

Influencing Factors Analysis on Provincial Difference of Rural Energy Efficiency in China Employing Super Efficiency SBM Model and Global Malmquist-Luenberger Index

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2 **efficiency in China employing super efficiency SBM model and Global**
3 **Malmquist-Luenberger Index**

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11 **Abstract**

12 Given the current circumstance of increasingly severe resource and environmental
13 deterioration, the progress of Chinese rural energy efficiency has a remarkable
14 impression on Chinese future high-quality development. Energy consumption in rural
15 areas accounts for a considerable proportion, so it is imperative to make a specific and
16 accurate assessment of rural energy efficiency. This paper abandons the traditional
17 method of regional division and separates China into eight economic zones. First of all,
18 this paper applies Super-SBM model to calculate the rural energy efficiency and
19 constructs a Global Malmquist-Luenberger (GML) Index based on 2008-2018 panel
20 data. Subsequently, GML is decomposed into technical efficiency change index
21 (GMLEC) and technological progress change index (GMLTC) to analyze green
22 total-factor productivity (GTFP) in rural areas. Eventually, the GML and its
23 decomposition terms of eight economic zones are explained by practicing a cumulative
24 multiplication method from 2008 to 2018. The consequences of employing panel data of

25 region prove that: (1) There is a severe regional imbalance of Chinese rural energy
26 efficiency. (2) The rural energy efficiency in the northwest and southwest (western
27 region) is higher than the Middle Yangtze River and the Middle Yellow River (central
28 region). (3) GMLTC has a significant impact on GTFP.

29 **Keywords:** CO₂ emissions; eight economic zones; rural energy efficiency; regional
30 imbalance; Super-SBM; Global Malmquist-Luenberger Index

31 **1. Introduction**

32 With the advancement of the economy and technology, China has constantly shifted
33 from high-speed development to high-quality development. Policymakers continuously
34 pay attention to the significance of sustainable development and have formulated
35 enforceable carbon reduction tactics and targets. China is not only a developing country
36 but also a predominantly agricultural country in the traditional sense. Rural areas
37 account for a large proportion of the country, so it is imperative to make a specific and
38 accurate assessment of energy efficiency in Chinese rural areas. Some scholars have
39 conducted elaborate studies on the sustainable development of energy in China (Ahmad
40 et al., 2021; Benintendi et al., 2020; Lo and Castán Broto, 2019; Rao, 2020; Ren, 2018;
41 Zha et al., 2020).

42 In recent years, the accelerated evolution of urbanization has led to numerous rustic
43 residents move to cities in China. Inversely, the population of the countryside continues
44 to decrease. **Fig.1** points that the proportion of rural population has diminished from 53
45 percent in 2008 to 40 percent in 2018, with an average annual drop speed of 2.16
46 percent. The total rural inhabitants had diminished from 704 million in 2008 to 564
47 million in 2018. According to Chinese energy balance table in the China Energy
48 Statistical Yearbook, the coal consumption of China arrives at 3.821 billion tons and
49 coal output reached 3.524 billion tons in 2017. Furthermore, the terminal consumption
50 is 917 million tons and the rural living consumption is 80.386 million tons. Rural living

51 consumption accounts for 8.77% of the final consumption and 2.1% of the total
52 consumption. The oil products utilized in rural residential energy utilization are
53 principally liquefied petroleum gas (LPG) and diesel oil. The consumption of LPG was
54 17.9559 million tons in 2017, and the terminal consumption of rural livelihood was
55 8.0328 million tons, which accounts for 16.7 percent of the terminal consumption. The
56 rural diesel consumption is 3.578 million tons, exceeding the urban diesel consumption
57 3.1516 million tons. Chinese natural gas consumption is 186.496 billion cubic meters in
58 2017. Surprisingly, rural terminal consumption is only 268 million cubic meters, but
59 urban terminal consumption is 41.761 billion cubic meters. Overall, rural energy
60 consumption displays the following distinct characteristics: (1) In general, the total
61 amount of rural energy consumption is tremendous. (2) The level and structure of
62 energy consumption is significantly inconsistent with various regions. (3) The
63 proportion of coal consumption is enormous. (4) The utilization of electricity, natural
64 gas, and the renewable energy are limited.

65 Data Envelopment Analysis (DEA) is a non-parametric method, which has been
66 universally adopted to evaluate carbon emission efficiency (Cova-Alonso et al., 2020;
67 Fancello et al., 2020; Mustafa et al., 2020). However, the traditional DEA model ignores
68 radial direction and angle, which affects the slack problem and efficiency measurement
69 accuracy. Therefore, Tone (2001) introduced a slack-based measure (SBM) to
70 accomplish the specific relaxation of input and output in a single-process efficiency

71 evaluation. This pattern attracted scholars' attention and was extensively implemented in
72 the empirical investigation of energy efficiency and environmental efficiency (Cecchini
73 et al., 2018; Cheng et al., 2020; Guo et al., 2020). To adequately explain the intricacy
74 ranking of effective DMU, Tone (2002) stated the Super-SBM model. Huang and Liu
75 (2020) propose a sustainable hydrogen production scheme combining coal-based
76 hydrogen production with renewable hydrogen production. Zhou et al. (2019) estimates
77 the construction industry's total factor carbon emission efficiency from 2003 to 2016 by
78 applying Super-SBM DEA.

79 With the deepening of the research, some scholars are motivated to practice
80 Malmquist-Luenberger Productivity Index for investigation, including the research of
81 estimating the green total-factor productivity (GTFP) of 34 industrial sectors in China
82 (Wang et al., 2020) and the research of evaluating China's total factor productivity (TFP)
83 of 1999-2012 under the situation of unexpected output (Du et al., 2018). Furthermore,
84 diverse researches on the industries, such as the pulp and paper industry (Yu et al.,
85 2016), light manufacturing industries (Emrouznejad and Yang, 2016a), iron and steel
86 industry (X. Zhu et al., 2019), the logistics industry's efficiency (Long et al., 2020), the
87 efficiency of the green industry at the provincial level (Liu et al., 2021), as well as CO₂
88 emissions on manufacturing industries (Emrouznejad and Yang, 2016b).The following
89 **Table 1** lists some of previous studies on Chinese environmental efficiency.

90 Most of the previous investigations concentrate on the industry level. There are still

91 significant gaps in rural energy efficiency research, so this paper probes the rural energy
92 efficiency and provincial differences in China from 2008 to 2018. For this purpose, we
93 employ the super-efficiency SBM model to measure Chinese rural energy efficiency and
94 utilize the GML to interpret the rural modernization from the two perspectives,
95 specifically technical efficiency index and technological progress index.

96 This paper's composition is as follows: Section 2 introduces the methodology,
97 including the Super-SBM DEA model and Global Malmquist-Luenberger Index.
98 Section 3 introduces the selection of input-output variables and the result of the static
99 and dynamic investigation. Section 4 discusses the energy efficiency and spatial
100 differences in Chinese rural districts. Ultimately, conclusions and strategy suggestions
101 are expressed in Section 5.

102

103 **2. Methodology**

104 *2.1 Super-SBM DEA model*

105 The DEA model is a non-parametric linear programming process based on
106 decision-making units'(DMUs) pertinent efficiency without specific functional relations.
107 There are two conventional DEA patterns, namely the CCR model and the BCC model.
108 These models base on radial and directional measurements, and the effectiveness of
109 DMUs will be overvalued when there are too numerous inputs or insufficient outputs. In
110 order to settle this puzzle, a slacks-based measure (SBM) model with undesirable

111 outputs was introduced by Tone (2001). Suppose there are n DMUs, m , S_1 , and S_2 ,
 112 represent the inputs, desirable outputs, and unexpected outputs, respectively. Can be
 113 represented by vectors as $x \in R^m$, $y^d \in R^{S_1}$, $y^u \in R^{S_2}$; x , y^d , y^u are matrices;
 114 $X = [x_1 \dots x_n] \in R^{m \times n}$, $Y^d = [y_1^d \dots y_n^d] \in R^{S_1 \times n}$, $Y^u = [y_1^u \dots y_n^u] \in R^{S_2 \times n}$;
 115 The production possibility set as Eq.(1):

$$116 \quad P(x) = \left\{ (x, y^d, y^u) \mid x \geq X\lambda, y^d \leq Y^d\lambda, y^u \geq Y^u\lambda, \lambda \geq 0 \right\} \quad (1)$$

117 Where λ is the non-negative weight vector assigned to input and output, and the SBM
 118 model is constructed as follows:

$$119 \quad \min \rho = \frac{1 - \frac{1}{m} \sum_{i=1}^m \frac{s_i^-}{x_{i0}}}{1 + \frac{1}{s_1 + s_2} \left(\sum_{r=1}^{S_1} \frac{s_r^d}{y_{r0}^d} + \sum_{l=1}^{S_2} \frac{s_l^u}{y_{l0}^u} \right)} \quad (2)$$

$$120 \quad \begin{cases} x_{i0} = \sum_{j=1}^n x_{ij} l_j + s_i^- \\ y_{r0}^d = \sum_{j=1}^n y_{rj}^d l_j - s_r^d \\ y_{l0}^u = \sum_{j=1}^n y_{lj}^u l_j + s_l^u \\ s_i^-, s_r^d, s_l^u, l_j > 0, \sum l_j = 1 \\ i = 1, 2, \dots, m; r = 1, 2, \dots, S_1; l = 1, 2, \dots, S_2 \end{cases} \quad (3)$$

121 Slack based measure with undesirable outputs divides the DMU into effective DMU
 122 and invalid DMU. However, effective DMU cannot be further distinguished. To solve
 123 these dilemmas, Tone (2002) offered a Super-SBM DEA model so that the efficiency
 124 value of DMU can be more than 1, thus explaining the ranking obstacle of relatively
 125 efficient units. In this article, the Super-SBM DEA model with unexpected output is

126 applied to evaluate rural energy efficiency. The super-SBM model is written as follows:

$$127 \quad \min \sigma = \frac{\frac{1}{m} \sum_{i=1}^m \frac{\bar{x}}{x_{ik}}}{\frac{1}{s_1 + s_2} \left(\sum_{r=1}^{s_1} \frac{\bar{y}^d}{y_{rk}^d} + \sum_{l=1}^{s_2} \frac{\bar{y}^u}{y_{lk}^u} \right)} \quad (4)$$

$$128 \quad \left\{ \begin{array}{l} \bar{x} \geq \sum_{j=1}^n x_{ij} \lambda_j \\ \quad \quad \quad j \neq k \\ \bar{y}^d \leq \sum_{j=1}^n y_{rj}^d \lambda_j \\ \quad \quad \quad j \neq k \\ \bar{y}^u \geq \sum_{j=1}^n y_{lj}^u \lambda_j \\ \quad \quad \quad j \neq k \\ \bar{x} \geq x_{ij}, \bar{y}^d \leq y_{rj}^d, \bar{y}^u \geq y_{lj}^u, \lambda_j \geq 0 \\ i = 1, 2, \dots, m; r = 1, 2, \dots, s_1 \\ l = 1, 2, \dots, s_2 \end{array} \right. \quad (5)$$

129 Where σ represents the objective function, and its efficiency value can be larger than 1,

130 x_{ik} , y_{rk}^d , y_{lk}^u refer to inputs, desirable outputs, and undesirable outputs, respectively.

131 The slackness intricacy can be effectively shunned by utilizing the Super-SBM model

132 with undesirable outputs. Consequently, an authentic evaluation is provided by the

133 model, and DMUs are ordered effective.

134

135 2.2 Global Malmquist-Luenberger Index

136 The Malmquist index is one of the most well-known methods to measure productivity

137 variations. Sten Malmquist (Malmquist, 1953) initially recommended this approach to

138 investigate the fluctuations in consumption over a while. The Malmquist index proposal

139 had a strong response at that time, but it was unexpected that there was almost no
 140 associated investigation for quite an extended time after that. According to (Chung et al.,
 141 1997) the ML productivity index from t period to $t+1$ period can be constructed as
 142 Eq.(6):

$$\begin{aligned}
 ML^{t+1} &= \sqrt{\frac{1+D_0^t(x^t, y^t, b^t; g^t)}{1+D_0^{t+1}(x^{t+1}, y^{t+1}, b^{t+1}; g^{t+1})} \times \frac{1+D_0^{t+1}(x^t, y^t, b^t; g^t)}{1+D_0^t(x^{t+1}, y^{t+1}, b^{t+1}; g^{t+1})}} \\
 143 &= \frac{1+D_0^t(x^t, y^t, b^t; g^t)}{1+D_0^{t+1}(x^{t+1}, y^{t+1}, b^{t+1}; g^{t+1})} \times \sqrt{\frac{1+D_0^{t+1}(x^t, y^t, b^t; g^t)}{1+D_0^t(x^t, y^t, b^t; g^t)} \times \frac{1+D_0^{t+1}(x^{t+1}, y^{t+1}, b^{t+1}; g^{t+1})}{1+D_0^t(x^{t+1}, y^{t+1}, b^{t+1}; g^{t+1})}} \\
 &= EC_t^{t+1} \times TC_t^{t+1}
 \end{aligned} \tag{6}$$

144 Decompose the ML into Efficiency Change Index (EC) and Technological Progress
 145 Index (TC), it makes the Malmquist index method universally utilized in various
 146 research domains. The convenience of this method is that it can dodge subjective
 147 weighting and has no residual, and it also makes up for the deficiency that the DEA
 148 model can only distinguish and scrutinize the efficiency of a particular period through
 149 cross-sectional data.

150 In this essay, employing the GML introduced by Pastor and Lovell (2005) to
 151 deliberate rural energy efficiency. Furthermore, Oh (2010) proposed the GML model
 152 based on Chung et al. (1997). This investigation constructs a GML index, which can
 153 regard GML as the technical efficiency change index (GMLEC) and the technological
 154 progress change index (GMLTC). GMLEC refers to the advancement of management
 155 systems and resource allocation methods. GMLTC mainly indicates the enhancement of
 156 production technologies and manufacturing skills.

157 The advantage of the GML principally according to the following four circumstances:
 158 First of all, GML refers to the equivalent frontier and determines a sole Malmquist
 159 index. Furthermore, the computation of efficiency variation still exerts its boundaries,
 160 the efficiency values obtained are comparable. Thirdly, the evaluated DMU must be
 161 incorporated in the global production possibility set, it does not exist the situation that
 162 VRS without solution. Eventually, the reference of each stage is a mutual frontier,
 163 which is transitive and multiplicative. According to Oh (2010), the GML index from t to
 164 $t+1$ defined as:

$$\begin{aligned}
 GML_t^{t+1} &= \frac{1 + \bar{S}^G(x^t, y^{dt}, y^{ut}; g_{y^e}^t, -g_{y^e}^t)}{1 + \bar{S}^G(x^{t+1}, y^{dt+1}, y^{ut+1}; g_{y^e}^{t+1}, -g_{y^e}^{t+1})} \\
 &= \frac{1 + \bar{S}^t(x^t, y^{dt}, y^{ut}; g_{y^e}^t, -g_{y^e}^t)}{1 + \bar{S}^{t+1}(x^{t+1}, y^{dt+1}, y^{ut+1}; g_{y^e}^{t+1}, -g_{y^e}^{t+1})} \\
 &\quad \times \frac{[1 + \bar{S}^G(x^t, y^{dt}, y^{ut}; g_{y^e}^t, -g_{y^e}^t)]/[1 + \bar{S}^t(x^t, y^{dt}, y^{ut}; g_{y^e}^t, -g_{y^e}^t)]}{[1 + \bar{S}^G(x^{t+1}, y^{dt+1}, y^{ut+1}; g_{y^e}^{t+1}, -g_{y^e}^{t+1})]/[1 + \bar{S}^{t+1}(x^{t+1}, y^{dt+1}, y^{ut+1}; g_{y^e}^{t+1}, -g_{y^e}^{t+1})]} \\
 &= GMLEC_t^{t+1} \times GMLTC_t^{t+1}
 \end{aligned} \tag{7}$$

166 In the Eq.(7), it decomposes GML into GMLEC and GMLTC. If $GMLEC_t^{t+1} > 1$,
 167 which signifies that compared with the t period, DMU is closer to the productive
 168 frontier in the $t + 1$ period; if $GMLTC_t^{t+1} > 1$, it means that DMU has technological
 169 progress in the $t + 1$ period; if $GML_t^{t+1} > 1$, it implies that the rural energy efficiency
 170 is progressing. This article employs the GML productivity index to measure the
 171 dynamic efficiency of energy efficiency in rural regions of China and discover the
 172 factors that can control energy efficiency.

173

174 3. Result

175 3.1 Indicators and data

176 The research intention of this article is the rural districts of 30 provinces in China.
177 The input-output data from 2008 to 2018 are elected as the investigation individuals.
178 According to the data's availability and representativeness, the relevant data come from
179 China Statistical Yearbook (2009-2019), China Energy Statistical Yearbook (2009-2018),
180 China Rural Statistical Yearbook (2009-2019), China Environmental Statistical
181 Yearbook (2009-2019), and provincial statistical yearbooks. The missing data is
182 estimated according to its historical data by applying the moving average method.
183 Furthermore, considering the diversity in rural areas in different regions of China, this
184 essay determines the total output value of agriculture, forestry, animal husbandry and
185 fishery (TOV) as the expected output to measure rural economic growth. Powerfully, we
186 select CO₂ emissions as an unexpected output since the CO₂ data at the provincial level
187 in China needs to be assessed. In order to guarantee the consistency of the data, this
188 article employs the IPCC (2006) to determine the rural CO₂ emissions in various
189 provinces of China. The mathematical calculation formula is as Eq.(8):

$$190 \quad CO_2 = \sum_{i=1}^8 CO_{2,i} = \sum_{i=1}^8 E_i \times NCV_i \times CC_i \times COF_i \times \frac{44}{12} \quad (8)$$

191 Where CO_2 is the emission of each province, i represents all kinds of fossil energy,
192 including raw coal, coke, petrol, kerosene, diesel oil, fuel oil, liquefied petroleum gas
193 (LPG), and natural gas. E_i is the consumption of type i energy, NCV is average low

194 calorific value, CC denotes the carbon content of energy, COF is the carbon oxidation
195 factor of each energy source, $44/12$ describes the mass proportion of carbon dioxide
196 molecules to carbon elements.

197 Because distinct provinces attach different attention to rural advancement, Chinese
198 rural areas have particular limitations and inconsistent resource environments. This
199 article practices the total number of employees in the primary industry (TNE) as an
200 index of labor input. Regarding the total sown area of crops as the index of land input.
201 Each province's annual standard coal consumption is utilized to reveal the energy input.
202 The terminal consumption in the regional energy balance table of China Energy
203 Statistics Yearbook was transformed into standard coal (10,000 tons) by applying IPCC
204 (2006). The total power of agricultural machinery and rural fixed assets investment are
205 selected to estimate the quantity of capital investment in rural zones, and the investment
206 in fixed assets is determined by the perpetual inventory method. The calculation
207 formula is as Eq.(9):

$$208 \quad K_{i,t} = I_{i,t} + (1 - \delta_{it}) K_{i,t-1} \quad (9)$$

209 $K_{i,t}$ signifies the annual capital investment of the i region in t year, $I_{i,t}$ denotes the
210 total fixed asset investment in the t year calculated by the i region at the constant price
211 of the base year. δ_{it} describes the depreciation percentage of the economy. Referring to
212 Zhang et al. (2004) research method, this essay sets δ_{it} as 9.6% and regards 2000 as
213 the base period, divides the rural fixed capital investment by 10% in that year, then

214 calculates the capital investment in rural areas of each province according to Eq.(9). The
215 relevant input and output indicators adopted in the model are illustrated in **Table 2**.
216 **Table 3** presents statistics descriptions of the input and output variables.

217

218 *3.2 Static analysis of rural energy efficiency*

219 This investigation aims to explore the reasons influencing the diversity in rural
220 energy efficiency among distinct provinces in China on a broader scale. To avoid the
221 customary and rough division of China in the past, such as East, Central, and West (East,
222 Central, West and Northeast). China is subdivided into eight comprehensive economic
223 zones. Expressly, dividing 30 provinces into eight economic zones following the
224 regional partition principle proposed in the 11th Five-Year Plan (Tibet, Hong Kong,
225 Taiwan, and Macao are excluded because of data availability). These areas and their
226 constituent regions are listed in **Table 4**.

227 **Table 5** explicates the rural energy efficiency value of 2008-2018 in each province
228 and the average value of regional energy efficiency in Chinese eight comprehensive
229 economic zones. The energy efficiency value of Sichuan province is less than 1 only in
230 2014, and the value of Liaoning province shifts invalid after 2015. Heilongjiang
231 presents a skyward trend, and the efficiency value is surpassed 1 since 2013. On the
232 contrary, Jilin displays a noticeable descending trend, and the rural energy efficiency
233 was less than 1 after 2013. In this article, the energy efficiency values are divided into

234 three degrees. The most excellent level incorporates the eastern coastal and the southern
235 coastal region. The average rural energy efficiency (φ) is 1.333 and 1.285 from 2008 to
236 2018, respectively. The next degree covers the northern coastal, the northeast, and the
237 northwest. The most outstanding region is the northern coastal, followed by the
238 northeast and northwest. The φ of three economic zones are 0.974, 0.835 and 0.830,
239 respectively. The Middle Yangtze River, the Middle Yellow River, and the southwest
240 belong to the ultimate level. Guangxi and Sichuan are effective among the five
241 provinces in the southwest of China, and the values of φ are eminent in the third
242 degree. The average value of the Middle Yangtze River dropped to a minimum of 0.426
243 in 2018, and the rural energy efficiency in Hunan province reduced from 0.679 to 0.356,
244 and the proportion of rural energy efficiency diminished 47.6%. Additionally, the rural
245 energy efficiency contracted by 43.1%, 20.7%, and 28.9% in Hubei, Jiangxi, and Anhui.
246 The Middle Yellow River is the weakest because Shanxi rural energy efficiency is the
247 lowest among all provinces in China, although Shanxi has an inevitable upward trend.
248 All DMUs in the southern coastal areas are effective. Likewise, DMUs of the northern
249 coastal and eastern coastal areas are similar to southern coastal, except for Hebei and
250 Zhejiang. Among the provinces in the northern coastal areas, only Hebei revealed a
251 significant downward tendency. The rural energy efficiency of Hebei has decreased by
252 45.2% from 2008-2018, with an average annual decline rate of 4.1%. Moreover, only
253 Zhejiang has a significant downward inclination in the eastern coastal. The rural energy

254 efficiency was reduced from 0.7 to 0.459, a total contraction of 34.5% with an average
255 annual drop of 3.1%. Furthermore, the rural energy efficiency in Chinese coastal areas
256 is relatively significant, achieving the slightest energy input while generating the same
257 output. It indicates that the coastal region's economic progression is excellent, and the
258 technological level is superior. The conclusion is consistent with the results of (H. Liu et
259 al., 2020; Qin et al., 2018; W. Zhu et al., 2019). The rural energy efficiency in the
260 northwest and southwest (western region) is higher than the Middle Yangtze River and
261 the Middle Yellow River (central region), which is different from (H. Liu et al., 2020).
262 **Fig.2** displays the spatial distribution of energy efficiency in various levels of rural
263 districts.

264 **Fig.3** manifests the annual average efficiency of Chinese eight comprehensive
265 economic zones. The coastal areas present a decreasing tendency of energy efficiency
266 from the eastern coastal area, the southern coastal to the northern coastal area.
267 Specifically, it can undoubtedly prove that the northern coastal area's average energy
268 efficiency has an upward trend, and the average efficiency value has progressed by
269 2.3%. On the other hand, the eastern coastal tends first to rise up and then move down.
270 Moreover, energy efficiency reached a peak of 1.422 in 2011 with an average annual
271 growth rate of 0.41%. The southern coastal regards 2014 as the center, showing twice
272 trend of falling first and then rising. The volatility before 2014 is relatively significant,
273 and the lowest points of the two fluctuations are 1.225 (2012) and 1.263 (2016),

274 respectively. Inversely, the northwest exhibits twice diverse trends, which first rise and
275 then move down. The highest points of the two fluctuations are 0.933 (2013) and 0.875
276 (2015). The northeast and the Middle Yangtze River tendency are similar, both of which
277 are in a state of consecutive decline. The distinction is that the northeast began to
278 decrease sharply after 2015, while the Middle Yangtze River declined rapidly after 2014.
279 The rural energy efficiency in these two areas contracted by 12.8% and 21.3%,
280 respectively. The average efficiency of the northeast is lower than the southwest in 2017
281 and 2018. Furthermore, the southwest presents the tendency of declining at the
282 beginning and rising in later. The rural energy efficiency reached the lowest point of
283 0.558 in 2014. Then, the southwest has been progressed since 2014 and has overtaken
284 the northeast since 2017. The rural energy efficiency in the Middle Yellow River has
285 been steady, and the fluctuation of average efficiency value is less than 0.05.

286 The energy efficiency values of northern coastal areas are lower than the eastern
287 coastal and southern coastal because rural heating of northern China in winter will
288 generate a large amount of energy expenditure. Contrasted with the southern provinces,
289 this portion of energy input is necessary for daily life and will result in a tremendous
290 quantity of undesirable output (CO₂ emissions), and the effect on increasing the
291 expected output is negligible. In the northern coastal areas, Beijing, Tianjin and
292 Shandong's rural energy efficiency values are more than 1 during the investigation
293 period. Unfortunately, only the rural energy efficiency of Hebei province is less than 1

294 with an average of 0.460, this phenomenon is related to the rural energy expenditure in
295 Hebei. The consumption of standard coal increased from 4.653 million tons to 16.055
296 million tons. **Fig.4** exhibits the energy consumption in the northern coastal. It indicates
297 that the proportion of energy expenditure increased from 36.5% to 58.6% in Hebei. On
298 the one hand, Hebei's economic development is at a disadvantage compared with
299 Beijing and Tianjin. On the other hand, the utilization rate of renewable and clean
300 energy is not significant in rural areas, and low-carbon and energy substitution
301 technologies are relatively underdeveloped. Hebei confronts the overuse of fossil energy,
302 which makes the undesirable output exceed the environment's processing capacity.
303 Hence, diminishing the total energy consumption and promoting the technological level
304 is critical to Hebei's low-carbon energy consumption structure (X. Liu et al., 2020; Qin
305 et al., 2018).

306 The average energy efficiency of rural areas along the southern coastal and eastern
307 coastal is greater than 1 during the research period, it indicates DMUs are perpetually in
308 an effective state. Initially, the temperatures of the two regions are warmer than the
309 northern coast. Hence, these areas consume relatively less energy on heating in winter.
310 Additionally, the economy of the southern coastal and eastern coastal is relatively
311 developed and technical level is comparatively advanced, which promotes the energy
312 efficiency of the local rural areas. On the contrary, the contrast to previous research is
313 Zhejiang province. Preceding researchers have analyzed Zhejiang's energy efficiency

314 from rural and urban fields. Therefore, the performance of energy efficiency is
315 preeminent in Zhejiang. The reason is that city regions have performed an outstanding
316 contribution to raising energy efficiency. Conversely, we only explore rural areas'
317 aspects, excluding the influence of city on the outcomes, and conclude that the rural
318 energy efficiency of Zhejiang is relatively poor. This conclusion is different from Feng
319 and Wang (2017). We notice that the rural energy efficiency decreases in Zhejiang
320 province, resulting from output and input joint action. From the input perspective, the
321 gap between urban and rural areas is increasingly widening with the economy's
322 development, rural living situations and social welfare are far inferior to those of urban
323 residents, which leads to a large number of rural labor force flow to urban regions. As a
324 result, the productivity in rural areas is insufficient, and population aging is terrible.
325 From the point of output, Zhejiang has more numerous rural coastal areas, and fishing is
326 the leading industry. As an essential component of agriculture, the fishery has a
327 significant industrialization degree and more frequent machinery utilization rate.
328 Simultaneously, the fishery is deeply dependent on energy and resources and
329 significantly impacts the environment. Consumption of massive resources and energy is
330 the principal reason for numerous undesirable outputs. **Fig.5** reveals that diesel oil and
331 LPG account for a considerable proportion of energy expenditure in the rural of
332 Zhejiang. In general, rural energy types and energy structure lead to the inefficiency of
333 Zhejiang. Policymakers should optimize the energy structure, reduce the energy

334 consumption needed to obtain each unit of expected output, continually stimulate
335 technological innovation, boost clean energy use, narrow the gap between rural and
336 urban areas, and diminish regional imbalances.

337

338 *3.3 Dynamic analysis of green total factor productivity in rural areas*

339 The GML and its decomposition items of the eight comprehensive economic zones
340 are displayed in **Table 6**. The GMLEC values of the northern coastal, eastern coastal
341 and southern coastal areas fluctuate around 1. Notably, during the entire investigation
342 period (2008-2018), GMLEC=1 indicates that the rural energy efficiency has been in an
343 effective state in the southern coastal. Additionally, GMLTC dramatically influences
344 GML in southern coastal. Therefore, when GMLTC is more massive than 1, GML is
345 more numerous than 1. Likewise, the eastern and northern coastal have a similar nature,
346 which demonstrates that technological progress is the foremost factor affecting rural
347 energy efficiency in Chinese coastal zones (Feng and Wang, 2017; Ouyang et al., 2021).
348 During the entire research phase, the GMLTC of the northeast was higher than 1.
349 Inversely, only the GMLEC was greater than 1 in 2010-2013. Besides, GML reached a
350 maximum of 1.221 in 2010-2011. $GML < 1$ in the Middle Yangtze River occurs only in
351 2008-2009 and 2016-2017. The Middle Yellow River has three $GML < 1$, which
352 demonstrates that GTFP is progressing. The average GMLEC of the Middle Yangtze
353 River is 0.965, indicating that this area's rural energy efficiency is ineffective, so the

354 extension of GTFP chiefly depends on technological progress. Diversely, the average
355 GMLEC of the Middle Yellow River is 1.009. Namely, this region is closer to the
356 productive frontier, so the development of GTFP is the combined effect of technical
357 efficiency change and technological progress. GML, GMLEC, GMLTC in the southwest
358 are all less than 1 in 2008-2009, but all greater than 1 in 2017-2018. It proves that the
359 GTFP in the southwest is promoting. The GTFP of northwest declined in 2008-2011 and
360 extended in 2011-2015. The average GML was 1.020, but GMLEC=0.998<1 in the
361 northwest. Consequently, the improvement in GTFP in the northwest is owing to
362 technological progress. **Table 7** exhibits the dynamic decomposition of rural GTFP in
363 eight comprehensive economic zones. According to Oh (2010), we calculated the GML
364 from 2008 to 2018 by cumulatively multiplying the following Eq.(10):

$$365 \quad GML^{t-1,t} \times GML^{t,t+1} = GML^{t-1,t+1} \quad (10)$$

366 The decomposition term of GML is calculated similarly. The trend of GML and its
367 decomposition components in each area are exhibited in **Fig.6**.

368 According to the Eleventh Five-Year Plan's division method, China is divided into
369 eight major economic zones. **Fig.7a** manifests GML changes in four economic zones:
370 the Southern coastal, Middle Yangtze River, Middle Yellow River and Southwest.
371 Similarly, **Fig.7b** exhibits GML changes in the Northern coastal, Northeast, Eastern
372 coastal and Northwest, respectively. The GML of the four regions manifested similar
373 fluctuations in **Fig.7a**. The GTFP progressed in these four regions from 2008 to 2011

374 with an average annual expansion of 5.34%, 9.09%, 8.87% and 9.93%, respectively.

375 The four regions touched their peak at the end of the Eleventh Five-Year Plan

376 (2010-2011), and they all had an inevitable downward trend later. The other four

377 economic zones also exposed an analogous change in **Fig.7b**, reaching a peak in

378 2010-2011 and declining after 2010-2011. The eastern coastal GTFP climbed most

379 active, with an average annual expansion of 7.19%. The northwest has the slowest

380 progress, with an average annual augmentation of 2.43%. The expansion of GTFP

381 points out that the Chinese government attaches great significance to rural energy

382 efficiency and puts forward establishing a new socialist countryside. The

383 contemporaneous frontier shifts towards the global technology frontier in the direction

384 of more desirable outputs and less undesirable outputs. Significantly, **Fig.7** revealed that

385 the GTFP of the southern coastal, the Middle Yangtze River, the Middle Yellow River

386 and southwest economic zones escalated to a new peak in the later period of the Twelfth

387 Five-Year Plan, which increased by 24.92%, 7.53%, 13.20% and 8.41% compared with

388 the previous year. Conversely, the GTFP of the northern coastal, northeast, eastern

389 coastal and northwest decreased during Twelfth Five-Year Plan. At the beginning of the

390 Twelfth Five-Year Plan, the eight major economic zones presented a downward

391 tendency, this phenomenon may be due to the inevitable demand for enormous

392 investment in the initial development stage, accompanied by imperfect technology and

393 low output efficiency. Successfully, the effect of strategy implementation was

394 demonstrated at the end of the Twelfth Five-Year Plan (2015-2016). The phenomenon of
395 GTFP growth proves that the Chinese government has made more tremendous efforts in
396 promoting rural energy efficiency.

397

398 **4. Discussion**

399 The innovation of this investigation is that we concentrate on the rural areas of China,
400 and we abandon the traditional method of dividing the east, central and west (east,
401 central, west and northeast) in terms of regional distribution. According to the Eleventh
402 Five-Year Plan's division method, we classify China into eight major economic zones.
403 Moreover, we can discover the similarities and contrasts between regions through a
404 more comprehensive investigation, which can also provide novel ideas for
405 policymakers.

406 We notice that Chinese rural energy efficiency exhibits a decreasing inclination from
407 coastal to inland areas. On the contrary, the changing trend of GTFP manifests a similar
408 fluctuation shape in the southern coastal, the Middle Yangtze River, the Middle Yellow
409 River and southwest economic zones. Another similar fluctuation is presented in the
410 northern coastal, northeast, eastern coastal and northwest economic zones. If we obey
411 the traditional division process, it will lead to incomplete research and then ignore some
412 conclusions, for example, the general judgment that the western region should expose
413 identical features. Nevertheless, from the consequences of our investigation, the

414 fluctuation trend of GTFP in southwest and northwest regions is discrepant. Likewise,
415 the trends of GTFP in the eastern coastal and southern coastal are not similar.
416 Additionally, we also notice a significant gap between urban and rural areas in Zhejiang
417 province. The research points out that Zhejiang's rural energy efficiency is not excellent
418 in China, and exists excessive energy consumption, this phenomenon is related to the
419 geographical location, sorts of energy consumption and industrial structure of Zhejiang.
420 The conclusion is distinct from preceding research consequences, but Zhejiang performs
421 more satisfying if the input and output of cities are taken into account (Ouyang et al.,
422 2021). Consequently, it is meaningful to subdivide China into eight economic zones to
423 consider the regional energy efficiency discrepancies. In order to promote Chinese
424 energy efficiency, policymakers should concentrate on rural areas in the future. Paying
425 more attention to the optimization of energy structure and upgrading of industrial
426 structure in rural areas, enhancing the level of science and technology in agriculture,
427 improving the utilization rate of resources in rural areas, reducing the waste of resources,
428 breaking the original urban-rural pattern, and establishing a system of urban-rural
429 integration while minimizing regional imbalances.

430 One limitation of this paper is that our study only reveals the characteristics of
431 imbalance in China's diverse regions. For future research, we suggest further
432 exploration of spatial interaction and interpreting the interaction mechanism among
433 disparate regions.

434

435 **5. Conclusion**

436 As we all know, the advancement of a low-carbon economy has become the subject
437 of the eras. We calculate the energy efficiency of rural regions using the Super-SBM
438 model. Besides, construct the GML index, and decompose it into GMLEC and GMLTC,
439 then examine the spatial distribution from the dynamic perspective. This essay abandons
440 the traditional and rough dividing method, excluding the influence of cities and building
441 thorough research of rural energy efficiency in China. The conclusion of this article are
442 drawn as follow:

443 (1) The eastern and southern coastal areas have more outstanding energy efficiency and
444 resource utilization rate in the eight economic zones. As the pioneer of Chinese
445 Economic Reform and open up, the rural industrial economy is stimulated, and energy
446 consumption has transformed from solving essential heating to clean energy expenditure.
447 Consequently, the rural energy efficiency values are exceeding 1.2 from 2008 to 2018.

448 (2) The coastal area is subdivided into the northern coast, the eastern coast and the
449 southern coast. With the evolution of the economy and technology, the eastern and
450 southern coasts preserve excellent energy efficiency, and the average energy efficiency
451 is between 1.0 and 1.4. The northern coastal is only slightly better than the northwest
452 and northeast. Although they belong to coastal areas, they exhibit diverse characteristics.
453 Likewise, although the northwest and southwest regions belong to the western of China,

454 there are remarkable discrepancies in rural energy efficiency and GTFP. Contrasted with
455 the previous studies on energy efficiency, the investigation results about regional
456 imbalances are more impressive, which provides a new idea for policymakers. This kind
457 of investigation idea possesses particular research value and significance.

458 (3) Research on the spatial distribution of rural energy efficiency reveals regional
459 imbalances and urban-rural gaps in China. As a result, rural resources inequality with
460 cities, and numerous laborers and talents flow to cities. Therefore, it is unavoidable to
461 advance the coordinated development of the regional economy, spontaneously support
462 low energy consumption industries, and actively promote cross-regional exchanges and
463 cooperation.

464 (4) The decomposition term of GML index reveals that GMLTC contributes more
465 significantly to promoting GTFP than GMLEC. Consequently, policymakers should pay
466 more attention to the elevation of technological advancement.

467

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470
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479
480 Availability of data and materials
481 The corresponding data required for energy value estimation chiefly originates from
482 “Shandong Statistical Yearbook”, “China Energy Statistical Yearbook”, “China
483 Statistical Yearbook” and the national data website
484
485 Authors Contributions
486 LW: Conceptualization, Validation, Investigation, Writing - Review & Editing.
487 YZ: Methodology, Software, Formal analysis, Data Curation, Writing - Original Draft.
488
489 Competing Interests
490 The authors declare that they have no competing interests

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612

Figures



Figure 1

Population changes in urban and rural areas of China.

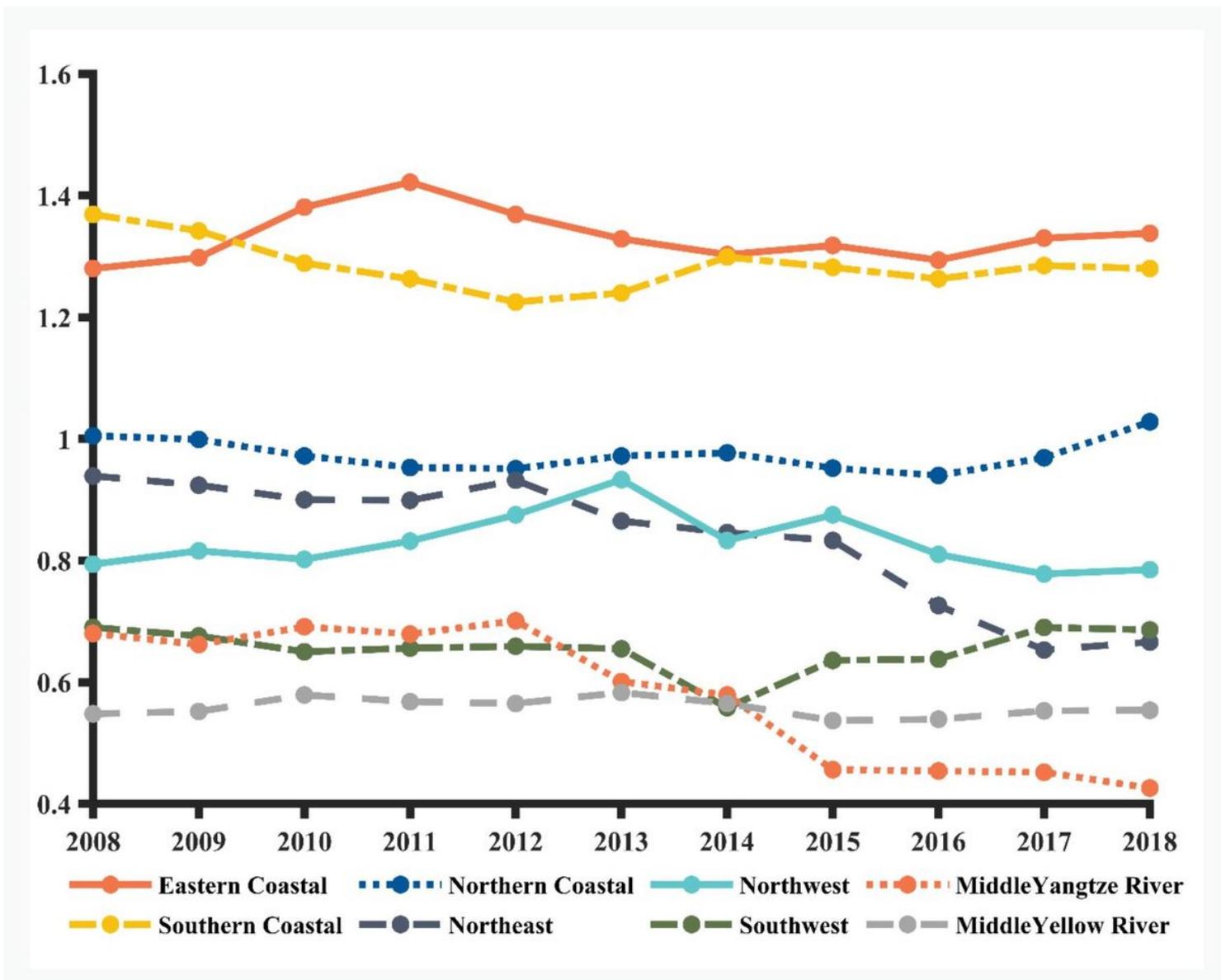


Figure 3

Rural energy efficiency of China's eight comprehensive economic zones from 2008 to 2018.

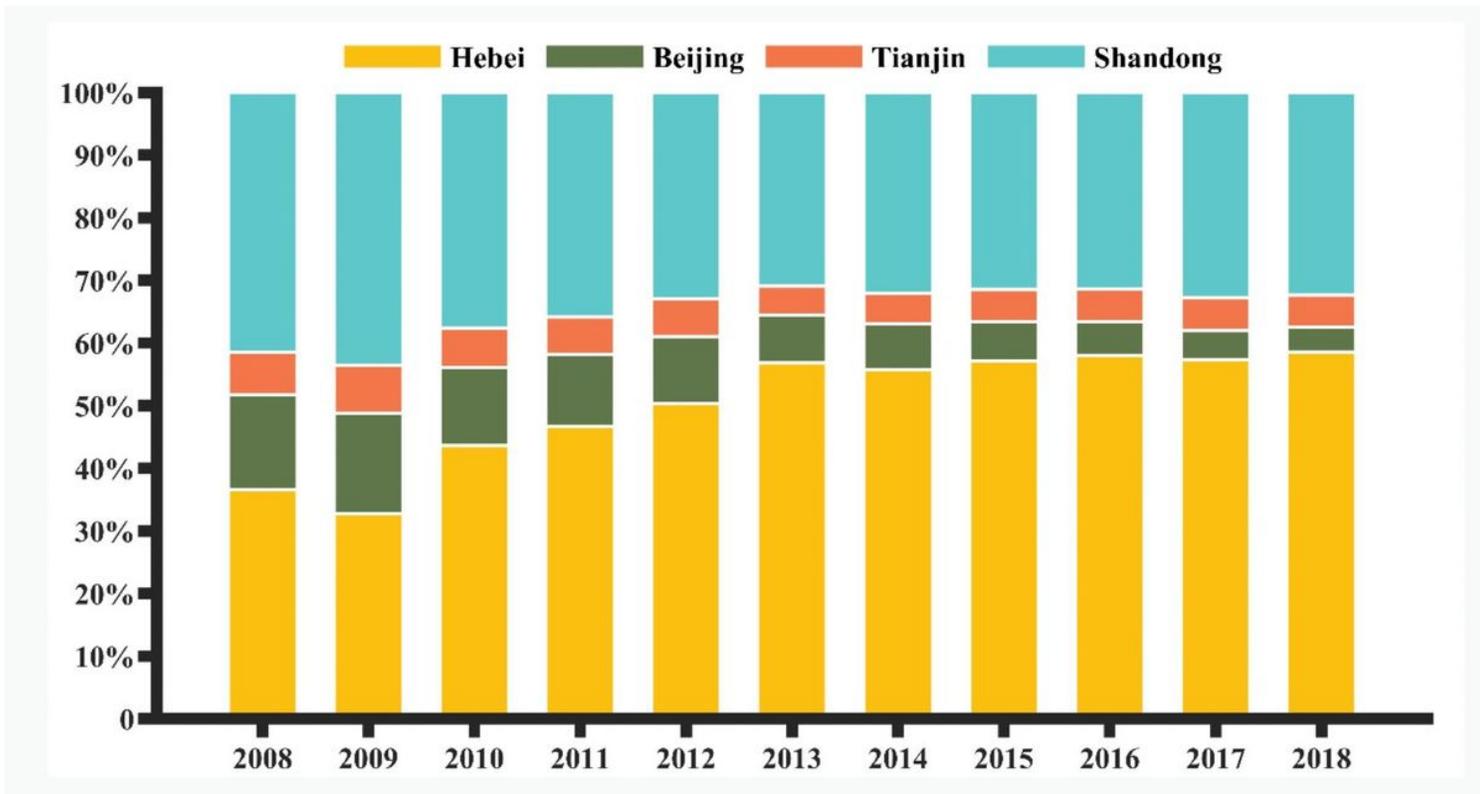


Figure 4

Consumption of standard coal in the northern coastal.

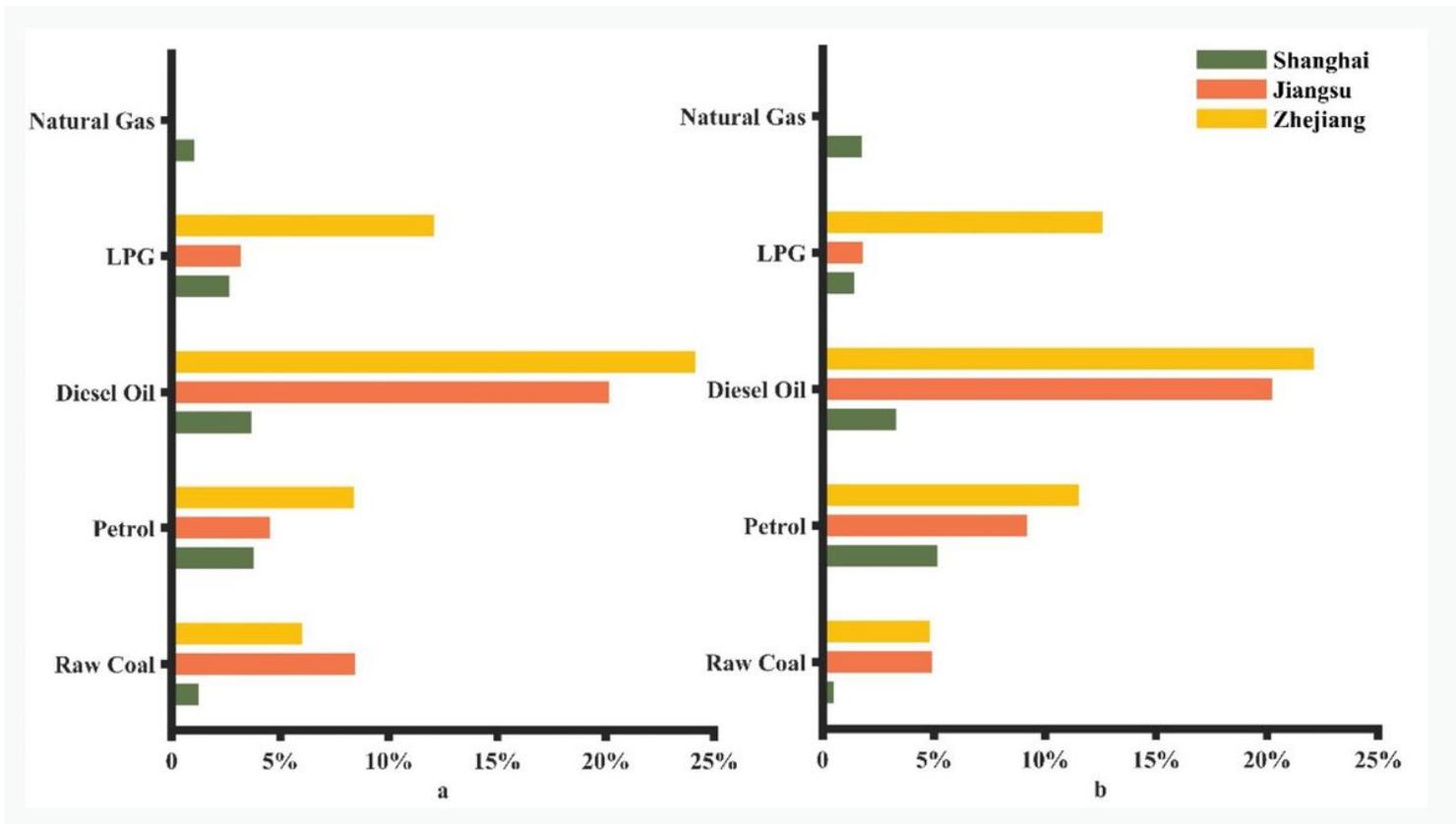


Figure 5

Energy structure of eastern coastal in 2010 and 2016.

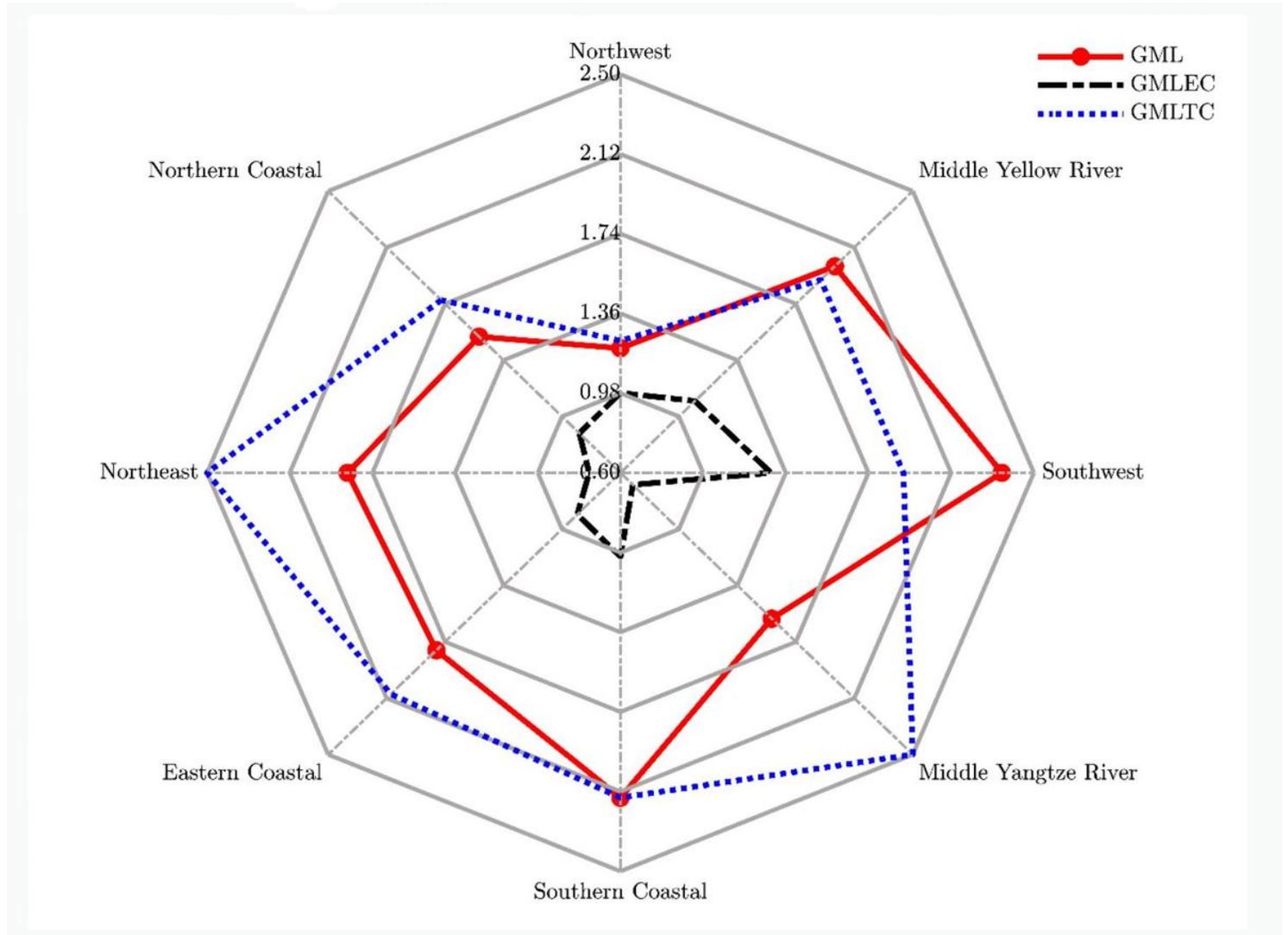


Figure 6

GML GMLEC and GMLTC in eight economic zones from 2008 to 2018.

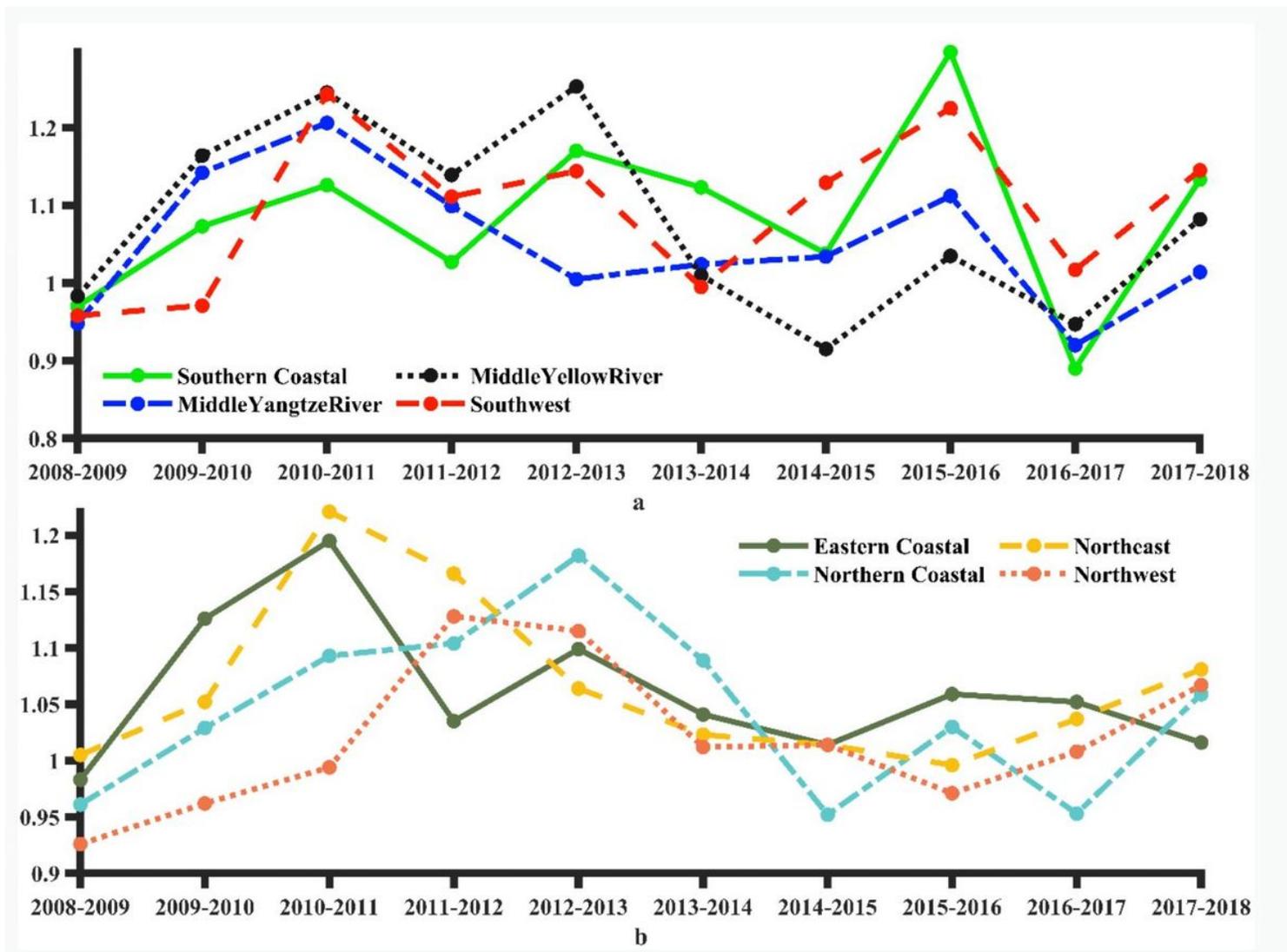


Figure 7

GML of eight economic zones from 2008 to 2018.