Veronesi et al., 2002b); and (c) the  
31 receptor activation causing release of inflammatory cytokines and neuropeptides initiates and  
32 sustains inflammatory effects in the airways (Veronesi and Oortgiesen, 2001).



## ***Inhaled Particulate Matter Effects on Autonomic Control of the Heart and Cardiovascular System***

Besides the above studies, it is worth noting that earlier studies in conscious rats previously have shown that inhalation of wood smoke causes marked changes in sympathetic and parasympathetic input to the cardiovascular system that are mediated by neural reflexes (Nakamura and Hayashida, 1992).

In addition, changes in heart rate variability and conductance system function associated with ambient PM exposure have been reported in some animal studies (Godleski et al., 2000; Gordon et al., 2000; Watkinson et al., 2000a,b; Campen et al., 2000), in several human panel studies (described in Chapter 8), and in a reanalysis of data from the MONICA study (Peters et al., 1997). Some of these studies included endpoints related to respiratory effects but few significant adverse respiratory changes were detected. This raises the possibility that ambient PM may have effects on the heart that are independent of adverse changes in the lung. There is certainly precedent for this idea. For example, tobacco smoke (which is a mixture of combustion-generated gases and PM) causes cardiovascular disease by mechanisms that are independent of its effect on the lung. However, not all studies have shown such alterations in HRV, etc. (Muggenburg et al., 2000b; Frampton, 2001).

### **7.9.1.4 Mutagenic/Genotoxic Effects of PM**

As discussed in Chapter 8, the Pope et al. (2002) extension of analyses evaluating long-term ambient PM exposure effects on total (non-accidental) and cause-specific mortality (using longer term followup data from the American Cancer Society or “ACS” database) provides additional strong evidence for chronic ambient PM exposure being associated with increased risks for lung cancer.

Ambient urban PM from sources such as the Los Angeles area, Germany, and The Netherlands has been shown to possess mutagenic activity in both in vivo and in vitro assays. The mutagenicity is dependent upon the chemical composition of the PM and also the size of the particles. Both unsubstituted polyaromatic compounds and semi-polar compounds are thought to be highly mutagenic components of urban ambient PM. Additionally, the fine fraction appears to be more mutagenic than the coarse fraction.

Emissions from wood/biomass burning have been shown to be mutagenic in studies of human exposures in China and The Netherlands. The organic fraction appears to be more

1 mutagenic than the PM component. Mutagens from wood smoke emissions can cause both  
2 frameshift and base pair mutations but have not yet demonstrated the production DNA adducts.

3 A large body of work examining emissions from coal combustion in China has  
4 demonstrated the mutagenicity of both the polar and aromatic fractions. Populations with high  
5 lung cancer rates have been linked to exposures of the PAH component of coal smoke.  
6 By sequencing of mutations, a direct link has been established between the mutagenesis assay  
7 results and human lung cancer.

8 The U.S. EPA Diesel Document (U.S. Environmental Protection Agency, 2002) was cited  
9 earlier in this chapter as discussing a number of studies utilizing mutagenicity/genotoxicity  
10 assays with diesel emissions; and key information from that document on a number of studies  
11 indicative of diesel emission particle-induced gene mutations, chromosome effects, or other  
12 genotoxic effects (e.g., altered DNA adduct patterns, increases in mutagenic DNA, adduct-  
13 related vulnerability to oxidative damage) was recounted. Additional findings were also noted  
14 which show that, although 50 to 90% of the total mutagenicity of diesel exhaust is likely  
15 attributable to its gaseous components, nitrated polynuclear aromatic compounds (PAHs) also  
16 appear to account for a notable portion of the mutagenicity. Some results (but not others) further  
17 appear to implicate sulfur in diesel emissions as contributing to mutagenic effects. Lastly, of  
18 much interest are findings by Driscoll et al. (1996, 1997) showing increased hprt mutations in rat  
19 alveolar type II cells with inhalation exposure to carbon black particles or with intratracheal  
20 instillation of carbon black or two other (quartz, TiO<sub>2</sub>) particles. All three types of particles  
21 elicited increased inflammatory responses, which the authors suggest leads to increased  
22 epithelial cell proliferation and consequently, mutating. Overall, the new studies are highly  
23 indicative of mutagenic and other genotoxic effects of ambient PM and/or various specific  
24 constituents (e.g., comparisons of gasoline and diesel exhaust show that the PM component is  
25 more mutagenic than the condensate fraction in both exhausts). Additionally, the polar  
26 component has the most mutagenicity. Other components of both gasoline and diesel exhaust  
27 thought to contribute to the mutagenicity are PAHs, nitro-PAH, and nitroarenes. DNA adduct  
28 formation is one mechanism whereby these mobile combustion products are thought to induce  
29 carcinogenesis.

30 In summary, both ambient PM and combustion products of coal, wood, diesel, and gasoline  
31 are mutagenic/genotoxic. Exact comparisons of the mutagenicity of combustion emissions of

1 these fuels are not possible, but a very general ranking of these emission may be:  
2 diesel>coal>>wood>gasoline. Additionally, the data currently available allow some clues as the  
3 to potential mechanisms underlying these health effects.  
4

## 5 **7.9.2 Links Between Specific Particulate Matter Components and** 6 **Health Effects**

7 The plausibility of epidemiologically-demonstrated associations between ambient PM and  
8 increases in morbidity and mortality has been questioned because adverse cardiopulmonary  
9 effects have been observed among human populations at very low ambient PM concentrations.  
10 To date, experimental toxicology studies have provided some intriguing, but limited, evidence  
11 for ambient PM mixes or specific PM components potentially being responsible for reported  
12 health effects of ambient PM. Overall, the new studies suggest that some of particles are more  
13 toxic than others. New findings substantiating the occurrence of health effects in response to  
14 controlled exposures to ambient PM mixes and/or their constituent substances are useful in  
15 demonstrating or clarifying potential contributions of physical/chemical factors of constituent  
16 particles are discussed below.  
17

### 18 **7.9.2.1 Ambient Particle Studies**

19 Concentrated ambient particle (CAPS) studies are probably most useful in helping to  
20 substantiate that particles present in “real-world” ambient air mixes are indeed capable of  
21 inducing notable pathophysiological effects under controlled exposure conditions and to clarify  
22 further factors affecting increased susceptibility of “at risk” groups for PM effects. CAPS  
23 studies, on the other hand, tend to be somewhat less helpful than other toxicologic approaches in  
24 helping to delineate the specific characteristics of PM producing toxicity and potential  
25 underlying mechanisms. Some, but not all, studies with inhaled (CAPs) have found  
26 cardiopulmonary changes in rodents and dogs at high concentrations of fine PM. However, no  
27 comparative studies to examine the effects of ultrafine and coarse ambient PM have been done.

28 Studies using collected urban PM for intratracheal administration to healthy and  
29 compromised animals have also produced interesting new information. Despite the difficulties  
30 associated with extrapolating from the bolus delivery used in such studies, they have provided  
31 evidence indicating that the chemical composition of ambient particles can have a major

1 influence on toxicity. Instillation of rats with filter extracts of ambient air particles collected  
2 from Ottawa CN air (Watkinson, et al., 2002a,b) at 2.5 mg, for example, induced pronounced  
3 biphasic hypothermia, severe drop in heart rate, and increased arrhythmias; this was in contrast  
4 to no cardiac effects seen with comparable instilled dose of Mt. St. Helens volcanic ash (shown  
5 by many studies to be relatively inert toxicologically). Similarly, dose-dependent increases in  
6 polymorphonuclear leukocytes (PMNs), other markers of lung inflammation, and decreases in  
7 alveolar macrophages (AMs) were seen with intratracheal exposures of hamsters to urban  
8 ambient particles from St. Louis or Kuwaiti oil field particles (Brain et al., 1998).

9       Importantly, it has become evident that, although the concentrated ambient PM (CAPs)  
10 studies have provided important exposure-response information for some PM size fractions  
11 (especially PM<sub>2.5</sub>), they have not, to date, been very helpful in identifying specific toxic  
12 components in urban PM. Insufficient attention has been accorded to characterization of day-to-  
13 day variations in specific PM constituents in order to relate such variations to observed variable  
14 health responses to CAPs exposures. Also, because only a limited number of exposures using  
15 CAPs can be reasonably conducted by a given laboratory in a particular urban environment,  
16 there may be insufficient information to conduct factor analyses on exposure/response matrices.  
17 This may also hinder principal component analysis techniques that are useful in identifying  
18 particle components responsible for health outcomes. New particle concentrator systems now  
19 coming on-line at the U.S. EPA and elsewhere that permit selective concentration of ultrafine,  
20 fine, and thoracic coarse PM hold promise for enhancing our understanding of PM  
21 characteristics producing toxicity. CAPs studies also hold promise for helping to identify  
22 susceptibility factors in animal models, and permit examination of mechanisms related to PM  
23 toxicity.

#### 24 25 **7.9.2.2 Acid Aerosols**

26       There is relatively little new information on the effects of acid aerosols. The 1996 PM  
27 AQCD previously assessed acid aerosol health effects and concluded that acid aerosols cause  
28 little or no change in pulmonary function in healthy subjects, but asthmatics may develop small  
29 changes in pulmonary function. This conclusion is further supported by the new study of Linn  
30 and colleagues (1997) in which children (26 children with allergy or asthma and 15 healthy  
31 children) were exposed to sulfuric acid aerosol (100 µg/m<sup>3</sup>) for 4 h. There were no significant

1 effects on symptoms or pulmonary function when data for the entire group were analyzed, but  
2 the allergy group had a significant increase in symptoms after the acid aerosol exposure. Thus,  
3 acid aerosol health effects may represent a possible causal physical property for some  
4 PM-related respiratory symptom effects. However, it is unlikely that particle acidity alone could  
5 account for the pulmonary function effects (Dreher, 2000).

### 6 7 **7.9.2.3 Metals**

8 The 1996 PM AQCD (U.S. Environmental Protection Agency, 1996a) mainly relied on  
9 data related to occupational exposures to evaluate the potential toxicity of metals in contributing  
10 to health effects associated with ambient PM exposures. Since that time, numerous newly  
11 published in vivo and in vitro studies using exposures to ambient PM extracts, ROFA, other  
12 combustion source emission materials (e.g., CFA, etc.), or specific soluble transition metals have  
13 contributed substantial further information on the health effects of particle-associated soluble  
14 metals. Although there are some uncertainties about differential effects of one transition metal  
15 versus another, some water soluble metals (e.g., Ni, V, Zn, Fe) leached from ambient filter  
16 extracts or ROFA have been shown consistently (albeit at high concentrations) to cause cell  
17 injury and inflammatory changes in vitro and in vivo.

18 Perhaps most notable in this argument are the Utah Valley studies that have linked the  
19 toxicology (in vitro cell culture as well as human and rodent instillation) with published  
20 epidemiological findings. In these studies, filter extracts of Utah Valley PM collected from the  
21 State/Federal sampling sites yielding aerometric data used to ascribe the impact of PM on  
22 hospital admissions and population mortality rates showed remarkable qualitative coherence  
23 with toxicological and clinical endpoints (BAL fluid markers, lung dysfunction) among the  
24 human and rodent test subjects. Moreover, the data were themselves consistent with the  
25 hypothesized underlying mode of action (oxidant generation, inflammation) for metal-associated  
26 PM cardiorespiratory effects (Frampton et al., 1999; Dye et al., 2001; Ghio and Devlin, 2001;  
27 Soukup et al., 2000; Wu et al., 2001; Pagan et al., 2003). Studies comparing human (Ghio and  
28 Devlin, 2001) and rat (Dye et al., 2001) exposures to both high and low metal content PM  
29 collected near a steel plant, showed convincingly that the metal content of the PM, and not the  
30 mass, was a major determinate of the toxicity of the PM. Both species showed similar  
31 inflammatory responses to exposures from PM with high metal content (collected while the steel

1 mill was operating). Hence, this rich data set provides an important linkage across study  
2 disciplines used in the human and animal toxicology as well as in the in vitro studies.

3 Since the Utah studies were completed, an analogous study has addressed differential  
4 exacerbation of allergic asthma-related responses by PM from two German cities (Hettstedt and  
5 Zerbst) of contrasting industrial activity. An allergic mouse model (representing an allergic  
6 asthma population) was intratracheally instilled with filter extracts from each city and the  
7 appropriate allergen to activate the model. The respective responses of the model corresponded  
8 to the prevalence of allergy and respiratory disease in the cities and appeared to be influenced by  
9 the ambient PM metal content in the respective cities. Hence, the data base is growing for  
10 studies linking animal and human responses. Some of these linkages are in the laboratory while  
11 others are with epidemiology. Why these collective data show coherence despite exposure/dose  
12 discrepancies, not to mention species and other differences, is unclear, but the data and findings  
13 stand on their merits and attest to the legitimacy of the approach and the value of the animal data  
14 in establishing biologic plausibility and insight into potential mechanisms.

15 Even though it is clear that combustion particles that have a high content of soluble metals  
16 can cause lung injury in compromised animals and correlate well with epidemiological findings  
17 in some cases (e.g., Utah Valley Studies), it has not been fully established that the small  
18 quantities of metals (typically  $\leq 0.5$  to  $1.0 \mu\text{g}/\text{m}^3$ ) associated with current U.S. ambient PM mass  
19 concentrations exhibit greater toxicity than other PM components typically present in ambient  
20 air. In studies in which various ambient and emission source particulates were instilled into rats,  
21 the soluble metal content did appear to be one important determinant of lung injury (Costa and  
22 Dreher, 1997). However, one published study (Kodavanti et al., 2000b) has compared the  
23 effects of inhaled ROFA (at  $1 \text{ mg}/\text{m}^3$ ) to concentrated ambient PM (four experiments, at mean  
24 concentrations of  $475$  to  $900 \mu\text{g}/\text{m}^3$ ) in normal and  $\text{SO}_2$ -induced bronchitic rats. A statistically  
25 significant increase in at least one lung injury marker was seen in bronchitic rats with one out of  
26 four of the concentrated ambient exposures; whereas inhaled ROFA had no effect, even though  
27 the content of soluble iron, vanadium, and nickel was much higher in the ROFA sample than in  
28 the concentrated ambient PM.

29 Nevertheless, other particularly interesting new findings do point toward ambient PM  
30 exacerbation of allergic airway hyperresponsiveness and/or antigen-induced immune responses.

1 Both metal and diesel particles have been implicated, with an expanding array of new studies  
2 showing DPM in particular as being effective in exacerbating allergic asthmatic responses.

#### 3 4 **7.9.2.4 Diesel Exhaust Particles**

5 As described in Section 7.5.3, there is growing toxicological evidence that, analogously to  
6 several other types of PM (silica, carbon black, road dust, etc.), diesel PM may exacerbate  
7 allergic responses to inhaled antigens. The organic fraction of diesel exhaust has been linked to  
8 eosinophil degranulation and induction of cytokine production, suggesting that the organic  
9 constituents of diesel PM are the responsible part for the immune effects. It is important to  
10 compare the immune effects of other source-specific emissions, as well as concentrated ambient  
11 PM, to diesel PM to determine the extent to which exposure to diesel exhaust PM may contribute  
12 to the incidence and severity of allergic rhinitis and asthma. It is also notable that rather direct  
13 evidence has been obtained which demonstrates adherence of allergen-laden pollen cytoplasm  
14 fragments to diesel particles, providing a likely mechanism by which diesel PM acts to  
15 concentrate bioaerosol materials and to increase their focal accumulation in lower regions of the  
16 respiratory tract. Other evidence substantiates mutagenic/genotoxic effects of diesel emission  
17 particles (e.g., PAHs), consistent with qualitative findings in several studies of increased lung  
18 cancer effects being associated with long-term, occupational exposure to diesel emissions.

#### 19 20 **7.9.2.5 Organic Compounds**

21 Published research on the acute effects of particle-associated organic carbon constituents is  
22 conspicuous by its relative absence, except for diesel exhaust particles. Like metals, organics are  
23 common constituents of combustion-generated particles and have been found in ambient PM  
24 samples over a wide geographical range. Organic carbon constituents comprise a substantial  
25 portion of the mass of ambient PM (10 to 60% of the total dry mass [Turpin, 1999]). The  
26 organic fraction of ambient PM has been evaluated for its mutagenic effects. Although the  
27 organic fraction of ambient PM is a poorly characterized heterogeneous mixture of an unknown  
28 number of different compounds, organic compounds remain a potential causal property for PM  
29 health effects due to the contribution of exhaust particles from various sources to the fine PM  
30 fraction (Dreher, 2000). Strategies have been proposed for examining the health effects of this  
31 potentially important constituent (Turpin, 1999).

### 1 **7.9.2.6 Ultrafine Particles**

2 Studies of various types of ultrafine particles have demonstrated a significantly greater  
3 inflammatory response than that seen with fine particles of the same chemical composition at  
4 similar mass doses (Oberdörster et al., 1992; Li et al., 1996, 1997, 1999).

5 In other more limited studies, ultrafines also have generated greater oxidative stress in  
6 experimental animals. Inhalation exposure of normal rats to ultrafine carbon particles generated  
7 by electric arc discharge ( $100 \mu\text{g}/\text{m}^3$  for 6 h) caused minimal lung inflammation per unit mass  
8 (Elder et al., 2000a,b), compared to ultrafine PTFE or metal particles. On the other hand,  
9 instillation of  $125 \mu\text{g}$  of ultrafine carbon black (20 nm) caused substantially more inflammation  
10 per unit mass than did the same dose of fine particles of carbon black (200 to 250 nm),  
11 suggesting that ultrafine particles may cause more inflammation per unit mass than larger  
12 particles (Li et al., 1997). However, the chemical constituents of the two sizes of carbon black  
13 used in this study were not analyzed, and it cannot be assumed that the chemical composition  
14 was the same. Further, when the particle surface area is used as a dosimetric, the inflammatory  
15 response to both fine and ultrafine particles may be basically the same (Oberdörster, 1996b;  
16 Oberdörster et al., 2000; Li et al., 1996).

17 With regard to acid aerosols, studies of low concentrations of ultrafine sulfuric acid and  
18 metal oxide particles have demonstrated effects in the lung. However, it is possible that inhaled  
19 ultrafine particles may have systemic effects that are independent of effects on the lung. Thus,  
20 there is still insufficient toxicological evidence to elucidate clearly the extent to which ambient  
21 concentrations or high number counts of ultrafine particles may differentially contribute to  
22 increased health effects risks associated with ambient PM air pollution.

### 24 **7.9.2.7 Bioaerosols**

25 Bioaerosols, from sources such as plants, fungi, and microorganisms, range in size from  
26  $0.01 \mu\text{m}$  to  $> 20 \mu\text{m}$ . They comprise a small fraction of ambient PM, but have been shown to  
27 contribute to the adverse health effects from PM exposure. Pollen from flowering plants, trees  
28 and grasses, deposits in upper airways to induce allergic rhinitis. Ruptured pollen grains can  
29 enter the deep lung, where they can exacerbate asthma. Synergistic interactions between pollen  
30 debris and other ambient PM (e.g., the polycyclic hydrocarbon component of DE) are thought to  
31 be a mechanism that may explain the increased incidence of asthma morbidity and mortality.



1 Human handling and burning of plant material contributes to increased bioaerosol levels, which  
2 have been shown to have adverse health effects.

3 Animals and insects produce bioaerosols capable of producing hypersensitivity diseases.  
4 Most notably, exposure to dust mite and cockroache material has been linked to sensitization in  
5 children. Fungal spores are the largest and most consistently present outdoor bioaerosol. They  
6 cause allergic rhinitis and asthma, which is highly dependent on seasonal variations in  
7 concentration. Exposures have been linked to asthma hospitalization and death.

8 Bacterial and viruses are significant bioaerosols. Much of the toxicity of bacteria is due to  
9 the endotoxins present in the outer cell membrane, which trigger production of cytokines and a  
10 cascade of inflammation. Concentrations of endotoxins are seasonal and tend to be higher in  
11 samples of coarse-mode than in fine-mode ambient PM. Another cell wall component of  
12 bacteria and fungi, (1-3)- $\beta$ -D-glucan, has also been shown to cause respiratory inflammation.

### 14 **7.9.3 PM Interactions with Gaseous Co-Pollutants**

15 Particulate matter exists in an atmospheric milieu of ubiquitous co-pollutant gases, all of  
16 which have the potential for antagonistic, additive, or synergistic interactions with PM and  
17 which can modify the toxicologic health effects. The mechanisms by which interactions  
18 between PM and gases are thought likely to occur are by: (1) formation of secondary products  
19 by chemical interactions between the gas and the particle, (2) adherence of material to the  
20 particle and subsequent transport to sensitive sites, and/or 3) pollutant-induced change in the  
21 local microenviroment of the lung (e.g., by decreasing the pH). All of these interactions have  
22 the potential to create antagonistic, additive, or synergistic interactions between PM and gases,  
23 which could potentially greatly modify their individual effects.

24 Several new controlled human exposure toxicology studies provide interesting findings on  
25 effects of combined exposures to PM and other pollutants. One study, by Linn et al. (1997),  
26 found a positive association between acid concentration and respiratory symptoms (but not  
27 spirometry) among allergic/asthmatic children (in comparison to clean-air exposure results)  
28 following a single 4-h exposure to 60 to 140  $\mu\text{g}/\text{m}^3$   $\text{H}_2\text{SO}_4$ , 0.1 ppm  $\text{SO}_2$ , and 0.1 ppm  $\text{O}_3$  while  
29 undergoing intermittent exercise. No changes were seen among healthy children. However, the  
30 experimental design did not include comparison of effects of the overall mixture versus those of  
31 individual components (e.g.,  $\text{H}_2\text{SO}_4$  alone,  $\text{O}_3$  alone), thus precluding discernment of possible

1 interactive effects. Another human exposure study by Brook et al. (2002) reported that  
2 combined exposure (for 2 h via inhalation) to PM<sub>2.5</sub> CAPs (150 µg/m<sup>3</sup>) and O<sub>3</sub> (120 ppm)  
3 increased brachial artery vasoconstriction over filtered air control values, but it too did not  
4 compare the CAPs/O<sub>3</sub> effects versus CAPs or O<sub>3</sub> alone.

5 A few recent animal studies have demonstrated that co-exposures of CAPs and O<sub>3</sub> causes  
6 potentiation of proliferative changes in the epithelium of terminal bronchioles and enhanced  
7 septal cellularity seen with O<sub>3</sub> exposure alone. Two studies showed that co-exposures at much  
8 higher concentrations of CAPs (5, 40, 50 mg/m<sup>3</sup>) and O<sub>3</sub> (0.8 ppm) cause potentiation of  
9 proliferative changes in the epithelium of terminal bronchioles (Vincent et al., 1997) and  
10 enhanced septal cellularity (Bouthillier et al., 1998) over that seen with the O<sub>3</sub> exposure alone.  
11 However, the reported effects at such extremely high CAPs and O<sub>3</sub> exposures are not likely of  
12 much relevance to the understanding of possible interactive effects of ambient PM or O<sub>3</sub> present  
13 at much lower levels in contemporary U.S. urban airsheds. In another study, both combined  
14 CAPs/O<sub>3</sub> and O<sub>3</sub>-alone exposure in a mouse asthma model (Kobzik et al., 2001) showed similar  
15 increases in airway responsiveness and pulmonary resistance, thus indicating a lack of synergism  
16 with the combined exposure. Mixtures of elemental carbon particles, O<sub>3</sub>, and ammonium  
17 bisulfate showed changes lung collagen, AM respiratory burst, and phagocytosis (Kleinman  
18 et al, 2000), although the results were ambiguous as to whether PM was enhancing the effects of  
19 O<sub>3</sub> or the converse. A short exposure of combined carbon particle/SO<sub>2</sub> caused depressed AM  
20 phagocytosis and suppressed intrapulmonary bactericidal activity which lasted for a week (Jakab  
21 et al., 1996; Clarke et al., 2000c).

22 Other studies using co-exposures of PM and gases have demonstrated no changes in  
23 histopathological (Moss et al., 2001) or biochemical and morphometric endpoints (Last and  
24 Pinkerton, 1997). Additionally, 4-wk exposures of rats to a mixture of carbon particles,  
25 ammonium bisulfate, and O<sub>3</sub> caused no changes in BALF parameters and only a small decrease  
26 in plasma fibronectin compared to O<sub>3</sub> alone (Bolarin et al., 1997).

#### 27 28 **7.9.4 Susceptibility**

29 Progress has been made in understanding the role of individual susceptibility to ambient  
30 PM effects. Studies have consistently shown that older animals or animals with certain types of  
31 compromised health, either genetic or induced, are more susceptible to instilled or inhaled

1 particles, although the increased animal-to-animal variability in these models has created greater  
2 uncertainty for the interpretation of the findings (Clarke et al., 1999, 2000a,b; Kodavanti et al.,  
3 1998, 2000a, 2001; Gordon et al., 2000; Ohtsuka et al., 2000b; Wesselkamper et al., 2000;  
4 Leikauf et al., 2000; Saldiva et al., 2002). Moreover, because PM seems to affect broad  
5 categories of disease states, ranging from cardiac arrhythmias to pulmonary infection, it is  
6 difficult to know what disease models to use in evaluating the biological plausibility of adverse  
7 health effects of PM.

8 Compromised hosts are a significant susceptible population which includes individuals  
9 with asthma, individuals with pneumonia or other lung infections, and the elderly with chronic  
10 cardiopulmonary disease. To better understand the effects of PM in this population, researchers  
11 are increasingly using compromised host models such as a rat model of cardiopulmonary disease  
12 that utilize MCT-treatment to induce pulmonary vasculitis/hypertension. This model has  
13 demonstrated ROFA-induced increased neutrophilic inflammation, exacerbated lung lesions,  
14 increased lung edema, alveolar thickening, and decreased phagocytosis of particles in some  
15 studies (Costa and Dreher, 1997; Kodavanti et al., 1999; Madl et al., 1998). Another report  
16 using MCT-treated rats did not find similar inflammatory responses or changes in pulmonary  
17 function following CAPs exposures (Gordon et al., 2000),

18 Animals infected with bacteria or viruses are used to model humans with respiratory  
19 infections; and they have been shown to have increased inflammatory response with PM  
20 exposure (Kodavanti et al., 1998b; Elder et al., 2000a,b). Rats pre-treated with high SO<sub>2</sub>  
21 exposures have been used to model chronic bronchitis and have shown interaction of CAPs with  
22 preexisting lung injury which produce changes in cellular and biochemical markers in lavage  
23 fluid and increases in tidal volume (Clarke et al., 1999; Saldiva et al., 2002; Kodavanti et al.,  
24 1998b).

25 Genetic susceptibility to the effects of PM are becoming increasingly apparent as various  
26 strains of rodents are characterized for strain-specific responses. Rat strains such as SD, Fischer-  
27 344, and Wistar demonstrate unique inflammatory and histological responses to ROFA  
28 (Kodavanti et al., 1996, 1997b). Also, genetically predisposed spontaneously hypertensive (SH)  
29 rats have been used to model cardiovascular disease to evaluate potential increased susceptibility  
30 to PM-associated effects. SH rats demonstrate greater oxidative stress and cardiovascular  
31 responses than their normal counterparts in response to ROFA exposure. Inter-strain differences

1 in airway hyperresponsiveness, inflammation, Fc-receptor-mediated AM phagocytosis, and  
2 mortality, too, have been demonstrated in mouse strains such as BALB/c, C57BL/6, C3H/HeJ,  
3 and others (Veronesi et al., 2000; Ohtsuka et al., 2000a,b; Prows et al., 1997; Leikauf et al.,  
4 2000, Wesselkamper, et al., 2000) in response to PM exposure. The extent to which genetic  
5 susceptibility plays a role in humans remains to be determined. Use of genomics, proteomics,  
6 and bioinformatics technologies will allow further characterization of the differences in  
7 susceptibility to PM.

8 Newly available studies also suggest that individuals with allergic disorders are likely more  
9 susceptible to PM effects than are non-allergic persons. Relatively little is known about the  
10 effects of inhaled PM on humoral (antibody) or cell-mediated immunity. However, both in vivo  
11 and in vitro studies have shown that various types of PM can alter immune responses to  
12 challenge to antigens and may act as an adjuvant (Van Zijverden et al., 2000; Van Zijverden and  
13 Granum, 2000). Steerenberg et al. (2003) found adjuvant activity to be associated with several  
14 types of PM tested (e.g., road tunnel dust, ROFA, DPM).

15 ROFA has been shown to enhance allergic sensitization in a number of studies (e.g.,  
16 Hamada et al., 1999; Lambert., 1999; Gilmour et al., 2001), but the applicability of these  
17 findings to ambient PM is not certain. A study has shown that a single exposure to ROFA elicits  
18 a greater effect on airway hyperresponsiveness than a 3 day exposure to CAPs (Goldsmith et al.,  
19 1999)

20 Particularly interesting new findings point toward ambient PM exacerbation of allergic  
21 airway hyperresponsiveness and/or antigen-induced immune responses. Both metals and diesel  
22 particles have been implicated, with an expanding array of new studies showing DPM as one  
23 particle that is effective in exacerbating allergic asthma responses (Takano et al., 1997; Nel  
24 et al., 2001; Van Zijerden et al., 2000, 2001; Walters et al., 2001; Nordenhall et al., 2001;  
25 Hamada et al., 1999, 2000; Lambert et al., 1999; Gilmour et al., 2001).

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