

# *Modelling heating and cooling energy demand for building stock using a hybrid approach*

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# 1 **Modelling heating and cooling energy** 2 **demand for building stock using a hybrid** 3 **approach**

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## 12 **Highlights**

- 13 • A hybrid approach for building stock energy prediction
- 14 • An energy prediction model for both residential and non-residential buildings
- 15 • Prediction performance comparison of ten machine learning models
- 16 • The best performed model at building and stock level are polynomial kernel  
17 support vector regression and Gaussian radial basis function kernel support vector  
18 regression respectively

- 
- 19 • Machine learning model applicable to building stock energy prediction and retrofit  
20 energy saving potential evaluation

21

## 22 **Abstract**

23 The building sector accounts for 30% of final energy consumption and 28% of global  
24 energy-related carbon dioxide emissions, with space heating and cooling consuming a  
25 large share of total buildings' energy consumption. Building stock modelling for space  
26 heating and cooling energy prediction provides critical insights on the stock energy  
27 consumption and aid the building retrofit policy-making process with the evaluation of  
28 the energy-saving potential. By combining the physical modelling approach and data-  
29 driven approach, a hybrid approach is applicable for modelling the heating and cooling  
30 energy consumption of the building stock, including both residential buildings and non-  
31 residential buildings. Within this framework, the Urban Modelling Interface (UMI) tool  
32 has been used for physical modelling to generate heating and cooling energy use  
33 intensity. Then, ten different machine learning models, including Gaussian radial basis  
34 function kernel support vector regression, linear kernel support vector regression,  
35 polynomial kernel support vector regression, random forests, extreme gradient boosting,  
36 ordinary least-squares linear regression, ridge regression, least absolute shrinkage, and  
37 selection operator, elastic net and artificial neural network, have been applied to predict  
38 heating and cooling energy use intensity (EUI). The approach has been demonstrated  
39 using a case study in Chongqing, China. The results show that machine learning models

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40 can achieve accurate building heating and cooling EUI prediction, with the polynomial  
41 kernel support vector regression showing the best accuracy at the level of a single  
42 building, and the Gaussian radial basis function kernel support vector regression  
43 performing the best at the stock level. Machine learning models generated by proposed  
44 hybrid approach not only provide quickly prediction of building space heating and  
45 cooling energy consumption at the stock level, but also support building retrofit  
46 decision makings by evaluate energy saving potential of various retrofit options.

47 **Keywords:** Building energy consumption; Heating and cooling; Building Stock  
48 modelling; Hybrid approach; Machine learning

## 49 **1. Introduction**

50 Buildings are responsible for 30% of final energy consumption and 28% of global  
51 energy-related carbon dioxide emissions in 2018 according to the International Energy  
52 Agency [1]. Building energy conservation and carbon emission reduction are actively  
53 promoted by governmental authorities by leveraging on legislation and policies, such  
54 as the Energy Performance of Buildings Directive and the Energy Efficiency Directive  
55 in the EU [2] and the 13th Five Year Plan in China [3].

56 Space heating and cooling through mechanical systems are the primary active methods  
57 to adjust the building indoor thermal conditions but at the expense of a significant  
58 amount of energy. As examples, in residential buildings the space heating and cooling  
59 account for 58% and 41% of urban and rural household energy consumption in China

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60 [4], 48% of home energy consumption in the United States [5], 70% of domestic energy  
61 consumption in the United Kingdom [6] and 65% of the household energy consumption  
62 in the European Union [7]. In non- residential buildings, the space heating and cooling  
63 account for 34% of commercial building energy consumption in the United States [8],  
64 50%-60% of public building energy consumption in China [9], and 45% of non-  
65 domestic premises energy consumption across England and Wales [10]. The high  
66 energy demand for space heating and cooling thus entails massive building energy  
67 conservation and carbon emissions reduction potential if tailored building retrofit  
68 measures are undertaken.

69 To understand the building stock energy consumption and study various building  
70 retrofit measures, building stock energy modelling - a successor of building energy  
71 modelling – is utilized to expand the study area to a larger scale and offers architects,  
72 urban planners, and policymakers a valid decision support tool [11]. Modelling the  
73 space heating and cooling energy consumption boosts policy-making process by  
74 providing critical insights on the building stock built environment control-related  
75 energy consumption; further, it proves particularly useful to areas in which building  
76 energy consumption statistics is lacking, or detailed building end-use split for space  
77 heating and cooling is not available. Moreover, the space heating and cooling energy  
78 consumption model is also capable of evaluating the energy conservation potential of  
79 various building retrofit measures at the stock level and help with the selection of the  
80 best performing measures.

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81 This study deployed a hybrid approach to generate data-driven energy prediction model  
82 for large-scale building stock covering both residential building and non-residential  
83 building without existing building energy consumption data. The structure of the paper  
84 is as following: Section 2 includes the related literatures as well as the aims and  
85 objectives of this study. Section 3 presents the methodology applied in this study, which  
86 use hybrid approach to predict building space heating and cooling energy consumption.  
87 Follows by Section 4 demonstrates the proposed hybrid approach using a case study in  
88 Chongqing, China. The discussions and conclusions of the study are covered in Section  
89 5 and Section 6 respectively.

## 90 **2. Literature review**

### 91 *2.1 Data-driven building energy consumption prediction*

92 The data-driven building energy consumption prediction has been gaining raising  
93 research interest in recent years [12]: it has been widely used to predict building energy  
94 consumption of buildings with different functions, such as residential [13-22], office  
95 [23-29], institutional [30, 31], educational [32, 33] and commercial [34]. However, the  
96 application of the data-driven approach in large scale building stock energy  
97 consumption prediction is rather limited [34-36], this might because the majority of  
98 existing research about data-driven building energy consumption prediction is focused  
99 on residential or non-residential buildings only [12], although building stock usually  
100 consists of a mix of both types of building. Build up a data-driven energy consumption

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101 prediction framework able to handle buildings of different functions is essential for  
102 extending the application of data-driven approach in large scale building stock.

103 To the best of our knowledge, there are only a few data-driven building energy  
104 consumption prediction studies considering both residential and non-residential  
105 buildings, such as that of *Georgescu, et al. [37]* who studied offices, laboratories,  
106 gymnasiums, dormitories, and restaurants. Instead of creating one model able to predict  
107 both the residential and non-residential building's energy demand, they generated an  
108 individual support vector machine model for building energy consumption data from  
109 every building utility meters. *Kontokosta and Tull [38]* applied linear regression,  
110 random forest, and support vector regression algorithms to predict the energy use of 1.1  
111 million buildings in New York City of various functions, the building energy usage data  
112 used to train the model came from Local Law 84 energy disclosure data. *Hawkins, et*  
113 *al. [39]* used the artificial neural network to estimate the energy use in UK university  
114 campus buildings, such as dormitories, laboratories, and offices, by using Display  
115 Energy Certificate (DEC) to develop artificial neural network energy prediction model.  
116 *Robinson, et al. [40]* developed 11 different machine learning models using the  
117 Commercial Buildings Energy Consumption Survey (CBECS) data to estimate  
118 commercial building energy consumption. The commercial buildings have been studied  
119 including both commercial buildings for a residential purpose like lodging building and  
120 commercial buildings for non-residential purpose like the office building. Similarly,  
121 *Cheng [41]* also based on the CBECS data to build 10 machine learning models for



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122 commercial building energy prediction, benchmarking data of New York City and  
123 Chicago has been used for model validation. *Abbasabadi, et al. [42]* demonstrated an  
124 integrated data-driven framework for urban energy use modelling taking Chicago as a  
125 case study. They tested multiple linear regression, nonlinear regression, classification  
126 and regression trees, random decision forest, k-nearest neighbours and artificial neural  
127 intelligence for operational energy use prediction considering both residential and non-  
128 residential buildings. The building energy data used is obtained by merging the Chicago  
129 energy benchmark and Chicago energy usage datasets. *Pan and Zhang [43]* employed  
130 categorical boosting model, random forest and gradient boosting decision tree in  
131 estimate energy consumption of non-residential and multifamily building, Seattle's  
132 building energy performance data collected by Seattle's Energy Benchmarking Program  
133 is used as main dataset. However, the rich building energy consumption datasets, like  
134 Local Law 84 energy disclosure data, DEC data, CBECS data, Chicago energy  
135 benchmark dataset and Seattle's building energy performance data, are currently  
136 available only for a limited number of cities and countries. The lack of building energy  
137 consumption datasets [44], needed as a training set, impede the use of a data-driven  
138 approach in the large scale building stock [45].

### 139 *2.2 Hybrid approach in building stock energy modelling*

140 *Top-down* and *bottom-up* methods are generally used to develop building stock models  
141 [46-48]. *Top-down* methods have embedded the main limitation of lack of technical  
142 detail specifications and are unable to determine the energy consumption of each end-

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143 uses [46-48], while bottom-up methods overcome this shortcoming and are used to  
144 investigate the building energy consumption for heating and cooling in this study. Two  
145 main approaches for bottom-up building stock energy modelling are typically employed  
146 [46, 47, 49]: the physical modelling and the data-driven approach. Physical modelling  
147 relies on thermodynamic laws for detailed energy modelling, its large data and  
148 computational demands stopped it to apply precisely in every building at the stock level  
149 [40]. The data-driven approach “learns” from historical or available datasets for  
150 prediction [12], a large amount of data is essential for model development [50].

151 The hybrid approach combines physical modelling and data-driven approaches by using  
152 the output of physical modelling as an input to generate data-driven models [40, 50]. It  
153 has the potential to provide a solution for building energy consumption datasets lacking  
154 by using physical modelling to generate datasets. Therefore, a hybrid approach has been  
155 identified as a more promising method for urban energy modelling [42]. *Valovcin, et*  
156 *al. [51]* built multiple linear regressions to adjust energy simulation results to match  
157 the measured energy data in U.S. homes as a part of statistical post-processing  
158 techniques. Similarly, *Brøgger, et al. [52], [53]* adopted a hybrid approach by using  
159 multiple linear regression to calibrate a physical model of the Danish residential  
160 building stock. *Li and Yao [54]* compared the performance of linear regression, artificial  
161 neural network and support vector regression in predicting the residential annual space  
162 heating and cooling loads. The annual residential heating and cooling load intensity  
163 database utilized in machine learning models’ training and validation process is

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164 generated by EnergyPlus simulation of a typical residential household archetype. *Ciulla*  
165 *and D'Amico [55]* undertook a parametric simulation of a detailed TRNSYS model and  
166 generated a building energy database representative of non-residential Italian building  
167 stocks. Based on the database, multiple linear regression models are develop to predict  
168 building heating, cooling and comprehensive energy demand. *Luo, et al. [56]* proposes  
169 a multi-objective prediction framework for building heating, cooling, lighting loads and  
170 BIPV electrical power production. By using building operating and energy data  
171 generated by TRNSYS simulation of a general office building, artificial neural network,  
172 support vector regression and long-short-term-memory neural network based predictive  
173 models are trained and tested. Although adapted a hybrid approach, the aforementioned  
174 five studies focus on the residential building or non-residential building only. *Goel, et*  
175 *al. [57]* build random forest regression models based on building stock simulations for  
176 buildings energy efficiency prediction in developing the Asset Score Preview tool, a  
177 rating system tool. In their research, 22 building types embedding both commercial  
178 buildings and mid- to high-rise residential buildings were studied with one regression  
179 model generated per every building type. There is a lack of study using hybrid approach  
180 for energy modelling of both residential building and non-residential building to enable  
181 large-scale building stock energy prediction.

### 182 *2.3 Aims and objectives*

183 To extend the application of data-driven model to large-scale building stock and to  
184 alleviate the challenges of commonly unavailable building energy consumption data to

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185 support model generation, a hybrid approach has been employed to develop a data-  
186 driven energy prediction model covering both residential and non-residential buildings.  
187 A case study in Chongqing city (China) is used to demonstrate the hybrid energy  
188 prediction approach, the prediction accuracy of ten different machine learning models is  
189 also compared based on the case study.

### 190 **3. Methodology**

191 The proposal of a new hybrid approach for building energy stock modelling consists of  
192 5 steps, including the heating and cooling energy consumption estimation, machine  
193 learning models, model generation process, model performance evaluation as well as  
194 the application of selected machine learning model (see Figure 1).

195 *Step 1:* Based on building information collected through a field survey and related  
196 building characteristics settings, Urban Modeling Interface (UMI) was used to simulate  
197 the space heating and cooling energy consumption of all single-use buildings within the  
198 study stock.

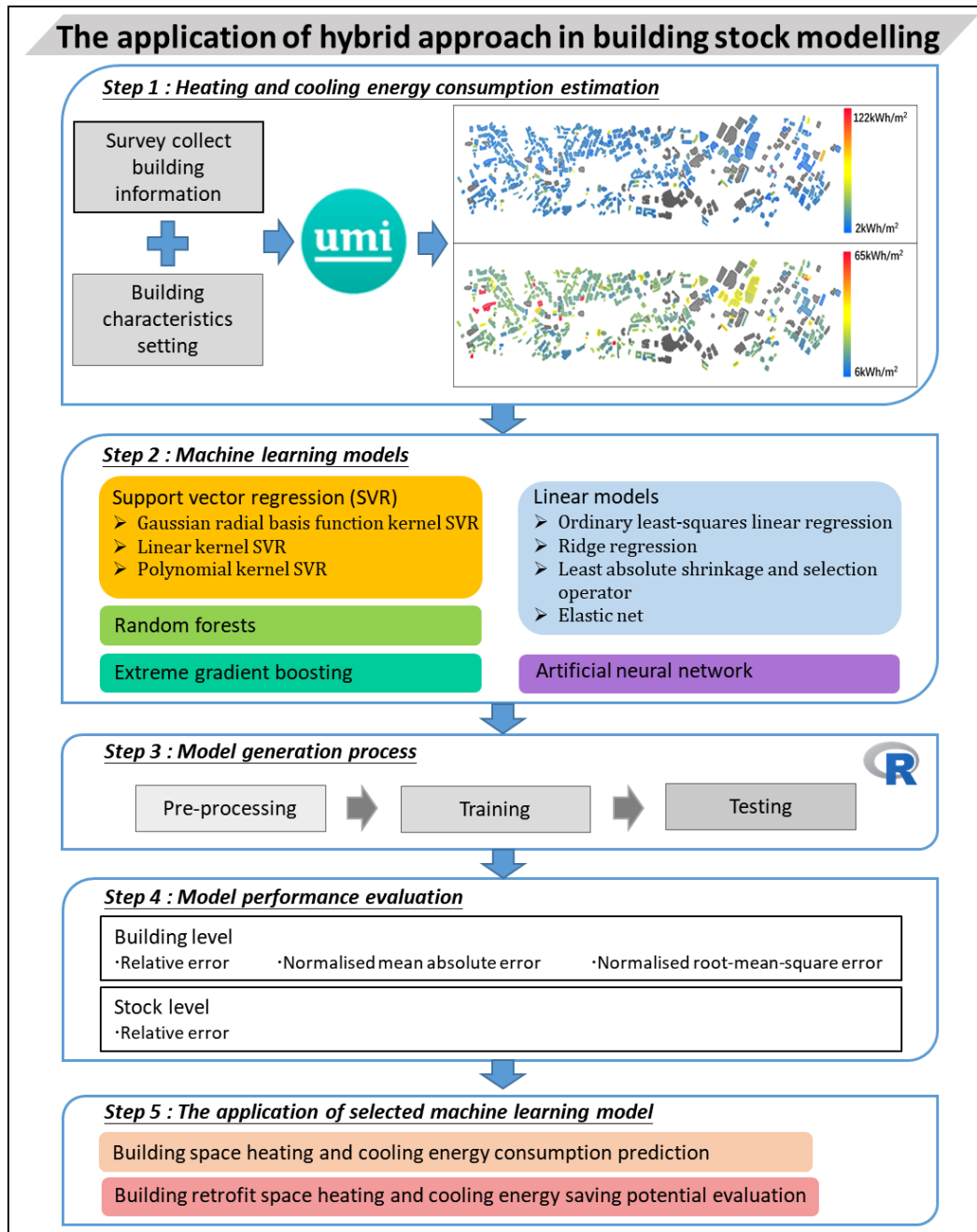
199 *Step 2:* Suitable machine learning models for predicting building space heating and  
200 cooling energy use intensity (EUI) at the individual building level have been  
201 investigated.

202 *Step 3:* Generation of the machine learning models through pre-process of the raw  
203 dataset; train with the training and validation set, and test models by apply them to  
204 predict the EUIs of the testing set buildings.

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205 *Step 4:* Evaluate the prediction accuracy of the machine learning models at both  
206 individual building and stock levels to compare the machine models' performance when  
207 considering both residential and non-residential buildings.

208 *Step 5:* Based on the further analysis scope, prioritize building level accuracy or stock  
209 level accuracy to select the best performed model. The selected machine learning model  
210 can be applied to building space heating and cooling energy consumption prediction,  
211 as well as building retrofit space heating and cooling energy saving potential evaluation.



212

213 Figure 1: Framework of the research

214 The detail implication of those five steps is described in the following sections 3.1 to  
 215 3.5.

216 *3.1. Heating and cooling energy consumption estimation*

217 As stated above, the rich building energy consumption datasets are not commonly  
 218 available, so the building energy consumption information needed for data-driven

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219 model development is estimated by using physical models. In this study, the energy  
220 consumption of every studied building is simulated individually by using Urban  
221 Modeling Interface (UMI) [58], a modelling software package that utilizes EnergyPlus  
222 [59] as the simulation core engine. UMI can simulate space heating and cooling energy  
223 use intensity (EUI) for individual buildings at the urban scale in a fast but accurate  
224 manner by using a 'shoeboxer' algorithm [60], which makes it a handy physical  
225 modelling tool to handle a relatively small scale buildings stock. UMI needs 3D  
226 building model of the stock, together with all detailed building characteristics required  
227 by EnergyPlus, such as the building envelope thermal physical characteristics and  
228 HVAC system, at individual building level to simulate building heating and cooling  
229 energy consumption. As detailed building characteristics are essential for UMI  
230 simulation, the UMI simulation setting and running process are both labour intensive  
231 and time-consuming [61], which does limit its applicability to the large scale building  
232 stock.

233 The heating and cooling energy consumption results from UMI simulation is combined  
234 with the building detailed characteristics to create the machine learning database. The  
235 database is divided into two subsets and utilised in two ways: 1) as training and  
236 validation set to train machine learning models; 2) as testing set to test the performance  
237 of machine learning models and compare their accuracy with UMI simulation.

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238 3.2. *Machine learning models*

239 Five classes of machine learning technique are investigated in this study to predicting  
240 space heating and cooling energy consumption, including support vector regression,  
241 random forest, extreme gradient boosting, linear model and artificial neural network.  
242 Ten different machine learning models are built based on the machine learning database  
243 generated in the previous step.

244 3.2.1. Support vector machine

245 Commonly recognized as the best supervised learning algorithms in solving regression,  
246 problems [62], SVMs are increasingly used in building energy analysis [63].  
247 Introduced by *Cortes and Vapnik* [64] in 1995, the support vector machine (SVM) was  
248 initially developed in the context of classification. Based on structural risk  
249 minimization inductive principle, SVM aims at minimizing the generalization error  
250 through reducing a summation of empirical risk and a Vapnik Chervonenkis (VC)  
251 dimension term, which generally leads to higher generalization performance in solving  
252 nonlinear problems [62]. Support vector regression (SVR), as an extension of the  
253 support vector classification (SVC), provides a quantitative response to the input  
254 predictor variables [65]. It seeks coefficients to minimise the effect of outliers on the  
255 regression equations; however, only residuals larger in absolute value than some  
256 positive constant( $\epsilon$ ) are considered in the loss function [65, 66].  $\epsilon$ -insensitive loss  
257 functions (equation 1) were used to construct the SVR model and ensure robust and



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258 sparse estimation. Only when the discrepancy between the SVR model predicted  
 259 building EUI and simulated building EUI is higher than  $\varepsilon$ , the absolute difference will  
 260 contribute to the loss.

$$261 \quad L(y - f(x)) = \begin{cases} 0, & \text{if } |y - f(x)| \leq \varepsilon; \\ |y - f(x)| - \varepsilon, & \text{otherwise.} \end{cases} \quad (1)$$

262 In the case of linear functions  $f(x) = \langle w, x \rangle + b$  with  $w \in X, b \in P(\langle \cdot; \cdot \rangle)$  denotes the  
 263 dot product in  $X$ , given training data  $\{(x_1, y_1), \dots, (x_n, y_n)\} \subset X \times P$ . The goal of SVR  
 264 is to find a function  $f(x)$  that has at most  $\varepsilon$  deviation from the obtained targets for all  
 265 the training data, and at the same time is as flat as possible. Slack variables  $\xi_i$  and  $\xi_i^*$   
 266 are introduced to guard against outliers and to adopt the soft-margin approach, in case  
 267 the convex optimization problem is not always feasible. The optimization problem is  
 268 presented in equation 2 [67].

$$269 \quad \text{minimize } \frac{1}{2} \|w\|^2 + C \sum_{i=1}^n (\xi_i + \xi_i^*) \quad (2)$$

$$270 \quad \text{subject to } \begin{cases} y_i - \langle w, x \rangle - b \leq \varepsilon + \xi_i \\ \langle w, x \rangle + b - y_i \leq \varepsilon + \xi_i^* \\ \xi_i, \xi_i^* \geq 0 \end{cases}$$

271  $C$  is a positive constant that measures the trade-off between the flatness of function  
 272  $f(x)$  and the amount up to which deviations larger than  $\varepsilon$  are tolerated.

273 The abovementioned optimization problem can be solved by constructing a Lagrange  
 274 function, the function  $f(x)$  can be derived as equation 3 [67],

$$275 \quad f(x) = \sum_{i=1}^n (\alpha_i - \alpha_i^*) \langle x_i, x \rangle + b \quad (3)$$

276 Where,  $\alpha, \alpha^*$  are Lagrange multipliers of non-negative real numbers.

---

277 In the case of nonlinear functions, as the relationship between the building  
278 heating/cooling EUI and the selected predictor variables, the predictor variables need  
279 to be pre-processed and map from input space into feature space. The function  $f(x)$  is  
280 written as equation 4 [67]:

$$281 \quad f(x) = \sum_{i=1}^n (\alpha_i - \alpha_i^*) k(x_i, x) + b \quad (4)$$

282 Three different kernel functions  $k(x_i, x)$  is used to generate three different SVR  
283 models, including Linear kernel (equation 5) for Linear kernel SVR, Polynomial kernel  
284 (equation 6) for polynomial kernel SVR and Gaussian radial basis function kernel  
285 (equation 7) for Gaussian radial basis function kernel SVR [68].

$$286 \quad k(x_i, x) = x_i \cdot x \quad (5)$$

$$287 \quad k(x_i, x) = (scale \cdot x_i \cdot x + offset)^{degree} \quad (6)$$

$$288 \quad k(x_i, x) = \exp(-\sigma \|x_i - x\|^2) \quad (7)$$

### 289 3.2.2. Random forests

290 Random forests is an ensemble learning approach to supervised learning [69], it can be  
291 used for both classification and regression. Thanks to the advantage of fast training  
292 speed [70], random forests becomes one of the most widely used machine learning  
293 techniques [71]. The random forest for regression is formed by growing trees  
294 depending on a random vector such that the tree predictor takes on numerical values by  
295 average the prediction of every tree [72]. The algorithm for random forest regression is

---

296 as following [73],

1. For  $b=1$  to  $B$ :
    - (a) Draw a bootstrap sample  $\mathbf{Z}^*$  of size  $N$  from the training data.
    - (b) Grow a random forest tree  $T_b$  to the bootstrapped data, by recursively repeating the following steps for each terminal node of the tree, until the minimum node size  $S_{min}$  is reached.
      - i. Select  $m$  variables at random from the  $p$  variables.
      - ii. Pick the best variables/split-point among the  $m$  variables.
      - iii. Split the node into two daughter nodes.
  2. Output the ensemble of trees  $\{T_b\}_1^B$ .
- To make a prediction at a new point  $x$ :
- $$\hat{f}_{rf}^B(x) = \frac{\sum_{b=1}^B T_b(x)}{B}$$

297 Where  $B$  is the number of trees.

### 298 3.2.3. Extreme gradient boosting

299 Extreme gradient boosting, commonly referred to as XGBoost, is a scalable machine  
300 learning system for tree boosting [74]. As one of the boosting models, extreme gradient  
301 boosting grow trees sequentially. Starting from building the first tree based on the  
302 training data, then a second tree is created to correct the errors from the first tree. More  
303 trees are added until the model can predict the training set perfectly or the number of  
304 trees reaches the upper limit. Extreme gradient boosting is ‘*an optimized distributed  
305 gradient boosting library designed to be highly efficient, flexible and portable*’ [75],  
306 and can be used to handle regression, classification, and ranking problems [76].  
307 Extreme gradient boosting achieved state-of-the-art results in machine learning  
308 competitions [77], and was proved to outperform other ten machine learning models at  
309 commercial building energy consumption prediction [40].

---

310 Based on data set with n examples and m features  $D = \{(X_i, y_i)\}$  ( $|D|=n$ ,  $X_i \in \mathbb{P}^m$ ,  $y_i \in$   
311  $\mathbb{P}$ ), extreme gradient boosting predicts output by using K additive functions, as shown  
312 in equation 8 [74].

313 
$$\hat{y}_i = \phi(X_i) = \sum_{k=1}^K f_k(X_i), f_k \in \Phi, (8)$$

314 Each  $f_k$  corresponds to an independent tree structure,  $\Phi$  is the space of regression trees.

315 The regularized objective function presented in equation 9 is optimized in extreme  
316 gradient boosting to learn the set of functions [74],

317 
$$\Lambda(\phi) = \sum_i l(\hat{y}_i, y_i) + \sum_k \Omega(f_k) (9)$$

318 where  $\Omega(f) = \gamma T + \frac{1}{2} \lambda \|\omega\|^2$

319  $l$  is a differentiable convex loss function that measures the difference between the  
320 prediction  $\hat{y}_i$  and the target  $y_i$ , while  $\Omega$  is model complexity penalization term. T is  
321 the number of leaves in the tree,  $\omega$  is the leaf weights.

322 The more detailed mathematical implication of extreme gradient boosting can be found  
323 in *Chen and Guestrin [74]* and *Chen and He [78]*.

#### 324 3.2.4. Linear models

325 For linear models, the relationship between the predicted variable and predictors can  
326 directly or indirectly be written according to the following equation 10 [66]. They are  
327 selected for their simplicity, intuitive and ability to provide a baseline performance  
328 measure [55, 79].

---

329  $y_i = b_0 + b_1x_{i1} + b_2x_{i2} + \dots + b_jx_{ij} + e_i$  (10)

330 where  $y_i$  is the numeric response for the  $i^{\text{th}}$  sample;  $b_0$  is the estimated intercept;  $b_j$   
331 is the estimated coefficient for the  $j^{\text{th}}$  predictor variable;  $x_{ij}$  is the value of the  $j^{\text{th}}$   
332 predictor variable for the  $i^{\text{th}}$  sample; and  $e_i$  is the random error of the linear regression  
333 model.

334 For ordinary least-squares linear regression, the aim is to minimise the sum-of-squared  
335 errors ( $SSE_{ols}$ , shown in equation 11) between the observed value and model-predicted  
336 value [66].

337  $SSE_{ols} = \sum_{i=1}^n (y_i - \hat{y}_i)^2$  (11)

338 The  $y_i$  and  $\hat{y}_i$  are the observed value and model-predicted value of the  $i^{\text{th}}$  sample.

339 In ridge regression, to pursue smaller mean squared error, a biased model is generated  
340 by adding a penalty to the  $SSE_{rr}$  [80] as shown in equation 12:

341  $SSE_{rr} = \sum_{i=1}^n (y_i - \hat{y}_i)^2 + \lambda \sum_{i=1}^n b_j^2$  (12)

342 For the least absolute shrinkage and selection operator model [81], as the  
343  $SSE_{lasso}$  (shown in equation 13) is penalized by the absolute values, the penalty value  $\lambda$   
344 can reach 0, so the lasso model also conducts feature selection.

345  $SSE_{lasso} = \sum_{i=1}^n (y_i - \hat{y}_i)^2 + \lambda \sum_{i=1}^n |b_j|$  (13)

346 The elastic net model combined two types of penalties to enable effective regularization  
347 via the ridge-type penalty with the feature selection quality of the lasso penalty [66].

---

348 The  $SSE_{en}$  is presented in the following equation 14 [82]:

349 
$$SSE_{en} = \sum_{i=1}^n (y_i - \hat{y}_i)^2 + \lambda_1 \sum_{i=1}^n b_j^2 + \lambda_2 \sum_{i=1}^n |b_j| \quad (14)$$

350 3.2.5. Artificial neural network

351 With the benefits of high speed, high accuracy, and capability of handling nonlinear  
352 relationships between variables [83], artificial neural network is the most widely  
353 applied artificial intelligence models in the building energy prediction [63]. It mimics  
354 how the brain responds to stimuli from sensory inputs to interpret the relationship  
355 between input and output signals [84]. The neuron is the information-processing unit  
356 of the neural network, the mathematical description of a neuron is shown in equation  
357 15 [85]:

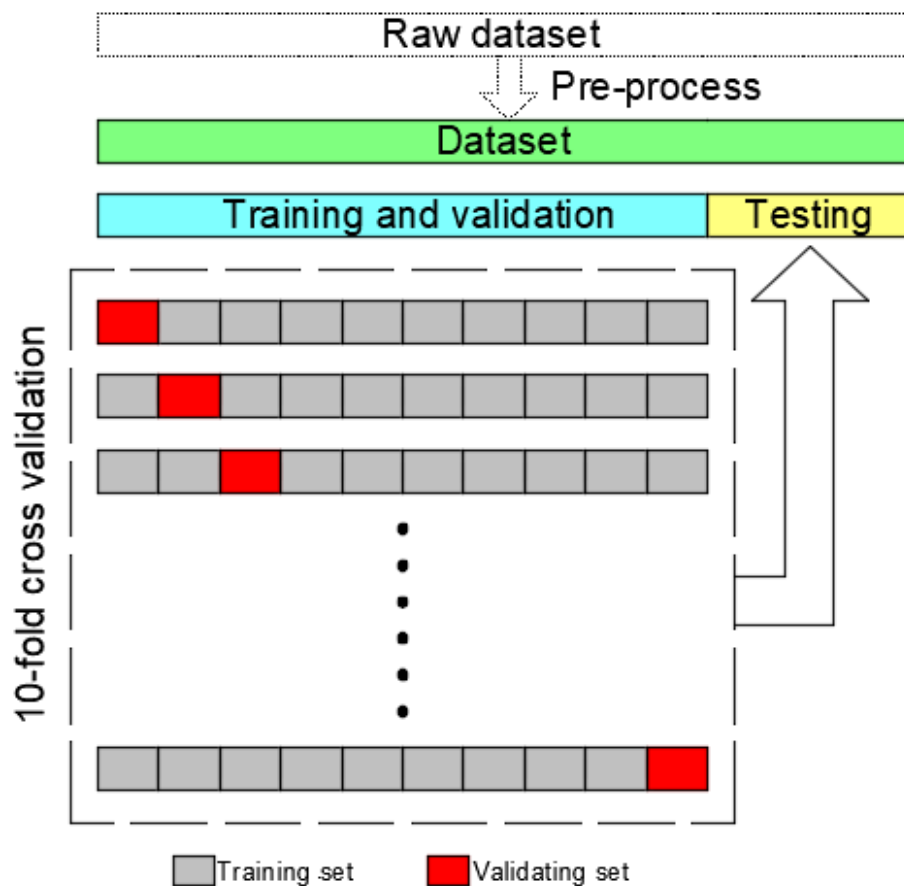
358 
$$y_k = \varphi\left(\sum_{j=1}^m w_{kj}x_j + b_k\right) \quad (15)$$

359 where,  $x_1, x_2, \dots, x_m$  are the input signals;  $w_{k1}, w_{k2}, \dots, w_{km}$  are the synaptic weights of  
360 neuron k;  $b_k$  is the bias;  $\varphi(\cdot)$  is the activation function; and  $y_k$  is the output signal  
361 of the neuron.

362 3.3. Model generation process

363 Machine learning models are generated via the process presented in Figure 2. All  
364 predictor variables are centred and scaled as pre-process before model training to avoid  
365 domination from attributes in higher numeric range and improve numerical stability  
366 [24, 66]. After the pre-processing, all the available data are randomly divided into two

367 parts, with 25% as the testing set and 75% as the training and validation set (the  
368 residential building and non-residential building ratio remain equal in both datasets), as  
369 the 25/75 split is commonly used in machine learning related studies [54, 86-88]. Then,  
370 all data in the training and validation set is further partitioned into ten equally sized  
371 subsets and undergo the 10-fold cross-validation process. By repeating the process of  
372 using nine subsets as a training set and one subset as the validation set for 10 times, the  
373 tuning parameter(s) of the machine learning models are determined as the one(s) with  
374 the best average performance for the 10 different validation sets. Then, the final model  
375 is generated using all data from the training and validation set and the untouched testing  
376 set is used to evaluate the prediction accuracy of the models.



377  
378

Figure 2: Machine learning model generation process

---

379 *3.4. Model performance evaluation*

380 All buildings in the testing set are used to evaluate the performance of the machine  
381 learning model in predicting EUI as an unseen dataset. The accuracy of the machine  
382 learning-based model on individual building heating and cooling EUI prediction is  
383 investigated using relative error as per equation 16:

384 
$$\delta_k = \frac{\widehat{y}_k - y_k}{y_k} \times 100\% \quad (16)$$

385 Here  $\delta_k$  is the relative error of using ‘machine learning’-based model to predict  
386 heating/cooling EUI of building k against UMI simulations;

387  $y_k$  is the building heating/cooling EUI for building k from the UMI simulation  
388 generated database;

389  $\widehat{y}_k$  is the predicted building heating/cooling EUI for building k from the machine  
390 learning model;

391 The average prediction performance of different machine learning models at the  
392 individual building level is indicted by normalised mean absolute error (NMAE) and  
393 normalised root-mean-square error (NRMSE) for heating and cooling EUI. Their  
394 calculation formulas are presented in equations 17-18.

395 
$$\text{NMAE} = \frac{\frac{\sum_{k=1}^n |y_k - \widehat{y}_k|}{n}}{\frac{\sum_{k=1}^n y_k}{n}} \quad (17)$$

396 
$$\text{NRMSE} = \frac{\sqrt{\frac{\sum_{k=1}^n (y_k - \widehat{y}_k)^2}{n}}}{\frac{\sum_{k=1}^n y_k}{n}} \quad (18)$$



---

397 Where n is the total number of buildings in the testing set.

398 To evaluate the accuracy of machine learning models on whole stock, residential stock  
399 and non-residential stock level energy prediction, the relative error of gross heating and  
400 cooling energy consumption of all buildings in the testing set, all residential buildings  
401 in the testing set and all non-residential buildings in the testing set are estimated using  
402 equation 19 respectively:

$$403 \quad \delta_{Stock} = \frac{\sum_{k=1}^m (\widehat{y}_k \times F_k) - \sum_{k=1}^m (y_k \times F_k)}{\sum_{k=1}^m (y_k \times F_k)} \quad (19)$$

404 Where,  $\delta_{Stock}$  is the relative error of using machine learning based models to predict the  
405 gross heating/cooling energy consumption of specific building stock in the testing set;  
406 m is the total number of buildings in the testing set belongs to the specific building  
407 stock;  $F_k$  is the total floor area of the building k.

408 Apart from the prediction accuracy indexes described above, the running time to predict  
409 the heating and cooling EUI of all buildings in the testing set is also tracked and  
410 analysed.

### 411 3.5. *The application of selected machine learning model*

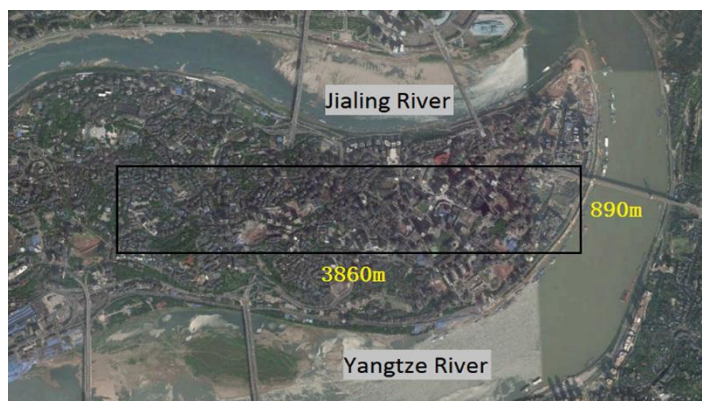
412 By comparing the prediction accuracy indexes of all ten machine learning models, the  
413 best performed model can be selected based on the further analysis scope. If predicting  
414 the space heating and cooling energy consumption precisely in the building level is  
415 more important, then the building level accuracy indexes should be prioritize.  
416 Otherwise, the best performed model should be select based on the stock level accuracy

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417 indexes. The selected machine learning model is applicable to predict building space  
418 heating and cooling energy consumption, evaluate energy saving potential for retrofit  
419 measures as a substitute of building physical simulation.

#### 420 **4. Case study**

421 The case study area is located in Yuzhong District of Chongqing city (China), covering  
422 an area of about 3.4 km<sup>2</sup> (see Figure 3). From July 2015 to September 2015, a field  
423 survey was carried out to collect detailed building information for every building within  
424 the study area; collected information included buildings' geographic location (longitude  
425 and latitude), function, construction age, number of floors, window-to-wall ratio. For  
426 construction age, instead of specific construction completed year, age band was  
427 collected. Including three age bands for residential buildings (pre-2001, 2001-2010 and  
428 post-2010) and four age bands for non-residential buildings (Pre-1990, 1990-2005,  
429 2005-2015 and Post-2015). The construction age are collected for the building  
430 construction information plaque and by asking the owners.



431

432 Figure 3: The case study area (highlighted by a black box) within the Yuzhong district

---

433 The geographic location is used for locating buildings on online maps, then a building  
434 stock 3D model is generated by extrude the footprints by its height. The height of every  
435 building is calculated using the following equation 20, while the window-to-wall ratio  
436 is set according to the filed survey.

437  $D=N \times d$  (20)

438 Where D is the building height; N is the number of floors the building have; d is the  
439 average floor height, according to standards, it was set as three meters for residential  
440 buildings [89], four meters for offices [90], educational buildings [91, 92], hospitals  
441 [93] and hotels [94], five meters for malls [95].

#### 442 4.1. Characteristics of the buildings in the study area

443 In total, there are 573 buildings located within the case study area. One hundred thirty-  
444 one of which are mixed-use multifunction building, while the rest of them are hosting  
445 a single function (including educational buildings, hospital, hotel, mall, office, and  
446 residential buildings). The specific location of each building in the study area is shown  
447 in Figure 4.

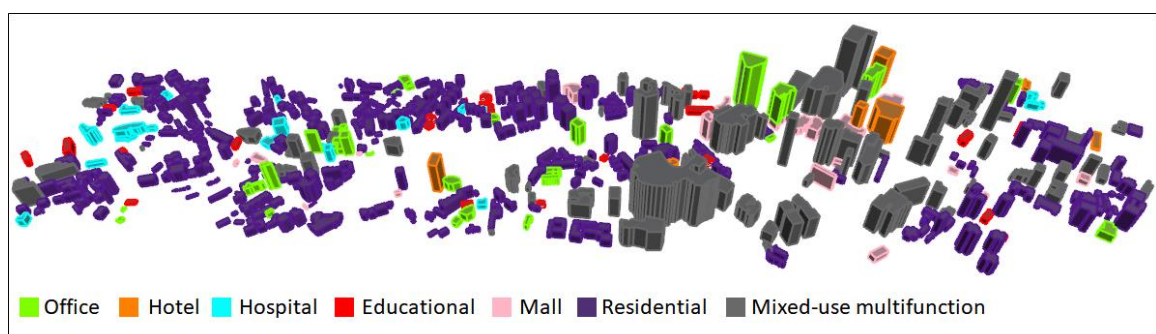
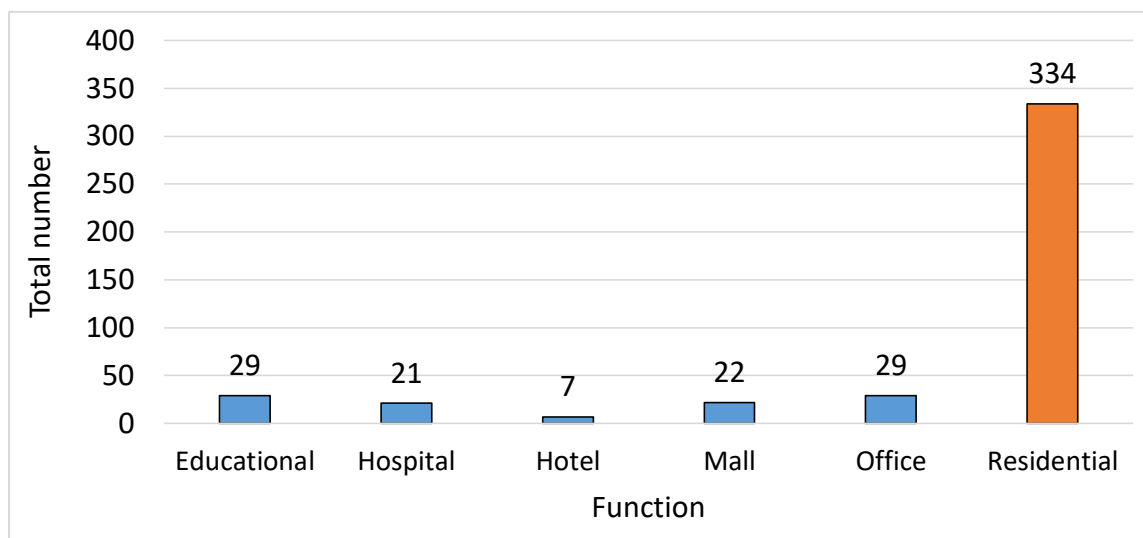


Figure 4: Building location and function

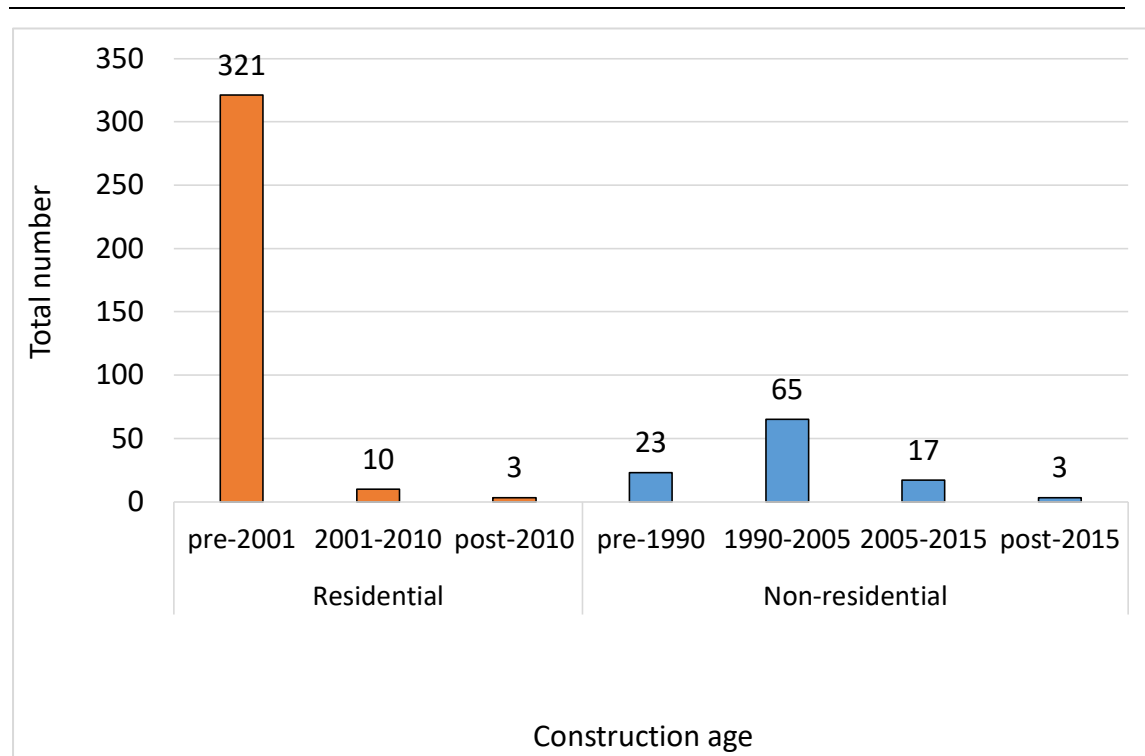
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450 The total number of single functions buildings is presented in Figure 5, including 334  
451 residential buildings and 108 non-residential buildings. The residential building is  
452 dominating the case study area as it accounted for more than three-quarters of all single-  
453 function buildings. The construction age distribution of residential and non-residential  
454 buildings is presented in Figure 6, majority of residential buildings are constructed  
455 before 2001, while more than half of non-residential buildings are constructed during  
456 1990 to 2005.



457

458 Figure 5: The total number of buildings with different functions



459

460 Figure 6: The construction age distribution of residential and non-residential buildings

461 In this study, only the 442 single function buildings are studied, due to the difficulty in  
 462 getting the real floor area function within mixed-use buildings.

463 The building's characteristics, including thermo-physical characteristics of the building  
 464 envelope, HVAC systems, and internal loads, are set according to the Chinese national  
 465 and industrial design standards based on the construction age of the buildings. JGJ 134-  
 466 2001 [96], and JGJ 134-2010 [97] Standards are utilized to describe the building  
 467 characteristics of the residential building of different construction age. GBJ 19-1987  
 468 [98], GB 50189-2005 [99] and GB 50189-2015 [100] Standards are used to describe  
 469 the characteristics of non-residential buildings. The detailed building characteristics  
 470 setting for the residential and non-residential building is set according to *Costanzo, et*  
 471 *al. [101]*, and are shown in Table 1.

472 Table 1: Detailed building characteristics of non-residential and residential building [101]

Building function		Construction age	Building envelope thermal-physical characteristics					HVAC system			Internal gains		
			U-values (W/m <sup>2</sup> K)				Infiltrations (ACH)	Fresh air supply (m <sup>3</sup> /s·p)	Heating/Cooling setpoint (°C)	Heating efficiency/Cooling EER (-)	Occupants density (p/m <sup>2</sup> )	Equipment density (W/m <sup>2</sup> )	Lighting density (W/m <sup>2</sup> )
			Walls	Roof	Slab	Windows (U value/SHGC)							
Non-residential building	Office	Pre-1990	1.95	1.44	3.79	5.74/0.85	0.25	0.005	20/26	0.55/3.8	0.25	20	11
		1990-2005	1.44	0.97	1.88	5.74/0.85	0.25	0.005	20/26	0.55/3.8	0.25	20	11
		2005-2015	0.95	0.78	0.97	2.67/0.43	0.15	0.008	20/26	0.89/4.1	0.25	20	11
		Post-2015	0.5	0.69	0.7	2.50/0.34	0.15	0.008	20/26	0.9/4.8	0.1	15	9
	Hotel	Pre-1990	1.95	1.44	3.79	5.74/0.85	0.25	0.008	20/26	0.55/3.8	0.067	20	11
		1990-2005	1.44	0.97	1.88	5.74/0.85	0.25	0.008	20/26	0.55/3.8	0.067	20	11
		2005-2015	0.95	0.78	0.97	2.67/0.43	0.15	0.008	20/26	0.89/4.1	0.067	20	11
		Post-2015	0.5	0.69	0.7	2.50/0.34	0.15	0.008	20/26	0.9/4.8	0.04	15	7
	Mall	Pre-1990	1.95	1.44	3.79	5.74/0.85	0.25	0.002	20/26	0.55/3.8	0.33	13	12
		1990-2005	1.44	0.97	1.88	5.74/0.85	0.25	0.008	20/26	0.55/3.8	0.33	13	12
		2005-2015	0.95	0.78	0.97	2.67/0.43	0.15	0.005	20/26	0.89/4.1	0.33	13	12
		Post-2015	0.5	0.69	0.7	2.50/0.34	0.15	0.008	20/26	0.9/4.8	0.125	13	10
	Hospital	Pre-1990	1.95	1.44	3.79	5.74/0.85	0.25	0.004	20/26	0.55/3.8	0.125	20	15
		1990-2005	1.44	0.97	1.88	5.74/0.85	0.25	0.004	20/26	0.55/3.8	0.125	20	15
		2005-2015	0.95	0.78	0.97	2.67/0.43	0.15	0.008	20/26	0.89/4.1	0.125	15	12
		Post-2015	0.5	0.69	0.7	2.50/0.34	0.15	0.008	20/26	0.9/4.8	0.125	15	8

Educational	Pre-1990	1.95	1.44	3.79	5.74/0.85	0.25	0.005	20/26	0.55/3.8	0.25	20	11
	1990-2005	1.44	0.97	1.88	5.74/0.85	0.25	0.005	20/26	0.55/3.8	0.25	20	11
	2005-2015	0.95	0.78	0.97	2.67/0.43	0.15	0.008	20/26	0.89/4.1	0.25	20	11
	Post-2015	0.5	0.69	0.7	2.50/0.34	0.15	0.008	20/26	0.9/4.8	0.17	5	9
Residential building	Pre-2001	1.97	1.62	3.74	5.74/0.85	2	0	18/26	1/2.2	0.03	4.3	6
	2001-2010	1.03	1	1.5	2.80/0.48	1	0	18/26	1.9/2.3	0.03	4.3	6
	Post-2010	0.83	0.8	1.31	2.67/0.34	1	0	18/26	1.9/2.3	0.03	4.3	6

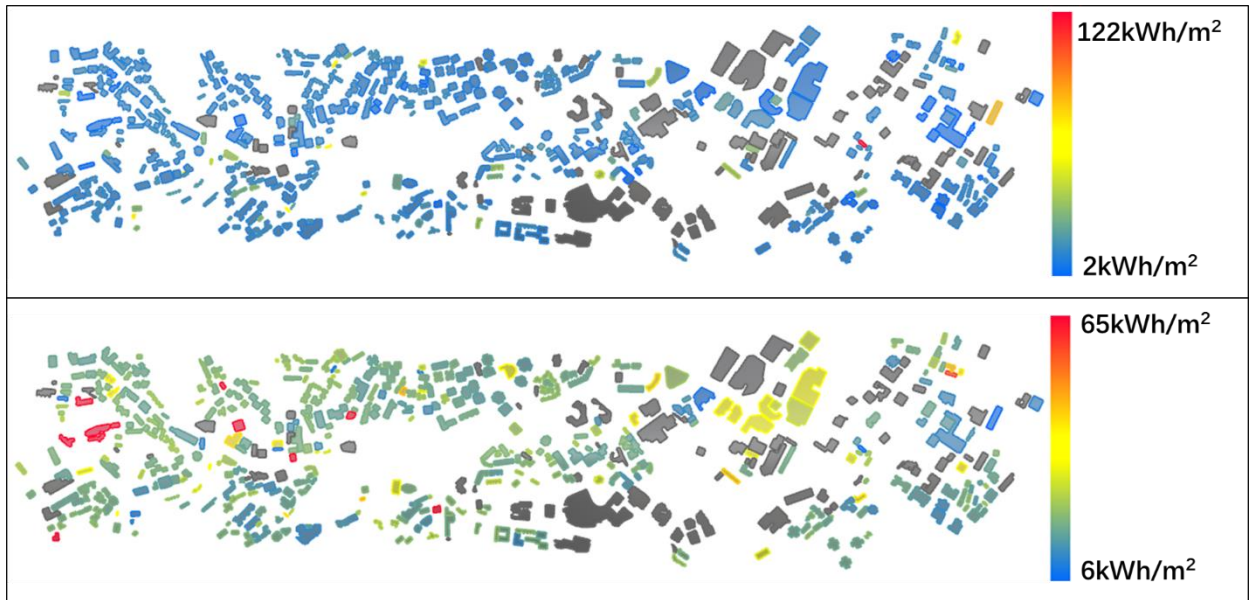
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474 For non-residential buildings, the HVAC system is supposed to be in use for the whole  
475 year, from 7 AM to 7 PM (12h) every weekday for office and educational buildings;  
476 24h every day for hotel and hospital building; 8 AM-10 PM (14h) every day for the  
477 mall. The HVAC system is available for the heating period (from December 1st to  
478 February 28th) and cooling period (from June 15th to August 31st) only for residential  
479 buildings. The daily residential HVAC usage is assumed based on the study of *Hu, et*  
480 *al. [102]*, as an hour in the morning (from 7 AM-8 AM) and five hours when returning  
481 home from work (from 6 PM-11 PM) for heating, as well as 6 PM-8 AM (14 hours)  
482 and 1 PM-2 PM (1 hour) for cooling.

#### 483 4.2. Buildings' energy consumption

484 The results of the UMI simulations are presented in Figure 7, heating and cooling EUIs  
485 are available at the individual building level. As shown in Figure 8, heating EUI varies  
486 from 2 kWh/m<sup>2</sup> to 122 kWh/m<sup>2</sup>, while the cooling EUI varies from 6 kWh/m<sup>2</sup> to 65  
487 kWh/m<sup>2</sup> for all 442 single function buildings studied. The building energy consumption  
488 data is combined with building detailed characteristics to create the database used to  
489 develop machine learning models.

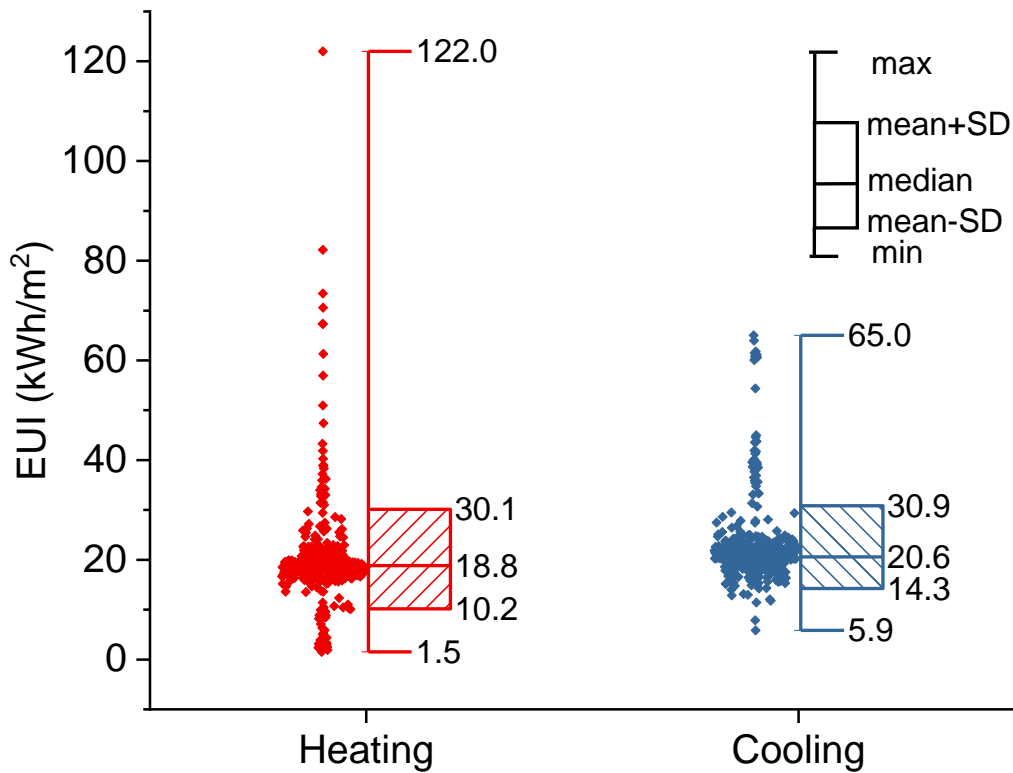




490

491 Figure 7: The heating (top) and cooling (bottom) EUI of buildings in the study area (the  
 492 buildings fill in grey are mixed-use buildings which are not simulated)

493



494

495 Figure 8: Boxplots of heating and cooling EUIs

---

496 4.3. *Predictor variables selection*

497 The building characteristics (listed in Table 2), including building geometry, building  
498 envelope thermal-physical characteristics, building HVAC system and building internal  
499 gains, are considered as main predictor variables as they are the main determinants for  
500 building space heating and cooling energy consumption [103]. Predictor variables of  
501 building geometry, building envelope thermo-physical characteristics, and building  
502 internal gains are considered for both heating and cooling EUI prediction, while the  
503 selection of predictor variables for building HVAC system is different. For heating EUI  
504 prediction, only the fresh air supply, heating temperature setpoint, the heating  
505 efficiency, and heating available proportion are considered, likewise, for cooling EUI  
506 correlation analysis, only the fresh air supply, the cooling COP and cooling available  
507 proportion are considered. The cooling setpoint is excluded from being a predictor  
508 variable because of its constant value of 26 °C for all buildings.

509 Table 2: Predictor variables for heating and cooling EUI prediction [orange shading  
510 marks those used for heating EUI prediction only; blue shading marks those used for  
511 cooling EUI prediction only; unshaded ones are used for both heating and cooling EUI  
512 prediction]

<b>Building characteristics</b>	<b>Predictor variables</b>
Building geometry	Building height [m]
	Compactness ratio [/]
	Window to wall ratio [/]
Building envelope thermal-physical characteristics	Walls U-value [W/m <sup>2</sup> K]
	Roof U-value [W/m <sup>2</sup> K]
	Slab U-value [W/m <sup>2</sup> K]
	Windows U-value [W/m <sup>2</sup> K]
	Windows solar heat gain coefficient (SHGC) [/]
	Air infiltrations [ach]
Building HVAC system	Fresh air supply [m <sup>3</sup> /s·p]
	Heating setpoint [°C]
	Heating efficiency [/]
	HVAC available proportion for heating [/]
	Cooling EER [/]
	HVAC available proportion for cooling [/]
Building internal gains	Occupants density [p/m <sup>2</sup> ]
	equipment density [W/m <sup>2</sup> ]
	Lighting density [W/m <sup>2</sup> ]

513 The compactness ratio (*CR*) is an index of building shape, and is calculated as per  
514 following Equation 21 [61]:

$$515 \quad CR=S/V \quad (21)$$

516 Where *S* is the surface area of the building;

517 *V* is the enclosed volume of the building.

518 The HVAC available proportion (*AP*) for heating and cooling indicated the annual  
519 portion of time when the HVAC system is available for heating and cooling respectively;

520 they are calculated using Equation 22:

$$521 \quad AP=H/8760 \quad (22)$$

522 Where *H* is the total number of hours per annual when heating (or cooling) is available

---

523 from the HVAC system.

524 *4.4. Prediction accuracy analysis*

525 The caret package[104] developed by Max Kuhn for predictive model generating has  
526 been used to perform all the machine learning models under R programming language.

527 Caret was set to automatically generate 5 values for each tuning parameter, the tuning  
528 parameters combination with the best accuracy in the training and validation set is used  
529 in the final model for prediction accuracy analysis. As the 110 buildings in the testing  
530 set are not used for training of the machine learning models, the prediction accuracy in  
531 the testing set can reasonably represent the prediction accuracy of applying those  
532 machine learning models to other single-function buildings in Chongqing.

533 The relative error distribution of applying machine-learning models in heating and  
534 cooling EUI for all buildings in the testing set is shown in Figure 9. The machine  
535 learning models give an accurate prediction about building heating and cooling EUI.

536 The percentage of building within the  $\pm 10\%$  relative error varies between 61.8%  
537 (ordinary least-squares linear regression and least absolute shrinkage and selection  
538 operator) to 85.5% (polynomial kernel support vector regression), and from 81.8%  
539 (linear kernel support vector regression) to 91.8% (Gaussian radial basis function kernel  
540 support vector regression) for the heating and cooling cases, respectively. The  
541 percentage of building within the  $\pm 20\%$  relative error varies between 80.0% (ridge  
542 regression and elastic net) to 90.9% (polynomial kernel support vector regression) and

543 94.5% (linear kernel support vector regression and ordinary least-squares linear  
 544 regression) to 98.2% (artificial neural network) for heating and cooling.

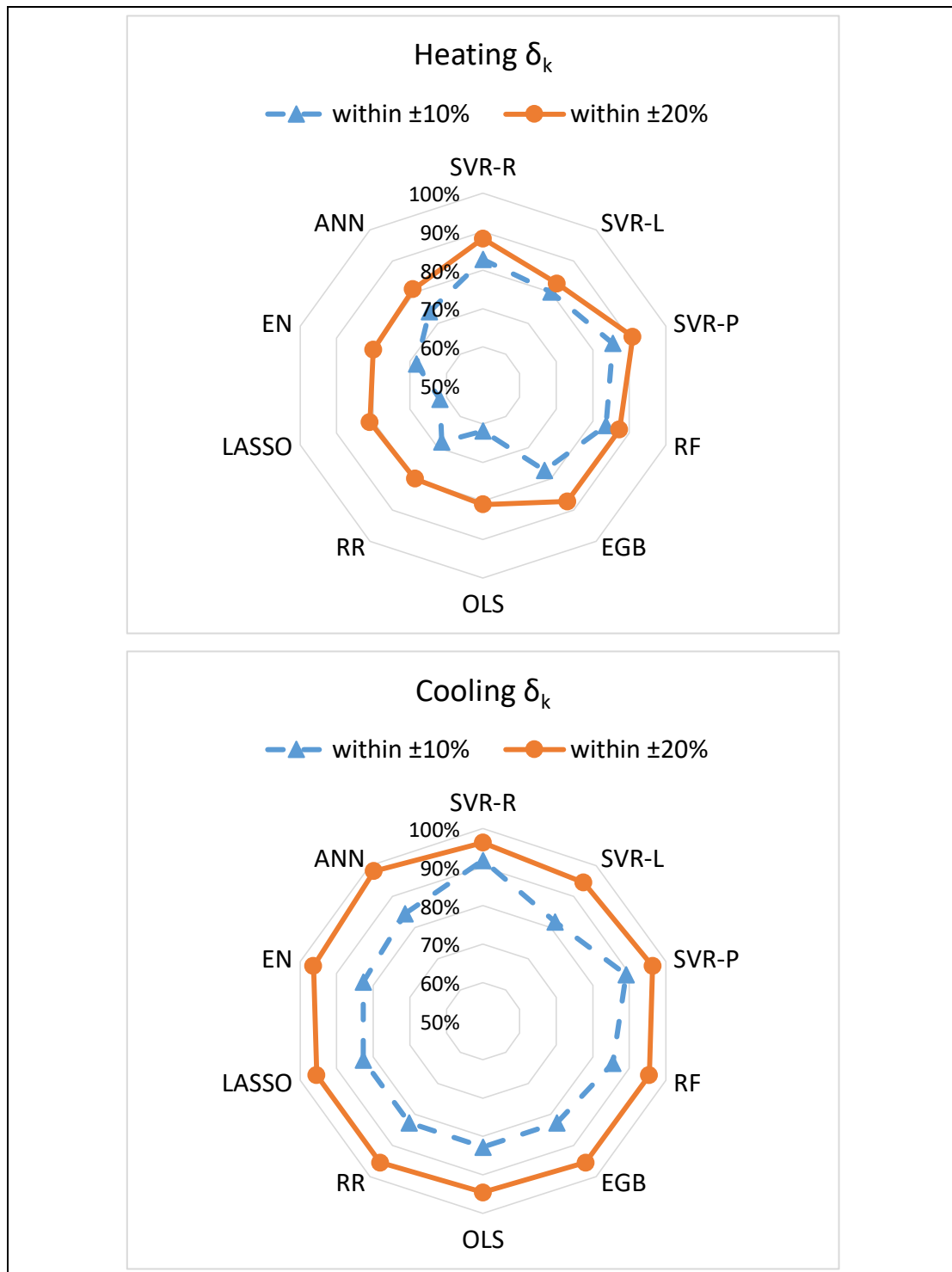


Figure 9: The relative error of the machine learning models in building heating (top) and cooling (bottom) EUI prediction (SVR-R: Gaussian radial basis function kernel support vector regression; SVR-L: linear kernel support vector regression; SVR-P:

polynomial kernel support vector regression; RF: random forests; EGB: extreme gradient boosting; OLS: ordinary least-squares linear regression; RR: ridge regression; LASSO: least absolute shrinkage and selection operator; EN: elastic net; ANN: artificial neural network)

545 The NMAE and NRMSE of applying different machine learning models in the testing  
 546 set are presented in Table 3. In general, the prediction accuracy for cooling EUI is better  
 547 than heating EUI with smaller NMAE and NRMSE. For heating EUI prediction, the  
 548 NMAE varies from 7.3% (polynomial kernel SVR) to 17.2% (both ordinary least-  
 549 squares linear regression and least absolute shrinkage and selection operator model),  
 550 the NRMSE varies from 17.3% (polynomial kernel SVR) to 46.2% (extreme gradient  
 551 boosting). For cooling EUI prediction, the NMAE varies from 4.3% (polynomial kernel  
 552 SVR) to 6.4% (both linear kernel SVR and elastic net), the NRMSE varies from 6.2%  
 553 (polynomial kernel SVR) to 13.4% (extreme gradient boosting). The polynomial kernel  
 554 SVR has the best accuracy in the individual building level, followed by Gaussian radial  
 555 basis function kernel SVR.

556 Table 3: NMAE and NRMSE results of different machine learning models

Machine learning models	Heating EUI		Cooling EUI	
	NMAE	NRMSE	NMAE	NRMSE
Gaussian radial basis function kernel SVR	8.4%	19.3%	4.9%	8.8%
Linear kernel SVR	11.2%	23.9%	6.4%	10.9%
Polynomial kernel SVR	7.3%	17.3%	4.3%	6.2%
Random forests	12.0%	40.1%	5.2%	8.9%
Extreme gradient boosting	13.3%	46.2%	6.0%	13.4%
Ordinary least-squares linear regression	17.2%	35.7%	6.2%	10.3%
Ridge regression	15.8%	32.1%	6.3%	9.7%
Least absolute shrinkage and selection operator	17.2%	35.7%	5.9%	9.3%
Elastic net	15.8%	32.1%	6.4%	10.1%
Artificial neural network	13.8%	29.8%	6.1%	8.9%

---

557 The performance of machine learning models in stock level heating and cooling energy  
558 consumption prediction is presented in Table 4. For the whole stock including both  
559 residential and non-residential building, the relative error for heating and cooling at the  
560 whole stock level are within  $\pm 4\%$ , except for heating prediction of artificial neural  
561 network which has a relative error of  $-9.7\%$ . Heating energy consumption is more likely  
562 to be underestimated, with cooling energy consumption are more likely to be  
563 overestimated. The Gaussian radial basis function kernel SVR performed the best with  
564 a whole stock level relative error of  $-0.2\%$  and  $-0.3\%$  respectively for heating and  
565 cooling prediction. Followed by polynomial kernel SVR, with a whole stock level  
566 relative error of  $0.3\%$  and  $0.5\%$  respectively for heating and cooling prediction. It is  
567 interesting to note that although the artificial neural network has a high relative error  
568 for heating prediction, it performs very well in cooling prediction with a relative error  
569 of only  $0.2\%$ . For the residential stock, random forests and extreme gradient boosting  
570 performed the best in heating and cooling prediction respectively, with relative error of  
571  $0.6\%$  and  $0.1\%$ . For the non-residential stock, linear kernel SVR and polynomial kernel  
572 SVR performed the best in heating and cooling prediction respectively, with relative  
573 error of  $2.0\%$  and  $-1.0\%$ . Meanwhile, all machine learning models studied overestimate  
574 space cooling energy consumption for residential stock while underestimate space  
575 cooling energy consumption for non-residential stock

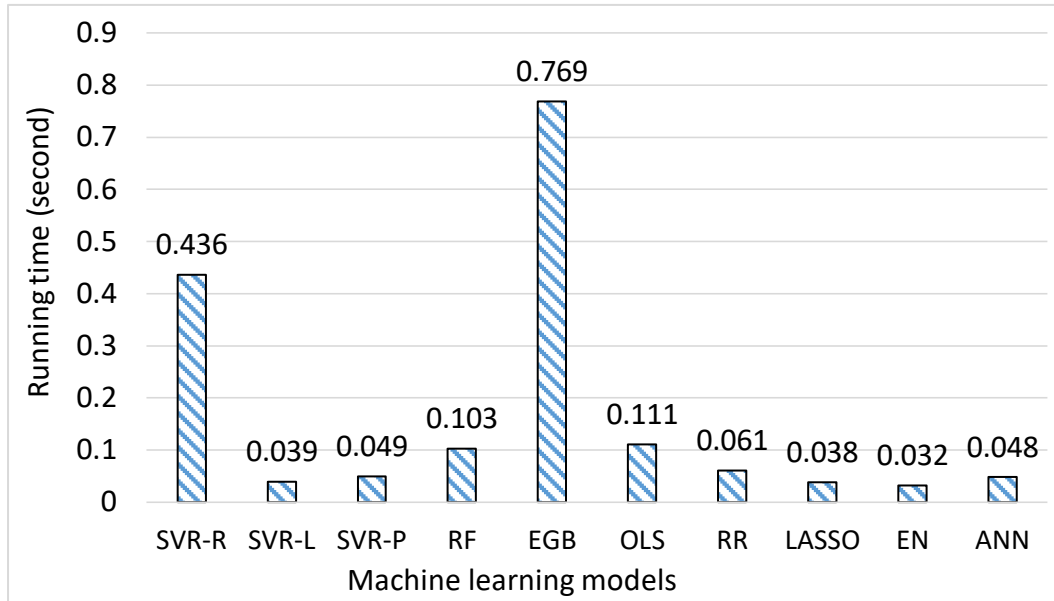
576 Table 4: The relative error  $\delta_{Stock}$  of different machine learning models at the stock level

Machine learning models	Whole stock		Residential stock		Non-residential stock	
	Heating	Cooling	Heating	Cooling	Heating	Cooling
Gaussian radial basis function kernel SVR	-0.2%	-0.3%	1.7%	0.6%	-6.2%	-2.4%
Linear kernel SVR	1.0%	1.1%	0.7%	2.2%	2.0%	-1.7%
Polynomial kernel SVR	0.3%	0.5%	2.9%	1.1%	-7.8%	-1.0%
Random forests	-0.6%	-0.8%	0.6%	1.0%	-4.4%	-5.0%
Extreme gradient boosting	2.4%	-1.0%	5.5%	0.1%	-7.7%	-3.8%
Ordinary least-squares linear regression	-3.8%	1.7%	-7.6%	3.2%	8.2%	-2.1%
Ridge regression	-2.3%	0.5%	-5.7%	1.4%	8.8%	-1.6%
Least absolute shrinkage and selection operator	-3.8%	0.8%	-7.6%	2.0%	8.2%	-2.3%
Elastic net	-2.3%	0.6%	-5.7%	1.8%	8.8%	-2.6%
Artificial neural network	-9.7%	0.2%	-9.0%	0.7%	-11.7%	-1.2%

577 The running time of applying machine learning models in building heating and cooling  
578 EUI prediction is shown in Figure 10, varies from 0.032 seconds for elastic net to 0.769  
579 seconds for extreme gradient boosting. All ten machine learning models studied are  
580 able to predict the heating and cooling EUI of 110 buildings within 1 second, while  
581 using UMI to simulate heating and cooling EUI of one building takes at least 10  
582 seconds. The machine learning models can speed up the building heating and cooling  
583 EUI prediction for more than 1000 times, the swift speed benefits the large scale  
584 building stock energy prediction by greatly reducing the prediction time it takes. The  
585 machine learning models' running time and UMI simulation time presented above are  
586 based on a ThinkPad personal computer with Intel Core i7-6500U Processor, 8 GB



587 RAM, and Windows 10 64-bit operating system. The times may vary when using a  
588 different computer.



589

590 Figure 10: The running time of applying machine learning models in building heating  
591 and cooling EUI prediction of 110 buildings in testing set(SVR-R: Gaussian radial basis  
592 function kernel support vector regression; SVR-L: linear kernel support vector  
593 regression; SVR-P: polynomial kernel support vector regression; RF: random forests;  
594 EGB: extreme gradient boosting; OLS: ordinary least-squares linear regression; RR:  
595 ridge regression; LASSO: least absolute shrinkage and selection operator; EN: elastic  
596 net; ANN: artificial neural network)

#### 597 4.5. Evaluation of building stock retrofit energy saving potential

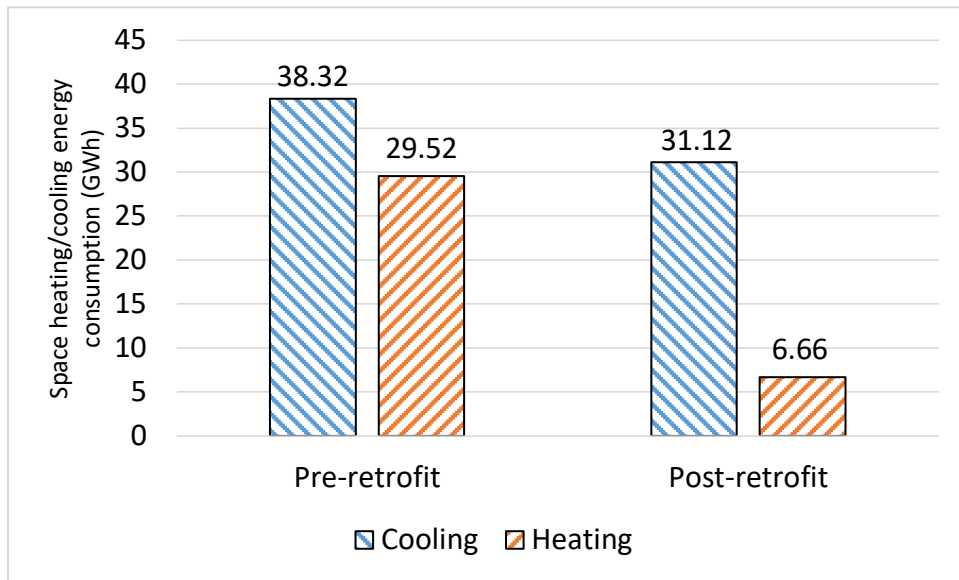
598 This section demonstrates the application of machine learning model in building stock  
599 retrofit energy saving potential evaluation. As Gaussian radial basis function kernel  
600 SVR performed the best at the whole stock level, it is utilized to show the energy saving  
601 potential of upgrading building envelopes for entire stock. Assuming to improve the  
602 building thermo-physical performance by ensure all buildings' envelope meet the latest  
603 standard. The building envelope thermo-physical characteristics for older buildings,  
604 including pre-2015 non-residential buildings and pre-2010 residential buildings, after

605 retrofit are shown in Table 5.

606 Table 5: Assumed building envelope thermal-physical characteristics after retrofit

Building function	Construction age	Building envelope thermal-physical characteristics				
		U-values (W/m <sup>2</sup> K)				Infiltrations (ACH)
		Walls	Roof	Slab	Windows (U value/SHGC)	
Non-residential building	Pre-1990	0.5	0.69	0.7	2.50/0.34	0.15
	1990-2005	0.5	0.69	0.7	2.50/0.34	0.15
	2005-2015	0.5	0.69	0.7	2.50/0.34	0.15
Residential building	Pre-2001	0.83	0.8	1.31	2.67/0.34	1
	2001-2010	0.83	0.8	1.31	2.67/0.34	1

607 The gross space heating and cooling energy consumption figures for all the buildings  
608 in the testing set before and after retrofit are shown in Figure 11. By improving the  
609 building envelope, energy consumption reduction is achieved in both space cooling and  
610 space heating, with the latter showing a more substantially decrease. The building  
611 retrofit performance evaluation using Gaussian radial basis function kernel SVR is  
612 straightforward, use the updated U-values and infiltration rates together with other  
613 predictor variables which stay unchanged, a swift estimation of the building space  
614 heating and cooling demand after retrofit can be achieved. Compared to re-run UMI  
615 simulation with updated building envelope thermal-physical characteristics, the  
616 machine learning model is faster and less computation intensive.



617

618 Figure 11: The gross space heating and cooling energy consumption before and after  
619 retrofit

## 620 5. Discussions and limitations

621 Starting from training and validation set generated by UMI small scale building stock  
622 dynamic simulation, machine learning models are developed via pre-processing and  
623 training. The performances of the machine learning models are tested using the UMI  
624 generated test set, the comparison shows that machine learning models can replace UMI  
625 to predict the heating and cooling energy consumption of single-function buildings in  
626 Chongqing with accuracy. Moreover, their swift running time enables potential large-  
627 scale building stock energy consumption prediction. The hybrid approach proposed in  
628 this study provide a way to give an insight view of the space heating and cooling energy  
629 consumption of residential and non-residential building at a large scale building stock.  
630 Which helps the understanding of the current energy used in adjust the building indoor

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631 thermal conditions. This provides a solid start point for energy conservation related  
632 policy making when the real space heating and cooling energy consumption data is not  
633 available due to reasons like lack of monitoring. As detailed building characteristics are  
634 used as the predictor variables of the machine learning model, the energy-saving  
635 potential of various building retrofit options can be evaluated by the machine learning  
636 model. The identification of the best performed retrofit option can support policy  
637 making about large scale building stock energy conservation. Moreover, machine  
638 learning modelling is easy to use even for people without great knowledge about  
639 building thermal physics, so will also be a handy tool for the general public to evaluate  
640 the retrofit energy-saving potential of various retrofit options.

641 Although the hybrid approach proposed in this study can predict the building space  
642 heating and cooling energy consumption, the lack of public available building energy  
643 consumption datasets in Chongqing hinders the validation and calibration of the model  
644 to real building energy consumption. The collection of real building energy  
645 consumption data remains as a very important task to understand and bridge the  
646 performance gap between predicted energy use and actual energy use [105]. Moreover,  
647 collecting other building characteristics information, including construction type,  
648 construction material, HVAC system, retrofit history record, etc., is also very important  
649 in give a true building profile and support building energy consumption calibration.

650 This study also bears the limitation of considering only the single-function buildings,  
651 future works should be carried on to collect detail floor area function information and

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652 develop data-driven building energy consumption approach for mixed-use buildings.

## 653 **6. Conclusions**

654 This study investigated the process of utilizing a hybrid approach to predict building  
655 space heating and cooling energy consumption for both residential and non-residential  
656 buildings to support large scale building stock energy modelling. Considering the  
657 commonly building energy data lacking, the hybrid approach has been used to combine  
658 the advantages of both physical modelling and data-driven approaches.

659 Based on the building energy consumption data generated by UMI physical modelling,  
660 ten different data-driven machine learning models, including Gaussian radial basis  
661 function kernel SVR, linear kernel SVR, polynomial kernel SVR, random forests,  
662 extreme gradient boosting, ordinary least-squares linear regression, ridge regression,  
663 least absolute shrinkage, and selection operator, elastic net and artificial neural network,  
664 have been trained to predict heating and cooling energy use intensity for both residential  
665 buildings and non-residential buildings (containing educational buildings, hospitals,  
666 hotels, malls, and offices). Building characteristics are utilized as predictor variables of  
667 those machine learning models, including geometry characteristics, envelope thermal-  
668 physical characteristics, HVAC system characteristics and internal gains characteristics.  
669 With known predictor variables, the machine leaning models are able to predict  
670 building heating and cooling energy use intensity at individual building level. A case  
671 study in Chongqing city (China) has been used to demonstrate the proposed process

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672 and test the prediction accuracy of machine learning models. The main findings are  
673 summarized as follows:

674 • Machine learning models can handle both residential and non-residential  
675 building energy consumption prediction using a single model, so there is no  
676 need to generate multiple models according to different building functions.

677 • Machine learning models can accurately predict building heating and cooling  
678 EUI, with polynomial kernel support vector regression, predicted 85.5% of  
679 building heating EUI within  $\pm 10\%$  of relative error and Gaussian radial basis  
680 function kernel support vector regression predicted 91.8% of building cooling  
681 EUI within  $\pm 10\%$  of relative error.

682 • The polynomial kernel SVR has the best accuracy in the individual building  
683 level, with NMAE and NRMSE for heating EUI as 7.3% and 17.3%  
684 respectively; NMAE and NRMSE for cooling EUI as 4.3% and 6.2%  
685 respectively.

686 • The Gaussian radial basis function kernel SVR performed the best in the whole  
687 stock level, with a relative error of only -0.2% and -0.3% respectively for  
688 heating and cooling prediction.

689 • Use machine learning models for building heating and cooling energy  
690 consumption prediction is more than 1000 times faster than UMI physical  
691 modelling, their swift speed proved their potential in large-scale building stock

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692 energy modelling.

693 By integrating physical modelling with data-driven machine learning techniques, the  
694 hybrid approach for modelling heating and cooling energy consumption of building  
695 stock is no longer rely on the availability of building energy consumption data.  
696 Moreover, it can speed up the process of building stock modelling by decrease the  
697 number of buildings to be physically simulated and dramatically cutting down the  
698 processing time. The generated machine learning model can be applied to quickly  
699 predict building space heating and cooling energy consumption at the stock level, as  
700 well as evaluate energy saving potential of different building stock retrofit options. This  
701 is of great help for building energy conservation related decision makings, it not only  
702 provide an insight view of the current space heating and cooling energy consumption  
703 when the monitored data is not available, but also able to compare various retrofit  
704 measures and select the best one to be implicated in the whole stock. Although the  
705 hybrid approach is only demonstrated in Chongqing in this paper, it can be easily  
706 replicated in other cities and countries.

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