Application of the DNAS framework expansion to occupant population synthesis

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Abstract
Research in occupant behaviour is now using a more elaborate framework of building occupant interaction. Researchers often face challenges in collecting data, particularly for the data to meet the minimum number of required data points and the data interoperability requirements. Researchers address the first issue with the synthetic population and the latter with data ontologies. While synthetic population is commonly used to address the first issue, data ontology development is used to address the latter. The two solutions are complementary to each other. One of the known ontologies in building occupant behaviour research is the Drivers-Needs-Actions-Systems (DNAS) ontology, which has been used by building modelers to describe energy-related occupant behaviour. This paper describes the ontology-based synthetic population generation that can be used in the agent-based modeling (ABM) applications. This paper considers multiple data sources, including ASHRAE Thermal Comfort DB II and IEA Annex 66 data sets. A case study of an office building is used to present the workflow of DNAS framework expansion, synthetic population generation, and agent-based modeling.

Key Innovations
- The expansion of occupant data ontology, namely DNAS framework that includes a more elaborate occupant characteristics and its use in population synthesis.
- Population synthesis framework using Bayesian Networks approach.
- An application of synthetic occupant population generation in building simulation research using a case study of an office building.

Practical Implications
The expansion of occupant data ontology, namely DNAS framework, supports occupant data collection effort in the building life cycle. Another use case of the effort is to inform occupant population synthesis, which is largely motivated several reasons. The main motivation is to pave the increasing the increasing need of a more elaborate data on real occupants while maintaining anonymity. Population synthesis is considered as the right approach in other disciplines, such as in transportation and urban planning, yet, still rare in the building simulation research. In the building energy simulation and occupant research, population intends to support modeling work, especially those that use agent-based modeling (ABM) approach, where each agent represents a real individual occupant.

Introduction
Building simulation research has been advancing from using standard occupancy schedules to utilizing the power of agent-based modeling (ABM) approach to represent more realistic occupancy and occupant behaviours in buildings (Berger and Mahdavi, 2020). ABM comes as a preferred technique to represent building occupants for its ability to capture interactions between building environment and occupants, and among building occupants through locus of control. The validity of occupant behavior (OB) models, including ABM-based OB models is usually done through sets of field experiments and analysis on occupancy and behavioral patterns. The better granularity of the occupant data, by including socio- and demographic characteristics as well as typical indoor activities, the better the models in providing behavioral insights to practitioners (Gaetani et al., 2016).

The lack of available data becomes one of the big challenges in developing such models. Previously developed OB models were to answer specific research questions, such as window-opening behavior in specific buildings with unique locations, purposes, and designs (Barr et al., 2011; Widén & Wäckelgård, 2010). The issue of generalizability has motivated researchers to develop larger, multi-building databases that could provide a more robust basis for OB modeling (International Energy Agency, 2017; Licina et al., 2018). Higher-level OB data often includes demographic, economic, and social attributes (Andrews, 2017; Kontokosta & Jain, 2015). The most ambitious effort to date is the development of ASHRAE Thermal Comfort Database 1 and 2 (short name: comfort database) (Licina et al., 2018). The database serves a rather smaller scope and focuses only on a selection of thermal comfort aspects of OB. Needed are larger databases that include the rich dimensionality of OB by documenting the factors that lead to behaviours, the observed behaviours themselves, and the contextual considerations of location, timing, and design that situate the behaviour. OB researchers often rely on available ontology to guide the construction of such a database. (Salimi et al., 2019) review and map existing OB data ontologies to identify use cases and gaps in the applications. The discussion on sensible practice of fit-for-purpose modeling and desired specifications of a universal OB data set is emerging in the building simulation research (Gaetani et al., 2016). This paper contributes with the development of data ontology specification to meet the fit-for-purpose modeling framework. We consider the well-established Drivers, Needs, Actions, and Systems (DNAS) ontology to serve...
the goal (Hong, D’Oca, Taylor-Lange, et al., 2015; Hong, D’Oca, Turner, et al., 2015).

The paper also describes a workflow of using the ontology to generate a synthetic occupant population. Population synthesis has not been very popular in building research (Andrews, 2017). Population synthesis has grown in popularity in other disciplines, particularly in transportation (Williamson et al., 1998), public health (Beckman et al., 1996; E. Ramadan & P. Sisiopiku, 2020; Xie & Waller, 2010), and urban planning (Mallesen et al., 2010). In occupant behavior research, synthetic population is useful to inform the development of occupant models. For example, researchers often find hard times to develop a complete model of under-represented populations, such as seniors in senior housing and children in a household. Population synthesis aims to fill the gap by considering other relevant data sets, such as the regional census database and National Household Travel Survey (NHTS). In generating a synthetic occupant population, the synthetic version should match in statistical measures with those in a target population without attempting to replicate each individual in the target population. Synthetic population is also useful to maintain privacy and anonymity of the real individuals being surveyed. Also, it is rather less expensive than to collect new raw data. Another use case is for the modeling purposes, a synthetic population may serve as the initial population in the simulation modeling workflow, such as ABM-based models.

In Section 2 of this paper, we introduce the expansion of the DNAS framework which includes four new major components: (1) socio-economic, (2) geographical location, (3) subjective-values, and (4) activities. We also discuss a population synthesis framework using Bayesian Networks in the section. In Section 3, we present a generation of synthetic population and its application on office building occupants. Section 4 discusses the results and Section 5 offers conclusions and recommendations for future research.

Methods

This section presents the framework in which use cases, data ontology, data sets, and Bayesian Networks (BN) are the main components in generating a statistically-fit synthetic occupant population.

The expansion of DNAS framework

Occupant behavior research incorporates an interactive component between the occupants and building systems, equipment, and mechanisms (Hong, D’Oca, Turner, et al., 2015). The epistemological model of occupant behavior uses the concept of comfort, which is driven by sociodemography, location, subjective values, activities, and social influence. Comforts are specific combinations of the attributes of mechanisms and measures taken as consideration by an occupant. The distinction between ontological and epistemological concerns is clear on how occupant’s perception of the environment depends on their characteristics, adopted values, experience, and particular activities (Grandjean et al., 2012).

Therefore, we use an ontological approach in selecting the datasets to maintain a well-received building occupant data structure. Without the guiding data structure, population synthesis can take a large computing power and result a synthetic population not matched with the original samples. This study follows the existing Drivers, Needs, Actions, and Systems (DNAS) framework to provide a better representation of building occupants (Hong, D’Oca, Taylor-Lange, et al., 2015; Hong, D’Oca, Turner, et al., 2015).

The expanded DNAS framework categorizes the occupant characteristics into four groups, including socio-demographic, location, subjective values, and activities (Chandra-Putra et al., 2021). The framework also develops further the comfort adaptive action component by dividing them into two sub-categories based on individual control or collective decisions (see Figure 1). The sociodemographic component includes census-related information, such as “Age”, “Sex”, “Education”, “Income”, “Employment”, and “Marital Status”. Behavior-related data also includes attributes of subjective values that drive one to perform certain building energy-related actions. They are “Past Experience”, “Cost Conscious”, “Environment Awareness”, “Technology Oriented”, and “Social Influence”. With the many behavioral data sets available for population synthesis, a geographical location identifier is also important, which includes information such as “Country”, “Climate Zone”, “Policy”, and “Utility Cost”.

Figure 1: Conceptual interaction of components of the building occupant (Chandra-Putra et al., 2021).

The framework is useful to inform the data structures of both metadata and dataset collection procedures. The researcher writes the metadata in either XML or JSON formats and the datasets in CSV, DAT, or other formats, depending on the data manipulation methods. We utilize the same schema format as the original DNAS framework, which is in obXML (short name for occupant behavior XML) (Hong, D’Oca, Taylor-Lange, et al., 2015). Figure 2 shows a number of child elements are added under the Occupant element to detail the occupant characteristics. They are SocioEconomic, GeographicLocation, and SubjectiveValues. Each child element also has its own children as described in Figure 1. The ease of closely
following the data structure depends on data availability and interoperability between data sets, and it is very common for population synthesis to also perform data imputation.

Figure 2: Occupant’s attributes of social, economic, and demographic characteristics (Chandra-Putra et al., 2021)

Datasets overview

We consider two types of datasets to inform the generation of synthetic occupant population. The first is socio-demographic data that is attributed to the occupants. The second is behavior data that is specified by type of buildings. In Figure 3, the socio-demographic data considers two sources, including the National Household Travel Survey (NHTS) (Administration, 2017) and Public Use Microdata Survey (PUMS) (U.S. Census, 2015). The occupant behavior dataset, also shown on Figure 3, draws on a dataset on occupant behavior that was part of the deliverables of an international project, Annex 66. Annex 66 was established under the International Energy Agency’s Energy in Buildings and Communities Program (short name: IEA Annex 66) with aims to provide resources for occupant behavior research (International Energy Agency, 2017). The dataset comprises of 4,324 observations. The larger and more recent comfort database has been introduced in (Licina et al., 2018) and it includes approximately 81,846 occupant-specific data points spread across 160 buildings worldwide between 1995 and 2016. This study is interested in subsets of the dataset associated with specific building types. These datasets are stored separately and need to be merged, fitted, and imputed as necessary. While this study considers data fusion using a simple left-join of 1-3 common variables, data imputation is implemented using Predictive Mean Matching (PMM) (Little, 1988; Rubin, 1986). PMM has been around for a long time, but only recently has it been widely used in population synthesis. It was originally used to impute missing data of a single variable, in which the missing data is more monotonic. Compared with standard methods based on linear regression and the normal distribution, PMM calculates the imputed values based on a set of values from the observed dataset, so they are realistic. Therefore, it allows to impute discrete values, which is useful for the survey datasets used in the study. Figure 3 shows the framework model of data imputation, fusing, and synthesis.

Figure 3: Population synthesis framework.

The selection of relevant variables from the data sets is guided by the DNAs data ontology. Table 1 describes the variables of interest of the case study of office occupants.

<table>
<thead>
<tr>
<th>Variable</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Sex</td>
<td>Gender of an occupant</td>
</tr>
<tr>
<td>Age</td>
<td>Age of an occupant</td>
</tr>
<tr>
<td>Education</td>
<td>Educational attainment</td>
</tr>
<tr>
<td>MET</td>
<td>Metabolic activity</td>
</tr>
<tr>
<td>CLO</td>
<td>CLO</td>
</tr>
<tr>
<td>Air temperature</td>
<td>Air temperature in °C</td>
</tr>
<tr>
<td>Relative Humidity</td>
<td>Relative humidity</td>
</tr>
<tr>
<td>PMV</td>
<td>Predicted Mean Vote (PMV)</td>
</tr>
<tr>
<td>Preferred temperature</td>
<td>Preferred temperature [cooler, no change, warmer]</td>
</tr>
<tr>
<td>Fan</td>
<td>Fan use</td>
</tr>
<tr>
<td>Window</td>
<td>Window operation</td>
</tr>
<tr>
<td>Heater</td>
<td>Heater use</td>
</tr>
<tr>
<td>Workspace</td>
<td>Workspace [enclosed space, open space, cubicle]</td>
</tr>
<tr>
<td>Work hours</td>
<td>Working hours</td>
</tr>
<tr>
<td>Satisfaction</td>
<td>Indoor environment quality [unsatisfied, neutral, satisfied]</td>
</tr>
</tbody>
</table>

Table 1: Variable names and descriptions
Bayesian Networks

The Bayesian network (BN) offers a graphical representation of probability distributions for a set of variables of interest $X = X_1, ..., X_n$ (Koller & Friedman, 2013; Spirtes et al., 2012). In principle, a BN structure consists of two parts: 1) a network structure $G$ in the form of a directed acyclic graph (DAG), in which vertices are random variables $X$ and edges characterize the one-to-one mapping between the vertices, and 2) a set of local probability distributions $\Theta = \{P(X_1|\Pi_1), ..., P(X_n|\Pi_n)\}$ for each vertex $X_i$, conditional on its parents $\Pi_i$. The structure $G$ follows the conditional independence assumption, by which each variable $X_i$ is independent of its nondescendents given its parents in the graph $G$. In BN, the DAG topology asserts only the conditional dependence of children given parents:

$$P(X) = \prod_{i=1}^n P(X_i|\Pi_i).$$  \hspace{1cm} (1)

Figure 4 shows three variables including $age$, thermal perception, and income as the vertices and the directed edges linking vertex Age to vertex ThermalPerception and vertex Age to vertex Income. Therefore, the conditional probability distributions of this condition are $P(\text{ThermalPerception}|\text{Age})$ and $P(\text{Income}|\text{Age})$.

![Figure 4: Example of a directed acyclic graph (DAG).](image)

One of the main challenges in using BN is in defining the network structure. A researcher often defines the structure based on the researcher’s domain-expert knowledge. This study has a particular interest to build the network structure directly from data, which is often called structural learning. Structure learning is a flexible feature of the package that identifies the relations and hierarchies of the variables. We use an R package, bnlearn that offers several algorithms to perform structure learning, including i.e., Tabu Search and Hill Climbing (Scutari, 2010). We consider eleven algorithms in order to find the most robust estimated model structure that is useful in the synthetic population generation. Common structure learning algorithms can be grouped into three categories, constraint-based, score-based, and hybrid. While constraint-based algorithms ensure conditional independence constraints using statistical tests, score-based algorithms rely on optimization techniques with each candidate DAG is assigned a score as the objective function. Hybrid algorithms integrate the two methods by reducing space of candidate DAGs using a constraint-based strategy and implement a score-based strategy to find the optimal DAG in the constrained space. It was shown that constraint-based algorithms are considerably more accurate than score-based algorithms for small sample sizes and they both are as accurate as hybrid ones.

We select Tabu Search because it outperforms other algorithms, showing that it produces the most representative BN structure. Tabu Search, essentially, utilizes an iterative searching procedure to obtain a best solution from complex correlation patterns (Glover et al., 1993). The algorithm selects a close solution to optimality in order to minimize the score. Another advantage of using bnlearn as the choice of tool for conducting structural learning procedure is its ability to restrict the variables’ dependencies by using its features of “whitelist” or “blacklist”. BN scores the candidate of the graphical structure that fits to the targeted data and is useful to produce synthetic population by using several methods, such as maximum likelihood:

$$l(G|h|D) = \max_{G \in \Theta} l(D|G) = \max_{G \in \Theta} \log P(D|G)$$ \hspace{1cm} (2)

where $l(G, \theta|D) = \log P(D|G, \theta)$ is the loglikelihood of a provided pair $(G, \theta)$ given observation $D$. (Sun & Erath, 2015) described that the log-likelihood is not representative due to over fitting, hence, it always builds a fully connected DAG. Bayesian Information Criterion (BIC) (Rissanen, 1978; Schwarz, 1978) and Akaike Information Criterion (AIC) (Akaike, 1974) are the two most-popular score functions that solve this issue of overfitting:

$$BIC(G|h|D) = \log P(D|G^h, \hat{\theta}) - \frac{d}{2} \log m$$ \hspace{1cm} (3)

$$AIC(G|h|D) = \log P(D|G^h, \hat{\theta}) - d$$ \hspace{1cm} (4)

Where $\hat{\theta}$ refers to the maximum likelihood estimates $^\hat{}$ of parameter given hypothetical structure $G^h$, $d$ is the number of free parameters (degrees of freedom) in $\theta$, and $m$ is the size of observation $D$. Both BIC and AIC contains two parts, the optimal likelihood and penalty that balances model fit and model complexity. While BIC has a penalty term of $\frac{d}{2}\log m$ and AIC only has $d$, the structure of BIC is more preferable for a large sample size.

Results

The application of the synthetic population framework and procedures show consistent network structures and statistically-fit synthetic occupant populations. We present illustrative results for the calibration scenarios in an office building in this section.

We consider a joint sub-dataset from the Annex66 dataset and comfort database using three joint variables, i.e., “Age”, “Sex”, and ”PMV”. We sample 27% of total 1,858 observations ($\approx$500 observations) in learning BN models. The experiment illustrates the dynamic in real office buildings, where the locus of control varies among occupants when operating building features. Occupants may not have direct control over overhead lights. Negotiation on controls between an individual tenant and a tenant representative, and between a tenant

<table>
<thead>
<tr>
<th>Control (lighting, windows, blinds, thermostat)</th>
<th>Have control on fixture {yes, no, I don't know}</th>
</tr>
</thead>
<tbody>
<tr>
<td>Group control (windows, blinds, lighting, thermostat)</td>
<td>Group control on fixture {only me, no control, with others}</td>
</tr>
</tbody>
</table>
representative and a building manager are expected to occur.

We run Tabu Search for ten iterations to construct the network structure on the joint data sets and impute using PMM approach. The resulting BN model structure shows dependencies among variables. A variable “Blind use”, as for example, has two edges coming in from nodes “Sex” and “Fan”. Figure 5 shows the final model structure for office occupants.

After learning the model structure, G, population synthesis generates sample values of X from P(X), factorized joint probability distribution define by the BN. The samples are independent and its probabilities can be computed using Equation 1. We fuse the two data sets (i.e. the comfort database and NHTS data set) based on two common variables of "Age" and "Sex". The fusing proceeds using Left-Join and with a condition of the two variables to meet. We find that the more variables to include, the stricter the join process is, and the more representative the joint data is. It requires a larger dataset, a joint dataset with NaN / NA columns would result, otherwise.

To quantify the accuracy/fitness of the resulting synthetic population, we compare the percentage difference in the distributions between variables in the observed and synthetic populations. Figure 6 shows relatively small differences in percentages, which range between -5% and 5% (see Figure 6). To further test the goodness of fit, we map the synthesis results in two-dimensional distributions. As an illustration, Figure 7 shows the joint distributions of variables "Age" and "Met" in the BN. The left and middle figures show the joint distributions in the observed and synthetic data, respectively. The right figure, which is a probability-probability-plot (pp-plot) of the cumulative distribution function (cdf) of the two variables, shows the fit of joint distribution of both target and BN. It shows that BN satisfies the joint distribution between the “Age” variable and “Met” variable. The pairs are approximately dependent to each other, and the dependency structures between the variables are preserved as seen on the network structure in Figure 5.

**Discussion**

The expansion of DNAS framework is useful in generating synthetic occupant population. This paper does not attempt to develop a more exhaustive ontology that is potentially applicable to limited applications. We propose the expansion of the framework to include a more detailed occupant characteristics such as socio-demographic, climate, and subjective values that have been covered in previous research on building occupant interactions. Two subjective values that are relevant to OB research are, for example, preference on comfort and willingness to pay for utility.

Then, we use the proposed expanded ontology to inform data collection and variables selection to generate the synthetic occupant population in this paper. Our focus is to develop a BN model that could capture joint
distributions for variables in the structure that are defined by the proposed expansion of the DNAS framework.

From the experiments, we learned that the size of a target population is an important determinant to the quality of a synthetic population. For example, given the target population is relatively small, the network structure may result in independencies among the nodes. Therefore, the synthetic population may have unmatched distributions to the target populations result. We handle this issue by reducing the number of variables in the model. Another important factor is the choice of the estimation algorithm. We score eleven algorithms, among which Tabu Search outperforms the best. We run Tabu Search in ten iterations to achieve optimal network structure. We also ensure the interoperability of these datasets by preserving the distributions and performing Predictive Mean Matching (PMM) for multivariate imputation.

Conclusions
The proposed expansion of DNAS framework, an ontology to represent occupant behaviors, and the generation of synthetic occupant population using Bayesian Network (BN), are intended to serve the fit-for-purpose occupant modeling effort.

We build the confidence in both the proposed framework and population synthesis procedure by calibrating against the real data on building occupants, linking the previously collected behaviour data and socio-demographic data. We acknowledge the challenging aspect of the overall procedure is present at the data fusion phase. Researchers often collect their data that is recent, small, follow a specific ontology and mix-types between cross-sectional and longitudinal data depending on the purpose of the study. Therefore, the framework helps in integrating the data sets and ensuring their interoperability.

While population synthesis using the BN approach is not new, this paper enriches existing literature on its practical applications on the building occupant behaviour research, particularly about generating synthetic occupants that are more representative by attributing socio-demographic characteristics. Our efforts are, however, not without challenges. While our approach is tested using BN, our future research regarding the topic of developing integrated population synthesis methods will consider other existing approaches as for comparison, including, i.e., Iterative Proportional Updating (IPU); utilize powerful machine learning algorithms, i.e., Generative Adversarial Networks (GANs), and a synthetic population with a greater mix of data types. Transportation research has advanced these methods up to developing a dynamic synthetic population. Dynamic discussed in (Namazi-Rad et al. (2014)) involves the ageing of individuals in the population that is drawn upon age-dependent life-event probabilities (e.g., birth, death, marriage, and divorce). Similarly, population synthesis of building occupants may include updates on the occupants’ comfort preferences and choice of adaptive actions to ensure the evolution of their behaviours and determining characteristics. Finally, we are looking forward to applying under different building types, such as multi-family residences and senior housing. The use case of building occupant population synthesis under these two buildings is even greater since children in a multi-family household and senior population in senior housing are often overlooked in the occupant behaviour research.

Acknowledgment
This work was supported by the Assistant Secretary for Energy Efficiency and Renewable Energy, Office of Building Technologies of the United States Department of Energy, under Contract No. DEAC02-05CH11231. Authors benefited from participation and discussion in the project (2018–2023) Annex 79, Occupant-centric building design and operation, under the International Energy Agency’s Energy in Buildings and Communities Program.

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