

# How does energy technology innovation affect total factor ecological efficiency: Evidence from China.

Tuochen Li

Harbin Engineering University

Ziyi Shi (✉ [szy@hrbeu.edu.cn](mailto:szy@hrbeu.edu.cn))

Harbin Engineering University

Dongri Han

Harbin Engineering University

---

## Research Article

**Keywords:** Energy technology innovation, Total factor ecological efficiency, Ecological footprint, Spatial Durbin model, Panel threshold model

**Posted Date:** February 15th, 2021

**DOI:** <https://doi.org/10.21203/rs.3.rs-178418/v1>

**License:**   This work is licensed under a Creative Commons Attribution 4.0 International License.

[Read Full License](#)

---

1     **How does energy technology innovation affect total factor ecological efficiency:**

2   **Evidence from China**

3   Tuochen Li, Ziyi Shi<sup>\*</sup>, Dongri Han

4     Institution: School of Economics and Management, Harbin Engineering University, Heilongjiang,  
5   150001, China

6     **Abstract:** Recently, with the dual constraints of resources and environment, to accelerate the  
7     transformation of low-carbon energy driven by energy technology innovation has become a global  
8     development trend. On account of the provincial data during the period of 2000 to 2017, we creatively  
9     incorporate the ecological footprint into the measurement of total factor ecological efficiency so as to  
10    infer the coordinated development level of 3E system more precisely. In this paper, the dynamic spatial  
11    impact of energy technological innovation on regional total factor eco-efficiency is explored through  
12    the spatial Durbin model, and the complex nonlinear relationship between the two is further probed by  
13    constructing the panel threshold model. The following conclusions are obtained ultimately. First of all,  
14    both China's provincial ecological efficiency and energy technology innovation activities possess  
15    significant spatial positive correlation, which manifests as the spatial geographical distribution  
16    agglomerated by the similar characteristics; Secondly, the regional energy technology innovation has a  
17    remarkable spatial effect on ecological efficiency, which displays a U-shaped trend. And compared  
18    with the direct effect, the spatial spillover effect is more intense, along with more stronger long-term  
19    influence; Finally, taking the level of regional economic development as the moderating variable, the  
20    impact of energy technology innovation on eco-efficiency emerges a conspicuous threshold effect with  
21    two threshold values. Only when the level of economic development crosses the double threshold, can  
22    energy technology innovation activities significantly improve the regional total factor ecological  
23    efficiency. After the robustness test and discussion of the empirical model, relevant policy suggestions  
24    are put forward based on the conclusions of the paper.

25

26     **Key words:** Energy technology innovation; Total factor ecological efficiency; Ecological footprint;

27     Spatial Durbin model; Panel threshold model

## 28 1. Introduction

29 The deterioration of the ecological environment brought by the massive mining and  
30 utilization of fossil fuels, as well as the pollution emissions caused by energy consumption,  
31 have increasingly exceeded the environmental carrying capacity, thus posing a potential threat  
32 to both the economic security and social stability (Xu et al. 2019). Nevertheless, the problems  
33 of environmental protection and resource security are bound to affect the sustainable  
34 development of human society. The United Nations Climate Change Conference, which has a  
35 history of 25 years so far, has gone through four important stages: the Convention, the Kyoto  
36 Protocol, the Bali Road Map and the Durban Platform. Against the backdrop of global climate  
37 change and environmental degradation, the world has substantially entered the stage of  
38 low-carbon development (Chen and Golley 2014; Deng and Yang 2019). With the promotion of  
39 clean energy revolution, energy transformation is stepping into a historical climax in the world.  
40 To be specific, the basic path of the energy transition can be attributed to two aspects of energy  
41 structure adjustment and energy technology progress (Zhou 2010; Shafiei 2014). In the course  
42 of energy transition, compared with the ultimate goal of energy structure transformation,  
43 energy technology innovation, as the main driving force of energy transformation, plays a more  
44 decisive role in realizing energy system transformation and achieving sustainable development  
45 (Wu 2017).

46 According to China's Action Plan on Energy Technology Revolution and Innovation  
47 (2016-2030), a sound energy technology innovation system suited to China's national  
48 conditions will be established by 2030, with the overall energy technology level reaching the  
49 international advanced level. This is not only a crucial approach to support the synergetic

50 development of the energy industry and ecosystem in China, but also an ambitious goal of  
51 China's becoming a world power in energy technology. At the 75th session of the United  
52 Nations General Assembly in September 2020, Chinese President Xi stressed increasing  
53 China's outstanding contribution and adopting more forceful policy measures to peak carbon  
54 dioxide emissions by 2030 and strive to be carbon neutral by 2060. An innovation-driven  
55 systemic transformation of energy is a pivotal prop for achieving China's goal of "carbon  
56 neutrality" by 2060, high-quality energy development, and "green recovery" in the  
57 post-epidemic period (An 2020). The energy technology has been highly valued in China. In  
58 2015, the Chinese Academy of Engineering launched the "Strategic Research on China's  
59 Energy Technology Revolution System" major consulting project, covering nine major projects  
60 including nuclear energy, accumulation energy, solar energy, wind power, oil and gas, coal,  
61 hydropower, biomass energy, smart grid and energy network integration. In this project, the  
62 energy technology route is divided into three phases: forward-looking technologies (2020),  
63 innovative technologies (2030) and disruptive technologies (2050) (Zhou 2020).

64 The construction of ecological civilization is one of the most crucial fundamental  
65 strategies of China. The reason why ecological efficiency is widely valued is that it is usually  
66 accompanied by lower energy consumption and higher resource allocation rate. In the  
67 meantime, a high ecological efficiency is a symbol of a pleasant ecological environment and  
68 high-quality economic development. It is worth noting that energy technology innovation  
69 activities are inseparable from the coordinated development of economy, ecology and energy.  
70 Whereas, this further triggers us to think deeply: How do energy technology innovation  
71 activities concretely affect ecological efficiency? How is the result of its impact like? Take it

72 further, does this influence differ due to the heterogeneity of regional development? In order to  
73 explore these issues, this paper discreetly adopts both the spatial Durbin model and threshold  
74 panel model to lucubrate detailed influence forms, effects and mechanisms of energy  
75 technology innovation on China's regional total factor ecological efficiency, taking China's  
76 provincial data from 2000 to 2017 as samples.

77 Based on this, we may have the following four marginal contributions:①In terms of the  
78 definition of energy technology innovation, this paper not only includes the exploitation and  
79 application of renewable energy in previous studies, but also brings the targeted energy saving  
80 and emission control of traditional fossil fuels into the research framework of energy  
81 technology innovation. The comprehensive definition adapts to the current status of China in  
82 the energy transition stage better as well as provides profound reference for other developing  
83 countries in the period of energy transition; ②The original energy input is substituted by the  
84 regional ecological footprint which is measured by advanced energy-ecological footprint  
85 method. Since then, the measurement of total factor ecological efficiency has covered  
86 multi-dimensional factors such as labor, capital, ecology, energy, pollution output and  
87 economic output, which reflects the evolution and current situation of the coordinated  
88 development of regional ecological economy across the board; ③ After passing the spatial  
89 statistical test of the ordinary mixed panel, this study steps to establish the spatial econometric  
90 model and discuss the spatial effects of energy technology innovation on ecological efficiency  
91 during the dynamic period, which could partly corrects the possible deviation of previous  
92 non-spatial panel models; ④ According to the static threshold panel results, the complex  
93 influence and influence mechanism of energy technology innovation activities on the

94 development of regional green economy under different economic development levels are  
95 further analyzed.

96 This article contains the following structure: Section 2 sorts the domestic and foreign  
97 research status of energy technology innovation, economic growth, environmental performance  
98 and total factor ecological efficiency; Section 3 provides the theoretical basis and research  
99 hypothesis of this paper, and constructs two kinds of econometric models; An empirical results  
100 of two econometric models are presented in Section 4; Then Section 5 performs a brief  
101 discussion of the empirical findings and the last part summarizes the main conclusions of the  
102 research and some pertinent policy recommendations are finally comes up with.

## 103 **2. Literature review**

### 104 **2.1 Research on the relationship between energy technology innovation and economic 105 growth**

106 In the relevant foreign studies, by analyzing the spillover effect of renewable energy  
107 technology in Italy empirically, Magnani and Vaona (2013) found that the spillover effect of  
108 renewable energy technology could actively boost the regional economic increase; Built on the  
109 Kuznets Curve Hypothesis, Sun et al. (2020) discussed the long-term influence relationship  
110 between China's regional economic growth and renewable energy technology, and believed that  
111 renewable energy technology innovation would improve economy growth in the long run; Guo  
112 (2007) is one of the earliest scholars in China who sensed the connection between energy  
113 technology and economic growth. Through VAR and VECM model which were constructed by  
114 using the data of China and India from 1965 to 2004, he studied and compared both the

115 short-term and long-term impact of economic gain and energy factors incorporated into  
116 technology between the two countries. It was found that unlike India, the energy technology  
117 innovation goes against China's economic growth in the short term whose fluctuations are  
118 relatively large; Similarly, after constructing the dynamic CGE and MCHUGE model, Liu and  
119 Hu (2014) also probed into the influence of energy technologies on macroeconomic variables in  
120 different stages. They finally concluded that the pulling function of energy technology  
121 innovation on the economy is distinct, which is even stronger if the non-agricultural sector is  
122 mentioned, embodying the advantage for the adjustment of industrial structure in long-term;  
123 According to the Laspeyres decomposition results of China's green transformation of industrial  
124 economy, Wu (2017) hold that, in contrast to the energy restructure and the environmental  
125 effects of clean energy, the reformation in the energy technology is exactly a fundamental way  
126 to improve China's green economic growth; On the side, by means of a transcendental function  
127 model contained bias technological progress, Qian (2019) sought the economic growth effect of  
128 various types of energy saving technological progress through three-stage least square method  
129 (3SLS), obtaining that independent innovation of energy technology could exert the largest  
130 economic growth effect.

## 131 **2.2 Research on the relationship between energy technology innovation and** 132 **environmental performance**

133 Existing studies on the correlation between the innovation in energy technology and  
134 environmental performance mainly focus on two aspects -- carbon dioxide emissions and green  
135 economy development.

136 In view of carbon dioxide emissions, taken the European counties as the sample which

137 cover the data of energy R&D and carbon footprint, both the linear and nonlinear models were  
138 built separately by Altintas and Kassouri (2020). The results showed that during the period of  
139 1985 to 2016, the technological innovation of energy in European countries curbed carbon  
140 footprint reduction effectively; As far as the dynamic panel of energy technology patents and  
141 carbon dioxide emissions with the regional data in China was concerned, Wang et al. (2012)  
142 discovered that patents related to fossil energy technologies would not impose an effective effect  
143 on CO<sub>2</sub> emissions, while patents on carbon-free energy technologies could remarkably reduce  
144 CO<sub>2</sub> emissions, especially in the eastern regions; Homoplastically, when the research object  
145 was replaced by the carbon intensity, Cheng and Yao (2021) also reached the conclusion of  
146 regional heterogeneity, but they deemed that such inhibitory effect of renewable energy  
147 technology innovation could only be realized in the long run.

148 In view of the green economic development, scholars have basically affirmed the positive  
149 impact of energy technology innovation, but there was regional heterogeneity in the influence  
150 relationship under different conditions, stages and environments. For instance, by conducting  
151 empirical research on the sample data of inland provinces in China through VAR model, Zhang  
152 (2019) possessed that energy technology patents are positively correlated with the coordination  
153 degree of regional ecological construction, which displays distinctiveness in various regions  
154 since that such effect hinged on the composition of technology patents and the consumption of  
155 energy; Zhang (2015) believed that the relationship between energy technology innovation and  
156 green development is not purely linear through the factor substitution effect, drawing the  
157 conclusion that the impact of technological progress on energy consumption based on  
158 technological innovation demonstrates an inverted U shape; By establishing the partial linear

159 norm function model, Yan et al. (2020) investigated the association between technology  
160 innovation on sustainable energy and green total factor productivity growth at different income  
161 levels, confirming that only if the standard of regional income level exceeded the critical point,  
162 can the innovation of renewable energy technology play an expected role in total factor  
163 ecological efficiency. Once the income level passed the turning point, the total factor ecological  
164 efficiency would follow the same trend as the level of income; Moreover, some scholars also  
165 pointed out that in areas with backward economic development, energy technological  
166 innovation would inflict a two-way externality, that is, the application and promotion of  
167 technological innovation in poor areas would be hindered due to the "free rider" behavior, thus  
168 overwhelming its beneficial influence on the green development (Ley et al. 2016).

### 169 **2.3 Research on total factor ecological efficiency**

170 The ecological efficiency is a symbol of the degree of coordination between economy and  
171 ecological environment, which is usually represented by the proportion of the economic benefit  
172 of productive events to the environmental ecological impact (Schaltegger and Stum 1990). In  
173 comparison to the single factor energy efficiency measured by depletion of resources per unit of  
174 gross domestic product, what makes the total factor ecological efficiency unique is that it  
175 contains various factors of input and output. Therefore, the total factor ecological efficiency is  
176 the optimum selection for systematically and comprehensively estimating the development  
177 level of green economy under the demand of sustainable development (Li and Hu 2012). On the  
178 strength of different methods, scholars have measured the total factor ecological efficiency and  
179 obtained different results, thus concluding the status quo of the energy-environment-economy  
180 system and its improvement path (Wang et al. 2017).

181 In the aspect of the measurement methods of total factor ecological efficiency, stochastic  
182 frontier analysis (SFA) and data envelope analysis (DEA) are the star approaches in the field of  
183 efficiency measurement. For instance, on the basis of SFA, He et al. (2017) proposed the  
184 potential space for regional energy saving and pollution reduction in China after evaluating the  
185 environmental efficiency in various regions. Yet, it is worthy of attention that compared with  
186 SFA, the undesired output represented by environmental impact can be included in the research  
187 system, and the independent impact of efficiency changes and technological progress can be  
188 distinguished as well by means of DEA. In previous studies, scholars prevalingly analyzed  
189 total factor ecological efficiency from the perspectives of labor, capital and energy resource  
190 input (Wang et al. 2016). While in recent years, a handful of scholars have realized the  
191 importance of ecological input for sustainable development, replaced simple energy  
192 consumption with ecological footprint, thus assessing the status quo of regional ecological  
193 efficiency and ecological pressure in China (Shi and Wang 2016). The ecological footprint is  
194 the total land area consumed by various resources, characterizing the extent of human  
195 consumption of resources and the degree of the waste produced by digestion of human nature  
196 (Wackernagel and Rees 1996). In comparison to a single index of energy consumption,  
197 ecological footprint can mirror the human's consumption of ecological environment and  
198 various resources in a more comprehensive way.

199 In the aspect of the influencing factors of total factor ecological efficiency, scholars have  
200 pointed out a variety of factors from multiple perspectives, such as economic scale (Chen and  
201 Golley 2014), industrial green transformation (Han et al. 2020), industrial structure (Lin and Du,  
202 2015), technological progress (Yang et al. 2017), technological innovation (Cai and Zhou 2017)

203 and so on. Through the empirical analysis of China's provincial and regional data, Chen (2016)  
204 and Wu (2018) respectively concluded that technological progress and technological  
205 innovation are indispensable forces to improve total factor ecological efficiency and build a  
206 sound ecological construction. And similarly, Ghisetti and Quatraro (2017) hold homologous  
207 views, believing that green technology innovation and energy technology innovation are the  
208 tractive power for regional green economic gain and sustainable development.

209 The existing research related to the innovation in energy technology and total factor  
210 ecological efficiency authentically provide the theoretical basis for this paper. However, there  
211 are few researches on the relationship between the two all over the world, and there remains  
212 some room for improvement in the previous literature.

213 First of all, the existing research on energy technology innovation is biased towards  
214 theoretical research which lacks sufficient empirical test. Nevertheless, in the existing  
215 quantitative studies on energy technology innovation, the innovation based on clean energy  
216 technology is usually adopted to represent the power of energy innovation, without considering  
217 the innovation activities for improving energy conservation and emission reduction of  
218 traditional fossil energy. In other words, there is no comprehensive consideration for the current  
219 innovation-driven energy structure transformation.

220 In the second place, the definition and measurement of the total factor ecological  
221 efficiency principally started with the input and output indexes. As far as the indicators of input  
222 were concerned, only the factors such as labor, capital and energy were considered, with few  
223 scholars including the ecological footprint in the research framework (Xing et al. 2018). What  
224 calls for special attention is that in the research on energy technology innovation and green

225 economic growth, there was no literature that examines the relationship between the two from  
226 the perspective of ecological consumption.

227 Moreover, in terms of model application, some scholars have preliminarily confirmed the  
228 regional heterogeneity and difference of the impact of energy technological innovation on total  
229 factor ecological efficiency through VAR model, dynamic panel model and other models. It is  
230 indeed not difficult to find the lack of conventional nonlinear test analysis based on threshold  
231 model in empirical research. Simultaneously, the existing research have primarily affirmed the  
232 spatial distribution characteristics of the total factor ecological efficiency (Lin 2017). On the  
233 other hand, as a branch of technological elements, energy technological innovation may well  
234 have the common spatial spillover effect of technological innovation activities. However, it  
235 remains certain space in the research on the spatial effects of energy technology innovation on  
236 total factor ecological efficiency.

### 237 **3. Theoretical analysis and research methods**

#### 238 **3.1 Theoretical analysis**

239 As a technology element, energy technology itself is a non-competitive public good. When  
240 innovation activities are carried out within the region, "energy technology diffusion" and  
241 "energy technology spillover" will occur successively, that is, the unconscious outflow and  
242 acceptance of technology. Within the region, through the accumulation of knowledge, high-end  
243 human capital and other elements, unique energy technology innovation achievements will be  
244 formed, such as enterprise production mode, renewable energy development equipment, energy  
245 saving and emission reduction devices. The spillover of energy technologies is reflected in the

246 accelerated transformation of these innovation achievements through the imitation, learning,  
247 investment and consumption of external regions, and thus exerts positive externalities, showing  
248 that the social benefits are greater than the benefits of individual enterprises. In addition, energy  
249 technology reform will also urge the transformation of the green industrial structure in  
250 neighboring areas to a certain extent, forming a model for regional energy technology to lead  
251 and drive industrial development.

252         Nevertheless, in the process of energy technology spillover, it does not necessarily lead to  
253 the favorable growth of total factor ecological efficiency in different regions. The effect of such  
254 influence depends on many factors (Fu 2009), among which the geographical distance, the  
255 absorptive capacity of receiving region and the technological diffusion capacity of sending  
256 region are the three elements that do really matter (Shangguan 2016). To be specific, the  
257 geographical proximity of different regions makes for technical overflow and knowledge  
258 diffusion no matter from the perspective of economic development level, or the perspective of  
259 the level of transportation and information technology. The closer the geographical location is,  
260 the more conducive it is to transform the hidden technology spillover into the explicit  
261 technology spillover; As a key influencing factor, the absorptive capacity of technology  
262 undertaking region is an abstract concept integrating many factors such as regional social  
263 culture, management policy, industrial structure and development level. The degree of  
264 economic growth often implies the extent of the region's ability to absorb spillover technology;  
265 The diffusion of regional technology is mediated by the accumulation and circulation of human  
266 capital, and it has various diffusion effects on the external regions, thus giving play to different  
267 technology spillover effects.

268           On such a basis, this article comes to formulate Hypothesis 1: There is a spatial spillover  
269 effect of energy technology innovation on total factor ecological efficiency, and the spatial  
270 effect is uncertain.

271           According to effect of crowding out and factor substitution, the initial energy technology  
272 innovation is mostly characterized by high cost, low return and long product innovation cycle,  
273 and such immature energy technology innovation cannot bring into play good economies of  
274 scale and environmental benefits (Fan 2020). In addition, the innovation input of industrial  
275 enterprises in energy utilization and development will crowd out the original productive  
276 investment of enterprises to some extent, and produce the crowding out effect on other types of  
277 technological innovation, which leads to the low efficiency in distributing enterprises resources  
278 and the destruction of overall economic and environmental benefits. According to the  
279 infrastructure lock-in effect and the "valley of death" hypothesis, the application and  
280 popularization of energy technology in regions with backward economic development is  
281 restricted by many institutions, such as technological system, social system and political system  
282 (Geels 2007). Due to the imperfect infrastructure construction of energy supply and  
283 consumption, the energy technology is easy to fall into the "chicken and egg" paradox, making  
284 it hard to develop on a large scale. In regions with different levels of economic development,  
285 their market stability and investment environment are widely divergent. Hence, the promotion  
286 of energy technology innovation products will face different prospects and risks, and even the  
287 application of some energy technology innovation products will fall into the "valley of death"  
288 where the capital chain is broken (Ehlers 1999). In terms of the environmental Kuznets curve  
289 hypothesis, Naqv et al. (2020) verified the environmental Kuznets hypothesis (EKC) and the

290 renewable energy Kuznets curve hypothesis (REKC) for high income groups through 155  
291 European countries. Alola (2020) found that among the four types of economies (high, medium  
292 high, medium low, low income), energy technology innovation only played a conspicuously  
293 inhibiting role on CO<sub>2</sub> discharge in the countries with high and medium income.

294 In consideration of previous analysis, this study puts forward Hypothesis 2: There is a  
295 complex link between the innovation in energy technology and total factor ecological efficiency.  
296 Meanwhile, under the adjustment of the level of regional economic development, the influence  
297 of energy technology innovation on total factor ecological efficiency appears as a nonlinear  
298 shock.

## 299 **3.2 Research Methods**

### 300 **3.2.1 Spatial econometric model**

301 Characteristics of technology spillovers is widely accepted by the academic point of view.  
302 Therefore, this paper focuses on the transformation of energy technology for space effect of  
303 total factor of ecological efficiency. On this basis, space factors in the innovation of energy  
304 technology are added in the model. The spatial panel Durbin model is firstly constructed, and  
305 the statistical tests are used to determine whether the spatial panel Durbin model can be  
306 degenerated into the model of spatial lag model or spatial error, and then the spatial effects of  
307 energy technology transformation on the total factor ecological efficiency are further explored.  
308 In this paper, the spatial Durbin model (Anselin 1988) is constructed as follows:

$$309 \quad Y = \rho WY + \alpha l_N + X\beta + WX\theta + \varepsilon \quad (1)$$

310 Where,  $Y$  is the column vector of the explained variable  $TFEP$  in different regions of  
311 each year. Following the STIRPAT framework which is widely used in environmental

312 economics, this paper selects energy technology innovation  $ET$  as a variable to measure  
313 technological level and uses population density  $Pop$  and capital affluence  $Cap$  to represent  
314 population factors and regional affluence, respectively. In addition, due to the increasing  
315 number of factors affecting total factor eco-efficiency, environmental regulation  $Reg$  and  
316 openness to the outside world  $Fdi$  are also included in this paper.  $X$  is a matrix composed  
317 of core variable  $lnET$ , quadratic item and control variables such as  $Pop$ ,  $Cap$ ,  $Reg$ ,  $Fdi$  ;  
318  $WY$ 、 $WX$  respectively represent two different interaction effects in spatial metrology, that is  
319 endogenous interaction effect and exogenous interaction effect;  $\rho$  is the spatial  
320 autoregression coefficient, while  $\gamma$  is the spatial autocorrelation coefficient and  $\varepsilon$  represents  
321 the error term. Additionally, the model also contains two parameter column vectors  $\beta$  and  $\theta$   
322 to be estimated.

### 323 3.2.2 Threshold model

324 This study adopts the non-dynamic panel threshold regression model proposed by  
325 Hansen (Hansen 1999) to examine whether there is a threshold effect between energy  
326 technology innovation and total factor eco-efficiency. As an econometric model of nonlinear  
327 relation test, this method can not only accurately calculate the threshold value, but also verify  
328 the significance of endogenous "threshold characteristics". Therefore, a single threshold  
329 model is established as follows:

$$330 \quad TFEP_{it} = \mu_i + \omega_1 lnET_{it} \times I(lnpGDP_{it} \leq \gamma) + \omega_2 lnET_{it} \times I(lnpGDP_{it} > \gamma) + \omega X_{it} + \varepsilon_{it}(2)$$

331 In Equation (2), the meanings of dependent variable, core explanatory variable and each  
332 control variable are the same as above. The threshold variable in the model is expressed by  
333 the level of economic development  $lnpGDP$ ,  $\omega$  is the corresponding coefficient vector, and

334  $\gamma$  is the threshold value. The formula also contains an index function  $I(\bullet)$ , whose value is 1  
 335 when the corresponding condition holds, otherwise is 0.  $\varepsilon_{it} \sim iid(0, \delta^2)$  is the random  
 336 interference. Moreover, once the model passes the double threshold test, the following  
 337 equation can be set up.

$$\begin{aligned}
 338 \quad TFEP_{it} = & \mu_i + \omega X_{it} + \omega_1 \ln ET_{it} \times I(\ln pGDP_{it} \leq \gamma_1) + \omega_2 \ln ET_{it} \times I(\gamma_1 < \\
 339 \quad & \ln pGDP_{it} \leq \gamma_2) + \omega_3 \ln ET_{it} \times I(\ln pGDP_{it} > \gamma_2) + \varepsilon_{it} \quad (3)
 \end{aligned}$$

340 It should be noted that, in the above formula,  $\gamma_1 < \gamma_2$  and the meanings of other  
 341 indicators are consistent with that of formula (2).

### 342 3.3 Variable description

343 The explained variable: Total factor ecological efficiency *TFEP*. In this paper, a super  
 344 efficiency SBM model considering non-expected outputs is adopted to measure total factor  
 345 ecological efficiency which can effectively avoid the problem of efficiency overestimation  
 346 and non-radial adjustment of input and output efficiency. When conditions are relaxed, it is  
 347 more realistic to assume that returns to scale are variable. At the same time, this paper selects  
 348 a non-directed super-efficiency SBM model and constructs an adjacent reference Malmquist  
 349 index (Adjacent Malmquist). In the choice of input and output indicators, referring to  
 350 researchers such as Yan et al. (2020) and Shen et al. (2020), the paper creatively adds the  
 351 ecological footprint measured by the improved energy-ecological method (Yang and Zhu  
 352 2016; Tan and He 2016). Table 1 shows the inputs of various biological accounts and energy  
 353 accounts and the elements of input-output listed in Table 2 are selected after careful  
 354 consideration in the study.

355 **Table 1** The index table of input and output

	Capital
Input	Labour
	Ecological footprint
Output	Gross domestic product
	Carbon dioxide emissions

356

357

**Table 2** Ecological footprint account

Land type	Species of biological resources
Arable land	Cereals, beans, potatoes, cotton, oil plants
woodland	Wood, tea, fruit, apple, pear, grape
Grassland	Beef, pork, mutton, milk, poultry eggs
Fossil energy land	Crude oil, natural gas, kerosene, coke, diesel, gasoline, fuel oil, coal
Construction land	Electric power
Water area	Fish, shrimp, crabs and other aquatic products

358

Core explanatory variable: Energy technology innovation  $lnET$ . This study divides

359

energy technology innovation into two categories, including the advancement of fossil fuels

360

technology and the research on the exploitation and application of clean energy technologies

361

(Sagar, 2004). According to the reality in China, the innovation in energy technology of new

362

energy technology research is mainly manifested in the technological innovation of non-fossil

363

energy (such as the energy of wind, ocean, biomass energy, etc.), while the technological

364

innovation in the original energy system is mainly reflected in the improvement and

365

breakthrough of technologies such as energy conservation and pollution reduction (Guo 2013).

366

On this basis, this paper gives a comprehensive definition of energy technology

367

transformation from the two angles of technology innovation in new energy utilization and

368

technology innovation in energy save and emission discharge. Drawing on the practices of Ye

369

(2018), Fan (2020) and Li and Lin (2016), the number of patent applications for "non-fossil

370 energy (new energy and renewable energy)" and the number of patent applications for  
371 "energy saving and emission reduction" respectively represent the two aspects of energy  
372 technology innovation described above.

373       Threshold variable: Economic development level  $\ln pGDP$ . Drawing lessons from  
374 existing research, this article uses the deflated regional real per capita gross domestic product  
375 to evaluate the threshold variable of the economic development level after it is processed  
376 logarithmically.

377       Control variables: Capital affluence  $Cap$  is represented by the ratio of the industrial  
378 sector's equity to GDP; Population density  $Pop$  is manifested by the ratio between the total  
379 number of permanent residents in the region at the end of the year and the area under the  
380 jurisdiction of the province (Qiu and Zhou 2020); Environmental regulation  $Reg$  is indicated  
381 by the proportion of completed pollution control in GDP (Wang 2016); Degree of openness  
382  $Fdi$ . Since foreign direct investment can affect the environment and regional economy  
383 through technology spillovers or knowledge spillovers and pollution transfer effects (Ma  
384 2014), the degree of openness is calculated by dividing foreign direct investment by gross  
385 domestic product.

386       Spatial weight matrix: 0-1 adjacent distance weight matrix. Based on Rook's neighbors,  
387 this study establishes a 0-1 adjacency matrix. In particular, when two spatial decision-making  
388 units have a common boundary, it is 1, otherwise it is 0. The significance of 0-1 spatial weight  
389 matrix lies in that only when two regions are adjacent can certain spatial correlation occur. In  
390 the matrix construction, it is assumed that Hainan Province and Guangdong Province have the  
391 condition of being adjacent to Rook. The matrix is set up as follows:

392 
$$\omega_{ij} = \begin{cases} 1, & \text{region } i \text{ is adjacent to region } j \\ 0, & \text{region } i \text{ and region } j \text{ are not adjacent} \end{cases} \quad (4)$$

393 **3.4 Data source**

394       Setting the year from 2000 to 2017 as the research period, this paper selects 30 mainland  
395 regions in China as the research data. Due to the obvious data missing in Hong Kong, Taiwan,  
396 Tibet and Macao, we have eliminated them. The total factor ecological efficiency data  
397 processed in this paper are nearly obtained from *China Statistical Yearbook* and *Wind -*  
398 *Economic Database*; The data of energy technology innovation came from the public patent  
399 database retrieved by *Shanghai Intellectual Property (Patent) Public Service Platform*. In the  
400 specific operation, the search scope is positioned at "non-fossil energy" and "energy  
401 conservation and emission reduction" technologies. The abstract and keywords are set as  
402 "solar energy *or* wind energy *or* ocean energy *or* biomass energy *or* nuclear energy *or*  
403 hydrogen energy *or* hydro energy *or* geothermal energy *or* chemical energy *or* renewable  
404 energy *or* new energy" and "energy saving and pollution reduction" respectively.  
405 Simultaneously, the specific types of patents are set as invention patents and utility model  
406 patents after excluding design patents; The consumption of various types of energy are mainly  
407 from *China Energy Statistical Yearbook*, *National Energy Model Integration Platform of*  
408 *Beijing Institute of Technology* and various public statistical information; The data of  
409 economic development level and control variables stem from *China Statistical Yearbook*,  
410 *China Population and Employment Statistical Yearbook*, and *Annual Database by Provinces*  
411 on the website of the *National Bureau of Statistics*.

412       In order to avoid the lack of credibility and comparability of the data caused by price

413 fluctuations, the paper sets the base period as 2000, deflates the prices of all monetary  
 414 quantities, and adjusts them to comparable prices by means of a basket of price indexes such  
 415 as fixed asset investment price indexes. Moreover, for fear of the heteroscedasticity and  
 416 multicollinearity, the logarithm processing is carried out on the related variables. Table 3  
 417 shows the specific descriptive statistical results of the correlation coefficient matrix of each  
 418 variable.

419 **Table 3** The descriptive statistics of each variable

Variable	Mean	Variance	Max	Min
<i>TFEP</i>	0.999	0.174	1.651	0.455
<i>lnET</i>	5.188	1.611	8.959	0.000
<i>Cap</i>	0.542	0.153	1.305	0.243
<i>Pop</i>	0.043	0.061	0.383	0.001
<i>Reg</i>	0.002	0.001	0.010	0.000
<i>Fdi</i>	0.430	0.526	5.480	0.000
<i>lnpGDP</i>	10.021	0.833	11.768	7.881

420

## 421 **4. Empirical analysis of energy technology innovation on China's total factor** 422 **ecological efficiency**

### 423 **4.1 Estimation result of the spatial econometric model**

#### 424 **4.1.1 Spatial correlation test**

425 Before proceeding with the specific selection and application of the spatial measurement  
 426 model, the spatial correlation analysis of economic activities should be carried out first, which  
 427 usually adopts Moran index, Lagrange multiplier form LMLAG, LMERR and its robust form  
 428 Robust-LMLAG, Robust-LMERR test, etc. In this study, Moran's index is firstly adopted to  
 429 examine whether the target data is spatially dependent, and then Lagrange multiplier form and

430 spatial effect decomposition are applied to make a more comprehensive judgment.

431 Specifically, the Moran index is defined as follows:

$$432 \quad \text{Moran's } I = \frac{n}{\sum_{i=1}^n \sum_{j=1}^n w_{ij}} \cdot \frac{\sum_{i=1}^n \sum_{j=1}^n w_{ij} (x_i - \bar{x})(x_j - \bar{x})}{\sum_{i=1}^n (x_i - \bar{x})^2} \quad (5)$$

433 Secondly, in order to make up for the shortcomings of the global Moran index

434 measurement, this paper introduces the Moran scatter diagram and Lisa cluster diagram,

435 which are the local spatial correlation test indexes, so as to concretely analyze the spatial

436 distribution characteristics within 30 provinces. The following is the definition of the local

437 Moran index (Moran P A 1950).

$$438 \quad \text{Local Moran's } I = \frac{n^2}{\sum_{i=1}^n \sum_{j=1}^n w_{ij}} \cdot \frac{(x_i - \bar{x}) \sum_{i=1}^n \sum_{j=1}^n w_{ij} (x_j - \bar{x})}{\sum_{i=1}^n (x_i - \bar{x})^2} \quad (6)$$

439 Table 4 displays that both the provincial total factor ecological efficiency and energy

440 technology innovation in China present an obvious spatial correlation on the whole, especially

441 in recent years, the positive spatial correlation is more obvious. Meantime, the variation trend

442 of Moran Index in different years is not consistent, indicating that the inter-provincial total

443 factor ecological efficiency and energy technology transition in China are greatly affected by

444 the spatial distribution, showing an evident spatial cluster feature. Figure 1 and Figure 2

445 respectively express the partial Moran scatter plots of the mean total factor ecological

446 efficiency and mean energy technology innovation during the sample period. It can be seen

447 the first and third quadrants alone cover most of the points, indicating that both exhibit the

448 feature of "high-high" aggregation (Beijing, Tianjin, Shanghai and other provinces) and

449 "low-low" aggregation (Qinghai, Xinjiang, Yunnan and other mid-west regions), suggesting

450 that province of internal efficiency level with strong spatial similarity.

451

**Table 4** Spatial correlation test

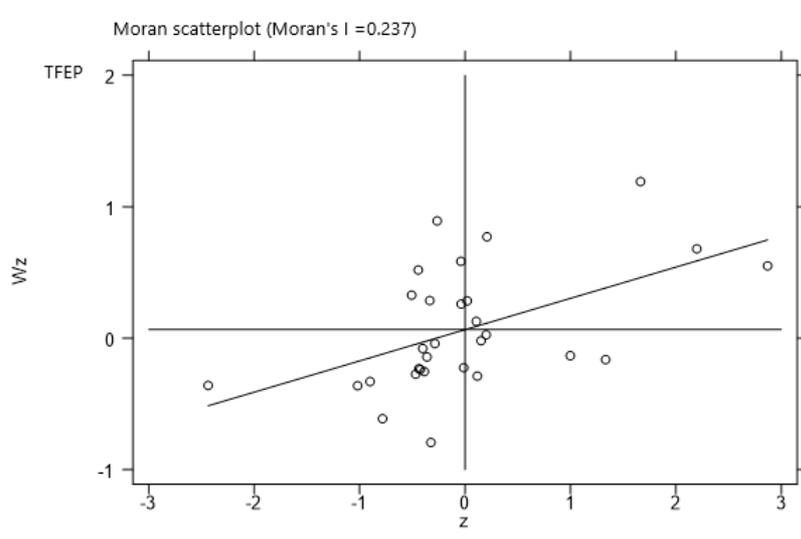
---

<i>TFEP</i>	<i>lnET</i>
-------------	-------------

---

Year	Moran	Z-score	Moran	Z-score
2000	-	-	0.000	0.287
2001	0.451***	3.934	0.081	0.950
2002	0.280***	2.533	0.097	1.084
2003	-0.043	-0.066	0.028	0.530
2004	0.028	0.507	0.078	0.934
2005	-0.062	-0.232	0.052	0.718
2006	-0.090	-0.489	0.115	1.232
2007	0.279***	2.637	0.160*	1.586
2008	-0.038	-0.031	0.168**	1.653
2009	0.074	0.894	0.198**	1.903
2010	0.166**	1.653	0.217**	2.051
2011	0.187**	1.886	0.293***	2.687
2012	0.238***	2.323	0.266***	2.437
2013	0.204**	2.030	0.217**	2.049
2014	0.185**	2.001	0.253***	2.355
2015	0.148**	1.661	0.293***	2.644
2016	0.169**	1.962	0.270***	2.463
2017	0.071	0.970	0.213**	2.009

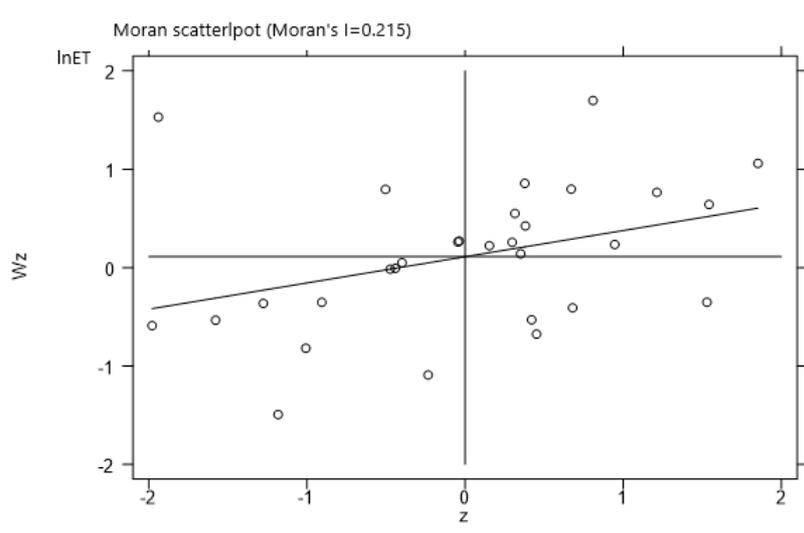
452 Note: The statistical values at 10%, 5% and 1% levels are indicated by \*, \*\* and \*\*\* respectively.



453

454

**Fig.1.** The Moran scatter plot of total factor ecological efficiency



455

456

**Fig.2.** The Moran scatter plot of energy technology innovation

457 Actually, Moran index test is a preliminary test of spatial dependence and heterogeneity

458 of total factor ecological efficiency. Before the formal analysis of spatial measurement

459 models, we also need to estimate the non-spatial panel models and examine their statistics,

460 that is, the existence of spatial correlation should be further judged by LM test. In this paper,

461 OLS, spatial fixed effect model, time fixed effect model and spatial and temporal fixed effect

462 model are all combined for model estimation (Xiao 2018), and Table 5 summarizes the results

463 for several types of models. According to the LM test and the significance level of the robust

464 LM test of the four panel models, it is found that there is indeed a large bias in the traditional

465 panel model which is non-spatial. Instead, it remains essential to establish the spatial

466 econometric model. Furthermore, following Lagrangian test and judgment rule, we should

467 pay close attention to the results of the spatial lag model (SLM).

468

**Table 5** Non - spatial panel LM test

Panel type	Mixed OLS	Spatial fixed	Time fixed	Spatial and time fixed
LM-lag	99.258***	296.083***	32.278***	0.492
Robust LM-lag	11.930***	59.900***	19.512***	3.655*
LM-error	155.699***	255.923***	16.179***	0.035

Robust LM-error	68.371***	19.739***	3.413*	3.198*
Log L	434.124	563.810	559.029	885.218

469 Note: LM and Robust LM refer to Lagrange multiplier test and Robust test respectively;

470 The statistical values at 10%, 5% and 1% levels are indicated by \*, \*\* and \*\*\* respectively.

#### 471 4.1.2 Empirical results of spatial Durbin model

472 Wald test and LR test are two indispensable parts to conduct the spatial econometric  
473 model. They are adopted to severally examine the possibility that the spatial Durbin model  
474 can degenerate into SLM or SEM under the condition that the model results vary greatly  
475 due to the different types of models. If both test results reject the null hypothesis, it can be  
476 considered that SLM or SEM cannot be selected. Hereby, the spatial Durbin model is finally  
477 conducted in this paper. In the selection of specific effects, models of specific effects are  
478 considered through the test Hausman and LR. In line with Table 6, the three test statistics  
479 have passed the 1% significance level test, showing an invalid original hypothesis. Therefore,  
480 we finally choose to establish the dual fixed-effect spatial Durbin model.

481 **Table 6** SDM degradation test results

Test	Statistics	P value
Wald-SLM	77.210	0.000
Wald-SEM	83.190	0.000
LR-SLM	73.150	0.000
LR-SEM	76.970	0.000
Hausman	373.520	0.000
LR-ind	141.650	0.000
LR-time	208.080	0.000

482 It can be concluded from Table 7, in the three types of spatial Durbin model with  
483 different effects, the spatial lag coefficient  $\rho$  of the dependent variable is significantly  
484 positive, which further proves the positive spatial correlation of the regional total factor

485 ecological efficiency. As far as the internal regions are concerned, the influence of energy  
486 technology patent  $lnET$  on total factor ecological efficiency  $TFEP$  presents a U-shaped  
487 pattern, showing a change from negative to positive. Capital affluence  $Cap$  exerts an  
488 effectively positive force on total factor eco-efficiency, while population density  $Pop$  has an  
489 adverse impact to some extent; From a spatial perspective, by integrating  $Wx * lnET$  and  
490  $Wx * (lnET)^2$ , it is easy to find an apparent spatial effect between the patents of energy  
491 technology innovation and regional green development, which also displays a U-shaped  
492 change. Notably, the spatial influence coefficients are greater than those within the region,  
493 which are -0.276 and 0.021, respectively. In terms of the four control variables, except for the  
494 level of environmental regulation  $Reg$ , other variables all demonstrate significant spatial  
495 influence.

496 **Table 7** The results of SDM model

Effect type Variable	Spatial fixed		Time fixed		Spatial and time fixed	
	Coefficients	Z Values	Coefficients	Z Values	Coefficients	Z Values
$lnET$	0.029	1.430	0.066***	4.060	-0.054***	-2.620
$(lnET)^2$	0.000	-0.210	-0.002	-1.350	0.006***	3.390
$Cap$	0.242***	3.860	0.176***	4.140	0.262***	4.380
$Pop$	-0.802	-1.370	-0.373***	-3.060	-2.042***	-3.580
$Reg$	3.784	0.790	-19.088***	-4.610	3.468	0.730
$Fdi$	0.002	0.140	-0.009	-0.660	0.007	0.520
$W*lnET$	-0.055*	-1.840	-0.019	-0.670	-0.276***	-6.910
$W*(lnET)^2$	0.007***	2.890	0.004*	1.680	0.021***	7.350
$W*Cap$	-0.303***	-2.660	-0.004	-0.050	-0.194*	-1.720
$W*Pop$	-6.176***	-4.120	-0.773**	-2.290	-9.064***	-6.330
$W*Reg$	19.446**	2.200	-6.463	-0.590	-5.624	-0.510
$W*Fdi$	-0.026	-0.630	-0.005	-0.130	0.077*	1.820
$\rho$	0.625***	17.530	0.289***	4.970	0.188***	3.130
$\sigma^2$	0.010***	15.890	0.012***	16.250	0.008***	16.35
Log-likelihood	451.805		418.592		522.631	

497 Note: The statistical values at 10%, 5% and 1% levels are indicated by \*, \*\* and \*\*\* respectively.

498 Due to the fact that one of the main features of spatial Durbin panel model is the spatial  
499 rebound effect between variables, relying solely on the influence of variables and their lagged  
500 items can not fully reflect their spatial correlation. More critically, we focus on the spatial  
501 decomposition effect of explanatory variables on explained variables after treating the spatial  
502 econometric model with partial differentiation, including direct effect, spillover effect and the  
503 total effect of both. Among them, the direct effect includes the spatial feedback cumulative  
504 effect of the spillover effect of the province to its neighboring provinces, that is, it includes  
505 the feedback effect of the spillover effect of its own province and the spillover effect of the  
506 neighboring provinces (Yuan et al., 2020); The indirect effect refers to the spillover effect,  
507 that is, the spatial diffusion of the influence of the province on the neighborhood. And the  
508 total spatial effect covers the previous two types of effects in a given province, but it is not  
509 simply a summation.

510 Table 8 demonstrates the spatial effect decomposition results of both short term and  
511 dynamic long term. The following is the concrete analysis. ①In terms of direct effect, the  
512 level of technological innovation within the region has a non-linear U-shaped relationship  
513 with the provincial total factor eco-efficiency, that is, the number of energy technology  
514 patents has different influences on the green productivity in various areas. In view of the  
515 coefficient, every 1% change in the weighted number of the energy technical innovation in the  
516 early stage will reduce the regional total factor ecological efficiency by 0.073%, while it will  
517 increase the economic level by 0.006% in the later stage. Meanwhile, compared with the  
518 short-term direct effect, the significance level of the long-term direct effect has no obvious

519 change, but the influence coefficient is larger, manifesting that the long-term influence is  
520 stronger;<sup>②</sup>In terms of indirect effect, the overflow influence of energy technology innovation  
521 on ecological efficiency in external regions also has a U-shaped relationship, which is  
522 consistent with the above analysis results and provides empirical support for Hypothesis 1. In  
523 the long run, the spatial effects are greater than the short-term spillover effects, which are  
524 -0.392 and 0.030 respectively. In addition, the inter-regional impact coefficients of energy  
525 technology innovation are all greater than its direct effect coefficients, indicating that the  
526 spatial indirect effect of energy technical patents cannot be ignored;<sup>③</sup>In terms of the total  
527 effect, Since energy technology innovation has the same influence on total factor ecological  
528 efficiency in direct and indirect effects, its cumulative total effect is a larger with a more  
529 significant level. Similarly, the spatial total effect shows a significant U-shaped effect, which  
530 verifies the first half of hypothesis 2 in this paper. In general, the spatial impact of energy  
531 technology innovation level on total factor ecological efficiency reflects a significant  
532 U-shaped relationship with a stronger spatial spillover effect, and emerges as a stable  
533 long-term shock.

534 **Table 8** The decomposition of spatial effect

Effect type	Variable	Short-term SDM		Long-term SDM	
Direct effect	<i>lnET</i>	-0.073***	-3.420	-0.080***	-3.700
	$(lnET)^2$	0.006***	3.400	0.007***	3.650
	<i>Cap</i>	0.248***	4.170	0.245***	4.070
	<i>Pop</i>	-2.973***	-4.730	-3.210***	-5.050
	<i>Reg</i>	3.199	0.630	2.997	0.580
	<i>Fdi</i>	0.015	1.020	0.017	1.130
	<i>lnET</i>	-0.355***	-6.980	-0.392***	-6.860
Indirect effect	$(lnET)^2$	0.027***	7.470	0.030***	7.280
	<i>Cap</i>	-0.226	-1.630	-0.221	-1.460
	<i>Pop</i>	-11.953***	-6.400	-13.237***	-6.330

	<i>Reg</i>	-11.504	-0.790	-12.158	-0.770
	<i>Fdi</i>	0.096*	1.860	0.106*	1.870
	<i>lnET</i>	-0.429***	-7.490	-0.472***	-7.300
	$(lnET)^2$	0.033***	7.630	0.036***	7.430
	<i>Cap</i>	0.022	0.140	0.024	0.140
	<i>Pop</i>	-14.927***	-7.430	-16.447***	-7.210
Total	<i>Reg</i>	-8.305	-0.500	-9.160	-0.500
effect	<i>Fdi</i>	0.111**	1.990	0.123**	1.990

535 Note: The statistical values at 10%, 5% and 1% levels are indicated by \*, \*\* and \*\*\* respectively.

### 536 4.1.3 Robustness test

537 In the spatial panel, an appropriate spatial weight matrix is the key factor for the success  
538 of model building. The results may differ significantly depending on the type of matrix. In  
539 consequence, this paper selects two spatial weight matrices concerning the geographic  
540 distance and information distance as a robustness test of the model, so as to provide evidence  
541 for the credibility and stability of the above empirical results of spatial Durbin model and its  
542 decomposition effects. Table 9 collects the models of two types of robustness tests, which are  
543 conducted on the basis of double fixed SDM models. The results show that the number of  
544 significant variables and the influence direction of variable coefficient are the same as the  
545 results in this paper. Moreover, there is no contradiction between the three kinds of effects and  
546 the above conclusions, and the spatial effect coefficient is even larger, manifesting that the  
547 model establishment is more rational.

548 **Table 9** SDM robustness test

Matrix type		Geographical distance		Information distance	
		weight matrix		weight matrix	
Effect	Variable	Coef.	z	Coef.	z
Main	<i>lnET</i>	-0.065***	-3.100	-0.079***	-3.810
	$(lnET)^2$	0.005***	2.940	0.007***	3.710

Wx	$W*\ln ET$	-0.624***	-5.010	-1.242***	-5.890
	$W*(\ln ET)^2$	0.066***	6.590	0.100***	6.680
Direct	$\ln ET$	-0.050**	-2.270	-0.063***	-2.940
	$(\ln ET)^2$	0.004*	1.920	0.005***	2.920
Indirect	$\ln ET$	-0.384***	-4.060	-0.966***	-4.390
	$(\ln ET)^2$	0.041***	5.280	0.078***	4.600
Total	$\ln ET$	-0.433***	-4.640	-1.030***	-4.630
	$(\ln ET)^2$	0.045***	5.800	0.083***	4.830
Log-likelihood			504.361		505.932

549 Note: The statistical values at 10%, 5% and 1% levels are indicated by \*, \*\* and \*\*\* respectively.

## 550 4.2 Estimation result of the threshold panel model

### 551 4.2.1 Empirical results of threshold panel model

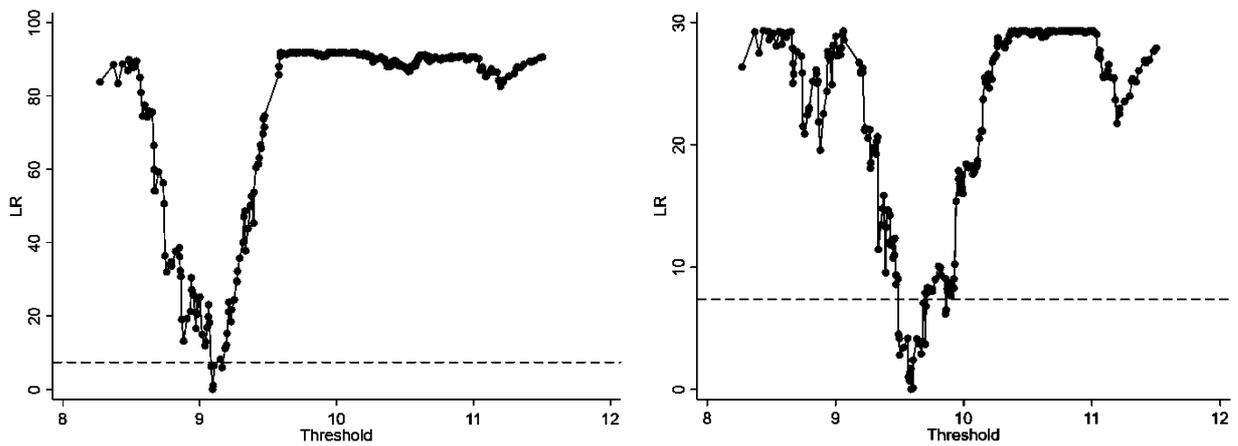
552 On account of theoretical analysis and statistical analysis, it can be seen that the core for  
553 the non-linear relationship between energy technology innovation and total factor ecological  
554 efficiency lies in the intervention of intermediate mechanism. In light of the extremely uneven  
555 development of various provinces in China, this study empirically explores the complex  
556 mechanism among the innovation in energy technology and regional total factor ecological  
557 efficiency under the heterogeneous level of economic development in different areas. In the  
558 threshold model, the F value and the corresponding self-sampling P value are obtained after  
559 400 repeated sampling, as demonstrated in Table 10. Based on the value of P in the Table 10,  
560 it can be judged that the model not only passes a single threshold, but also has a second  
561 threshold. In other words, it is highly possible to have a double threshold effect of economic  
562 development level, with two thresholds 9.0933 and 9.5651. Consequently, this paper will  
563 analyze the double threshold effect in detail.

564 **Table 10** The statistics of different threshold effects

Threshold	F value	P value	Critical value		
			1%	5%	10%
single	127.250***	0.000	32.344	41.592	47.621
double	33.450***	0.000	17.957	20.991	22.938
triple	11.630	0.880	37.319	38.668	55.505

565 Note: The statistical values at 10%, 5% and 1% levels are indicated by \*, \*\* and \*\*\* respectively.

566 To acquire the threshold and the confidence interval in a more intuitive way, we further  
567 identify the threshold value by feat of the least square likelihood ratio statistic LR. The  
568 threshold estimate is the statistic when LR is zero. Figure 3 presents the likelihood ratio  
569 function graphs covering the two threshold values respectively.



570 **Fig.3.** The function graphs of Likelihood ratio of two threshold values (a) and (b)

571 Table 11 presents the two existing thresholds and their confidence intervals of the  
572 threshold model which are obtained through software analysis. In combination with Figure 3,  
573 it is easy to find that the threshold values at the 95% confidence level are respectively [9.0626,  
574 9.1199] and [9.4934, 9.5788], and all the LR values are less than the critical value of 7.35  
575 which is at the significance level of 5% (as shown by the dotted line in the figure).

576 **Table 11** Thresholds and confidence intervals

Test	Threshold value	95% confidence interval
Single threshold	9.093 3	[9.062 6, 9.119 9]

Double threshold	9.565 1	[9.493 4, 9.578 8]
------------------	---------	--------------------

577 In accordance of the threshold regression, it is concluded that the driving impact of  
578 energy technology patents on total factor eco-efficiency is not monotonically incremental (or  
579 degressive). The effect coefficient of energy technology innovation varies evidently in  
580 different provinces, that is, as the economic development level continues to increase, it will  
581 first inhibit the regional total factor ecological efficiency and then have a completely opposite  
582 effect. To a certain extent, it is consistent with the "U" shaped curve in spatial Durbin model  
583 with the addition of spatial lag term and spatial direct effect. Specifically, when the level of  
584 economic development is lower than 9.0933, every 1% optimization of energy technology  
585 innovation will lead to a 0.056% decrease in the level of green economy; When the value of  
586 per capita income crosses the first threshold, that is, when the *lnpGDP* is between 9.0933  
587 and 9.5651, the direction of the influence of energy technology patents on the regional total  
588 factor ecological efficiency changes structurally. The effect coefficient changed from negative  
589 to positive, while the parameter estimates does not pass the significance test; As the level of  
590 economic development continues to rise, its inhibitory effect is weakened, whereas not  
591 significant; Once the adjustment variable is greater than 9.5651, the elasticity coefficient of  
592 energy technology innovation activities turns to 0.017, passing the significance level test of  
593 5%, which further validates the hypothesis 2 of this article. The above results illustrate that  
594 the optimal interval is the high value interval of the economic development level, at which  
595 point the energy technology innovation can raise the regional total factor ecological efficiency  
596 in a more productive way.

597 **Table 12** The estimation results of the double threshold effect model

<i>TFEP</i>	Coef.	Std. Err.	t	P >   t	95%	Conf. Interval
-------------	-------	-----------	---	---------	-----	----------------

<i>Cap</i>	0.199***	0.074	2.690	0.007	0.054	0.344
<i>Pop</i>	0.397	0.645	0.610	0.539	-0.871	1.665
<i>Reg</i>	13.662**	5.531	2.470	0.014	2.795	24.530
<i>Fdi</i>	-0.012	0.017	-0.730	0.463	-0.045	0.020
<i>lnET (lnpGDP≤9.0933)</i>	-0.056***	0.012	-4.630	0.000	-0.080	-0.033
<i>lnET(9.0933&lt;lnpGDP≤9.5651)</i>	-0.010	0.010	-0.960	0.336	-0.031	0.011
<i>lnET(lnpGDP&gt;9.5651)</i>	0.017**	0.008	2.200	0.028	0.002	0.031
<i>cons</i>	0.827***	0.054	15.330	0.000	0.721	0.933

598 Note: The statistical values at 10%, 5% and 1% levels are indicated by \*, \*\* and \*\*\* respectively.

#### 599 4.2.2 Robustness test

600 In order to avoid instability of the estimation, a robustness test is inevitably performed to  
601 examine the threshold effect of different types of energy technology innovation on total factor  
602 ecological efficiency. For this purpose, the energy technology innovation is divided into  
603 technology innovation for energy conservation and emission reduction of traditional energy  
604 *lnET1* and technology innovation for comprehensive utilization of renewable energy *lnET2*.  
605 This paper conducts threshold regression for the two variables respectively, and the estimation  
606 are summarized in Table 13. It is not hard to find that for each type of energy technology  
607 innovations, no significant fluctuations have occurred in the value of the impact coefficient or  
608 the level of significance. More specifically, both the threshold effect and threshold value are  
609 similar to the above, and there is no apparent fluctuation in the measurement results of the  
610 control variables. On this basis, it can be considered that the threshold model constructed in  
611 this paper has good robustness.

612 **Table 13** Robustness test of threshold model

Model	Model (1)		Model (2)	
	Coef.	t	Coef.	t
<i>TFEP</i>				
<i>Cap</i>	0.188**	2.570	0.174**	2.390
<i>Pop</i>	0.342	0.540	0.206	0.330

<i>Reg</i>	14.988***	2.730	13.518**	2.430
<i>Fdi</i>	-0.015	-0.930	-0.006	-0.380
<i>lnET1 (lnpGDP≤9.0982)</i>	-0.053***	-4.380		
<i>lnET1(9.0982&lt;lnpGDP≤9.5897)</i>	-0.005	-0.510		
<i>lnET1(lnpGDP&gt;9.5897)</i>	0.018**	2.350		
<i>lnET2 (lnpGDP≤9.0934)</i>			-0.077***	-6.390
<i>lnET2(9.0934&lt;lnpGDP≤9.6052)</i>			-0.009	-0.970
<i>lnET2(lnpGDP&gt;9.6052)</i>			0.018***	3.010
<i>cons</i>	0.826***	15.100	0.847***	16.240

613 Note: The statistical values at 10%, 5% and 1% levels are indicated by \*, \*\* and \*\*\* respectively.

## 614 5. Discussion

615 Spatial econometric models indicate a significant U-shaped spatial impact between  
616 energy technology innovation and regional total factor ecological efficiency, among which the  
617 spillover effect between regions is more evident. The reason may lie in that although  
618 technology patent is a kind of intangible asset, the positive externality of knowledge and the  
619 mobility of human capital will facilitate the circulation and imitation of technology elements.  
620 In the short term, due to the immaturity energy technology, the region's own technology  
621 diffusion and technology reception capacity are very limited. At this time, the spillover  
622 technology elements can not bring positive learning and imitation between regions. On the  
623 contrary, due to the absorption of immature energy technologies which are not suitable for the  
624 region itself, the comprehensive economic benefits are not ideal as expected. In the long run,  
625 the energy technology matures into a viable technology, during which time the absorption  
626 capacity of the technology undertaking region is relatively strong. Under the premise of  
627 economic stability, the integration and imitation of different types of energy technology  
628 elements can further optimize industrial structure and improve the level of productivity, thus  
629 increasing the green ecological efficiency.

630 In accordance with the double threshold effects, it is easy to find that the relationship  
631 between energy technology innovation and regional total factor ecological efficiency also  
632 presents a U-shape, in which two inflection points exist. The probable reason may be that  
633 compared to pursuing green development goals, low-income areas concentrate on the  
634 improvement of economic aggregates. In this case, the effective application of energy  
635 technology could be prevented by both the conditions of energy application infrastructure and  
636 the investment environment of energy technology. Ulteriorly, energy technology innovation  
637 will exert an unfavorable influence on total factor ecological efficiency because of resource  
638 occupancy and capital crowding out effect; As the level of regional development reaches a  
639 certain level, its industrial structure becomes more reasonable. The economic development  
640 model characterized by intensification is more conducive to the consumption and  
641 development of non-fossil energy, and regional concepts of environmental protection and  
642 needs of green development fit into the achievements of energy technology innovation as well.  
643 In the mass, the development of energy technology innovation activities can reduce the  
644 innovation cost and effectively improve the level of cleaner production in such regions in all  
645 probability. Besides, a better economic foundation can ensure a sound infrastructure supply  
646 and stable market conditions, enabling the adoption of energy technologies across the "valley  
647 of death". Thus, it will get the utmost out of the ecological protection advantages of  
648 carbon-free energy technology innovation and effectively promote the perfection of regional  
649 ecological efficiency.

## 650 **6. Conclusions and suggestions**

651 Considering STIRPAT model framework in the environmental economics, this study

652 explore the complicated effect of innovation in energy technology on the provincial total  
653 factor eco-efficiency in China. Using China's inter-provincial panel data and setting the  
654 research period as 2000 to 2017, this paper firstly adopts a requisite spatial correlation test  
655 and the spatial Durbin model which is based on three types of spatial weight matrices to probe  
656 both the short-term and long-term spatial relations of energy technology innovation and green  
657 economic development. As far as the spatial effect is concerned, we make a selective analysis  
658 of the spatial spillover effect of technology and verify hypothesis 1 successfully; Moreover,  
659 the mechanism of the nonlinear relationship between the two is further studied. Under the  
660 regulation of regional economic development level, this study investigates the sophisticated  
661 correlation between energy technology innovation and total factor eco-efficiency during the  
662 energy transition period, thus confirming the second hypothesis in Section 3. In short, the  
663 main conclusions of this paper are summarized as below ①Considering the ecological input,  
664 the total factor ecological efficiency appears positive spatial related among provinces in China,  
665 presenting the feature of "high-high" and "low-low" spatial agglomeration. At the same time,  
666 energy technology innovation, which covers energy conservation and emission reduction  
667 technologies of traditional fossil energy and development and utilization technologies of  
668 renewable energy, also appears apparent spatial dependence characteristics; ② Energy  
669 technology innovation has a significant spatial impact on the regional total factor ecological  
670 efficiency, whether it is a direct spatial effect, a spillover effect or a total effect, all present a  
671 "U"-shaped relationship, among which the effect of spatial spillover is stronger and the  
672 long-term effect is greater; ③ The influence of innovation activities in energy technology s  
673 on regional total factor ecological efficiency is characterized by a nonlinear shock with the

674 regional economic development level as the threshold. As the per capita income level of the  
675 region keep crossing the threshold value, the work form of energy technology innovation's  
676 effect on regional total factor ecological efficiency changes from prohibitive to acceerative. In  
677 the provinces with high level of economic development, energy technology innovation can  
678 prominently increase regional total factor eco-efficiency, while in the middle economic  
679 development interval, energy technology patents have not worked very well.

680 To raise the ecological efficiency is a key element to realize domestic green and  
681 sustainable development, thus ensuring to achieve China's international carbon emission  
682 reduction and carbon neutrality commitments. And to accelerate energy transition driven by  
683 the technology innovation is a key action to improve regional total factor ecological efficiency.  
684 For this purpose, this paper puts forward the following three suggestions. ①Collaborate to  
685 build an energy technology science and technology park, and promote the innovation model  
686 of industry-university-research cooperation. The agglomeration of new energy industry can  
687 make up for the lack of regional differences. Drified by capital and market advantages, the  
688 central city can play an innovative leading role in surrounding cities and realize the  
689 coordinated development of regional energy technology. Moreover, the industry can further  
690 accelerate the transformation of energy technology innovation achievements and boost the  
691 social and economic benefits of energy technology application through the cooperation with  
692 research institutes and universities; ② Coordinate the promotion of open innovation of  
693 energy technology and realize the regional application of cutting-edge energy technology.  
694 While improving the regional energy technology innovation capability, the spatial spillover  
695 effect of energy technology innovation on all-factor eco-efficiency is fully demonstrated

696 through inter-regional open innovation. By this means, the absorption and transformation of  
 697 cutting-edge energy technology can be effectively realized, so as to exert stronger impetus on  
 698 innovation-driven regional low-carbon green economic development; ③ Create a new energy  
 699 technology application environment and accelerate the intensive growth of the regional  
 700 economy. Driven by the continuous development of regional economy, the government ought  
 701 to take incentive measures to improve the clean energy infrastructure conditions, create a  
 702 good market environment for the application and promotion of energy technology, raise the  
 703 awareness of clean production in the region, thus gradually realize the coordinated  
 704 development of energy-economy-environment system.

## 705 **Appendix**

706 **Table 14** The region division of different threshold interval

Year	Low level of economic development	Intermediate level of economic development	High level of economic development
2000	Other provinces except Shanghai Hebei, Shanxi, Inner Mongolia, Liaoning, Jilin, Heilongjiang, Jiangsu, Anhui, Fujian, Jiangxi, Shandong, Henan, Hubei, Hunan,	Shanghai	
2004	Guangdong, Guangxi, Hainan, Chongqing, Sichuan, Guizhou, Yunnan, Shaanxi, Gansu, Qinghai, Ningxia, Xinjiang Shanxi, Heilongjiang, Anhui,	Tianjin, Zhejiang	Beijing, Shanghai
2008	Jiangxi, Henan, Hubei, Hunan, Guangxi, Hainan, Chongqing,	Hebei, Inner Mongolia, Liaoning, Jilin, Fujian, Shandong	Beijing, Tianjin, Shanghai, Jiangsu, Zhejiang, Guangdong

---

	Sichuan, Guizhou, Yunnan, Shaanxi, Gansu, Qinghai, Ningxia, Xinjiang		
2012	Guizhou, Gansu	Shanxi, Heilongjiang, Anhui, Jiangxi, Henan, Hunan, Guangxi, Hainan, Sichuan, Yunnan, Qinghai, Ningxia, Xinjiang	Beijing, Tianjin, Hebei, Inner Mongolia, Liaoning, Jilin, Shanghai, Jiangsu, Zhejiang, Fujian, Shandong, Hubei, Guangdong, Chongqing, Shaanxi
2017		Yunnan, Gansu	Other provinces except Yunnan and Gansu

---

707

708 **Ethics approval**

709 Not applicable

710 **Consent for participate**

711 Not applicable

712 **Consent for publication**

713 Not applicable

714 **Conflict for publication**

715 Not applicable

716 **Conflict of interest**

717 I declared that we have no conflicts of interest in this work.

718 **Author Contributions**

719           Conceptualization: [Li tuochen Shi Ziyi]; Methodology: [Shi ziyi Han dongri]; Software:  
720 [Shi Ziyi]; Writing-original draft: [Shi ziyi]; Writing-review and editing: [Shi ziyi Han dongri];  
721 Supervision: [Li tuochen]

## 722 **Acknowledgments**

723           We are very grateful to editors and anonymous reviews for reviewing this paper.

## 724 **Funding**

725           This work was supported by the National Social Science Fund Project (17ZDA119), the  
726 National Social Science Fund (17AGL009), the Ph.D. Student Research and Innovation Fund  
727 of the Fundamental Research Funds for the Central Universities (3072020GIP0914) and  
728 Scientific research fund of education department of Liaoning province (JQW201915402).

## 729 **Availability of data and materials**

730           All data can be downloaded from China's National Bureau of Statistics.

## 731 **References**

- 732 An Q (2020) Policy frame and measures for constructing an energy technology innovation  
733 system under the new situation. *Energy of China* 42(11):40-43.
- 734 Altintas H, Kassouri Y (2020) The impact of energy technology innovations on cleaner energy  
735 supply and carbon footprints in Europe: A linear versus nonlinear approach. *Journal of*  
736 *Cleaner Production* 276.
- 737 Alola AA, Joshua U (2020) Carbon emission effect of energy transition and globalization:  
738 Inference from the low-, lower middle-, upper middle-, and high-income economies.  
739 *Environmental Science and Pollution Research International* 27(30).
- 740 Anselin L, Griffith DA (1988) Do spatial effects really matter in regression analysis? *Papers*  
741 *in Regional Science* 65(1):11-34.

742 Cai WG, Zhou XL (2017) Dual Effect of Chinese Environmental Regulation on Green Total  
743 Factor Productivity. *Economist* (09):27-35.

744 Chen ZL (2016) Eco-efficiency,urbanization and spillover effects——based on spatial panel  
745 Durbin model. *Management Review* 28(11):66-74.

746 Chen S, Golley J (2019) 'Green' productivity growth in China's industrial economy. *Energy*  
747 *Economics* 44: 89-98.

748 Deng HH, Yang LL (2019) Haze governance, local competition and industrial green  
749 transformation. *China Industrial Economics* 10:118-136.

750 Ehlers (1999) Excerpts from unlocking our future: Toward a new national science policy.  
751 *Science Communication* 20(3).

752 Fan D, Sun XT (2020) Environmental regulation,green technological innovation and green  
753 economic growth. *China Population, Resources and Environment* 30(06):105-115.

754 Frank W, Geels RK (2007) Dynamics in socio-technical systems: Typology of change  
755 processes and contrasting case studies. *Technology in Society* 29(4).

756 Fu M (2009) Geographical distance and technological spillover effects:A spatial econometric  
757 explanation of technological and economic agglomeration phenomena. *China Economic*  
758 *Quarterly* 8(04):1549-1566.

759 Guo Y (2007) Energy, technology and economic growth. *The Journal of Quantitative &*  
760 *Technical Economics* (06):137-145.

761 Guo PB, Zhou XJ, Li D et al. (2013) Predicament and its solution in the transformation of  
762 coal resource based economy: A perspective of energy technology innovation. *China Soft*  
763 *Science* (07):39-46.

764 Ghisetti C, Quatraro F (2017) Green technologies and environmental productivity: A  
765 cross-sectoral Analysis of direct and indirect effects in Italian regions. *Ecological*  
766 *Economics* 132.

767 He YD, Liu ZC, Sun W (2017) Effects of substituting energy with capital on China's energy  
768 conservation and emission. *Industrial Economics Research* (01):114-126.

769 Han DR, Li TC, Feng SS et al. (2020) Does renewable energy consumption successfully  
770 promote the green transformation of China's industry? *Energies* 13.

771 Hansen BE (1999) Threshold effects in non-dynamic panels: Estimation, testing, and

772 inference. *Journal of Econometrics* 93(2):345-368

773 Li K, Lin BQ (2016) Impact of energy technology patents in China: Evidence from a panel  
774 cointegration and error correction model. *Energy Policy* 89.

775 Li LB, Hu JL (2012) Ecological total-factor energy efficiency of regions in China. *Energy*  
776 *Policy* 46.

777 Lin X, Xu W, Yang F et al. (2017) Spatio-temporal characteristics and driving forces of green  
778 economic efficiency in old industrial base of northeastern China:A case study of  
779 Liaoning province. *Economic Geography* 37(05):125-132.

780 Lin BQ, Du KR (2015) Modeling the dynamics of carbon emission performance in China: A  
781 parametric malmquist index approach. *Energy Economics* 49.

782 Liu YW, Hu ZY (2014) The influence of change in energy technology on China's economy,  
783 energy and environment. An simulation research based on dynamic CGE method. *China*  
784 *Soft Science* (04):43-57.

785 Ley M, Stucki T, Woerter M (2016) The impact of energy prices on green innovation. *The*  
786 *Energy Journal* 37(1).

787 Magnani N, Vaona A (2013) Regional spillover effects of renewable energy generation in Italy.  
788 *Energy Policy* 56.

789 Ma LM, Zhang X (2014) The spatial effect of China's haze pollution and the impact from  
790 economic change and energy structure. *China Industrial Economics* (4):19 - 31.

791 Moran PA (1950) Notes on Continuous Stochastic Phenomena. *Biometrika*. 37(1/2):17-23.

792 Naqvi SAA, Shah SAR, Anwar S, Raza H (2020) Renewable energy, economic development,  
793 and ecological footprint nexus: Fresh evidence of renewable energy environment  
794 Kuznets curve (RKC) from income groups. *Environmental Science and Pollution*  
795 *Research International*.

796 Qian J (2019) The impact of energy-saving biased-oriented technological progress on  
797 economic growth. *Studies in Science of Science* 37(03):436-449.

798 Qi SZ, Li Y (2017) Does renewable energy consumption affect economic growth? Empirical  
799 evidence from European union. *World Economy Studies* (04):106-119+136.

800 Qiu LX, Zhou JM (2020) Temporal and spatial differentiation and influencing factors of  
801 eco-efficiency at country scale in Zhejiang province. *East China Economic Management*

802 34(10):11-20.

803 Sagar A (2004) Technology innovation and energy. Harvard University.

804 Shafiei S, Salim RA (2014) Non-renewable and renewable energy consumption and CO<sub>2</sub>

805 emissions in OECD countries: A comparative analysis. Energy Policy 66: 547-556.

806 Sun Y, Li MX, Zhang MJ, Khan H et al. (2020) A study on China's economic growth, green

807 energy technology, and carbon emissions based on the Kuznets curve (EKC).

808 Environmental Science and Pollution Research.

809 Schaltegger S, Sturm A, Ökologische R (1990) Ansatzpunkte zur Ausgestaltung von

810 ökologieorientierten Managementinstrumenten. Die Unternehmung 44(4).

811 Shi D, Wang JJ (2016) Measurement and evaluation of China's ecological pressure and

812 ecological efficiency based on ecological footprint. China Industrial Economics

813 (05):5-21.

814 Shangguan XM (2016) Technology spillover, absorptive capacity and technology progress.

815 World Economy Studies (08):87-100+136-137.

816 Shen YC, Yue SJ, Sun SQ et al. (2020) Sustainable total factor productivity growth: The case

817 of China. Journal of Cleaner Production 256.

818 Tan DM, He HQ (2016) Energy ecological footprint analysis of energy consumption of China.

819 Economic Geography 36(08):176-182.

820 Wang ZH, Yang ZM, Zhang YX et al. (2012) Energy technology patents–CO<sub>2</sub> emissions

821 nexus: An empirical analysis from China. Energy Policy 42.

822 Wang T, Yan L, Yi M (2017) Research on the evaluation of energy eco-efficiency in China.

823 Macroeconomics (07):149-157.

824 Wang BY, Zhang WG (2016) A research of agricultural eco-efficiency measure in China and

825 space-time differences. China Population, Resources and Environment 26(06):11-19.

826 Wang HQ (2016) Study on threshold effects of environmental regulation on economic growth

827 from the perspective of human capital. China Soft Science (06):52-61.

828 Wackernagel M, Rees WE (1996) Our Ecological Footprint: Reducing Human Impact on the

829 Earth. Gabriola Island: New Society Publishers.

830 Wu J (2017) Whether new energy revolution promotes China's industrial green

831 transformation? An empirical analysis based on factor decomposition method. Reform of

832 Economics System (02):184-191.

833 Wu CQ, Du Y (2018) Research on the effect of biased technical change on total factor energy  
834 efficiency of the Yangtze River economic belt. China Soft Science (03):110-119.

835 Xing ZC, Wang JG, Zhang J (2018) Research on regional total-factor ecological efficiency of  
836 China: Measurement and determinants. China Population, Resources and Environment  
837 28(07):119-126.

838 Xiao GE (2018) Spatial econometrics: Application analysis based on MATLAB. Beijing.

839 Xu B, Chen YF, Shen XB (2019) Clean energy development, carbon dioxide emission  
840 reduction and regional economic growth. Economic Research Journal 54(07):188-202.

841 Yan ZM, Zou BL, Du K et al. (2020) Do renewable energy technology innovations promote  
842 China's green productivity growth? Fresh evidence from partially linear  
843 functional-coefficient models. Energy Economics 90.

844 Yang ZB, Fan MT, Shao S et al. (2017) Does carbon intensity constraint policy improve  
845 industrial green production performance in China? A quasi-DID analysis. Energy  
846 Economics 68.

847 Yang C, Zhu YL (2016) Ecological deficit based on new energy-based ecological footprint  
848 model in Hunan Province. China Population, Resources and Environment 26(07):37-45.

849 Ye Q, Zeng G, Dai SQ et al. (2018) Research on the effects of different policy tools on  
850 China's emissions reduction innovation:Based on the panel data of 285 prefectural-level  
851 municipalities. China Population, Resources and Environment 28(02):115-122.

852 Yuan H, Feng Y, Lee J et al. (2020) The spatial threshold effect and its regional boundary of  
853 financial agglomeration on green development: A case study in China. Journal of Cleaner  
854 Production 244, 118670.

855 Zhang YX, Cheng JH, Xu ZC et al. (2019) Evaluation and promotion of coordination degree  
856 of regional ecological construction in China: Based on patent data of energy technology.  
857 China Population, Resources and Environment 29(06):58-64.

858 Zhang H, Wei XP, Lv T (2015) Energy-saving technological progress, marginal utility  
859 elasticity and energy consumption in China. Journal of China University of  
860 Geosciences( Social Sciences Edition) 15(02):11-22.

861 Zhou P, Ang BW, Han JY (2010) Total factor carbon emission performance: A malmquist



# Figures

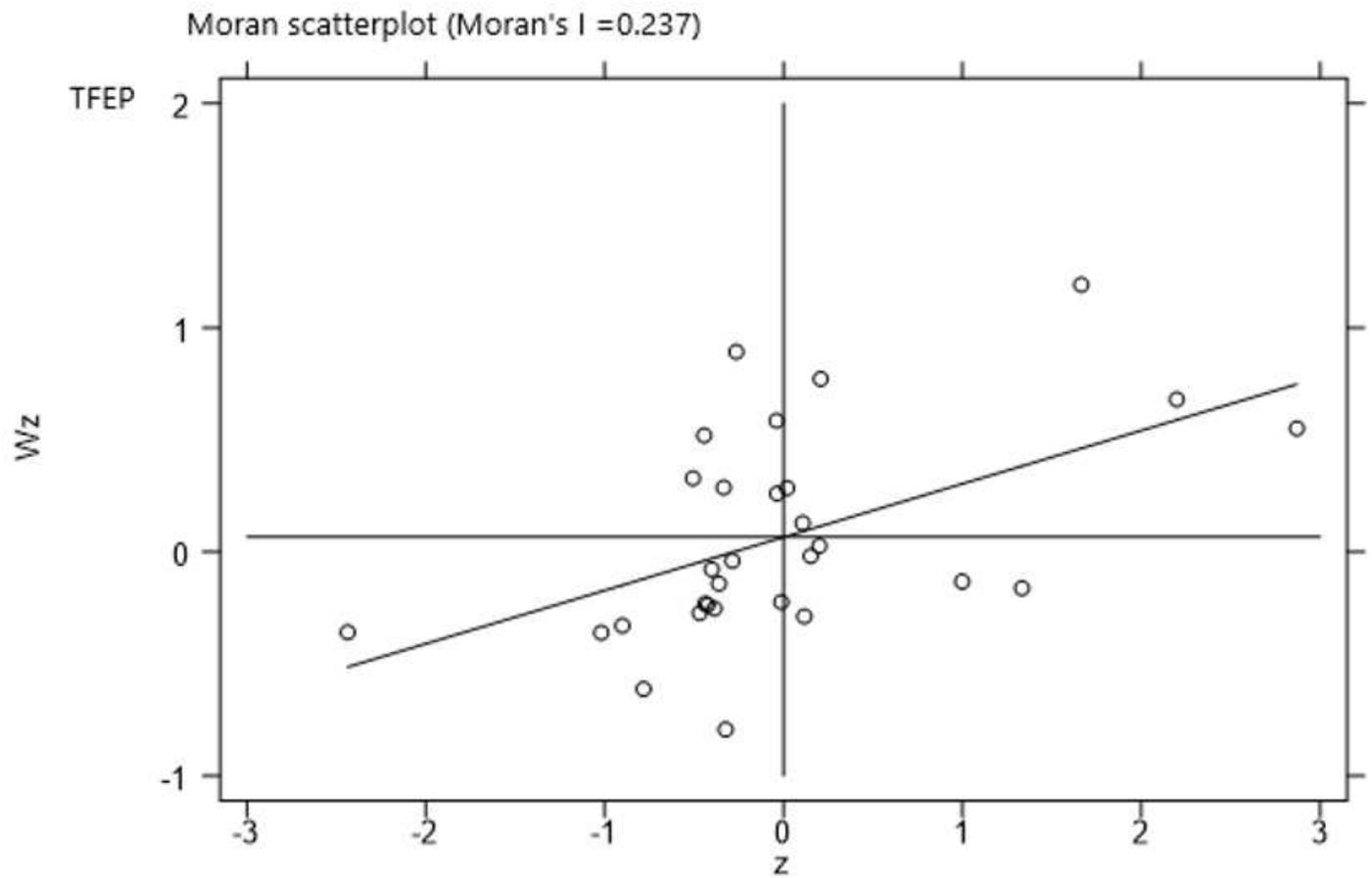


Figure 1

The Moran scatter plot of total factor ecological efficiency

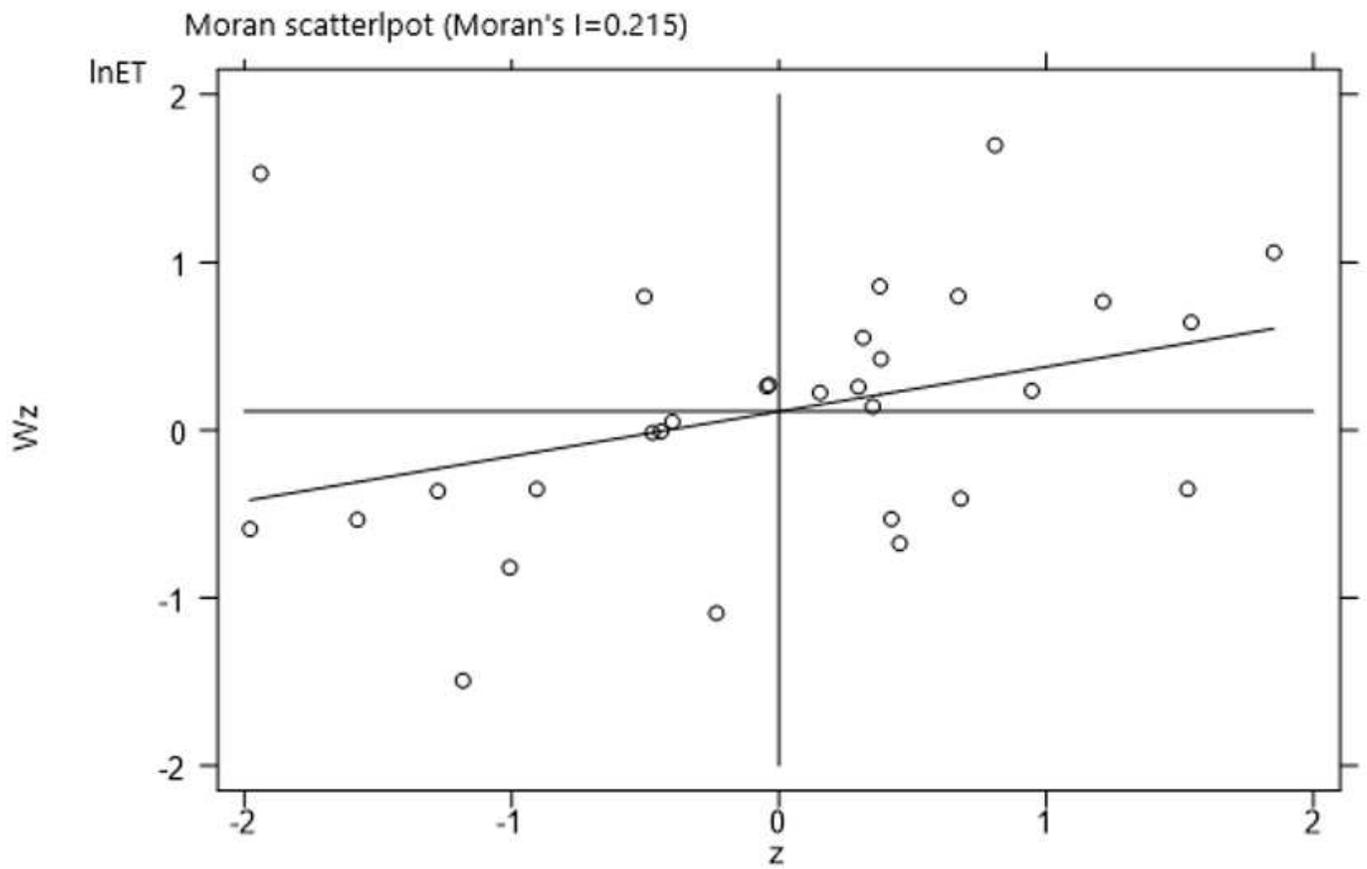


Figure 2

The Moran scatter plot of energy technology innovation

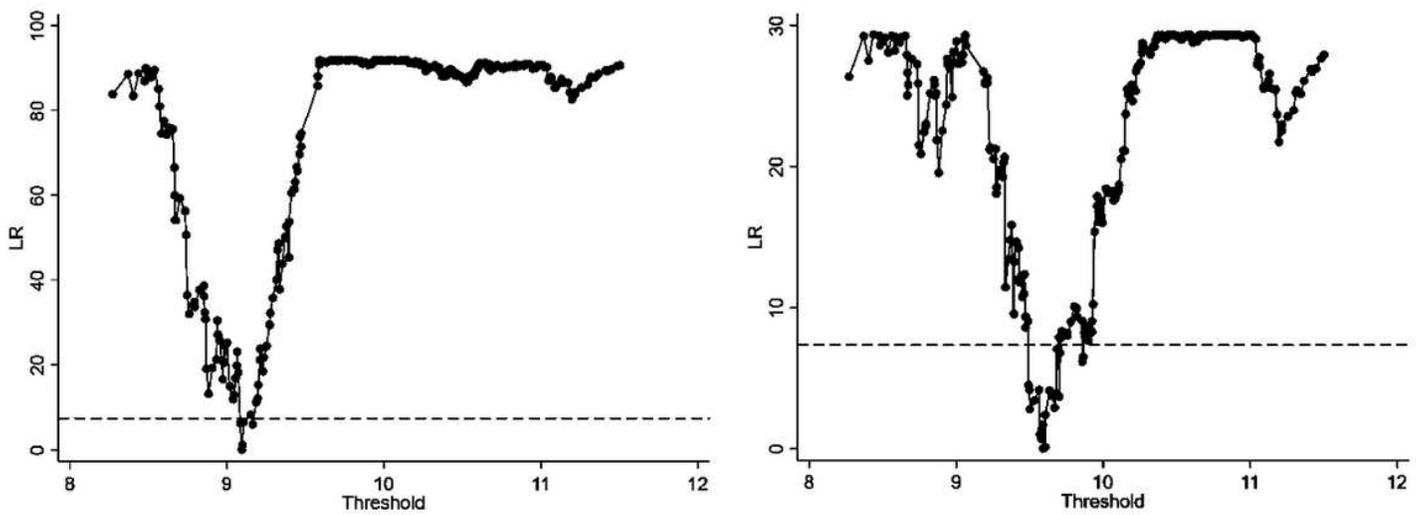


Figure 3

The function graphs of Likelihood ratio of two threshold values (a) and (b)