

*Original Research*

# Green Transformation Efficiency and Its Influencing Factors in Resource-Based Cities: A Case of the Yellow River Basin in China

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## Abstract

Reasonably assessing green transformation efficiency (GTE) and clarifying influencing factors can provide theoretical support for their sustainable development. This study utilizes the undesired super-efficient Slack Based Measure model (SE-SBM), window analysis, kernel density estimation analysis, and Tobit model to assess the GTE of 39 resource-based cities (RBCs) in the Yellow River Basin (YRB), explore their dynamic evolution trends and influencing factors, and attempt to compensate for a lack of clarity in green transformation constraint factors. Following findings: (1) YRB's GTE showed a "V-shaped" upward trend. There were differences between upper, middle, and lower cities: upper cities are higher. (2) GTE is evolving to a higher level, and the inter-regional equilibrium level has improved. The kernel density curve in the upper, middle, and lower reaches has its own regional characteristics and time period features. (3) Industrial structure upgrading, economic development level, and green technology innovation level are positive effects, while the opening-up level is negative. According to the findings, YRB's RBCs should adjust measures to the current environment and urban conditions, promote digitization and intelligentization, and improve innovative economic growth, thus lifting the quality of green development. These findings also illustrate how the analysis framework mentioned in the study can enhance the understanding of urban green transformation and serve sustainable urban development.

**Keywords:** Resource-Based Cities, green transformation efficiency, influencing factors, Yellow River Basin

## Introduction

The YRB is an ecological security barrier and a vital economic belt in China, and its environmental

protection and economic and social development have always been the focus of attention [1]. In October 2019, Chinese President Xi emphasized that the YRB plays an extremely significant role in the economic and social development and ecological security of China [2]. The government issued the plan outline for ecological protection and high quality development of the YRB

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in 2021, and the Yellow River Protection Law of the People's Republic of China came into force in 2023 to strengthen its ecological protection. Benefiting from rich natural resources such as minerals, coal, etc., the YRB has formed a series of RBCs, accounting for about 47.0% of the total number of cities in the YRB [3], and about 30% of the total number of RBCs in the country [4]. Therefore, the green transformation of RBCs in the YRB will not only accelerate the sustainable development of the YRB, but also provide reference ideas for green transformation and the high-quality development of other RBCs in China.

RBCs depend on leading industries such as resource extraction and resource processing, have achieved rapid development, and have made historical contributions to the development of the national economy [5]. A Canadian researcher [6] conducted groundbreaking research on RBCs. Follow-up researchers improved the definition of RBCs and carried out a series of investigations around resource-based towns, mining towns, and mining cities [7, 8]. The depletion of resources and the deterioration of the ecological environment have become more and more serious; most RBCs have begun to face development difficulties, and their transformation and development have gradually become the hotspot and focus of research [9]. [10] found that the transformation of RBCs is to optimize the relationship between resource-based industries and non-resource-based industries and finally achieve their balance and green development. However, the transformation of RBCs is a complex system engineering process involving many dimensions such as industrial structure adjustment, resource utilization mode transformation, ecological environment governance, technological innovation, employment, and social security [11]. Focusing on the development goals of RBCs in these dimensions, researchers have carried out a series of studies on the comprehensive evaluation of transformation performance [12, 13]. By constructing a scientific and systematic indicator system and using reasonable indicator weight determination methods, the comprehensive evaluation method can reflect the level of green transformation development of RBCs to a certain extent. However, due to different research perspectives, researchers often construct different evaluation index systems, and there are also certain differences and controversies in research results [14].

The GTE, considering resources and the ecological environment, is a comprehensive evaluation of the green transformation of RBCs. It can truly and systematically reflect the level of green transformation in the city, providing a new perspective and entry point for investigating the transformation effects and development quality of RBCs [15]. Two commonly used methods to measure the urban GTE are Data Envelopment Analysis (DEA) and Stochastic Frontier Analysis (SFA) [16]. SFA tests the significance of variables and has certain advantages in measuring efficiency, but it is only applicable to the evaluation of a single output project [17]. Therefore, it is difficult to apply to the calculation

of the GTE of the city's multi-input and multi-output complex system [18]. The DEA model does not require the determination of functional relationships among decision-making units (DMUs) in advance and has been widely used in measuring the efficiency of multi-input and multi-output projects [19-21]. Based on the DEA model, [15] focused on the transformation efficiency of RBCs in the YRB and found that the transformation efficiency of RBCs in the YRB was not ideal during the study period and needed to be further improved.

It is essential to note that when using traditional DEA models to measure transformation efficiency, there are limitations that do not consider the slackness of input-output variables and undesired output [22]. The Slack Based Measure (SBM) model not only resolves the problem of slack input and output, but also considers undesired output when measuring efficiency [23]. Using the undesired SBM model, [24] measured the transformation efficiency of China's 24 declining resource cities and examined their energy conservation potential and space. With the trend towards resource and environmental constraints, the green transformation of RBCs is getting more and more attention. Based on the green development concept, [25] explored the green economic efficiency of RBCs in arid regions in northern China and found that the green development level of RBCs in arid regions is constantly improving.

Improving the GTE of RBCs is a crucial route for achieving their sustainable development. Measuring their GTE and clarifying the development of green transformation can provide certain decision support for the high-quality development of RBCs. However, current research has the following gaps: (1) In the existing measurement system, capital, labor, and resources are used as inputs, and GDP is used as output [5, 25]. However, resource-based cities include multiple dimensions such as society, economy, environment, and resources, and it is necessary to comprehensively consider economic-society-resource-environmental factors to construct a green transformation efficiency measurement system [26]. (2) Existing research focuses on the national [5, 27], northeastern regions [28], etc.

Therefore, this paper attempts to make contributions in the following aspects. Firstly, it helps to provide a new way to assess the level of green transformation from the green development concept. Most of the existing studies have adopted the traditional measurement system to study the green transformation capability [29]. However, few studies have assessed the green transformation capability directly from the GTE perspective. This study introduces a social development index and an environmental pressure index to construct an improved GTE indicator system, which can enrich the research on regional green transformation capacity assessment. Secondly, it helps to provide new evidence for understanding the distribution, evolution features, and influencing factors of RBCs in the YRB. There is little research on the green transformation of RBCs in the YRB [30]. RBCs are the areas that put the most











The following development suggestions are based on the green transformation situation, trend, and influence factors of RBCs in the YRB.

(1) RBCs in the YRB should implement the concept of green sustainable development, adhere to local conditions, and fully consider the differences in green transformation of different RBCs [5]. Cities with low GTE, such as Datong, Baiyin, Baotou, etc., should strengthen pollution emission control, accelerate industrial upgrading, and optimize resource allocation to improve environmental problems and increase resource utilization. Cities with intermediate GTE, such as Jinzhong and Weinan, etc., should strengthen technological research and development, industrial structure upgrading, and energy structure optimization to break through development bottlenecks. Cities with high GTE, such as Yulin and Ordos, etc., should be guided by the concept of green and ecological development, continue to optimize the industrial structure, play the policy guidance role, and expand the development of green industries.

(2) Accelerate industrial structure optimization and promote industrial green transformation and upgrading. In the process of industrial green transformation, RBCs in the YRB should adapt to the city's economic and social development, rely on their own resource endowments, and choose scientific and reasonable industrial development paths. Declining cities should focus on superior industries and carry out vertical industrial expansion to expand and strengthen superior industries. Growing, mature, and renewable RBCs should strengthen the industrial technology level horizontally extend the industry chain, support alternative industries, develop green recycling industries, and make industries more rational. For example, RBCs in midstream and upstream of the YRB can develop tourism based on rich natural ecology, fully explore the development momentum of eco-tourism, and drive the development of other related industries [30].

(3) Strengthen scientific and technological innovation and promote the popularization and application of green energy-saving technologies. Technological innovation is a crucial means of urban transformation. Therefore, in the future development process, RBCs in the YRB should make use of their own resource advantages, rely on reasonable and effective allocation of scientific and technological resources, strengthen scientific and technological innovation, increase the added value of products, and enhance their position in the industrial chain [4].

(4) Establish a sound institutional guarantee system. The green transformation of RBCs in the YRB is inseparable from relevant institutional guarantees. The government should give certain policy support to enterprises, research and development institutions, etc., to give full play to the innovation capabilities of relevant entities. In addition, the government should strengthen environmental requirements and advance

green and clean technology use by increasing the pollution costs of enterprises [48]. At the same time, managers should improve the market mechanism, optimize resource allotment efficiency, and promote the industrial upgrading and green transformation of RBCs. For industries that are weakly dependent on resources, such as green cycles and high tech, the government should provide industrial funds, credit, and other financial support and policy guidance to accelerate their development and growth [15].

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## Conflict of Interest

The authors declare no conflict of interest.

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