

The potential impact of low thermal transmittance construction on the European design guidelines of residential buildings

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Abstract

European countries impose regulations for low thermal transmittance envelopes to improve the buildings' energy efficiency. However, in scientific literature, evidences are surfacing that such low U -values are affecting the validity of traditional design guidelines. The purpose of this paper is to analyze the implications of lowering the envelope U -values. To achieve this, 96 000 residential buildings were generated, with random geometries and U -values, and their energy consumption evaluated for eight European locations. The buildings were grouped according to the envelope elements' thermal transmittance and the results statistically analyzed. For each group, six geometry-based indexes were correlated with the energy performance. As U -values decrease, the performance variation amplitude was found to reduce, making the geometry less important. However, in warm/moderate climates, low U -values tend to actually increase the energy consumption and also rise the performance variation, meaning that geometry regains importance. In this case, instead of helping reducing the heating demands, solar exposed windows and compact geometries raise the energy consumption. It is concluded that, for each climate location, there is an ideal U -value range for which the energy demand is low and the geometry effect becomes less significant, thus freeing designers to further explore building forms and window designs.

Keywords: generative design method, dynamic simulation, residential buildings, building geometry, thermal transmittance

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1. Introduction

As stated by Soares et al. [1], debates addressing fossil fuels depletion, climate change, and energy security emphasize the need for a more sustainable built environment in order to reduce energy consumption and emission trends in the buildings sector. To achieve this, researchers are studying the relation between the envelope thermal properties, geometry, and the use of dynamic systems to determine the impacts on the energy performance of buildings.

Vanhoutteghem and Svendsen [2] analyzed well-insulated residential buildings in Denmark concerning the choice of the size, type and orientation of windows. The authors concluded that modern insulation requirements can change some of the traditional guidelines of architectural design in low-energy residential buildings, and that windows can be positioned in the facades with considerable architectural freedom. Figueiredo et al. [3] studied the application of the Passive House concept in Portugal using simulation in four locations. The authors performed sensitivity analysis and optimization of the construction elements and building orientation in a single-family house and determined that passive house is viable despite the risk of overheating if no shadowing is used to dispense with active cooling. Vanhoutteghem et al. [4] evaluated the impact of the size, orientation and glazing properties of window facades on the energy consumption, daylight and thermal comfort of Danish nearly zero-energy buildings (nZEB). These authors underlined the need for a design that takes into account winter and summer conditions in order to reduce the energy demand for both heating and cooling (avoiding overheating problems). In Southern European countries, the nZEB problem of overheating results from the combination of air tightness, insulation level, thermal mass, lack of solar protection, and absence of passive cooling and of air velocity control within occupied spaces [5]. However, these results were based on interviewing experts, mainly researchers from the studied countries, and aimed to carry out a cross comparison on the current trends and state of nZEB implementation in Southern European countries.

Goia [6] has also pointed out the importance of searching for the optimum window-to-wall ratio (WWR) on an annual basis. The author determined the optimal WWR in office buildings for Oslo, Frankfurt, Rome and Athens climates and its influence in the total energy saving. It was concluded that most of the ideal WWR values are found in the range of 0.30 to 0.45, which can represent a 5% to 25% improvement in the total energy use. Ma et al. [7] aimed to show the effectiveness of process assumption-based design (understanding buildings as dynamic thermal systems) together with heat balance design as a tool to achieve real buildings' energy savings. The authors evaluated the relationship between the maximum WWR of a thermally autonomous building and the ambient temperature amplitudes with different envelope thermal resistances. Assem [8] correlated thermal transmittance maximum value for walls and roofs with the element orientation and solar absorption

1 coefficient. The author determined that these factors have a high effect on the U -value, particularly
2 for roofs and walls facing West and East orientations. Amaral et al. [9] found that double and triple
3 glazing windows facing North contribute positively to the zone thermal comfort, due to the diffuse
4 solar radiation gains being greater than the losses by thermal transmittance, in Coimbra (Portugal).
5 The same study also shows that windows facing North, or windows facing other orientations that
6 are protected with overhangs, can even have larger glazing areas together with a small thermal
7 comfort improvement. Rodrigues et al. [10] found evidence that traditional design guidelines may
8 not be currently valid for warmer climates and specific building types. The authors suggest that
9 this may result from the low thermal transmittance values of the envelope elements, which changed
10 the relations between the building geometry and the building performance that were found in past
11 studies.

12 Stazi et al. [11] studied the impact of high thermal insulation and high thermal mass techniques
13 on buildings dynamics in two single-family houses in Italy, to define retrofit strategies. The authors
14 found that high insulation and high thermal mass are conflicting approaches, since combining the
15 dynamic strategies of daily natural ventilation, inner mass and vented external walls allowed to
16 obtain optimum summer comfort and winter and summer energy savings. Following the theoretic
17 cal benefits of adjusting the building construction envelope to the outside conditions, researchers
18 seek dynamic or smart building elements that can change their thermal properties. For instance,
19 Kimber et al. [12] proposed a switchable multifunctional smart insulation to provide the wall with
20 high insulation and conductive configuration to allow the wall and roofs to switch between high
21 thermal resistance and conductive states. The concept of the proposed smart insulation consists
22 of switching inflating/deflating interstitial thin polymer membranes with air to make negligible
23 natural convection or to achieve low thermal resistance. Following the same idea of changeable
24 thermal properties, Pflug et al. [13] modeled a switchable U -value for the building transparent
25 facade element. The proposed construction consisted of a double-glazing unit with a translucent
26 insulation panel that controls the internal convective flow around this panel. Craig and Grinham
27 [14] studied the design of pores in breathing walls that consist of porous materials capable of tem-
28 pering efficiently the incoming fresh air with minimum heat losses by conduction, thus making the
29 building envelopes a kind of heat-exchangers with good prospects to exploit low-grade heat.

30 The above-mentioned studies cover a single construction element solution or a set of construc-
31 tion solutions for a small number of buildings. As stated by Attia et al. [5] in their overview on
32 the implementation of nZEB in Southern Europe, it cannot be claimed statistical representation of
33 their findings and there is a lack of cross comparison on the current trends and state of low-energy
34 buildings implementation. Therefore, the purpose of this work is to statistically capture the overall
35 trend of changing the U -values in a large set of buildings in different climate locations in Europe.

1 As the design of an energy efficient well-insulated building requires specific design guidelines that
2 match the new construction thermophysical properties, this paper also investigates the impact
3 of varying U -values on the building geometry guidelines. To achieve this, a number of residen-
4 tial buildings were randomly generated with random U -values of the envelope elements for eight
5 different European climates, in order to provide a significant sample of buildings to statistically
6 analyze the energy performance. The EPSAP algorithm was used as a building generative design
7 method, consisting of a computerized approach that determines the interior arrangement according
8 to a set of design requirements [15–17]. The generated buildings were then evaluated using the
9 coupled dynamic simulation program EnergyPlus [18, 19]. Afterwards, for each group of buildings
10 with similar U -values, six geometry-based indexes were correlated with the buildings energy per-
11 formance: volume (V), shape coefficient (C_f), relative compactness (RC), window-to-floor ratio
12 (WFR), window-to-wall ratio (WWR), and window-to-surface ratio (WSR), as geometry-based
13 indexes have shown to be capable of capturing the relation of a few geometric variables with the
14 performance of the building [20–27]. By this way, it is discussed if the design guidelines for low U -
15 values of the buildings’ envelope elements are still valid. It is expected to find that different design
16 guidelines may be applicable for different U -value intervals, according to the outdoor conditions in
17 each climate location, particularly for southern countries.

18 This approach of creating a synthetic dataset of a great number of buildings to analyze the
19 impact of construction thermophysical properties in the performance and geometric aspects of the
20 buildings and to determine general guidelines is a novel and never before accomplished approach.
21 Moreover, the results are a helpful instrument for the early design stages, where the building geom-
22 etry is still vague or missing, or when developing new optimization tools that seek to accommodate
23 all kind of design variables, thus placing the starting searching point within the range of the most
24 favorable construction solution.

25 **2. Methodology**

26 To determine the influence of the U -values variation on the building geometry of eight Euro-
27 pean locations (Lisbon – Portugal, PRT; Toledo – Spain, ESP; Porto – PRT; Bucharest – Romania,
28 ROU; Milan – Italy, ITA; Paris – France, FRA; Stockholm – Sweden, SWE; and Kiruna – SWE),
29 two-story residential buildings will be randomly generated using a hybrid evolution strategy [15–
30 17] and their energy consumption evaluated using dynamic simulation [18, 19]. The construction
31 system will have random U -values for the exterior opaque and transparent elements, ranging from
32 $0.1 \text{ W} \cdot \text{m}^{-2} \cdot \text{K}^{-1}$ to $1.5 \text{ W} \cdot \text{m}^{-2} \cdot \text{K}^{-1}$ and from $0.4 \text{ W} \cdot \text{m}^{-2} \cdot \text{K}^{-1}$ to $6.0 \text{ W} \cdot \text{m}^{-2} \cdot \text{K}^{-1}$, respec-
33 tively. The thermal inertia is kept the same in all buildings. The generated data will be divided
34 by pairs of transparent/opaque U -values and the energy performance range will be determined.

1 For each group, the performance will then be correlated with six geometry-based indexes (three
2 related with building shape and three related to windows). Finally, the results will be analyzed
3 and the changes in the building design guidelines discussed.

4 *2.1. Geometry-based indexes*

5 To study the impact of varying the thermal transmittance of the building envelope elements,
6 six geometry-based indexes were chosen – building volume, two building compactness indexes, and
7 three window-based indexes. The simplest of all is the building volume (V). As all generated
8 buildings will have the same design program (same rooms within the same geometric and topo-
9 logic constraints) and usage profiles (thermal zones with the same occupation, artificial lighting,
10 ventilation, infiltration, air-conditioning thermostat, *etc.*), the variation of the volume provides an
11 easy and initial analysis of the results. Then, the commonly used shape coefficient ($C_f = S/V$
12 [m^{-1}]) [20], also known as shape factor, will be used. The third index is the relative compact-
13 ness ($RC = 6V^{2/3}/S$). Past studies have shown this index to be more reliable than the shape
14 coefficient [10, 28].

15 The last three indexes are based on ratios of the window areas (S_{win}) in the building to the
16 building floor areas ($WFR = S_{win}/S_{floor}$), exterior wall areas ($WWR = S_{win}/S_{wall}$), and overall
17 surface areas in contact with the outdoor ambient ($WSR = S_{win}/S$). As WSR captures better the
18 impact of the exterior opaque elements and their relation with the window areas [10], each cardinal
19 orientation of this index was also analyzed ($WSR-N$, $WSR-E$, $WSR-S$, and $WSR-W$ for North,
20 East, South, and West orientations, respectively).

21 *2.2. Generative design method*

22 The generative design method used to create the building designs was a new version of the Evo-
23 lutionary Program for the Space Allocation Program (EPSAP) algorithm, presented in refs. [15–17],
24 which produces alternative space arrangements according to the user preferences and requirements,
25 and has been developed under the research project Ren4EEEnIEQ [29]. This newer version uses an
26 updated floor plan representation scheme—which incorporates negative spaces, free position of in-
27 terior openings, different types of opening’s frame, and stairs can now have exterior openings—and
28 a set of new penalty functions, which constitute the layout gross and construction area function,
29 the story gross area function, the circulation space area function, the space fixed position function,
30 the space relative importance function, the opening accessibility function, and the opening fixed
31 position function. When the floor plan generation is complete, the energy performance of the
32 generated solutions is then evaluated using EnergyPlus [18, 19].

33 Shortly, the EPSAP algorithm is a hybrid Evolution Strategy (ES) approach, where the muta-
34 tion operation is replaced by a Stochastic Hill Climbing (SHC) method, which performs random

1 geometric and topologic transformations, and a selection mechanism that picks up the fittest indi-
2 viduals for the next generation. The SHC transformations are a set of actions, such as translation,
3 rotation, stretching, reflection, and swapping, which are applied to a single or a group of floor
4 plan elements (openings, rooms, cluster of rooms), or to the whole floor plan. By combining these
5 two methods into a single hybrid algorithm, it is possible to benefit from the known capabilities
6 of a global search by the former and a local search by the latter, thus consisting of a two-stage
7 approach.

8 2.3. Building specifications

9 The building specifications focus on the geometry constraints and requirements, construction
10 system, indoor specifications, and climate locations. The geometry specifications focus on the
11 geometry data that are used in the EPSAP algorithm to generate alternative buildings for the
12 same design program. The construction system defines the elements, physical properties and the
13 range of U -values for opaque and transparent elements that are randomly selected to each building
14 geometry. The occupancy, equipment, lighting, HVAC, and other usage profiles are defined for
15 each thermal zone (space/room) and are equal in every generated building. Lastly, the chosen
16 European locations are characterized according to their climate and geographic position.

17 2.3.1. Geometry constraints and requirements

18 The building is a two-story residential single-family house without boundaries or adjacent
19 buildings, and with no specific orientation. The aimed height for each story is 2.70 m. The first
20 floor level (L_1) comprises a hall (S_1), a living room (S_2), a kitchen (S_3), and a bathroom (S_4), and
21 it is served by a stair (S_5) connecting to the second floor level (L_2), which has a corridor (S_6), a
22 double bedroom (S_7), a main bedroom (S_8), a single bedroom (S_9), and a bathroom (S_{10}). Table 1
summarizes the specified requirements.

Table 1. Rooms' geometry and topologic specifications.

Room	C^{sn}	C^{sf}	C^{ri}	C^{sl}	C^{su}	C^{ss} (m)	C^{sa} (m ²)	C^{ssr}	C^{slr}
S_1	Hall	Circulation	Min	L_1	L_1	2.70	10.0	{2.0, 3.0}	{3.0, 1.5}
S_2	Living room	Living	Max	L_1	L_1	3.20	–	1.7	2.0
S_3	Kitchen	Service	Mid	L_1	L_1	1.80	–	1.7	2.0
S_4	Bathroom	Service	Min	L_1	L_1	2.20	–	1.7	2.0
S_5	Stair	Circulation	–	L_1	L_2	–	–	–	–
S_6	Corridor	Circulation	None	L_2	L_2	1.40	6.0	{2.0, 3.0}	{3.0, 1.5}
S_7	Double bedroom	Living	High	L_2	L_2	2.70	–	1.7	2.0
S_8	Main bedroom	Living	High	L_2	L_2	2.70	–	1.7	2.0
S_9	Single bedroom	Living	Mid	L_2	L_2	2.70	–	1.7	2.0
S_{10}	Bathroom	Service	Min	L_2	L_2	2.20	–	1.7	2.0

C^{sn} – name, C^{sf} – function, C^{ri} – relative importance, C^{sl} and C^{su} – served lower and upper stories,
 C^{ss} – minimum side, C^{sa} – minimum area, C^{ssr} and C^{slr} – space small side and large side ratios

23
24 Each space/room may have exterior openings (windows or doors). For instance, the hall (S_1)
25 has an opening (Oe_1) of type door (C^{oet}), with 1.0 m width (C^{oew}), 2.0 m height (C^{oeh}), and is

1 elevated 0.0 m from the floor (C^{oev}). Table 2 lists all exterior openings in the design program per
 2 space (C^{os}).

Table 2. Geometry specifications of exterior openings.

C^{os}	Opening	C^{oet}	C^{oew} (m)	C^{oeh} (m)	C^{oev} (m)
S_1	Oe_1	Door	1.00	2.00	0
S_2	Oe_2	Window	2.80	2.00	0
S_3	Oe_3	Window	1.20	1.00	1.00
S_4	Oe_4	Window	0.60	0.60	1.40
S_5	Oe_5	Window	0.80	1.40	0.80
S_6	-	-	-	-	-
S_7	Oe_6	Window	1.80	1.00	1.00
S_8	Oe_7	Window	1.80	1.00	1.00
S_9	Oe_8	Window	1.20	1.00	1.00
S_{10}	-	-	-	-	-

C^{os} – space, C^{oet} – opening type, C^{oew} – minimum width,
 C^{oeh} – minimum height, C^{oev} – vertical position

3 Besides exterior openings, the spaces may have adjacent or connectivity requirements. For
 4 example, the interior opening (Oi_1) of type door (C^{oit}), with 1.4 m width (C^{oiw}), 2.0 m height
 5 (C^{oih}), and 0.0 m elevation from the floor (C^{oiv}), connects space S_1 (C^{oia}) to space S_2 (C^{oib}).
 6 Otherwise, when there is only adjacency between spaces but no opening, a 0.0 m wide opening is
 considered (*e.g.*, Oi_5). Table 3 lists all the interior openings in the building.

Table 3. Interior openings geometry and topologic specifications.

Opening	C^{oit}	C^{oia}	C^{oib}	C^{oiw} (m)	C^{oih} (m)	C^{oiv} (m)
Oi_1	Door	S_1	S_2	1.40	2.00	0
Oi_2	Door	S_1	S_3	0.90	2.00	0
Oi_3	Door	S_1	S_4	0.90	2.00	0
Oi_4	Door	S_5	S_1	0.90	2.00	0
Oi_5	Adjacency	S_2	S_3	0	-	-
Oi_6	Door	S_5	S_6	0.90	2.00	0
Oi_7	Door	S_6	S_7	0.90	2.00	0
Oi_8	Door	S_6	S_8	0.90	2.00	0
Oi_9	Door	S_6	S_9	0.90	2.00	0
Oi_{10}	Door	S_6	S_{10}	0.90	2.00	0

C^{oit} – type, C^{oia} – opening’s space, C^{oib} – destination space,
 C^{oiw} – minimum width, C^{oih} – minimum height, C^{oiv} – vertical position

7
 8 **2.3.2. Construction system**
 9 Regarding construction parameters, the building is characterized by having strong inertia with
 10 current material properties. Table 4 presents the building’s opaque and transparent elements. For
 11 all the exterior opaque elements apart from doors (exterior walls, roofs, and suspended slabs), the
 12 elements were designed to have a thermal mass equivalent to that of the interior slab construc-
 13 tion (see Table 4), while the U -value is randomly changed throughout the dynamic simulations
 14 ($0.1 \text{ W} \cdot \text{m}^{-2} \cdot \text{K}^{-1}$ to $1.5 \text{ W} \cdot \text{m}^{-2} \cdot \text{K}^{-1}$, in steps of $0.05 \text{ W} \cdot \text{m}^{-2} \cdot \text{K}^{-1}$). The same U -values are
 15 also applied to the exterior doors. For the windows, the glazing type has a constant solar heat gain
 16 coefficient (SHGC) of 0.6 and variable U -values proportionally paired with those of the opaque
 17 elements ($0.4 \text{ W} \cdot \text{m}^{-2} \cdot \text{K}^{-1}$ to $6.0 \text{ W} \cdot \text{m}^{-2} \cdot \text{K}^{-1}$, in steps of $0.2 \text{ W} \cdot \text{m}^{-2} \cdot \text{K}^{-1}$).

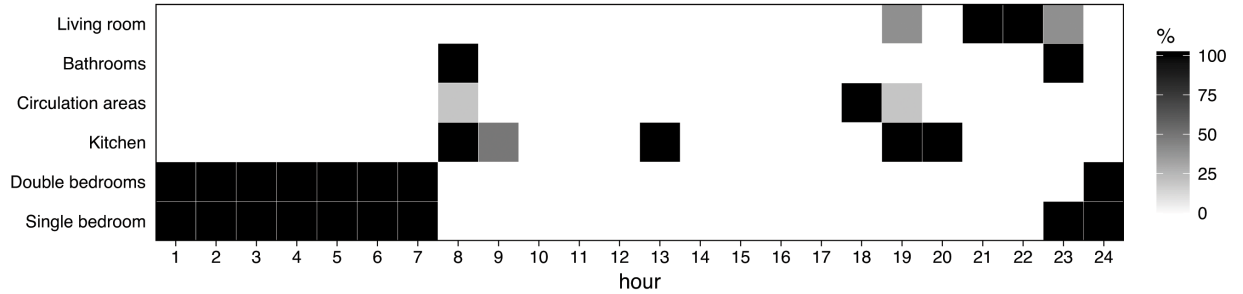
Table 4. Building's construction elements.

Element	Layer	Thickness (m)	k ($\text{W} \cdot \text{m}^{-1} \cdot \text{K}^{-1}$)	ρ ($\text{kg} \cdot \text{m}^{-3}$)	c_p ($\text{J} \cdot \text{kg}^{-1} \cdot \text{K}^{-1}$)	U ($\text{W} \cdot \text{m}^{-2} \cdot \text{K}^{-1}$)	SHGC
Interior wall	Finishing layer	0.02	0.22	950	840	4.499	-
	Structural layer	0.07	1.73	2243	836.8		
	Finishing layer	0.02	0.22	950	840		
Interior slab	Finishing layer	0.02	0.22	950	840	2.841	-
	Structural layer	0.2	1.73	2245.6	836.8		
	Regulation layer	0.01	0.22	950	840		
	Finishing layer	0.02	0.22	825	2385		
Ground floor	Structural layer	0.2	1.73	2245.6	836.8	0.437	-
	Insulation layer	0.08	0.04	32.1	836.8		
	Filling layer	0.02	0.8	1600	840		
	Regulation layer	0.01	0.22	950	840		
	Finishing layer	0.02	0.2	825	2385		
Interior door	Finishing layer	0.005	0.2	825	2385	2.009	-
	Structural layer	0.03	0.067	430	1260		
	Finishing layer	0.005	0.2	825	2385		
Exterior window	-	-	-	-	-	RAND{0.4, ..., 6.0}	0.6
Envelope elements	Internal mass equivalent to Interior slab					RAND{0.1, ..., 1.5}	-

k - thermal conductivity, ρ - density, c_p - specific heat, U - thermal transmittance, SHGC - solar heat gain coefficient

2.3.3. Occupancy, equipment, lighting, and HVAC specifications

The characterization of the occupancy patterns and the operation schedules of appliances and lighting is done based on the building typology. Regarding occupancy, five people are considered to inhabit the building, distributed in the different zones according to the occupancy patterns depicted in Fig. 1. The maximum assumed number of people per zone and the respective activity level, which accounts for the internal heat gains due to occupancy, are presented in Table 5.

**Fig. 1.** General occupancy pattern in the building zones.**Table 5.** Maximum number of people per zone and corresponding activity levels.

Zone type	Max number of people ^a	Activity level ($\text{W} \cdot \text{person}^{-1}$)
Living room	5	110
Bathrooms	1	207
Circulation areas	1	190
Kitchen	2	190
Double/Main bedroom	2	72
Single bedroom	1	72

^a - Regarding the building inhabitants accessing each zone, and not necessarily the number of occupants simultaneously in the zone. The occupant's distribution is defined together with the proper occupancy schedules.

The maximum design lighting levels for each zone are presented in Table 6. The lighting schedules are based on the building zone typology, occupancy, and window shading, and are depicted

1 in Fig. 2 for the different zones. Window shadings (exterior PVC roller shutters are assumed) are
 2 considered to cover all the windows during night-time. Moreover, daylighting controls are active in
 3 all zones with exterior windows, which determine how much the electric lighting can be dimmed: as
 4 the daylight illuminance increases, the lights dim continuously and linearly from maximum electric
 5 power until switching off completely when a daylight illuminance of 300 lx is reached. This dim-
 6 ming control should be seen here not so much as artificial lighting, but as a “simulation procedure”
 7 that allows to adjust the lighting values according to the available daylight in each latitude, since
 the electric lighting profiles are identical in all locations.

Table 6. Maximum design lighting levels for each zone type.

Zone type	Design lighting level ($W \cdot m^{-2}$)
Living room/Bedrooms	7.5
Bathrooms	0.5
Circulation areas	3.2
Kitchen	5

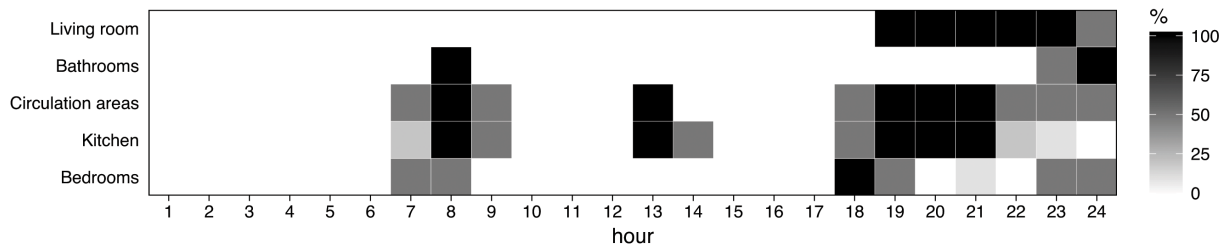


Fig. 2. Electric lighting schedule in each zone.

8
 9 The internal heat gains due to electric equipment are defined by the maximum design wattage
 10 levels of the appliances typically found in each zone, which are based on the building zone typol-
 11 ogy (Table 7). The corresponding usage schedules are based on the building zone typology and
 occupancy, which are depicted in Fig. 3 for the different zones.

Table 7. Total heat gains from electric equipment in each zone.

Zone type	Design level (W)
Living room	350
Bathrooms	100
Circulation areas	20
Kitchen	1440
Bedrooms	250

12
 13 An overall exhaust ventilation rate of 0.6 air-changes per hour (ACH) is considered in the model
 14 for the kitchen and bathrooms zones. The exhaust flow rate profiles correspond to the occupation
 15 schedules defined for these two zones – Fig. 1. Regarding the outdoor air infiltration into the
 16 building, it is considered constant as 0.2 ACH for zones with exterior openings and as 0.1 ACH
 17 for zones without exterior openings. The building’s living areas (living room and bedrooms) are
 18 air-conditioned considering an ideal loads air system model in the EnergyPlus runs, which allows to

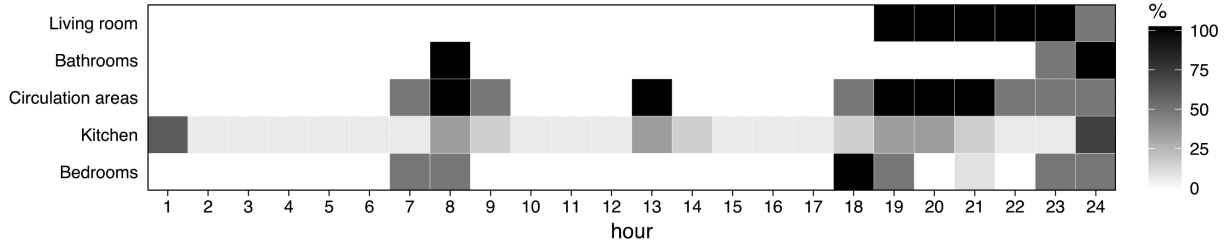


Fig. 3. Electric equipment schedules in each zone.

1 assess the performance of the building without modelling a full HVAC system, meeting all the load
 2 requirements and consuming no energy [30]. The air temperature thermostat is set with a cooling
 3 setpoint temperature of 25.0 °C and a heating setpoint of 20.0 °C, following the Portuguese energy
 4 conservation code [31], which is assumed for all the case studies. A 50% dehumidification setpoint
 5 is also considered [31]. The air-conditioning availability schedules for each zone correspond to the
 6 occupation schedules defined for the respective zones – Fig. 1.

7 2.3.4. Climate locations

8 For this study, eight locations were selected having different climate types, according to the
 9 Köppen-Geiger World Map climate classification [32] – Lisbon (PRT), Toledo (ESP), Porto (PRT),
 10 Milan (ITA), Bucharest (ROU), Paris (FRA), Stockholm (SWE), and Kiruna (SWE). The chosen
 11 climates seek to cover most of the climate types in Europe, such as Mediterranean climate, dry
 12 semiarid, humid subtropical and continental, marine west coastal, moist continental, and subartic.
 13 The weather data from these locations were downloaded from the EnergyPlus website [33]. Figure 4
 14 illustrates the locations in Europe and Table 8 summarizes the corresponding climates (type and
 15 description) and the geographic references (country, latitude, longitude, and altitude).

Table 8. Climate classification of each location.

		Location				Climate	
City	Country	Latitude	Longitude	Altitude (m)	Type	Climate description	
Lisbon	Portugal (PRT)	38.73 N	9.15 W	71	Csa	Mediterranean climate (dry hot summer, mild winter)	
Toledo	Spain (ESP)	39.88 N	4.05 W	529	Bsk	Mid-latitude dry semiarid	
Porto	Portugal (PRT)	41.23 N	8.68 W	73	Csb	Mediterranean climate (dry warm summer, mild winter)	
Bucharest	Romania (ROU)	44.50 N	26.13 E	91	Dfa	Humid continental (hot summer, cold winter, no dry season)	
Milan	Italy (ITA)	45.62 N	8.73 E	211	Cfa	Humid subtropical (mild with no dry season, hot summer)	
Paris	France (FRA)	48.73 N	2.40 E	96	Cfb	Marine west coastal (warm summer, mild winter, rain all year)	
Stockholm	Sweden (SWE)	59.65 N	17.95 E	61	Dfb	Moist continental (warm summer, cold winter, no dry season)	
Kiruna	Sweden (SWE)	67.82 N	20.33 E	452	Dfc	Subarctic (cool summer, severe winter, no dry season)	

16 2.4. Synthetic dataset

17 The synthetic dataset was created by running the EPSAP algorithm for 500 times for each loca-
 18 tion, with 24 buildings produced per run, totalizing 96 000 buildings. The buildings were generated
 19 randomly within the building specifications and with random thermal transmittance values of the



Fig. 4. European map of the selected locations.

1 exterior construction elements (roof, suspended floors, exterior wall, and windows). For each run,
 2 the geometry data (number of stories, spaces, openings, *etc.*, elements' surface areas, and volumes),
 3 construction data (transparent and opaque elements' physical properties), and performance data
 4 (building energy consumption, water consumption, thermal discomfort, and equipment, lighting,
 5 HVAC systems energy consumption) were stored. The dataset with all locations is publicly avail-
 6 able online in ref. [34]. Fig. 5 depict some examples of building geometry. It is possible to observe
 7 the wide range of shapes, orientations, and space arrangements that comprise the synthetic dataset.

8

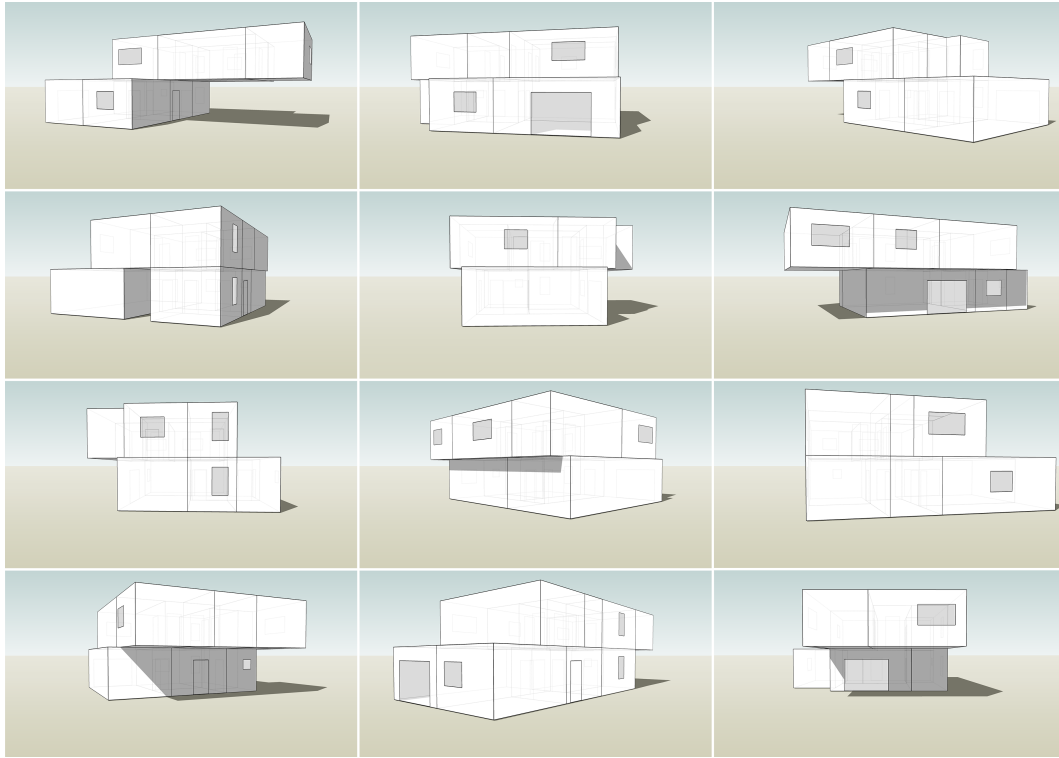


Fig. 5. Twelve examples of two-story buildings thermal zones generated by the EPSAP algorithm.

1 *2.5. Advantages and limitations*

2 The production of synthetic datasets of random building geometries with random construction
 3 thermophysical properties has some advantages and limitations. The main advantages are:

- 4 • Synthetic datasets allow to have performance information of a large number of buildings,
 5 which otherwise would be very difficult or impossible to obtain;
- 6 • Datasets of randomly generated buildings prevent biased results, as would happen if using a
 7 single building case study or a limited number of real buildings; and,
- 8 • Datasets of construction elements with randomly assigned thermal transmittance values allow
 9 to determine if there is any relation between building performance and its geometry or climate
 10 location.

11 Furthermore, this methodology allows:

- 12 • A comparative analysis among climate locations, independently of the buildings' geometry
 13 and construction;
- 14 • To determine ideal U -values of the building envelope elements for each climate location; and,
 15 • To draw design guidelines for each climate location according to selected U -values of the
 16 opaque and transparent elements.

17 Nevertheless, some limitations should be mentioned:

- 1 • Since the datasets were synthetically created, judicious use of the results is recommended, as
2 these are simplified models of hypothetical real cases;
- 3 • The approach allows to determine ideal U -values of the envelope elements only for general
4 use, not for specific building geometries;
- 5 • The U -values of the transparent and opaque elements were paired in a decreasing scale;
6 therefore, differently paired decreasing values may give somewhat different results;
- 7 • In order to obtain comparable results, the occupation and equipment/lighting usage patterns
8 are assumed equal for every location, which means neglecting different cultural and social
9 backgrounds that may affect the building operation; and,
- 10 • The buildings were generated without an urban context, thus neglecting the possible contri-
11 butions of solar radiation reflection or shadowing from the building surroundings.

12 3. Results

13 Fig. 6 presents the total, cooling, and heating energy consumption for air-conditioning boxplots
14 for each U -value group per climatic location. It also depicts the distribution of buildings per group.
15 The climatic locations are sorted ascending by latitude from top to bottom rows and the horizon-
16 tal axis corresponds to each U -value group, ranging from $0.4 \text{ W} \cdot \text{m}^{-2} \cdot \text{K}^{-1}$ to $6.0 \text{ W} \cdot \text{m}^{-2} \cdot \text{K}^{-1}$, in
17 steps of $0.2 \text{ W} \cdot \text{m}^{-2} \cdot \text{K}^{-1}$, for transparent elements, and from $0.1 \text{ W} \cdot \text{m}^{-2} \cdot \text{K}^{-1}$ to $1.5 \text{ W} \cdot \text{m}^{-2} \cdot \text{K}^{-1}$,
18 in steps of $0.05 \text{ W} \cdot \text{m}^{-2} \cdot \text{K}^{-1}$, for opaque elements. In all locations the amplitude of energy con-
19 sumption variation (*i.e.*, the difference between the maximum and minimum energy consumption)
20 tends to decrease as the U -values reduce. This happens due to the major contribution for the
21 total energy being the heating demands, in which case building compactness, openings orientation
22 and sizes have significant impact in improving the overall performance. However, in the South of
23 Europe, locations such as Lisbon (PRT), Toledo (ESP), and Porto (PRT), where climate is char-
24 acterized for being dry warm/hot summers and mild winters, as the U -values reduce the cooling
25 energy demand increases, thus becoming the major energy consumption factor. As this happens,
26 the energy performance worsens and the amplitude of energy consumption increases. On the other
27 hand, due to humid mild/cold winters and hot/warm summers in Bucharest (ROU), Milan (ITA),
28 and Paris (FRA), this effect is not noticeable and the cooling energy never inverts such tendency.
29 Finally, in cold/severe winter and warm/cool summer climates, such as Stockholm and Kiruna
30 (SWE), the cooling energy demand is almost neglectable. Therefore, the transposition of central
31 Europe passive building design guidelines to the Southern countries can lead to detrimental effects,
32 by worsening the buildings performance and, ultimately, requiring to change the design rules.

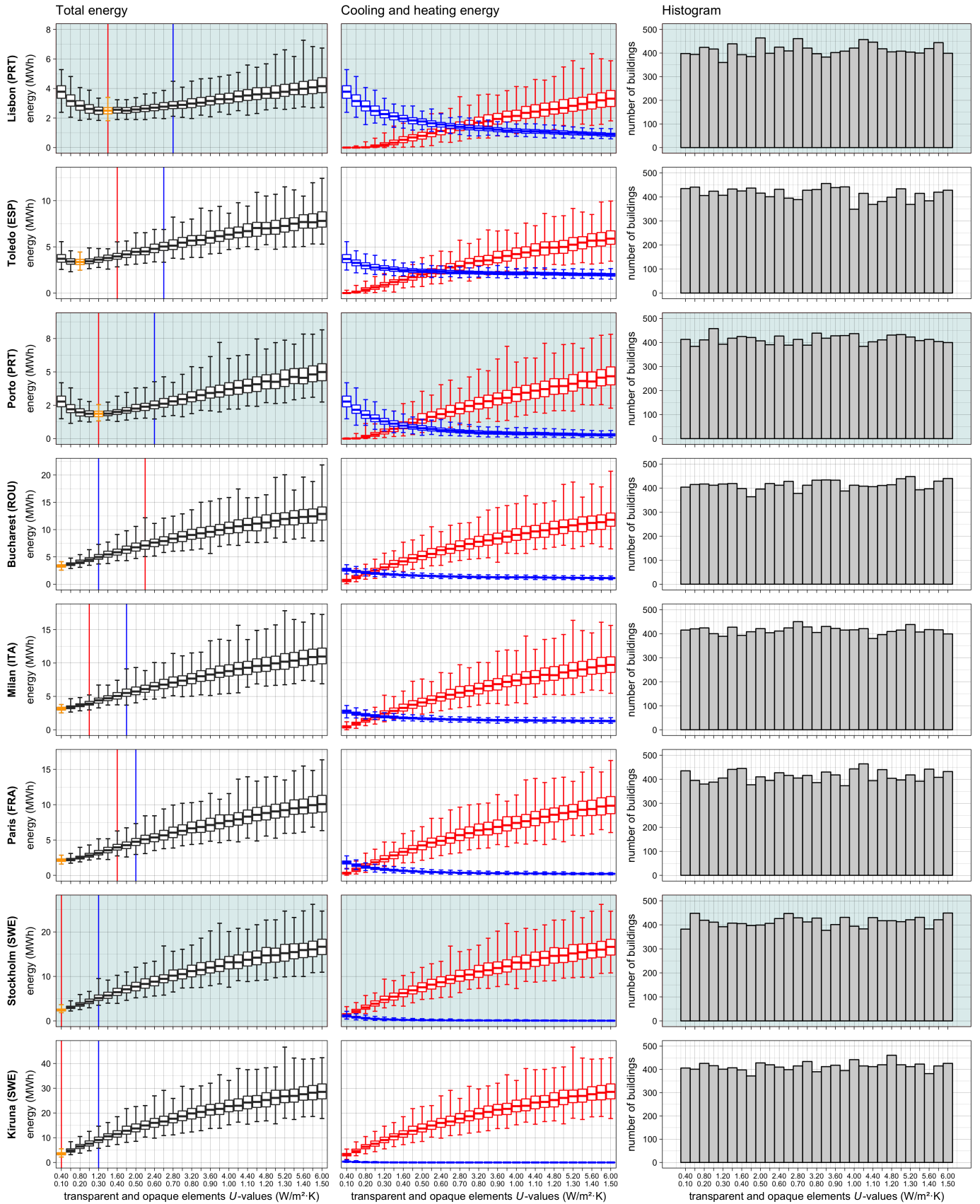


Fig. 6. Total, cooling, and heating energy consumption for air-conditioning boxplots (maximum reference U -values for opaque and transparent elements are marked as red and blue vertical lines, respectively) and histograms per U -value group per climate location. The orange boxplot in the left represents the U -value buildings group with the lowest average of energy consumption. Blue boxplots represent cooling energy and red boxplots the heating energy. Graphics with darker backgrounds correspond to coastal locations.

1 From the perspective of energy performance, the shifting point is marked in Fig. 6 by the
 2 orange boxplot that represent the lowest total energy average of the U -value scale. For Lisbon
 3 (PRT), Toledo (ESP), and Porto (PRT), the more promising U -values from energy performance
 4 perspective are for opaque elements 0.35 , 0.20 , and $0.30 \text{ W} \cdot \text{m}^{-2} \cdot \text{K}^{-1}$ and for transparent elements
 5 1.40 , 0.80 , and $1.20 \text{ W} \cdot \text{m}^{-2} \cdot \text{K}^{-1}$, respectively. For the remaining locations, the lowest U -value in
 6 the scale is the one with lowest total energy average. The energy performance percentage difference
 7 between the U -value group with the highest and the one with the lowest total energy average is 41 %
 8 (Lisbon – PRT), 58 % (Toledo – ESP), 63 % (Porto – PRT), 74 % (Bucharest – ROU), 72 % (Milan
 9 – ITA), 79 % (Paris – FRA), 85 % (Stockholm – SWE), and 88 % (Kiruna – SWE); therefore, the
 10 northern and colder locations are the ones that benefit the most from the decrease in the thermal
 11 transmittance.

12 It should be remarked that, for static comparison purposes (identical profiles), overnight venti-
 13 lation was not adopted for any of the locations. However, in reality, building occupants in southern
 14 locations could make use of this technique to dissipate excess heat during the summer period. In
 15 the case of this study, the free cooling or overnight ventilation would slightly decrease the cooling
 16 energy consumption for the entire U -values range. This would slightly modify the total energy
 17 curve in Fig. 6 as well, and, therefore, the group of U -values with the lowest energy consumption
 18 average.

19 The continuous lowering of thermal transmittance values in Southern countries, such as Portugal
 20 and Spain, imposed by building regulation is leading to a shift in the building design paradigm
 21 from heating to cooling demands. However, the impacts in the building geometry were not yet fully
 22 studied. Figs. 7 and 8 show, in the left graphic, the coefficient of determination for the correlation
 23 between some geometry-based indexes (V – building volume, RC – relative compactness, C_f –
 24 shape coefficient, WFR – window-to-floor ratio, WWR – window to wall ratio, WSR – window-
 25 to-exterior surface ratio, and WSR for orientation North, East, South, and West) and the U -value
 26 group for each climate region. In the right graphic, it is depicted for each sample pair index-
 27 group the calculated probability that did not reject the null hypothesis (H_0) for a threshold of
 28 p -value ≥ 0.01 . The green cells represent negative correlation (*i.e.*, the increase of such index
 29 decreases the energy consumption) and red cells depict positive correlation – the increase of both
 30 the index and energy consumption. The correlation scale (coefficient of determination, R^2) was
 31 considered having the intervals $[0, 0.2[$ for very weak, $[0.2, 0.4[$ for weak, $[0.4, 0.6[$ for moderate,
 32 $[0.6, 0.8[$ for strong, and $[0.8, 1]$ for very strong.



Fig. 7. Correlation of geometry indexes per U -value group per climate location (part 1/2). In the left graphic, green cells show negative correlation and red cells represent positive correlation (maximum reference U -values for opaque and transparent elements are marked as red and blue rectangles, respectively). The orange and bold font U -values columns represent WSR with $R^2 \leq 0.02$. On the right graphic, red cells indicate subgroups having p -value above or equal to the threshold of 0.01.

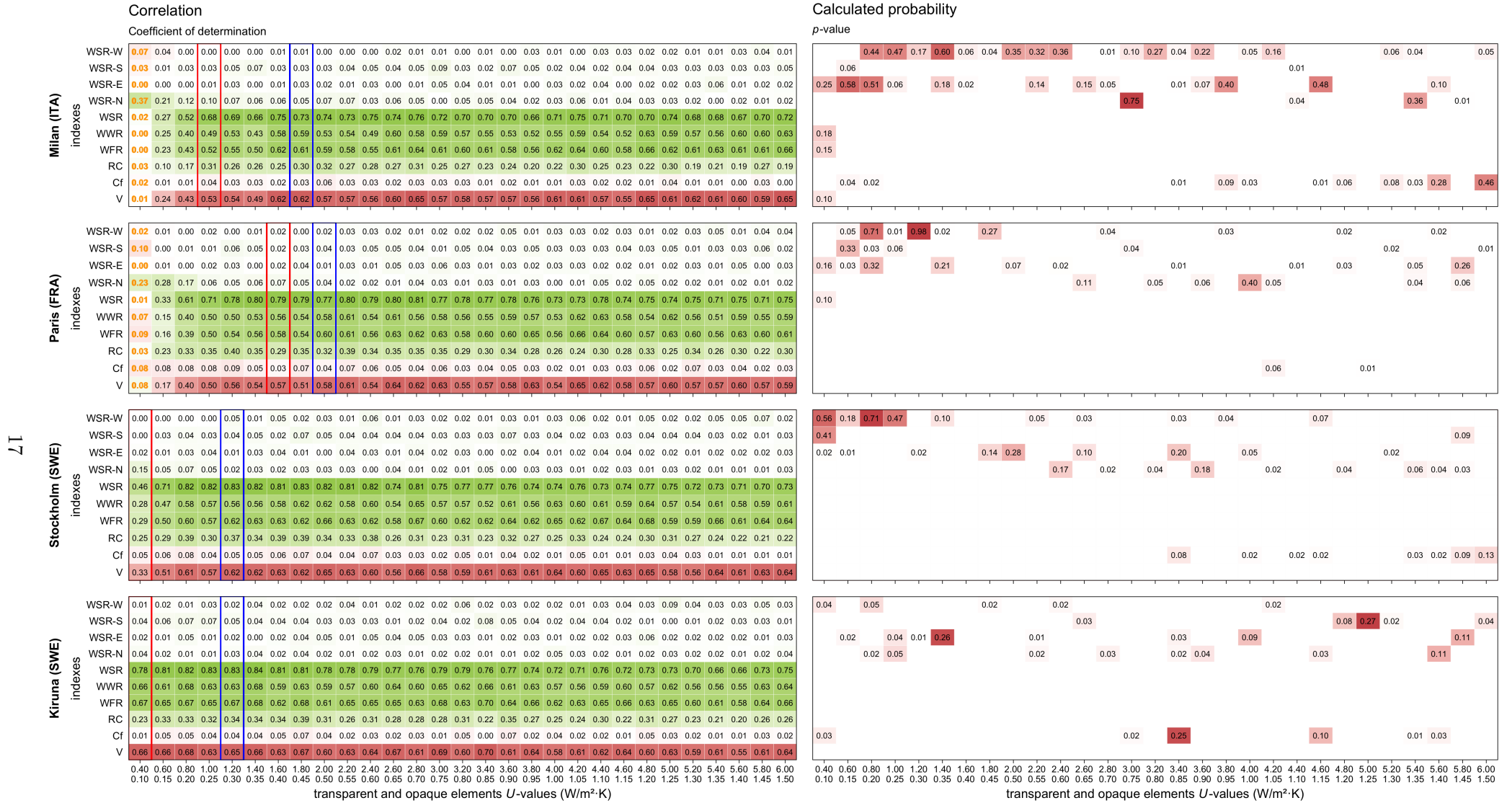


Fig. 8. Correlation of geometry indexes per U -value group per climate location (part 2/2). In the left graphic, green cells show negative correlation and red cells represent positive correlation (maximum reference U -values for opaque and transparent elements are marked as red and blue rectangles, respectively). The orange and bold font U -values columns represent WSR with $R^2 \leq 0.02$. On the right graphic, red cells indicate subgroups having p -value above or equal to the threshold of 0.01.

1 As depicted in Figs. 7 and 8, the building volume (V) has moderate positive correlation with
2 energy consumption for higher U -values. In other words, bigger buildings are unable to retain heat
3 and the bigger the volume the more energy is required to maintain the indoor environment within
4 the thermal comfort limits. As the U -values decrease, the correlation weakens, reaching almost
5 none for Lisbon (PRT), Toledo (ESP), Porto (PRT), Bucharest (ROU), Milan (ITA), and Paris
6 (FRA). In the case of the locations in the Iberian Peninsula, the building volume even becomes
7 negatively correlated, thus, due to overheating, the bigger the building the less energy it consumes.

8 Looking at the columns with orange values in Figs. 7 and 8, which correspond to the locations
9 where the WSR has a $R^2 \leq 0.02$ (arbitrary value for determining no correlation)—found only for
10 Lisbon (PRT), Toledo (ESP), Porto (PRT), Milan (ITA), and Paris (FRA)—, they mark the shift
11 point from the current geometric design guidelines—small and compact building shapes (positive
12 correlation of V and negative correlation of RC) and large windows (negative correlation for WSR ,
13 WWR , and WFR)—to another set of guidelines—small windows facing South and West/East
14 (positive correlation for $WSR-W$ and $WSR-S$), large windows facing North (negative correlation
15 for $WSR-N$), large and less compact buildings (negative correlation of V and positive correlation
16 of RC). Moreover, those referred columns define themselves a set of specific design orientations,
17 where the window size does not have significant impact (none or very weak correlation for WSR ,
18 WFR , and WFR), neither the building size and compactness (none or very weak correlation for
19 V and RC), while windows facing North contribute to improve the building performance (weak
20 negative correlation for $WSR-N$). Exclusively for Porto (PRT) and Toledo (ESP), the windows
21 facing West (very weak positive correlation for $WSR-W$) may increase the energy consumption.

22 Relatively to the building form indexes, the shape coefficient (C_f) does not present any kind
23 of correlation for any of the U -values and in any of the locations. This may be justified with the
24 volume variation of the generated buildings. However, when considering the relative compactness
25 (RC), the correlation goes from weak negative to none or very weak, thus meaning that the
26 building compactness tends to decrease the energy consumption. In the southern countries of
27 Europe, for very low U -values, the RC inverts its influence presenting very weak positive correlation
28 (compactness slightly increases energy consumption).

29 Regarding the influence of window indexes (WFR , WWR , and WSR) on energy consumption,
30 all locations present moderate to strong negative correlations for higher U -values, that tend to
31 decrease with decreasing U -values. Hence, for high U -values, the glazing areas improve the build-
32 ings performance by reducing the heating needs. For very low U -values, the windows' dimensions
33 no longer affect the building performance, except for Bucharest (ROU), Stockholm (SWE), and
34 Kiruna (SWE). In the cases of Lisbon (PRT), Porto (PRT), and Toledo (ESP), where the cooling
35 demands increase significantly for very low U -values, the window indexes show a weak positive

1 correlation, *i.e.*, glazing areas have a detrimental influence on the buildings' energy consumption.
2 Besides, for these three locations, the influence of windows orientation must be taken into account:
3 for low U -values, the $WSR-N$ present very weak and weak negative correlation, thus favorable for
4 energy performance; for very low U -values, $WSR-S$ has very weak positive correlation. While a
5 very weak positive correlation of $WSR-W$ is observed in Toledo (ESP) and Porto (PRT), $WSR-$
6 E shows a very weak positive correlation in Lisbon (PRT). Also noticeable is the fact that the
7 point of none or very weak correlation in Figs. 7 and 8, especially for the window-based indexes,
8 corresponds to the point of lower energy consumption in Fig. 6.

9 4. Discussion

10 According to Fig. 6, which depicts the maximum reference U -values for transparent (vertical
11 blue line) and opaque elements (the lowest value of all opaque envelope elements is marked as red
12 vertical line) obtained from each country legislation or from ref. [35], the U -values can be further
13 reduced, as the buildings performance may benefit from lower thermal transmittance. However,
14 for the cases of Lisbon (PRT), Toledo (ESP), and Porto (PRT), there is not much more space to
15 improve, as overheating may significantly increase. As depicted in Figs. 7 and 8 and considering
16 the reference U -values for transparent (marked as blue rectangle) and opaque (the lowest value
17 of all opaque envelope elements is marked as red rectangle) elements, it is possible to understand
18 that the influence of glazing areas and building shape have already changed for Lisbon (PRT),
19 Toledo (ESP), and Porto (PRT) and, if the thermal transmittances get lower for Milan (ITA)
20 and Stockholm (SWE), the design guidelines must also change. On the other hand, for Bucharest
21 (ROU), Paris (FRA) and Kiruna (SWE), U -values can get lower without compromising current
22 design guidelines: in the cases of Bucharest (ROU) and Paris (FRA), the reference U -values are
23 still high in comparison with those of other climate regions with similar latitudes; as for Kiruna
24 (SWE), the indicators do not change significantly in the studied U -value scale interval due to the
25 extreme cold weather.

26 The results of this study show that a clear relation between the thermal transmittance of
27 the construction elements and the buildings geometry does exist, which leads to the necessity of
28 rethinking the design guidelines. As U -values decrease in scenarios of major heating demands,
29 geometric variables (*e.g.*, windows size and orientation, and buildings compactness) become less
30 important. Therefore, the energy performance of buildings with different forms becomes equivalent,
31 with a lower performance amplitude. This means an increased freedom for the designer to explore
32 less compact shapes and larger glazing areas. Contrarily, in southern regions where cooling needs
33 increase due to warmer climates, decreasing U -values lead to higher energy consumptions, and
34 the influence of building geometry becomes important and must be analyzed in detail: (i) the

1 size of South and West facing windows is a detrimental factor for the energy performance; (ii)
2 North facing windows have larger sizes, while South and West facing windows should have small
3 sizes; (iii) the building shape should also be non-compact to facilitate the heat release through
4 the larger exterior surface areas. However, these instructions for warmer climates do not prevent
5 low U -value solutions from leading to worse performances than constructions with higher thermal
6 transmittances. In other words, there is an adequate U -value interval that combines the best
7 performance and the geometry freedom that designers desire. Moreover, the scale of U -values
8 per climate region can be very helpful for building practitioners to determine the most adequate
9 geometry guidelines for a pre-determined U -values. Depending on the position in the U -value scale,
10 the designer can expect the impact of the windows size and orientation and of the building shape
11 (more or less compact). The findings are the following:

- 12 • As the U -values get lower, the buildings energy consumption and the group energy perfor-
13 mance amplitude decrease, meaning that building practitioners are freer to explore other
14 building forms;
- 15 • In southern countries, for very low U -values, the tendency reverses: the average energy
16 consumption and the performance amplitude increase, meaning that the building geometry
17 starts to have influence again, however due to different reasons;
- 18 • In warm and moderate climates, due to very small cooling demands, the influence of buildings
19 shape and windows design have lower impact for very low U -values;
- 20 • In cold and subarctic climates, for very low U -values, besides not occurring significant cooling
21 needs, the influence of buildings shape and windows design have a smaller impact;
- 22 • Ideal U -values increase the buildings robustness, as these are less influenced by the geometry
23 variables (building shapes, openings dimensions and orientation have lower impact). However,
24 global warming may disrupt this balance by shifting the ideal thermal transmittance to higher
25 values and, consequently, increasing the energy consumption due to unpredicted cooling
26 needs. In future dwellings, new habits with higher internal gains may also contribute to
27 disrupt this balance; and lastly,
- 28 • When the energy consumption is at the lowest in the U -values scale, geometry-based indexes
29 present none or very weak correlations, thus meaning that the building performance improves
30 and building designers may explore alternative building forms and window dimensions.

31 **5. Conclusion**

32 In this study, 96 000 geometries were randomly generated, with random U -values for roofs,
33 exterior walls, suspended floors, exterior doors, and windows. Considering eight climate locations

1 in Europe, the energy performance of those buildings was evaluated, and the range of annual
2 energy consumption and its correlation with six geometry indexes were determined for each pair
3 of U -values of the opaque and transparent elements. The statistical analysis of this large synthetic
4 dataset allowed to determine the impact of the U -value variation in the energy performance and
5 building geometry. Therefore, the results are not related to a specific building geometry solution
6 but rather to a general trend observed from a great number of buildings analyzed. The impact of
7 U -values is presented in scale of values, thus allowing building practitioners to deduce the most
8 adequate design actions for each specific value of thermal transmittance for transparent and opaque
9 elements. Moreover, this methodology has potential applications, such as to improve the search
10 speed of optimization procedures that seek to find the best construction solution by using the most
11 promising U -values for a certain climate region, for instance as starting indicative values to be used
12 in early stages of building design, when the building geometry is still vague or not defined yet.

13 The main results showed that the U -values variation has implications in the current building
14 guidelines (building shape compactness and windows dimensions and orientations), depending on
15 the climate region. Some of the locations even present three sets of design guidelines, such as Lisbon
16 (PRT), Toledo (ESP), and Porto (PRT), and others two sets in extreme low U -values, such as Milan
17 (ITA) and Paris (FRA), due to the impact of cooling demand in the building geometry. For all
18 climate regions, lowering the U -values increase the building robustness to geometry variations and
19 reduces the energy consumption for air-conditioning up to a point where the overheating inverts
20 this tendency. Moreover, the results show that for warmer climates, very low U -values can have
21 a pernicious effect on the energy performance, by making the building more susceptible to the
22 geometry choices. Therefore, these results are themselves a useful instrument for the building
23 practitioners in the early stages of building design.

24 For future work, it would be important to study the impact of low U -values in other climatic
25 regions and building scenarios: single-story and high-rise buildings; non-residential buildings that
26 have daytime occupancy and great internal gains; low inertia buildings; and, buildings with shading
27 mechanisms (to understand if high efficient artificial lighting may lead to shading mechanisms being
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