

**Master's Thesis**

**Urbanization's impacts on changes in CO<sub>2</sub> emissions  
in 30 provinces in China**

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**Abstract:**

China's extensive and growing CO<sub>2</sub> emissions are linked to rapid economic development and advancing urbanization, posing serious concerns in the context of climate change. Decomposition analysis has been widely performed to identify drivers of China's CO<sub>2</sub> emissions. However, to date, no studies have examined the impacts of urbanization on CO<sub>2</sub> emissions across all of its provinces. Using provincial statistical data and six key factors influencing CO<sub>2</sub> emissions (carbon and energy intensity, residential consumption and consumption inhibition, and population urbanization and size), we applied the logarithmic mean Divisia index (LMDI) decomposition method to examine how urbanization affected CO<sub>2</sub> emission changes across 30 provinces between 1990 and 2016. Our results indicated that while urbanization's impacts on CO<sub>2</sub> emissions increased in China as a whole during this period, they were regionally differentiated. The energy intensity effect was the main driver of reduced CO<sub>2</sub> emissions, with carbon intensity exerting weaker effects in the 30 provinces, differentiated by their energy structures. The residential consumption effect, which is strongly linked to advancing urbanization, was the primary driver of increased CO<sub>2</sub> emissions in all of the provinces. While the consumption inhibition and population urbanization effects were positive at the national level, they were negative in highly urbanized provinces and in highly industrial provinces. These findings highlight the need to promote environmentally friendly consumption and to design regionally differentiated policies and optimized energy structures tailored to particular urbanization contexts. Moreover, they can provide valuable inputs for other developing countries undergoing continuous urbanization, contributing to efforts to balance economic development and environmental sustainability.

**Keywords:** Carbon dioxide emissions, decomposition, China, provincial-level analysis, urbanization, residential consumption



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## **1. Introduction**

### **1.1 Background**

Urbanization is not only the outcome but also a cause of economic development [1]. Economic globalization has contributed to the rapid development and accelerated urbanization of countries worldwide. Up to 2017, 54% of the world's population resided in urban areas and this proportion is expected to increase in the future [2]. The projected number of city dwellers will rise to 6 billion by 2045, reflecting an increase of 2 billion urban inhabitants compared with current numbers [3]. Following China's implementation of its reform and opening-up policy, its gross domestic product (GDP) increased almost 200 times from 367.87 billion yuan in 1978 to 74.11 trillion yuan in 2016. During the same period, China's urban population increased from 172.45 to 792.98 million [4]. In addition, the country's urbanization rate rose from 17.9% to 58.5%, reflecting an average annual increase rate of nearly one percentage point. However, given an average urbanization rate of 72.6% for developed countries, there is further scope for urbanization in China in the future [5].

Advancing urbanization leads to an increase in CO<sub>2</sub> emissions. Moreover, studies have found that the growth rate of the increment in CO<sub>2</sub> emissions is positively associated with the speed of urbanization [6]. For example, Wang et al. [7] showed that energy use increased markedly with urbanization, resulting in the production of greater quantities of CO<sub>2</sub> emissions. In developing countries, urbanization is a key source of regional economic development, and its impact on CO<sub>2</sub> emissions will be extensive with the continuous expansion of the scale of urban economy [8].

The urbanization process is not only reflected in greater overall economic strength but it also encompasses energy, the environment, and other dimensions. From the onset of the 21st century, urbanization has expanded concurrently with China's economic advancement along with a surge in energy consumption [7]. During the period 1978–2016, China's total energy consumption increased from 571.44 million tons to 4,358.19 million tons of standard coal at an average annual growth rate of 5.5% [4]. Fast-paced urbanization contributes significantly to rising energy demands. Energy-intensive economic activities (e.g., manufacturing and transportation), which are driven primarily by fossil fuels and contribute to environmental degradation, may also be widespread in urban areas [9].

Starting with the 12th Five-year Plan (2011–2015), the Chinese government has increasingly emphasized a strategy to expand domestic demands, especially those related to residential

consumption to stabilize economic growth. Therefore, residential energy consumption and CO<sub>2</sub> emissions from residential consumption have emerged as important considerations in analyses of the drivers of CO<sub>2</sub> emissions [10]. In some developing countries, residential energy consumption has exceeded industrial energy consumption since the 1990s and has been an important driver of the growth of CO<sub>2</sub> emissions [11]. There are direct as well as indirect forms of energy consumption and CO<sub>2</sub> emissions from residential consumption. During the period 2000–2010, indirect energy consumption and CO<sub>2</sub> emissions from residential consumption were the main components of China's total energy consumption and CO<sub>2</sub> emissions (69–77% and 77–84%, respectively) [12]. The energy consumption and CO<sub>2</sub> emissions of China's urban population will inevitably increase over time with continually expanding urbanization. As the end consumers of industrial products, urban residents will significantly influence the design and creation of products and concepts within industrial enterprises, according to their carbon-related value orientations. Therefore, future urbanization and consumption trends of urban residents will gradually become the main determinants of China's CO<sub>2</sub> emission growth.

In the context of economic globalization, China's economy has grown rapidly to become one of the most advanced economies globally. China is the largest developing country and is also the largest CO<sub>2</sub> emitter [13]. In 2016, China's CO<sub>2</sub> emissions were nearly double those of the United States [14]. Given the increasingly serious threat posed by climate change, energy conservation and emission reduction in China have become imperative. China's reduction of its CO<sub>2</sub> emissions would significantly contribute to efforts to solve the problem of climate change and to develop a green and sustainable global economy [15]. Accordingly, China, as a major carbon emitter, needs to assume a larger share of international responsibility. In the context of the 2009 Copenhagen Accord, the Chinese government pledged to reduce the country's carbon intensity by 40–45% from its 2005 level by 2020 [16]. Furthermore, in the 2015 Paris Agreement, China pledged to achieve peak CO<sub>2</sub> emissions and to reduce its emissions per GDP by 60–65% from the 2005 level by 2030. China also aims to increase the share of non-fossil fuels in primary energy consumption to approximately 20% by 2030.

## **1.2 Literature review**

Many studies have applied various types of decomposition analysis to evaluate the drivers of China's



extensive CO<sub>2</sub> emissions. Considering the spatial dimension, we subdivided previous studies focusing on China into two categories: national and provincial. Table 1 presents a summary of studies that applied decomposition analysis to China's CO<sub>2</sub> emissions, followed by a selective review of this literature.<sup>1</sup>

### **1.2.1 National-level studies**

China's rapid development process has intensified the contradiction between economic growth and environmental sustainability. In the context of climate change, many studies have focused on the critical issue of China's carbon reduction, with energy consumption and production featuring prominently in analyses of CO<sub>2</sub> emissions. Given China's extensive energy consumption, Xu et al. [17] applied the logarithmic mean Divisia index (LMDI) method to decompose CO<sub>2</sub> emissions into energy structure, energy intensity, the industrial structure, economic outputs, and population scale effects for the period 1995–2011. They found that the energy intensity effect was the main factor inhibiting CO<sub>2</sub> emissions. Coal and thermal power generation are the primary components of China's energy consumption structure. Xie et al. [18] applied the Tapio decoupling indicator and LMDI method to evaluate the relationship between CO<sub>2</sub> emissions from the power sector and GDP. They found that whereas the intensity and consumption of energy in power generation promoted a decoupling of CO<sub>2</sub> emissions in the power industry and China's GDP, the scale of the economy and electrification were the two main factors inhibiting this decoupling.

Given the centrality of China's industrial sector in the production of CO<sub>2</sub> emissions, quantitative analyses of drivers of CO<sub>2</sub> emissions within this sector provide valuable inputs that can facilitate its carbon reduction. The chemical industry subsector is the second largest industrial source of CO<sub>2</sub> emissions in China. Lin and Long [19] employed the LMDI method to identify factors influencing energy usage and CO<sub>2</sub> emissions within China's chemical industry subsector. Their findings indicated that decreases in CO<sub>2</sub> emissions were related to energy intensity and the energy structure. The construction sector is also one of the most significant sources of CO<sub>2</sub> emissions. Wu et al. [20] showed that during the period 2000–2015, the most effective strategies for reducing CO<sub>2</sub> emissions during building operations entailed increasing development density, and improving carbon intensity,

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<sup>1</sup> We acknowledge that many decomposition studies have been conducted on the CO<sub>2</sub> emissions of various countries and regions, worldwide. However, here we focus on studies relating to China.

**Table 1 Studies using decomposition methods for examining CO<sub>2</sub> emissions and related topics in China (in chronological order).**

| Literature         | Region                          | Period    | Decomposition method <sup>a,b</sup>  | Decomposed variables and decomposition factors  |
|--------------------|---------------------------------|-----------|--------------------------------------|---|
| Xu et al. [17]     | China                           | 1995–2011 | IDA (LMDI)                           | <ul style="list-style-type: none"> <li>• CO<sub>2</sub> emissions from energy consumption</li> <li>• Five factors: energy structure, energy intensity, industrial structure, economic outputs, and population scale</li> </ul>  |
| Lin and Long [19]  | 30 provinces                    | 1980–2011 | IDA (LMDI)                           | <ul style="list-style-type: none"> <li>• Changes in CO<sub>2</sub> emissions in the chemical industrial sector</li> <li>• Five factors: emission coefficient, energy structure, energy intensity, output per worker, and expansion scale</li> </ul>   |
| Wu et al. [20]     | China                           | 2000–2015 | IDA (LMDI)                           | <ul style="list-style-type: none"> <li>• CO<sub>2</sub> emissions from the construction sector</li> <li>• Seven factors: emission factor, industrial structure, energy structure, energy demand from appliances, floor space, infrastructure capacity, infrastructure development, and road length</li> </ul>   |
| Zhao et al. [21]   | Shanghai                        | 1996–2007 | IDA (LMDI)                           | <ul style="list-style-type: none"> <li>• Industrial CO<sub>2</sub> emissions</li> <li>• Four factors: energy mix, energy intensity, industrial structure, and industrial outputs</li> </ul>   |
| Tan et al. [22]    | China                           | 1998–2008 | IDA (LMDI)                           | <ul style="list-style-type: none"> <li>• CO<sub>2</sub> emission intensity</li> <li>• Six factors: CO<sub>2</sub> emission coefficient, energy intensity of power generation, power generation and consumption ratio, electricity intensity of the GDP, provincial structural changes, and the energy intensity of the GDP for other activities</li> </ul>  |
| Wu and Zeng [23]   | Shijingshan District of Beijing | 2005–2015 | IDA (LMDI)                           | <ul style="list-style-type: none"> <li>• CO<sub>2</sub> emission intensity</li> <li>• Four factors: industrial structure, industrial energy intensity, energy structure, and emission coefficient</li> </ul>  |
| Ren et al. [24]    | China                           | 1996–2010 | IDA (LMDI)                           | <ul style="list-style-type: none"> <li>• Total CO<sub>2</sub> emissions from the manufacturing sector</li> <li>• Five factors: industrial structure, economic outputs, energy structure, energy intensity, and emission factors</li> </ul>  |
| Wang et al. [25]   | 30 provinces                    | 2005–2010 | Production-theoretical decomposition | <ul style="list-style-type: none"> <li>• Provincial total CO<sub>2</sub> emissions</li> <li>• Seven factors: Changes in potential carbon factors, potential energy intensity, GDP, technical efficiency relating to CO<sub>2</sub> emissions, carbon abatement technology, technical efficiency relating to energy usage, and energy savings technology</li> </ul>  |
| Xie et al. [26]    | China                           | 1995–2013 | IDA (LMDI)                           | <ul style="list-style-type: none"> <li>• Changes in energy-related CO<sub>2</sub> emissions from China's petroleum refining and coking industrial sector</li> <li>• Five factors: effects of emission coefficients, energy structure, energy intensity, industrial activity, and the, industrial scale</li> </ul>   |
| Zhang et al. [27]  | 29 provinces                    | 1995–2012 | IDA (LMDI)                           | <ul style="list-style-type: none"> <li>• CO<sub>2</sub> emissions</li> <li>• Four factors: carbon density, energy structure, energy proportion, and residual components</li> </ul>  |
| Wang and Feng [28] | China and 30 provinces          | 2000–2014 | IDA (LMDI)                           | <ul style="list-style-type: none"> <li>• National carbon emissions and provincial carbon emissions</li> <li>• Six factors: effects of population, economic outputs, industrial structure, energy intensity, energy structure, and CO<sub>2</sub> emission coefficient</li> </ul>  |
| Ye et al. [29]     | 30 provinces                    | 1996–2013 | Two-layer LMDI model                 | <ul style="list-style-type: none"> <li>• Provincial CO<sub>2</sub> emissions from production and consumption</li> <li>• Four factors: economic outputs, industrial structure, energy intensity, and energy structure of seven economic sectors (production)</li> <li>• Four factors: population, urbanization, energy intensity, and energy structure of rural and urban household sectors (consumption)</li> </ul> |

|                   |  |           |            |   |
|-------------------|--|-----------|------------|---|
| Zang et al. [30]  | Shanxi   | 1995–2014 | IDA (LMDI) | <ul style="list-style-type: none"> <li>• Direct residential carbon emissions</li> <li>• Seven factors: the number of households, per capita household income, household size, urbanization, energy intensity, energy structure, and emission coefficient</li> </ul>   |
| Pan et al. [31]   | Northeastern region,<br>Central region,<br>Western region,<br>Coastal region   | 2002–2010 | SDA        | <ul style="list-style-type: none"> <li>• CO<sub>2</sub> emissions</li> <li>• Three factors: carbon emissions intensity, production technology, and final demand</li> </ul>  |
| Shi et al. [32]   | Beijing, Tianjin,<br>Shanghai, Chongqing   | 2010–2015 | IDA (LMDI) | <ul style="list-style-type: none"> <li>• Per capita urban CO<sub>2</sub> emissions</li> <li>• Nine factors: energy emissions, energy intensity, per capita energy emissions in the manufacturing and transportation sectors, transportation energy intensity and per capita vehicles; energy emissions, energy intensity, and per capita building areas in the construction sector</li> </ul> |
| Xie et al. [18]   | China  | 1985–2016 | IDA (LMDI) | <ul style="list-style-type: none"> <li>• CO<sub>2</sub> emissions from the power sector</li> <li>• Seven factors: energy consumption, thermal power structure, power generation structure, transmission and distribution loss, electrification, energy intensity, and economic scale</li> </ul>   |
| Liao et al. [33]  | 30 provinces   | 2004–2014 | IDA (LMDI) | <ul style="list-style-type: none"> <li>• CO<sub>2</sub> emissions from the power sector</li> <li>• Seven factors: energy structure, energy intensity, electrical structure, proportions of generation and consumption, industrial intensity, industrial structure, and economic scale</li> </ul>  |
| Feng et al. [34]  | Guangdong  | 1995–2015 | LMDI (IDA) | <ul style="list-style-type: none"> <li>• CO<sub>2</sub> emissions</li> <li>• Five factors: carbon intensity, energy structure, energy intensity, economic growth, and population growth</li> </ul>  |
| Ma et al. [35]    | China  | 2005–2016 | IDA (LMDI) | <ul style="list-style-type: none"> <li>• CO<sub>2</sub> emissions</li> <li>• Six factors: emission factor, energy structure, energy intensity of the industry, industrial structure, economic outputs, and population scale</li> </ul>  |
| Zhang et al. [36] | China  | 2000–2016 | IDA (LMDI) | <ul style="list-style-type: none"> <li>• CO<sub>2</sub> emissions</li> <li>• Six factors: emission coefficient, inter-energy consumption structure, energy intensity, industrial structure, economic activity, and population growth</li> </ul>   |
| Guo and Meng [37] | Beijing, Tianjin, Hebei  | 1995–2016 | IDA (LMDI) | <ul style="list-style-type: none"> <li>• CO<sub>2</sub> emissions from the transport sector</li> <li>• Six factors: energy structure, transportation energy intensity, transportation ratio, freight turnover of unit industrial outputs, industrialization, and the economy</li> </ul>   |
| Zheng et al. [38] | Beijing-Tianjin, North<br>and Northeast China,<br>Central and South<br>Coasts, Central,<br>Southwest, and<br>Northwest China | 2000–2016 | IDA (LMDI) | <ul style="list-style-type: none"> <li>• CO<sub>2</sub> emissions</li> <li>• Seven factors: population variations, economic growth, regional structure adjustment, energy efficiency improvement, industrial structure upgrades, energy mix, and changes in emission intensity</li> </ul>   |
| Wang et al. [39]  | China  | 2000–2015 | SDA        | <ul style="list-style-type: none"> <li>• Total household CO<sub>2</sub> emissions</li> <li>• Six factors: carbon intensity, structural change, rural consumption, urban consumption, population, and urbanization</li> </ul>  |
| Xia et al. [40]   | China  | 1995–2009 | SDA        | <ul style="list-style-type: none"> <li>• Indirect CO<sub>2</sub> emissions from household consumption</li> <li>• Six factors: direct carbon emissions coefficient, technology, urbanization rate, urban population, consumption composition, and per capita consumption</li> </ul>  |
| Cao et al. [41]   | China and 30<br>provinces  | 2007–2012 | SDA        | <ul style="list-style-type: none"> <li>• National and regional carbon intensities</li> <li>• Three factors: intensity (or efficiency), input structure, and final demand</li> </ul>   |

|                  |                             |           |     |  |
|------------------|-----------------------------|-----------|-----|--|
| Wang et al. [42] | Beijing, Tianjin, and Hebei | 2002–2012 | SDA | <ul style="list-style-type: none"> <li>· Indirect carbon emissions from urban and rural residential consumption</li> <li>· Five factors: emission intensity, intermediate demand, consumption structure, consumption level, and population size</li> </ul> |
|------------------|-----------------------------|-----------|-----|--|

Notes: <sup>a</sup>: This column only focuses on decomposition methods, although alternative methods were also applied in some studies.

<sup>b</sup>: IDA: index decomposition analysis; LMDI: logarithmic mean Divisia index; SDA: structural decomposition analysis.

the energy structure, and the industrial structure within the construction sector.

Differing from traditional research focusing on the impacts of the industrial sector on CO<sub>2</sub> emissions, an increasing number of studies have evaluated the impacts of urbanization and residential consumption on CO<sub>2</sub> emissions. Ma et al. [35] showed that rapid economic development and accelerated urbanization counter a reduction in CO<sub>2</sub> emissions. This finding was confirmed by Wang et al. [39], who found that urbanization and changes in consumption patterns contributed to CO<sub>2</sub> emissions. Advancing urbanization not only increases households' incomes but it also promotes their consumption, thereby constituting a new source of CO<sub>2</sub> emissions. Xia et al. [40] examined the impacts of residential consumption on indirect CO<sub>2</sub> emissions using a combination of multivariate regression analysis with structural decomposition analysis (SDA). They attributed the increase in indirect CO<sub>2</sub> emissions primarily to urban employment, rapid urbanization, and the two-child policy.

### **1.2.2 Provincial-level studies**

The impacts of economic development at the provincial level on CO<sub>2</sub> emissions are increasingly evident in light of the continuous expansion of the national economy. Therefore, studies on the role of changing patterns of provincial development in China provide valuable inputs for strategies aimed at decreasing CO<sub>2</sub> emissions. Zheng et al. [38] conducted a LMDI decomposition analysis of CO<sub>2</sub> emissions across 30 Chinese provinces divided into eight regions: Beijing-Tianjin, North and Northeast China, the Central and South Coasts, and Central, Southwest, and Northwest China. They found that the drivers of changes in CO<sub>2</sub> emissions varied across regions because of differences in their development patterns. Moreover, whereas the industrial structure and energy mix inhibited emissions at the national scale, they prompted increased emissions in some regions. Cao et al. [41] also focused on the same eight regions, using an extended multiplicative SDA method to identify the drivers of national and regional changes in carbon intensity at multiple levels. They divided these eight regions into two groups based on the results. In the first group comprising Northwest and Northeast China and the South Coast, carbon intensity increased because of the input structure and final demand effect; and in the second group comprising the remaining regions, carbon intensity decreased because of intensity and final demand effects.

National economic policies also have significant impacts on provincial emissions. In light of their analysis of provincial data, and considering the national economic strategy, Pan et al. [31] divided

China into four regions and analyzed factors influencing inter-regional CO<sub>2</sub> emissions using the SDA method. They found that final demands have the greatest positive influence on CO<sub>2</sub> emissions. A further finding following the decomposition of final demands was that after the financial crisis of 2007–2008, investments became the key driver, with the impacts of residential consumption on China's CO<sub>2</sub> emissions remaining marginal. However, the findings of studies on the effects of residential consumption on CO<sub>2</sub> emissions differ. For example, Wang et al. [42] found that the carbon emission intensity and the level of residential consumption were the main factors influencing indirect CO<sub>2</sub> emissions from 2002 to 2012 in the Beijing–Tianjin–Hebei region.

The impacts of economic development and industrial production on CO<sub>2</sub> emissions are relatively more direct, as evidenced in several studies. Wang et al. [25] decomposed changes in CO<sub>2</sub> emissions across 30 provinces into seven drivers using a new method of production-theoretical decomposition. They found that economic development, energy structure, and energy efficiency were positive drivers, whereas technological advancement, energy intensity, and carbon emission efficiency were negative drivers of CO<sub>2</sub> emissions. Zhao et al. [21] used the LMDI method to analyze the main drivers of industrial carbon emissions in Shanghai during the period 1996–2007. They identified industrial outputs as the main factor propelling industrial CO<sub>2</sub> emissions, whereas the key determinants of the reduction of industrial CO<sub>2</sub> emissions were energy intensity and the adjustment of energy sources and of the industrial structure. Shi et al. [32] conducted four case studies of hierarchical Chinese megacities (Beijing, Tianjin, Shanghai, and Chongqing) in which they decomposed per capita urban carbon emissions into the manufacturing, transportation, and construction sectors. They found that the development of the manufacturing sector and improvements in residents' living standards led to increases in CO<sub>2</sub> emissions in these cities. Given that China is the most populous country in the world, some studies have examined the impacts of demography on CO<sub>2</sub> emissions. Li and Zhou [43] applied panel cointegration modeling to test long-term relationships between CO<sub>2</sub> emissions and variables of the demographic structure in Central, Eastern, and Western China. Their results indicated that there were long-term relationships between CO<sub>2</sub> emissions and the demographic structure at both regional and national levels. Moreover, Feng et al. [34] applied the LMDI method to investigate the drivers of CO<sub>2</sub> emissions in Guangdong Province, which had the largest

permanent population among Chinese provinces in 2018. They concluded that both economic and demographic growth had a positive impact on CO<sub>2</sub> emissions in the province.

Existing studies on the impacts of urbanization and residential consumption on CO<sub>2</sub> emissions have mainly focused on individual provinces as opposed to considering all provinces. For example, Zang et al. [30] applied the LMDI approach to analyze the effects of urbanization and household-related factors on residents' direct CO<sub>2</sub> emissions in Shanxi Province. The results demonstrated that shrinking household size was a key constraining factor, whereas the expansion of urbanization contributed marginally to increased emissions. Using the IPAT (impact, population, affluence, and technology) model and considering provincial differences, Wang et al. [7] analyzed the impacts of urbanization on energy consumption and CO<sub>2</sub> emissions. Their findings indicated that the impacts of urbanization on provincial CO<sub>2</sub> emissions were closely related to industrial structures, energy efficiency levels, and developmental stages.

### **1.3 Purpose of this study**

This review of the literature reveals some insights on the drivers of CO<sub>2</sub> emissions within China at national and provincial scales. Most of these earlier studies focused on economic development, energy consumption, and industrial sectors. However, a few studies systematically evaluated the drivers of CO<sub>2</sub> emissions in specific administrative units [44,45]. To the best of our knowledge, however, no previous studies have evaluated the impacts of urbanization on CO<sub>2</sub> emissions for the entire spectrum of provincial administrative units in China.

The impacts of urbanization on CO<sub>2</sub> emissions are multiple and complex, and vary according to the stage of urbanization [46]. To advance scientific knowledge regarding the impacts of urbanization on CO<sub>2</sub> emissions from the perspective of residential consumption, we evaluated the impacts of urbanization on changes in CO<sub>2</sub> emissions during the period 1990–2016. We applied a six-factor LMDI decomposition approach (using carbon and energy intensity, consumption inhibition, residential consumption, population urbanization, and population size) in 30 provincial administrative units (hereafter, provinces) across China. Considering the issues of feasibility of data collection and representative regional characteristics, we ultimately chose Chinese provinces as the geographical

study locations.<sup>2</sup> In light of our decomposition analysis of 30 provinces, we elucidated the changing characteristics of the six driving factors. Our findings are of considerable value for improving the viability and application of effective strategies for reducing CO<sub>2</sub> emissions in China by accounting for regional differences and promoting economic and societal low-carbon development. Furthermore, urbanization is an ongoing global issue, particularly in developing countries, and will advance in the future. Therefore, the results of this study can provide insights with international applicability for reducing CO<sub>2</sub> emissions, especially in other developing countries. The remainder of this paper is organized as follows. Section 2 discusses the study methodology and data, section 3 presents the results and discussion, and section 4 presents the study's conclusions.

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<sup>2</sup> Because of constraints relating to data collection, we did not include the Tibet Autonomous Region or the Special Administrative Regions of Hong Kong and Macao. See Fig. A1 in the Appendices for the geographical coverage of the study.

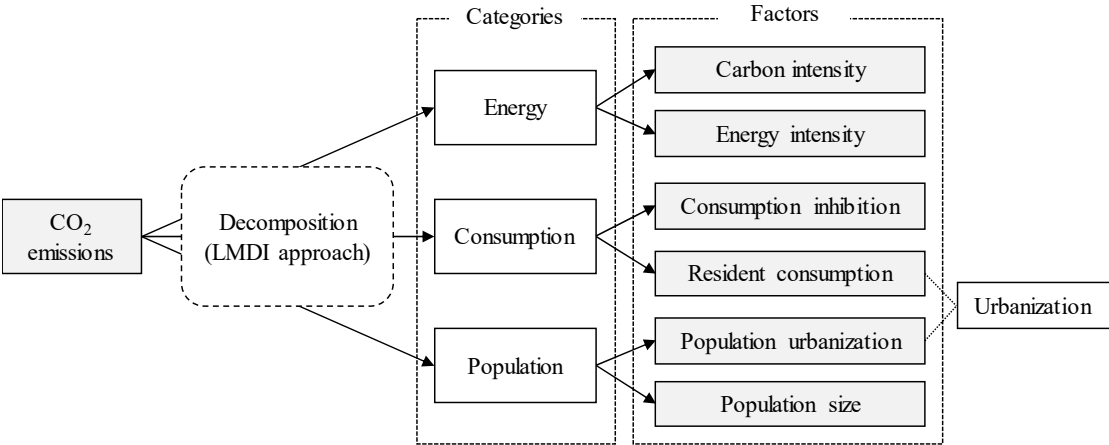


**2. Methodology and data**

Using provincial level data for the period 1990–2016, we applied the LMDI approach to conduct a quantitative evaluation of the impacts of urbanization on CO<sub>2</sub> emissions from the perspective of residential consumption. Figure 1 depicts the analytical structure. We defined three major decomposition categories: energy, consumption, and population. Accordingly, we identified six factors (carbon intensity, energy intensity, consumption inhibition, residential consumption, population urbanization, and population size) to explore their impact on CO<sub>2</sub> emissions. The connections of residential consumption and population urbanization to the overall urbanization process were particularly strong.

**2.1 The LMDI decomposition method**

Decomposition analysis is a mainstream method used for the quantitative measurement of the contribution of factors driving energy consumption and CO<sub>2</sub> emissions [47]. Commonly used decomposition methods include index decomposition analysis (IDA) and SDA. Because IDA is based on terminal output data, it is easier to conduct an analysis using a smaller data sample. Therefore, IDA was adopted in this study. LMDI, which is a variant of IDA, is a decomposition method entailing few variables and involving a time series. Because this modelling method does not rely on input–output data, it has gained in popularity since 2000 [48]. Therefore, we chose LMDI as the research method.



**Figure 1. Structure of the decomposition analysis.**

Note: The factors shaded in gray were used for the decomposition calculation.

Considering the Kaya identity, we decomposed CO<sub>2</sub> emissions as follows:

$$CARB_i = \frac{CARB_i}{ENE_i} \times \frac{ENE_i}{GRP_i} \times \frac{GRP_i}{POP_i} \times POP_i \quad (1)$$

where  $CARB$  denotes CO<sub>2</sub> emissions (in units of 10,000 tons),  $ENE$  denotes total energy consumption (10,000 tons of standard coal),  $GRP$  denotes the gross regional product (GRP; one hundred million yuan),<sup>3</sup>  $POP$  denotes the population (in units of 10,000 people), and  $i$  denotes 30 provinces.

Because our aim was to analyze the impacts of relevant factors on CO<sub>2</sub> emissions, focusing mainly on urbanization, we incorporated residential consumption and population urbanization factors in the traditional Kaya identity and further expanded them in a vector form to include urban and rural areas. Consequently, we inserted residential consumption ( $RES$ ) into eq.1 as follows:

$$CARB_i = \frac{CARB_i}{ENE_i} \times \frac{ENE_i}{GRP_i} \times \frac{GRP_i}{RES_i} \times \frac{RES_i}{POP_i} \times POP_i \quad (2)$$

The urbanization process can be conceived simplistically as a process whereby the agricultural population is constantly transitioning into the non-agricultural population. Therefore, considering the urban–rural population structure, we subdivided  $RES$  and  $POP$  into their urban and rural components. Thus,  $RES_r$  and  $RES_u$  denoted resident consumption in rural and urban areas, respectively. Similarly,  $POP_r$  and  $POP_u$  denoted the rural and urban populations, respectively. Accordingly, we expressed  $RES$  as follows:

$$RES_i = \left( \frac{RES_u}{POP_u} \frac{RES_r}{POP_r} \right) \times \left( \frac{POP_u}{POP_r} \right) \times POP_i \quad (3)$$

We subsequently plugged eq. 3 into eq. 2 to obtain the following equation:

---

<sup>3</sup> For the national calculation, GDP was used instead.

$$\begin{aligned}
CARB_i &= \frac{CARB_i}{ENE_i} \times \frac{ENE_i}{GRP_i} \times \frac{GRP_i}{RES_i} \times \left( \frac{RES_u}{POP_u} \frac{RES_r}{POP_r} \right) \times \left( \frac{POP_u}{POP_r} \right) \times POP_i \\
&= C_{int_i} \times E_{int_i} \times C_{inb_i} \times (PC_{con_u} PC_{con_r}) \times \left( \frac{P_{pop_u}}{P_{pop_r}} \right) \times POP_i
\end{aligned} \tag{4}$$

where  $C_{int}$  denotes carbon intensity ( $CARB/ENE$ ),  $E_{int}$  denotes energy intensity ( $ENE/GRP$ ),  $C_{inb}$  represents the inhibition of consumption ( $GRP/RES$ ),  $PC_{con_u}$  ( $PC_{con_r}$ ) refers to urban (rural) per capita consumption ( $RES_u/POP_u$  ( $RES_r/POP_r$ )), and  $P_{pop_u}$  ( $P_{pop_r}$ ) refers to the proportion of the urban (rural) population in relation to the total population ( $POP_u/POP$  ( $POP_r/POP$ )).  $S_{u_i} = (R_{con_u} \times P_{pro_u}) / (R_{con_u} \times P_{pro_u} + R_{con_r} \times P_{pro_r})$ , which denotes the proportion of the consumption of urban residents in relation to the total consumption of the province, was plugged into eq. 4, as follows:

$$\begin{aligned}
CARB_i &= C_{int_i} \times E_{int_i} \times C_{inb_i} \times P_{con_u}^{S_{u_i}} \times P_{con_r}^{1-S_{u_i}} \\
&\times PC_{con_u}^{S_{u_i}} \times PC_{con_r}^{1-S_{u_i}} \times P_{pop_u}^{S_{u_i}} \times P_{pop_r}^{1-S_{u_i}} \times POP_i
\end{aligned} \tag{5}$$

where  $P_{con_u}$  ( $P_{con_r}$ ) refers to the inverse of the proportion of the urban (rural) consumption in relation to the total consumption ( $RES/RES_u$  ( $RES/RES_r$ )).

This equation shows the product form of CO<sub>2</sub> emissions. Applying the LMDI approach (additive form [49]), we obtained the effect of each factor on CO<sub>2</sub> emissions (eqs. 6–11). Equation 5 decomposes CO<sub>2</sub> emissions at one point in time, whereas eq. 6 decomposes differences in CO<sub>2</sub> emissions between two time points.

Total effect:

$$\Delta CARB_i^T = CARB_i^T - CARB_i^0 = (7) + (8) + (9) + (10) + (11) + (12) \tag{6}$$

Carbon intensity effect:

$$\Delta CARB_{C\_int,i}^T = \frac{CARB_i^T - CARB_i^0}{\ln CARB_i^T - \ln CARB_i^0} \times \ln \frac{C\_int_i^T}{C\_int_i^0} \quad (7)$$

Energy intensity effect:

$$\Delta CARB_{E\_int,i}^T = \frac{CARB_i^T - CARB_i^0}{\ln CARB_i^T - \ln CARB_i^0} \times \ln \frac{E\_int_i^T}{E\_int_i^0} \quad (8)$$

Consumption inhibition effect:

$$\Delta CARB_{C\_inb,i}^T = \frac{CARB_i^T - CARB_i^0}{\ln CARB_i^T - \ln CARB_i^0} \times \ln \frac{C\_inb_i^T}{C\_inb_i^0} \quad (9)$$

Resident consumption effect:

$$\Delta CARB_{R\_con,i}^T = \frac{CARB_i^T - CARB_i^0}{\ln CARB_i^T - \ln CARB_i^0} \times \left[ \begin{aligned} & S\_u_i^0 \ln \frac{P\_con\_u_i^T}{P\_con\_u_i^0} + (1 - S\_u_i^0) \ln \frac{P\_con\_r_i^T}{P\_con\_r_i^0} \\ & + S\_u_i^0 \ln \frac{PC\_con\_u_i^T}{PC\_con\_u_i^0} + (1 - S\_u_i^0) \ln \frac{PC\_con\_r_i^T}{PC\_con\_r_i^0} \end{aligned} \right] \quad (10)$$

Population urbanization effect:

$$\Delta CARB_{P\_urb,i}^T = \frac{CARB_i^T - CARB_i^0}{\ln CARB_i^T - \ln CARB_i^0} \times \left[ S\_u_i^0 \ln \frac{P\_pop\_u_i^T}{P\_pop\_u_i^0} + (1 - S\_u_i^0) \ln \frac{P\_pop\_r_i^T}{P\_pop\_r_i^0} \right] \quad (11)$$

Population size effect:

$$\Delta CARB_{POP,i}^T = \frac{CARB_i^T - CARB_i^0}{\ln CARB_i^T - \ln CARB_i^0} \times \ln \frac{POP_i^T}{POP_i^0} \quad (12)$$

$\Delta CARB_X$  shows six factors ( $X$ ) entailed in the decomposition analysis. The superscripts 0 and  $T$  in the above equations denote the base year (1990) and the calculation period, respectively.  $S\_u_i^0$  was applied instead of  $S\_u_i^T$  to calculate the effects of residential consumption and of population urbanization (eqs. 10–11). To perform calculations of the differences between two periods,  $S\_u_i$  was

actually based on the point elasticity value during period 0, and the change in adjacent years was negligible. This means that the  $S_{u_i^0}$  and  $S_{u_i^T}$  values for the adjacent years are approximately equal; the change effect for non-adjacent years can be obtained by summing up that of adjacent years between the 0 and  $T$  periods [49].

## 2.2 Data

We used available data for the period 1990–2016. Relevant data (i.e.,  $ENE$ ,  $GDP$ ,  $RES_u$ ,  $RES_r$ ,  $POP_u$ , and  $POP_r$ ) were extracted from the official provincial statistical yearbooks (see Table A1 in the Appendix for the data sources). The statistical yearbooks do not include CO<sub>2</sub> emissions data; we therefore calculated the amount of CO<sub>2</sub> emissions per province using energy consumption data extracted from the statistical yearbooks as follows [50]:

$$CARB_i = \sum CARB_{ij} = \sum FUEL_{ij} \times SC_j \times SEC_j \times \frac{44}{12} \quad (13)$$

where  $FUEL$  denotes the total consumption of different energy types (in tons),  $SC$  denotes the conversion coefficient of standard coal for different energy types (in units of 10,000 tons of standard coal per ton of energy),  $SEC$  is the carbon emission coefficient (in tons of carbon per ton of standard coal), and  $j$  represents different types of fossil fuels (Table 2). Table 2 shows the corresponding values of  $SC$  and  $SEC$  by energy type.

**Table 2 Standard coal conversion and carbon emission coefficients.**

| Energy type | Standard coal conversion coefficient (ton of standard coal/ton of energy) | Carbon emission coefficient (ton of carbon/ton of standard coal) |
|-------------|---|--|
| Coal        | 0.7143  | 0.7559   |
| Coke        | 0.9714  | 0.855  |
| Crude oil   | 1.4286  | 0.5857   |
| Fuel oil    | 1.4286  | 0.6185   |
| Gasoline    | 1.4714  | 0.5538   |
| Kerosene    | 1.4714  | 0.5714   |
| Diesel      | 1.4571  | 0.5921   |
| Natural gas | $1.33 \times 10^{-3}$   | 0.4483   |
| LPG         | 1.7143  | 0.5042   |

Sources: National Bureau of Statistics of China [4] and Intergovernmental Panel on Climate Change [50].

National-level data, such as population size, residential consumption, and GDP were extracted from published issues of the China Statistical Yearbook [4]. As shown in Table 3, the growth rate of the urban population exceeds that of the total population, whereas the rural population is decreasing annually, reflecting a constant trend of rapid urbanization in China in alignment with advancing economic development. However, because China's urbanization process initially progressed relatively slowly, the rural population base remains large, accounting for a high proportion of the population. By comparison, developed countries, such as the United Kingdom, have basically completed their industrialization and urbanization processes, with the level of urbanization exceeding 80% [51]. China's urbanization rate is therefore still low compared with those of developed countries.

**Table 3 China's demographic and economic trends for the period 1990–2016.**

|   | Year    |         |         |         |         |         |
|---|---------|---------|---------|---------|---------|---------|
|   | 1990    | 1995    | 2000    | 2005    | 2010    | 2016    |
| Total population (in 10,000s)                     | 114,333 | 121,121 | 126,743 | 130,756 | 134,091 | 138,271 |
| Urban population rate (%)                         | 26.4    | 29.0    | 36.2    | 43.0    | 50.0    | 57.4    |
| Rural population rate (%)                         | 73.6    | 71.0    | 63.8    | 57.0    | 50.1    | 42.7    |
| Residential consumption (in hundred million yuan) | 9,435   | 2,8073  | 46,988  | 75,232  | 146,058 | 293,443 |
| Urban residential consumption rate (%)            | 44.5    | 58.9    | 66.8    | 72.2    | 77.0    | 78.1    |
| Rural resident consumption rate (%)               | 55.5    | 41.1    | 33.2    | 27.8    | 23.0    | 21.9    |
| GDP (in one hundred million yuan)                 | 18,872  | 61,339  | 100,280 | 187,318 | 413,030 | 743,585 |
| Ratio of residential consumption to the GDP       | 50.0    | 45.8    | 46.9    | 40.2    | 35.4    | 39.5    |

The growth rate of residential consumption significantly exceeds that of GDP, and the gap between urban and rural consumption is gradually widening. In recent years, urban consumption has constituted a majority share of the total consumption in China, suggesting that urban areas may have become the main drivers of CO<sub>2</sub> emissions. In the past, on the premise of stable growth of residential consumption and GDP, the ratio of residential consumption to the GDP decreased over time but has gradually risen in recent years. The most likely reason for this trend is that the Chinese government took measures to expand domestic demand further and to promote stable and rapid economic growth after 2008. Specifically, it changed the mode of economic development, reduced macro-control over the economy, and gradually restored the growth-inducing effect of consumption on the economy [52].

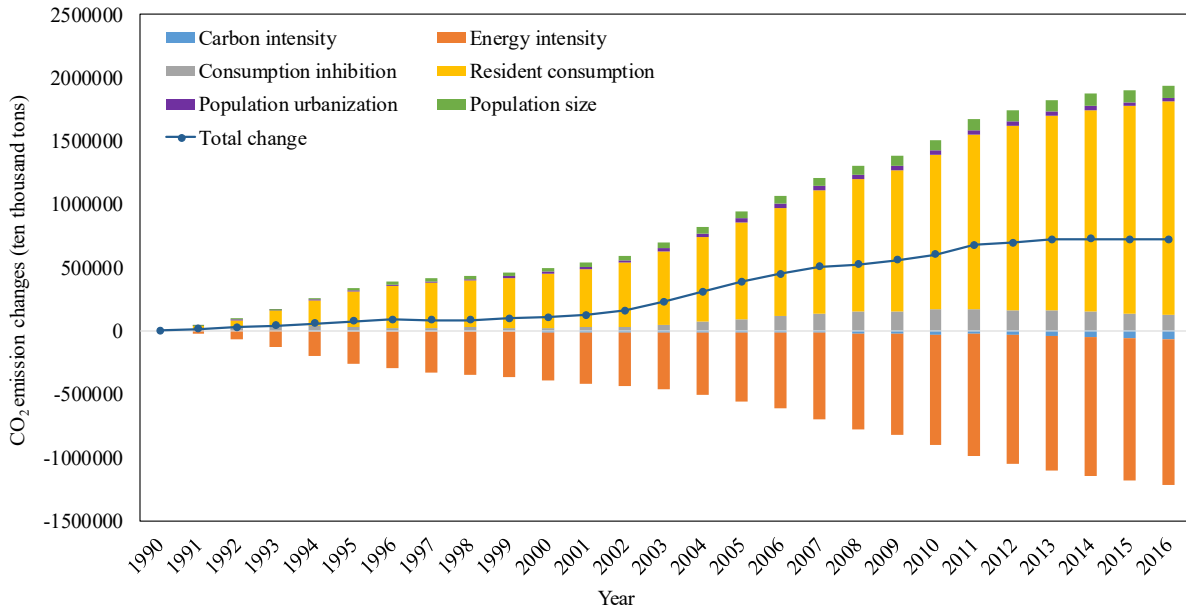
### 3. Results and discussion

In this section, we first discuss the national-level results of our decomposition analysis. We subsequently provide a detailed analysis of provincial-level data.

#### 3.1 Drivers of changes in CO<sub>2</sub> emissions under conditions of urbanization at the national level

Figure 2 shows the results of the decomposition analysis of national-level data for China [4]. The overall trend was one of a rise in China's CO<sub>2</sub> emissions up to 2013, with an accelerated increase in emissions after 2000. The overall impact of energy intensity on the reduction of CO<sub>2</sub> emissions in China has been a stabilizing one. Since the launch of the 11th Five-Year Plan (2006–2010) when the Chinese government introduced a policy of energy conservation and emission reduction, significant improvements in energy efficiency have been evident, with the energy intensity effect gradually becoming stronger from around 2005, eventually emerging as the most important factor driving the reduction in China's CO<sub>2</sub> emissions. Another factor contributing to the reduction of CO<sub>2</sub> emissions is the carbon intensity effect. The proportion of coal within China's energy consumption structure decreased from 76.2% in 1990 to 62.0% in 2016 [4]. However, compared with the diversified and clean energy structure in developed countries, China's energy consumption remains highly dependent on high-carbon fuels. Therefore, the carbon intensity effect is relatively weak in China. However, a trend of gradual enhancement of this effect was evident after 2010. This is because during the period of the 12th Five-Year Plan, the Chinese government began to promote an optimized energy structure while regulating the growth of high-carbon energy sources, such as coal and oil, and encouraging diversified energy development.

As shown in Fig. 2, the continuous growth of CO<sub>2</sub> emissions is mainly caused by the positive residential consumption effect on CO<sub>2</sub> emissions. From Table 3, it is evident that the urban population is growing continuously, and is simultaneously driving the continuous increase in urban consumption. Population growth and rapid urbanization not only increase residential consumption demands but they also amplify the impacts of increasing production and indirect CO<sub>2</sub> emissions [40]. The proportion of indirect CO<sub>2</sub> emissions from consumer goods in relation to the total emissions rose from 58.7% in 1992 to 64.3% in 2005 [53]. In light of the considerable expansion potential of China's future urbanization, urban residential consumption may become a strong driver of CO<sub>2</sub> emissions over an extended period.



**Figure 2. National-level results of the decomposition analysis. Emissions for each year are relative to those in 1990.**

Currently, population urbanization and consumption inhibition effects are positively influencing the growth of China's CO<sub>2</sub> emissions. However, from around 2013, there has been a gradual weakening of these two effects. The effect of consumption inhibition reflects the degree of economic restraint on residential consumption. An increasing effect indicates a greater degree of restraint relating to residential consumption, whereas a decreasing effect indicates the expansion of residential consumption. During the period of the 12th Five-Year Plan, a strategic national policy has entailed expanding domestic demand, with the government gradually relinquishing its macro-control of the economy. This strategy, in turn, has promoted a decrease in the positive consumption inhibition effect on CO<sub>2</sub> emissions. Furthermore, in March 2014, the new national urbanization plan (2014–2020) was officially released. This plan seeks to transform the mode of urbanization development and to promote stable and sustainable development of a new mode of urbanization, resulting in the gradual weakening of the positive effect of an urbanizing population on CO<sub>2</sub> emissions.

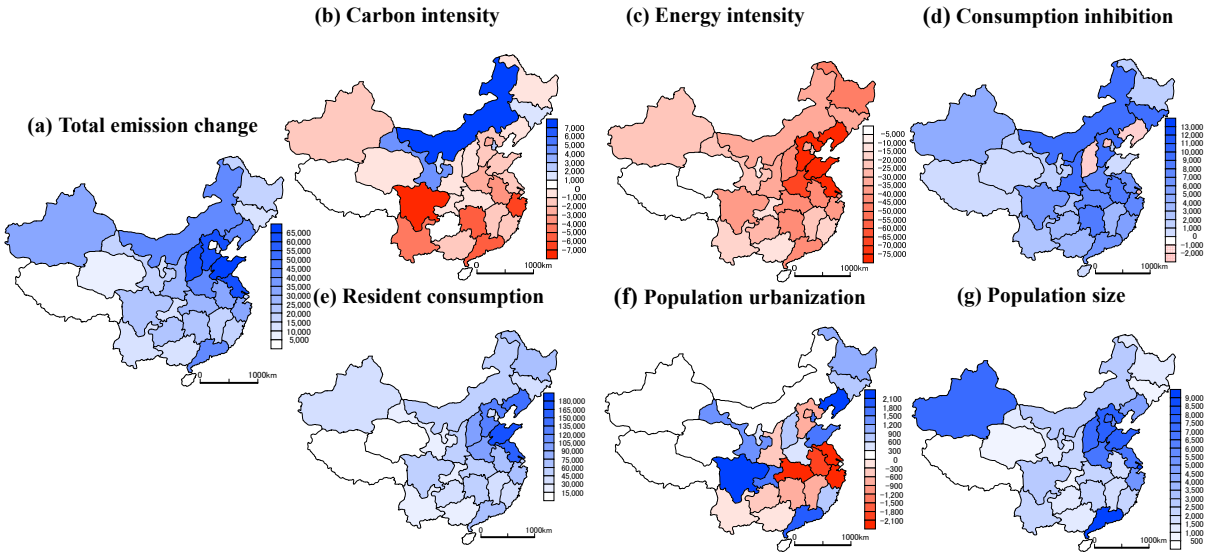
### 3.2 Provincial-level drivers of changes in CO<sub>2</sub> emissions in the context of urbanization

#### 3.2.1 The overall provincial trend relating to the six factors under investigation

In light of the preceding analysis of factors influencing CO<sub>2</sub> emissions based on national-level data, we now present an analysis of the factors influencing CO<sub>2</sub> emissions at the provincial level, which is



the main topic of this paper (Fig. 3).<sup>4</sup> China is a large country with the third largest land area (evidenced by latitude and longitude coverage) in the world. Variations in population distribution, energy structures, and economic development are clearly discernable and are linked to natural geographical conditions. Therefore, regional differences should be considered in an analysis of the factors influencing CO<sub>2</sub> emissions in China. At the same time, we attempted to elucidate similarities and differences in results at the national and provincial levels, thereby addressing the shortcomings of previous studies that used country-level data, which yielded above-average results [35,49].



**Figure 3. Changes in total CO<sub>2</sub> emissions (a) and the impacts of six factors on CO<sub>2</sub> emissions by province: carbon intensity effect (b), energy intensity effect (c), consumption inhibition effect (d), resident consumption effect (e), population urbanization effect (f), and population size effect (g) during the period 1990–2016 (unit: 1,000 tons of CO<sub>2</sub> emissions). See Fig.A1 for the geographical locations of the provinces.**

Before presenting a detailed analysis aimed at eliciting a deeper understanding of changes in China’s CO<sub>2</sub> emissions, we will first discuss changes in CO<sub>2</sub> emissions in the provinces during the period 1990–2016. Overall, while the CO<sub>2</sub> emissions in all of the provinces increased over time, changes in CO<sub>2</sub> emissions exhibited a specific distribution pattern. CO<sub>2</sub> emissions are evidently concentrated in

<sup>4</sup> All of the time-series for the provincial decomposition results are shown in Fig. A2 in the Appendix. Because the number of provinces was large, our analysis focused on representative provinces.

China's four key industrial bases (in Central and Southern Liaoning, Beijing-Tianjin-Hebei, the Yangtze River Delta, and the Pearl River Delta<sup>5</sup>). Furthermore, CO<sub>2</sub> emissions are concentrated in China's coal-rich regions, notably Shanxi, Shaanxi, Inner Mongolia, and Xinjiang in the north, and Guizhou in the south. The established coal reserves in these five provinces account for 81% of China's total coal reserves [54]. The energy sector has been the industrial pillar in all five of these provinces and fuels economic development. The ratio of secondary industry in the GDPs of these five provinces is relatively high. For example, in 2011, the ratio of secondary industry to the GDP in Shanxi and Inner Mongolia reached the highest values of 58.6% and 55.9%, respectively, in recent years [55,56].

Fig. 3c, e, and g, reveals that the distributions of energy intensity, residential consumption, and population size effects exhibit similar patterns, being mostly concentrated in China's industrial bases and major energy-producing provinces. On the one hand, the urbanization process is more rapid in economically developed regions (e.g., Beijing and Shanghai) than in other regions, which would encourage innovations relating to production technology and promote population aggregation. On the other hand, advanced economic development continuously enhances residential consumption power, contributing to the accelerated growth of CO<sub>2</sub> emissions.

A comparison of carbon intensity effects at the provincial and national levels (Figs. 3f and 2, respectively) revealed some differences. At the national level, the carbon intensity effect has had a negative impact on CO<sub>2</sub> emissions since 1993. However, as Fig. 3b shows, there are still some provinces where the carbon intensity effect is positive, particularly in the northern areas. Examples include the northwestern provinces of Inner Mongolia and Gansu, which are relatively far into the interior and close to the plateau, with complicated terrains and inadequate access to transportation. Because of these unfavorable geographical conditions, the sustained backwardness of productive forces has resulted in these provinces lagging behind in terms of economic and other aspects of

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<sup>5</sup> The first industrial base is located in central and southern Liaoning, with Liaonin Province at the center. It is dependent on its abundant resources and has a long history of industrial development, but it also demonstrates resource exhaustion and serious environmental pollution. Adjacent to this base is the second largest industrial base in China, covering Beijing, Tianjin, and Hebei (i.e., JingJinJi). The third industrial base is located in the Yangtze River Delta and encompasses highly advanced heavy and light industries in areas that include Shanghai, Jiangsu, and Zhejiang. The last base, characterized by light industry, is located in the Pearl River Delta with Guangdong at the center.

development [57]. However, both provinces are rich in coal resources. Consequently, their development has relied heavily on coal for their energy supplies, resulting in a positive carbon intensity effect.

The consumption inhibition effect was found to be positive in most provinces (Fig. 3d), whereas it was negative in economically developed regions, such as Beijing and Shanghai. Because of its special political situation, Beijing's development process has always been distinctive. The importance of foreign trade in Shanghai, which prompted the accelerated development of trade, stems from its advantage as a port city. Under China's reform and opening-up policy, Shanghai has attracted further foreign investment and its sustainable economic development has encouraged rapid urbanization. Like Beijing and Shanghai, Liaoning and Shanxi also demonstrated a negative consumption inhibition effect. However, they underwent a transformation, shifting from an industrial model that was over-reliant on energy development and government intervention to a new industrialization model. Both provinces contributed to revitalizing the market economy, actively stimulating consumption to expand domestic demand and transforming the pattern of urbanization development. [58]. Therefore, from the perspective of their urban development model, Shanxi and Liaoning differ from Beijing and Shanghai, although they have also achieved a negative effect.

A comparison of national-level and provincial-level results for the decomposition analysis revealed significant differences relating to changes in the population urbanization effect (Figs. 2 and 3f). This effect ultimately did not have a negative impact on CO<sub>2</sub> emissions in China as a whole (Fig. 2). The provincial distribution of a negative population urbanization effect (Fig. 3f) was mostly concentrated in southern China, and especially in the Yangtze River Delta. Most of these provinces are economically developed. However, in some areas, economic development has lagged behind, and a negative population urbanization effect is apparent. The national-level results reveal that the change in the population urbanization effect approximates an inverse U-shape. During the period 1990–2007, it showed an increasing trend. This is because following the introduction of the reform and opening-up process, the limited productivity that characterized the early stage of urbanization was resolved and the scale of production was expanded. Consequently, the concentration of the labor force in urban areas was increasingly evident and the population urbanization effect during this period showed a strong positive trend. However, because of an excessive emphasis on economic development, various problems relating to population urbanization manifested. For example, urbanization lagged behind

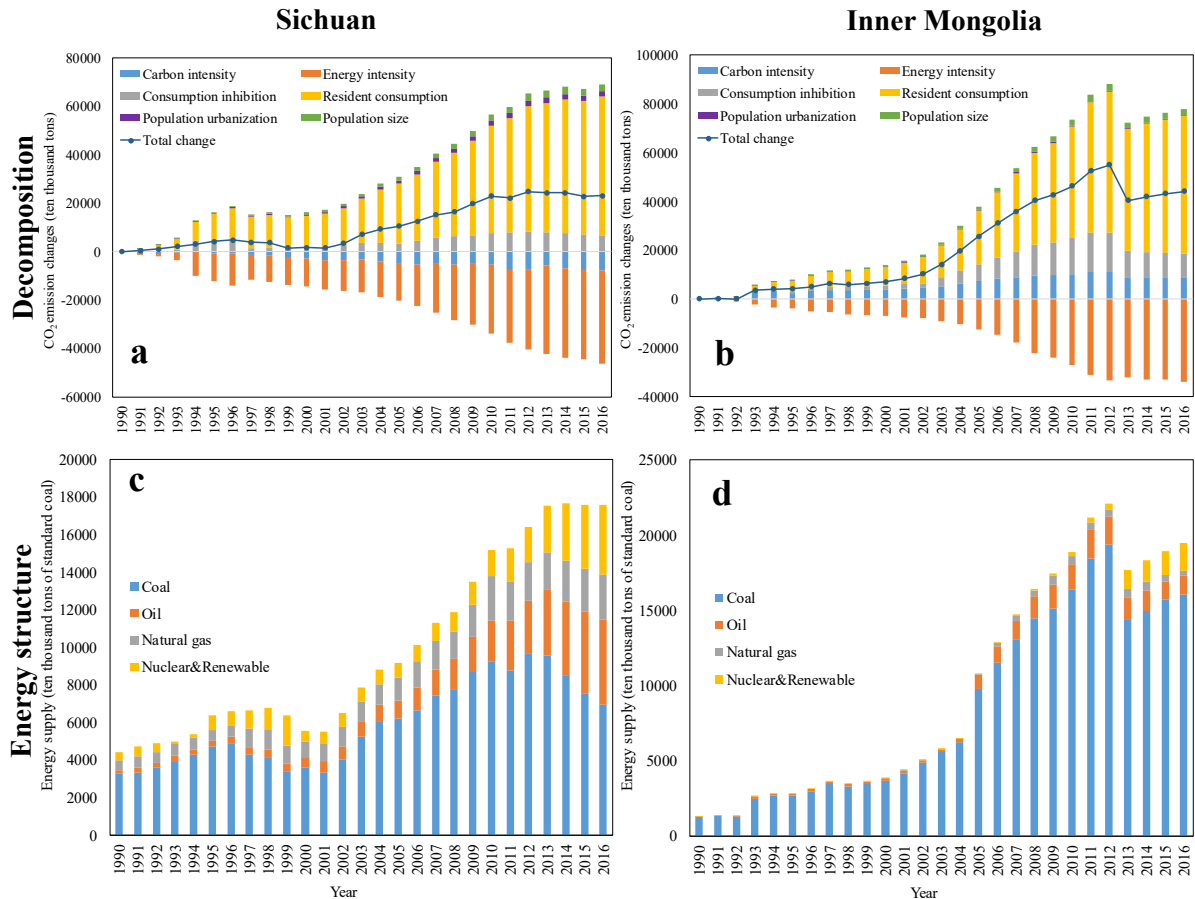
industrialization and the development of urban infrastructure could not keep pace with the urbanization process. To achieve more sustainable development, the process of transforming urbanization began in areas demonstrating higher degrees of urbanization. The industrial structure of cities began to be transformed, and the ratio of secondary industry's GDP to the total GDP was reduced. High-tech industries were developed, and production-focused economic growth was transformed to stimulate consumption, with the aim of expanding domestic demand. During this period, the positive effect of population urbanization on CO<sub>2</sub> emissions gradually weakened. Because of regional differences in the degrees of urbanization, the urbanization effect of population was realized in some regions, which has had a negative impact on CO<sub>2</sub> emissions.

### **3.2.2 Impacts of energy and technology on changes in CO<sub>2</sub> emissions**

While carbon and energy intensity have both had significant restraining effects on CO<sub>2</sub> emissions, the energy intensity effect has significantly exceeded the carbon intensity effect. As discussed in section 3.2.1, an analysis of the factors affecting China's CO<sub>2</sub> emissions should take regional differences into account. This consideration also applies in independent analyses of each effect.

Figure 3b shows that the carbon intensity effect was negative in most provinces. A geographic division of these regions reveals that the negative carbon intensity effect is more apparent in the southern region. This negative effect has mostly occurred in the southwestern region, which is characterized by particular geographical conditions, or in regions with developed economies. Southwest China has a humid climate and numerous abundantly flowing rivers with vertical drops. Therefore, this region is rich in hydropower resources. By contrast, provinces evidencing a positive or weakly negative carbon intensity effects are concentrated in North China. This may be because most of these provinces are major coal-producing areas. The distribution of coal resources in China is more concentrated in the northern and western regions than in the southern and eastern ones. In particular, North China accounts for 57.9% of China's coal reserves [54].

To illustrate the impact of regional energy characteristics on the carbon intensity effect more clearly, we will compare the cases of Sichuan and Inner Mongolia, which have energy supply structures that are representative of those in the southern and northern regions of China, respectively. Fig. 4 shows the decomposition results and energy structures in Sichuan and Inner Mongolia.



**Figure 4. Decomposition results for Sichuan and Inner Mongolia (a and b) and their structures of energy supply (c and d).**

Sichuan is the second largest provincial source of hydropower resources in China after Yunnan Province, and it also has the largest reserves of natural gas and the best conditions for their development [59]. As a major producer and consumer of clean energy, Sichuan is playing an important strategic role in the transformation of China's national energy structure and in the promotion of sustainable economic and social development. Inner Mongolia, which is located in the northern part of China, is the main domestic producer of China's coal resources. It has a coal production capacity of 1.14 billion tons and produces 850 million tons of coal, accounting for about a quarter of the total national coal production [60]. In 2014, the coal industry accounted for 28.8% of the industrial GDP and contributed to 18% of economic growth [56]. Compared with the developed provinces, Inner Mongolia is highly dependent on the energy industry for its economic development.

The decomposition results for Sichuan (Fig. 4a) reveal that negative carbon intensity and energy intensity effects have increased over time and are the main forces restraining CO<sub>2</sub> emissions in

Sichuan. Whereas the carbon intensity effect evidenced frequent changes, it generally remained negative. Moreover, from 2011 onward, the negative carbon intensity effect increased significantly. The likely reason for this increase is that the Sichuan government set goals of developing clean and renewable energy, optimizing the energy consumption structure, and reducing the proportion of high-carbon fuels consumed in the 12th Five-Year Plan. Consequently, starting from 2006, there has been a significant and accelerating improvement in energy intensity. The transformation of traditional agriculture into modern agriculture and the rapid development of tertiary industry are the two key reasons for this improvement. Technological innovations have continued to be implemented within secondary industry, and energy efficiency has been further improved. Data extracted from the Sichuan Statistical Yearbook revealed fluctuations in the energy consumption of primary industry, ranging between 2.70 million tons and 3.14 million tons of standard coal during the period 2006–2016. However, the gross production of primary industry increased from 159.55 billion yuan to 392.41 billion yuan, indicating continuous improvements in the energy efficiency of primary industry [61]. The proportion of tertiary industry in the GDP rose from 38.2% to 45.4% during the same period, indicating that the economic structure of Sichuan has advanced. Energy consumption within the secondary industrial sector slowed down and declined after 2013, although the GDP has continued to demonstrate sustained growth.

In the case of Inner Mongolia, the carbon intensity effect was significantly positive. Differing from Sichuan, the energy intensity effect in this province entailed only a negative impact on CO<sub>2</sub> emissions (Fig. 4b). Coal consumption in Inner Mongolia accounts for a high proportion of energy consumption, and the proportion of coal shows an overall rising trend (Fig. 4d). Moreover, the penetration of clean energy has occurred at a very slow pace. Therefore, the strongly positive carbon intensity effect in Inner Mongolia is mainly attributable to its coal-dependent energy structure. From 2013 onward, the energy intensity effect has been stable. A comparison of energy intensity in and after 2012 revealed that there has even been a downward trend. During the period of the 12th Five-Year Plan, the Inner Mongolian government promoted the transformation of the industrial structure from being resource based to being non-resource based. The transformation and upgrading of the industrial structure has led to reduced energy consumption since 2012, and energy intensity has also slowed down.

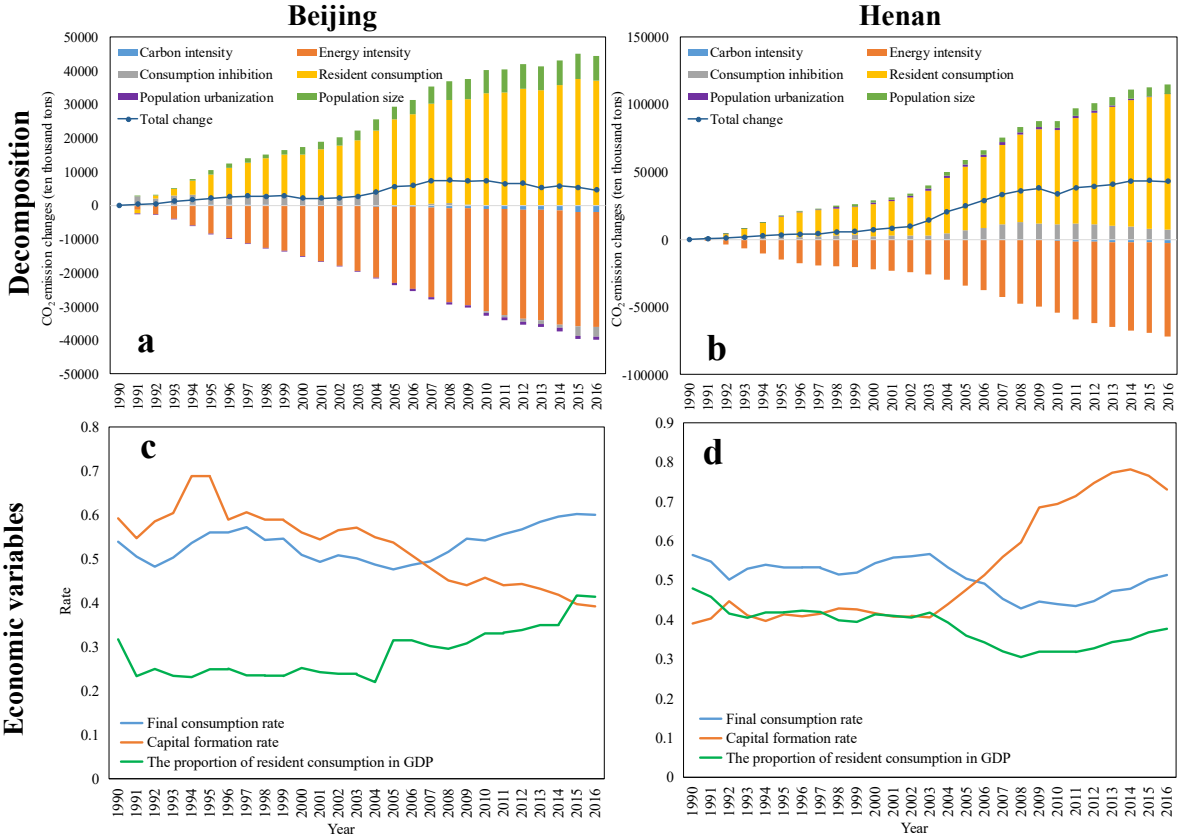
### **3.2.3 Effects of consumption inhibition on changes in CO<sub>2</sub> emissions under different economic models**

We focused in particular on the consumption inhibition effect in this study. The overall trend revealed through our analysis of national data (Fig. 2) closely resembled an inverse U-shape, which relates to China's economic development model. The results of the analysis of provincial data (Fig. 3d) showed a positive consumption inhibition effect in the most economically developed regions. However, in developing regions, because the economic driving force of investments exceeded that of consumption, the effect of consumption inhibition on CO<sub>2</sub> emissions was negative. Along with the overall increase in economic strength and the future transformation of the economic model, this negative effect will spread to more areas, as evidenced in developed countries [62].

We selected two provinces, Beijing and Henan, which have characteristics that are representative of China's economic development process. Because of its particular situation, Beijing has experienced accelerated development resulting from government interventions in its economy. Its urban economy has also reached an advanced stage associated with a shift in the mode of economic development toward sustainable development. Henan, which is China's most populous province, is a traditional agricultural province with a high proportion of primary industry and a slow-paced urbanization process. There are therefore clear differences in the economic development processes of these two provinces, which represent two different stages of China's economic development. Therefore, these two provinces were selected for a comparative analysis.

Investments are a major driver of growth in the modern economy. To accelerate economic development or achieve certain economic development goals, it is necessary to maintain a certain investment rate. As the largest developing country in the world, China's economic development is more inclined toward macro-control, and is relatively dependent on government expenditure, investments, and net exports. Therefore, the investment rates in most regions of China are at high levels, correspondingly inhibiting consumption that stimulates the economy. As noted in section 3.1, the consumption inhibition effect is closely related to the composition of the economy. Therefore, here we examine changes in various economic variables in Beijing and Henan (Fig. 5c and d). It is apparent from Fig. 5b, which shows the total amount of CO<sub>2</sub> emissions, and Fig. 5d, showing economic variables, that during years of relatively high investment rates, CO<sub>2</sub> emissions increased continually in Henan. Since 2003, the capital formation rate of Henan has increased rapidly, and the

final consumption rate has significantly decreased. Moreover, Henan’s CO<sub>2</sub> emissions began to increase around the same year. Since 2011, Henan’s final consumption rate has shown an upward trend, and the growth rate of capital formation has gradually slowed down. During the same period, the growth rate of CO<sub>2</sub> emissions in Henan declined, and its emissions eventually stabilized.



**Figure 5. Decomposition results for Beijing and Henan and their economic variables.**

The consumption inhibition effect is substantially affected by the adopted model of economic development. China’s reform and opening-up policy, implemented in the late 20th century, enabled rapid economic development throughout the country. Beijing’s investment rate peaked at 68.8% in 1994 (Fig. 5c), and both the scale of the expansion and the development of production and the market were unprecedented. During the same period, the positive effect of consumption inhibition also accelerated (Fig. 5a). However, in 1995, macro-control entered the “soft-landing” stage, and the investment rate decreased annually. Expanding domestic demand first appeared in planning content under the 11th Five-Year Plan, leading, in 2007, to a situation in which Beijing’s consumption rate exceeded its investment rate (Fig. 5c). During the period of the 12th Five-Year Plan, the Chinese



government proposed to accelerate the process of transforming the mode of economic development. Therefore, Beijing entered a period of economic transition. There was a greater focus on expanding Beijing's domestic demand and stimulating consumption to promote more stable and sustainable economic development [63]. Fig. 5c clearly shows that from 2010 onward, residential consumption increased rapidly while the final consumption rate continued to rise. The adoption of this model of economic development eventually resulted in a negative consumption inhibition effect.

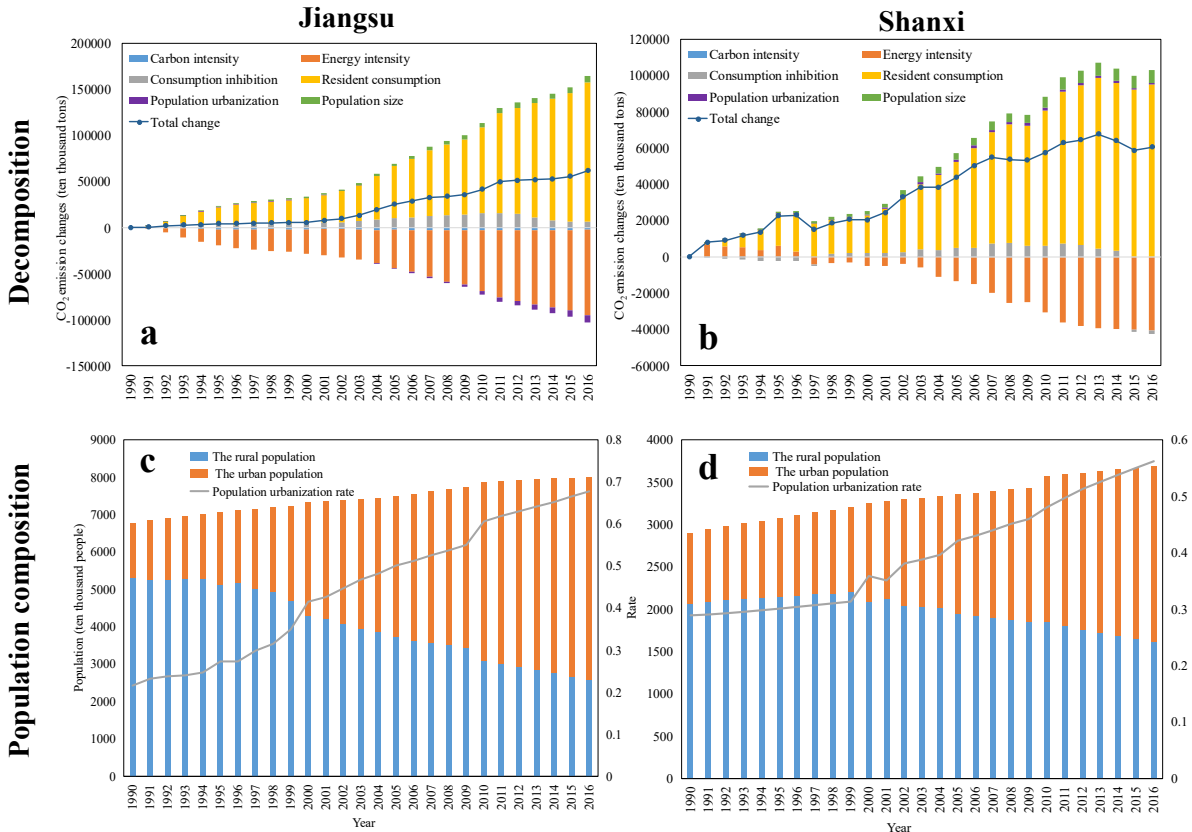
By contrast, Henan experienced a positive consumption inhibition effect during the study period. At the onset of the 21st century, national regional economic policies, such as the Rise of Central China Policy,<sup>6</sup> enabled Henan's economy to progress gradually, finally entering a stage of accelerated development. However, because of its weak economic foundation, the initial stage of attracting investments proceeded slowly, and the rate of capital formation during this period remained lower than that of final consumption (Fig. 5d). However, the steady increase in the proportion of secondary industry resulted in a rapid rise in Henan's CO<sub>2</sub> emissions at the beginning of the 21st century, and around 2005, the capital formation rate rose above the final consumption rate (Fig. 5d). Supported by national preferential policies (e.g., the Rise of Central China Policy), Henan succeeded in attracting many industries that shifted there from eastern coastal areas. Consequently, Henan attracted more investments, and its capital formation rate began to rise (Fig. 5d). During this period, Henan acquired more developed production technology resulting from industrial transfers [64]. Notably, the growth of CO<sub>2</sub> emissions slowed down while the economy developed (Fig. 5b and d). In 2010, after Henan's economic development model was adjusted through the expansion of long-term consumption demand, the investment rate began to slow down and the final consumption rate gradually increased. However, the proportion of Henan's residential consumption in the GDP has been greatly reduced since 2003, and has only recently begun to show a slow pace of growth. Therefore, it can be predicted that the consumption inhibition effect in Henan will remain positive for CO<sub>2</sub> emissions for some time to come.

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<sup>6</sup> The rise of Central China began in 2004 through the implementation of a national policy to promote six central Chinese provinces (Shanxi, Anhui, Jiangxi, Henan, Hubei, and Hunan), with the aim of constructing a national, unified market and promoting coordinated development between East and West China.

### 3.2.4 The population urbanization effect and regional development models

The results of the decomposition analysis for population urbanization effects at national and provincial levels are strikingly different. Figure 3f shows that the population urbanization effect was negative in 11 provinces, most of which are concentrated in the south, and especially in the Yangtze River Delta. One of these provinces, Jiangsu, is an important Chinese province in terms of its advanced economy and urbanization process. In 2018, Jiangsu ranked fifth in the entire country for its urbanization rate, and second for its GDP. Shanxi, by comparison, is an important base for coal production that ranked 24th for its GDP and 16th for its urbanization rate in 2018. Evidently, there is a wide gap between these two provinces that relates to differences in the degrees of their economic development and their urbanization rates. Therefore, we chose these two provinces as case studies for analyzing the population urbanization effect.



**Figure 6. Decomposition results for Jiangsu and Shanxi (a and b) and their population composition (c and d).**

Figures 6a and b show the respective decomposition results for Jiangsu and Shanxi. As noted in

section 3.2.1, the trends for population urbanization and consumption inhibition effects were similar, with both exhibiting inverse U-shapes. However, this trend was clearly discernable for Jiangsu but not for Shanxi. During the period 1990–1999, the positive population urbanization effect in Jiangsu increased continuously (Fig. 6a). Since 2000, this positive effect has decreased, eventually becoming negative in 2004. However, the population urbanization effect has always been positive in Shanxi (Fig. 6b). From 1990 to 2006, this positive effect increased. The year 2007 constitutes a line of demarcation when the positive effect began to decrease. The change trend regarding this effect in these two provinces also assumed an inverse U-shape.

During the period 1990–2000, the positive effect of population urbanization in Jiangsu continuously increased in line with the acceleration of the urbanization process in this province. The development and opening up of the Shanghai Pudong area, which began in 1990, has provided an opportunity for the overall development of Jiangsu's export-oriented economy, and a number of development zones have emerged in the southern part of the province. The construction of a development zone and the pursuit of export-oriented economic development have been the main drivers of Jiangsu's urbanization process. The urban population rate increased from 23.2% in 1991 to 27.3% in 1995 (Fig. 6d). From 1996 to 2000, Jiangsu's government increased its investments in transportation and energy development in the northern part of the province. Moreover, it greatly improved the infrastructure and investment environment and promoted urbanization throughout the province [65]. From 1996 to 2000, the number of big cities with populations above 500,000 increased from 9 to 12, with an increase of 1.35 million urban population (i.e., 54.3% of the increase in urban population). During the same period, the level of urbanization increased at a fast pace from 27.3% in 1996 to 41.5% in 2000. Subsequently, Jiangsu entered a phase of rapid development entailing optimization and improvement in the quality of the industrial structure [65]. The provincial government adjusted the administrative boundary to expand the cities' development spaces. During the period of the 11th Five-Year Plan, it further modified the industrial structure and developed high-tech industry to provide a new impetus for the advancement of urbanization. Since 2000, as a result of the adjustments made to the mode of urbanization, the positive effect of population urbanization on CO<sub>2</sub> emissions in Jiangsu gradually decreased and was eventually transformed into a negative effect in 2004.

By contrast, Shanxi's urbanization process has been relatively slow (Fig. 6d). With the onset of initiatives to develop China's market economy at the end of the 20th century, following the

introduction of the reform and opening-up process, the urban population flow became conspicuous. The slow process of urbanization can be attributed to the reduction in coal prices during the period 1990–1999, which led to significant decreases in the populations of coal-dominated cities [66]. Therefore, the positive effect of population urbanization increased slowly during this period. In the early 21st century, with the gradual introduction of a market economy, the role of the market in the allocation of labor resources was strengthened [67]. Following the implementation of the Rise of Central China policy, a large influx of labor has flooded these cities, accelerating the population urbanization process. Consequently, the positive population urbanization effect increased from 2000 to 2007, subsequently reflecting a smooth change process with a small reduction from 2007 to 2011. This is because Shanxi entered a stagnant phase of economic development, entailing long-term reliance on natural resources and energy. Industrialization in the province, though ahead of urbanization, is excessively dependent on the mining industry. However, the ability of the mining industry to absorb labor is far lower than that of the manufacturing sector, resulting in a relatively low number of employees. In 2012, the ratio of the manufacturing industry's added value to that of the entire industry of the province was only 31.7%, whereas that of the mining industry was 63.4% [55]. Insufficient development of the manufacturing industry and the weak ability of this industry to absorb labor have hindered Shanxi's urbanization process. After 2012, the positive effect of population urbanization declined significantly. The likely reason is that since the period of the 11th Five-Year Plan, Shanxi's government has been adjusting its industrial structure, actively guiding the development of secondary and tertiary industries and changing the original economic structure focusing on a single industry. At the same time, the quality of urbanization has improved.

### **3.2.5 Changes in the six factors from the perspective of urbanization**

In the previous discussions, we elucidated the differential impacts of six key drivers of China's CO<sub>2</sub> emissions by factor and province. Table 4 presents a summary of the impacts of changes relating to three broad categories (Fig. 1) that sheds further light on the effects of these drivers in the different provinces between 1990 and 2016. These categories are energy (carbon intensity and energy intensity), consumption (consumption inhibition and residential consumption), and population (population urbanization and population size).

**Table 4 Contributions of energy, consumption, and population to energy-related CO<sub>2</sub> emissions in 2016 (relative to 1990)**

| No. | Province       | (a) Energy              |         |                         |           | (b) Consumption               |         |                             |           | (c) Population                 |          |                        |         |         |          |    |
|-----|----------------|-------------------------|---------|-------------------------|-----------|-------------------------------|---------|-----------------------------|-----------|--------------------------------|----------|------------------------|---------|---------|----------|----|
|     |                | Carbon intensity effect |         | Energy intensity effect |           | Consumption inhibition effect |         | Resident consumption effect |           | Population urbanization effect |          | Population size effect |         |         |          |    |
|     |                | Emissions               | Rank    | Emissions               | Rank      | Emissions                     | Rank    | Emissions                   | Rank      | Emissions                      | Rank     | Emissions              | Rank    |         |          |    |
| 1   | Heilongjiang   | -587.9                  | 12      | -48,143.9               | 25        |                               | 1,845.6 | 20                          | 60,517.0  | 10                             |          | 1,166.8                | 8       | 1,479.2 | 23       |    |
| 2   | Jilin          |                         | 1,033.9 | 5                       | -33,240.6 | 14                            |         | 9,198.1                     | 4         | 32,326.9                       | 20       |                        | 750.2   | 9       | 984.9    | 27 |
| 3   | Liaoning       | -701.4                  | 13      | -101,650.7              | 29        | -4,480.6                      | 30      | 141,201.0                   | 4         |                                | 3,132.4  | 1                      |         | 4,942.6 | 12       |    |
| 4   | Hebei          | -1,523.8                | 18      | -78,543.4               | 27        |                               | 9,629.3 | 3                           | 124,351.6 | 3                              | -757.6   | 24                     |         | 7,596.5 | 4        |    |
| 5   | Beijing        | -2,047.6                | 23      | -34,107.7               | 16        | -2,750.8                      | 29      | 37,146.4                    | 19        |                                | -878.6   | 26                     |         | 7,167.5 | 5        |    |
| 6   | Tianjin        |                         | 2,050.0 | 3                       | -23,604.7 | 11                            |         | 1,452.7                     | 21        | 27,946.9                       | 24       |                        | 1,571.0 | 5       | 5,062.5  | 11 |
| 7   | Shandong       | -1,574.5                | 20      | -103,448.1              | 30        |                               | 926.3   | 23                          | 171,204.6 | 1                              |          | 1,692.5                | 4       |         | 7,836.1  | 3  |
| 8   | Jiangsu        | -1,733.8                | 22      | -92,936.3               | 28        |                               | 6,718.9 | 11                          | 151,075.1 | 2                              | -7,965.0 | 30                     |         | 6,565.0 | 9        |    |
| 9   | Shanghai       | -1,705.5                | 21      | -35,016.9               | 17        | -2,267.4                      | 28      | 47,881.7                    | 16        |                                | 172.1    | 14                     |         | 9,098.3 | 2        |    |
| 10  | Zhejiang       | -6,254.8                | 29      | -38,129.2               | 18        |                               | 7,249.3 | 8                           | 70,185.1  | 9                              | -5,574.3 | 29                     |         | 5,424.0 | 10       |    |
| 11  | Fujian         | -1,559.0                | 19      | -18,085.3               | 7         |                               | 5,298.9 | 13                          | 30,503.2  | 23                             |          | 671.0                  | 11      |         | 2,363.7  | 16 |
| 12  | Guangdong      | -5,866.9                | 28      | -44,909.1               | 24        |                               | 6,503.9 | 12                          | 69,683.5  | 8                              |          | 1,899.2                | 3       |         | 13,125.9 | 1  |
| 13  | Guangxi        | -1,217.9                | 16      | -12,804.7               | 5         |                               | 3,180.0 | 17                          | 24,401.5  | 26                             | -43.2    | 19                     |         | 1,013.2 | 26       |    |
| 14  | Hainan         |                         | 171.0   | 7                       | -1,299.0  | 1                             |         | 253.0                       | 26        | 4,087.7                        | 30       |                        | 67.3    | 18      | 428.9    | 30 |
| 15  | Inner Mongolia |                         | 8,766.0 | 1                       | -33,699.0 | 15                            |         | 9,669.0                     | 2         | 56,732.2                       | 11       |                        | 87.7    | 17      | 2,599.2  | 14 |
| 16  | Shanxi         | -415.0                  | 10      | -40,100.0               | 20        | -2,095.6                      | 27      | 95,266.9                    | 6         |                                | 736.0    | 10                     |         | 7,082.5 | 7        |    |
| 17  | Henan          | -2,383.9                | 24      | -69,261.1               | 26        |                               | 7,314.9 | 7                           | 100,231.9 | 5                              |          | 331.2                  | 13      |         | 6,720.8  | 8  |
| 18  | Anhui          | -3,123.1                | 25      | -43,499.8               | 23        |                               | 8,064.2 | 6                           | 72,771.5  | 7                              | -2,052.2 | 27                     |         | 1,967.6 | 21       |    |
| 19  | Jiangxi        | -1,004.2                | 15      | -20,475.9               | 8         |                               | 3,785.0 | 15                          | 32,111.5  | 21                             | -688.8   | 23                     |         | 1,835.7 | 22       |    |
| 20  | Hubei          | -73.9                   | 9       | -40,531.7               | 22        |                               | 7,185.0 | 9                           | 59,445.7  | 12                             | -2,353.9 | 28                     |         | 2,482.8 | 15       |    |
| 21  | Hunan          | -5,493.7                | 27      | -40,451.6               | 21        |                               | 8,606.8 | 5                           | 58,189.2  | 13                             | -793.6   | 25                     |         | 2,003.2 | 20       |    |
| 22  | Shaanxi        | -50.4                   | 8       | -32,635.8               | 13        |                               | 9,701.1 | 1                           | 46,905.9  | 17                             | -530.1   | 22                     |         | 2,097.4 | 17       |    |
| 23  | Chongqing      | -990.4                  | 14      | -10,309.5               | 4         |                               | 2,477.6 | 18                          | 19,527.0  | 27                             |          | 1,500.6                | 6       |         | 540.3    | 29 |
| 24  | Guizhou        |                         | 862.7   | 6                       | -28,062.5 | 12                            |         | 3,180.4                     | 16        | 43,690.8                       | 18       | -324.4                 | 21      |         | 1,053.7  | 25 |
| 25  | Ningxia        |                         | 1,993.0 | 4                       | -9,891.3  | 3                             |         | 777.7                       | 25        | 18,221.8                       | 28       |                        | 475.2   | 12      | 2,054.1  | 19 |
| 26  | Gansu          |                         | 4,161.8 | 2                       | -21,690.5 | 9                             |         | 1,194.0                     | 22        | 29,969.9                       | 22       |                        | 1,259.8 | 7       | 1,465.9  | 24 |
| 27  | Sichuan        | -7,904.8                | 30      | -38,263.7               | 19        |                               | 6,838.9 | 10                          | 57,160.5  | 14                             |          | 2,384.5                | 2       |         | 2,812.6  | 13 |
| 28  | Yunnan         | -4,133.3                | 26      | -15,157.3               | 6         |                               | 2,134.3 | 19                          | 25,785.1  | 25                             | -216.3   | 20                     |         | 2,097.0 | 18       |    |
| 29  | Qinghai        | -416.5                  | 11      | -4,002.6                | 2         |                               | 804.9   | 24                          | 7,855.4   | 29                             |          | 166.1                  | 15      |         | 748.9    | 28 |
| 30  | Xinjiang       | -1,296.8                | 17      | -22,250.9               | 10        |                               | 4,993.6 | 14                          | 44,131.7  | 15                             |          | 141.6                  | 16      |         | 7,148.1  | 6  |

Note: The blue-colored (red-colored) bars show increases (decreases) in CO<sub>2</sub> emissions

As shown in column (a) of Table 4, the effects of carbon intensity and energy intensity were the main drivers of emission reduction. These two effects are also closely related to the energy structure and technology in the urbanization process. An examination of the provinces with prominent carbon intensity effects reveals that their energy structures tend to be diversified and are not limited to a coal-centered structure (section 3.2.2). For example, in Sichuan and Yunnan, infrastructure related to hydropower and natural gas is developing rapidly, and Zhejiang has adjusted its power supply structure by developing photovoltaic, offshore wind, and nuclear power. Similarly, Hunan is actively reducing the proportion of its traditional energy sources and is developing clean energy. Energy technology has important effects on the urbanization process that relate not only to energy consumption and energy efficiency but also to environmental impacts. As shown in Table 4, the industrialized regions evidence a significant negative energy intensity effect. For example, the prominent energy intensity effects of Liaoning, Hebei, Shandong, and Jiangsu, which are key industrial centers, confirms the importance of energy technology in the urbanization process of industrial regions. Such technology determines industrial production and overall urban economic development.

The population size effect is indicative of the progress of urbanization. The progress of urbanization brings about an expansion in the scale of a city and a change in its population size. Highly urbanized regions, such as Beijing and Shanghai, generate more employment opportunities, which encourage population aggregation, and industrial regions, such as Guangdong and Shandong, can also absorb large numbers of workers. The population urbanization effect evidently depends on the degree of urbanization. An examination of the geographical distribution of population size effects reveals that most of the provinces evidencing a negative effect are concentrated in the economically developed Yangtze River Delta. The economic development model of each province has a direct impact on the population urbanization effect. Taking Jiangsu as an example of a province evidencing the greatest negative impact (section 3.2.4), the rate of tertiary industry's contribution to the GDP in 2017 was 56% while that of secondary industry was 42.4%, indicating successful industrial restructuring in relation to urbanization.

Among the six factors influencing changes in CO<sub>2</sub> emissions in China during the period 1990–2016, the residential consumption effect was the main driver. This finding indicates that rapid urbanization within China is associated with a significant increase in households' incomes and the overall

strengthening of their consumption capacities. The positive effect is particularly apparent in developed urban areas, such as Beijing, Shanghai, and Jiangsu. The consumption inhibition effect reflects the transformation of the developmental mode of urbanization (see section 3.2.3). The distribution of its negative effect, shown in column (b) of Table 4, suggests two distinct reasons for this negative impact. The first reason relates to highly developed urbanization. Developed cities in China, such as Beijing and Shanghai, entered a stage of advanced urbanization from an early period. Their mode of economic development has changed from one that is production driven to one that emphasizes stimulating consumption and expanding domestic demand to achieve more sustainable urban development. The second reason relates to the transformation of the developmental mode of urbanization. Liaoning and Shanxi are typical examples of heavy industry bases built in the early period of China's developmental process. The slow progress of urbanization, which was concentrated in industrial areas, impeded the overall urbanization process. With the adoption of measures to balance regional development, improvements in social infrastructure, and the promotion of a consumptive environment, the consumption inhibition effect gradually changed into a negative impact in these two provinces.





#### 4. Conclusion

We applied a LMDI approach using six key drivers to examine the impacts of urbanization on changes in CO<sub>2</sub> emissions across 30 Chinese provinces during the period 1990–2016. The main findings from our decomposition analysis are as follows.

- 1) The impacts of urbanization on CO<sub>2</sub> emissions in China, which evidenced distinct regional characteristics, gradually increased during the study period.
- 2) The energy intensity effect was the most important driver of reduced CO<sub>2</sub> emissions while the residential consumption effect was the main driver of increased CO<sub>2</sub> emissions in all of the provinces.
- 3) The rapid advance of urbanization in the 30 provinces has strengthened the purchasing power of households, promoting residential consumption, which has emerged as a vital new factor in the growth of CO<sub>2</sub> emissions.
- 4) Carbon intensity evidenced a relatively weak effect in the 30 provinces. Moreover, there were clear differences in this effect among the provinces. For example, in Sichuan and Yunnan, where hydropower accounts for a large proportion of the energy supply, carbon intensity exerted a strong negative effect.
- 5) A negative consumption inhibition effect was evident in some highly urbanized and industrialized provinces, such as Beijing and Shanxi. Similarly, the population urbanization effect was negative in some highly urbanized provinces, including Jiangsu and Shanghai. However, these two effects were always positive at the national level.

The following conclusions can be derived from these findings. The energy intensity effect, which is the most important driver of CO<sub>2</sub> emission reduction, is indicative of China's attention to technological innovation in production. At the same time, the residential consumption effect, a new vital driver of CO<sub>2</sub> emissions is increasing, which also indicates that the Chinese government's economic policies of expanding domestic demand and stimulating consumption have been effective in recent years. The fast progress of China's urbanization process has prompted rapid economic growth, resulting in increased incomes for households and the strengthening of their purchasing power, which has increased their consumption power. Moreover, residential consumption has further increased domestic demand and promoted economic growth. Consequently, urbanization has advanced further.

The regional characteristics of changes in CO<sub>2</sub> emissions in each province can be attributed to the urbanization of industrial areas (the four major industrial bases) and variations in regional resources. In general, the energy intensity effect has played a major role in restraining CO<sub>2</sub> emissions, which is aligned with the common goal of reducing energy intensity in the economic development processes of industrial provinces. Furthermore, the carbon intensity effect was found to be resource-dependent, with the types of resources in each region determining these effects.

These drivers of provincial CO<sub>2</sub> emissions demonstrate that the formulation of a national policy to reduce CO<sub>2</sub> emissions should account for different driving forces in different regions. Specifically, the results of the analysis suggest the following policy recommendations:

- 1) *Guiding residents in appropriate consumption:* The transformation of China's economic model has further strengthened residential consumption, which will promote economic development and further accelerate the urbanization process. With advancing urbanization, households' purchasing power has been continuously enhanced, inducing a positive effect of residential consumption. Therefore, the process of promoting urbanization should not only focus on advancing a consumption-driven economy; it should also seek to guide residents, inculcating within them the concept of an ecological civilization and consciousness of environmental responsibility to achieve the goal of CO<sub>2</sub> emission reduction. At the same time, the government needs to formulate an environmentally friendly consumption policy, promote the green consumption concept, and encourage residents to change their consumption patterns.
- 2) *Adjusting the energy structure:* Adjusting the energy structure is an important requirement of urbanization. At present, the energy intensity effect is the main driver of CO<sub>2</sub> emission reductions in most provinces, whereas the carbon intensity effect is relatively minor, evidencing significant regional differences. However, these findings indicate that there is scope for reducing CO<sub>2</sub> emissions in China by optimizing the energy structure in the future. Given the regional characteristics of China's CO<sub>2</sub> emissions, it is imperative to promote policies that improve energy structures by tailoring them to regional conditions, for example, by actively promoting policies for developing clean energy according to regional resource characteristics and reducing the consumption of fossil energy.
- 3) *Formulating carbon reduction policies in accordance with local conditions of urbanization:* Throughout this paper, we have drawn attention to the extensive impact of urbanization on

China's CO<sub>2</sub> emissions. However, it is important to consider its differentiated regional impacts. Therefore, strategies to reduce CO<sub>2</sub> emissions in the context of urbanization in China should be based on the actual situation in each province. The government needs to formulate carbon reduction policies in accordance with local conditions by considering the drivers of CO<sub>2</sub> emissions in light of each province's specific urbanization conditions. For instance, in the interior northwestern parts of China, including Inner Mongolia and Gansu, where coal accounts for a large proportion of energy supply, the development of energy technology should be promoted. More specifically, the governments of those provinces should implement energy policies that take advantage of the inland plateau terrain to develop clean forms of energy, such as wind and solar energy.

Last but not least, in addition to their implications for domestic policy formulation, the findings of this study also have important international implications. Because the next extensive phase of urbanization will occur in developing countries, these findings regarding the impacts of urbanization on changes in CO<sub>2</sub> emissions in the Chinese context can provide inputs for developing countries seeking to reduce their CO<sub>2</sub> emissions in the urbanization process. In the process of developing their economies and accelerating urbanization, developing countries should consider the impacts of urbanization on CO<sub>2</sub> emissions. This is because urbanization not only promotes residential consumption and stimulates domestic demand but it also increases CO<sub>2</sub> emissions caused by residential consumption. Orienting residents toward environment-friendly consumption is an important strategy that can contribute to the reduction of CO<sub>2</sub> emissions in future processes of urbanization in developing countries. At the same time, developing countries' carbon reduction policies under conditions of urbanization should conform to prevailing regional situations, accounting for their different characteristics, rather than being based solely on the overall characteristics of the country.

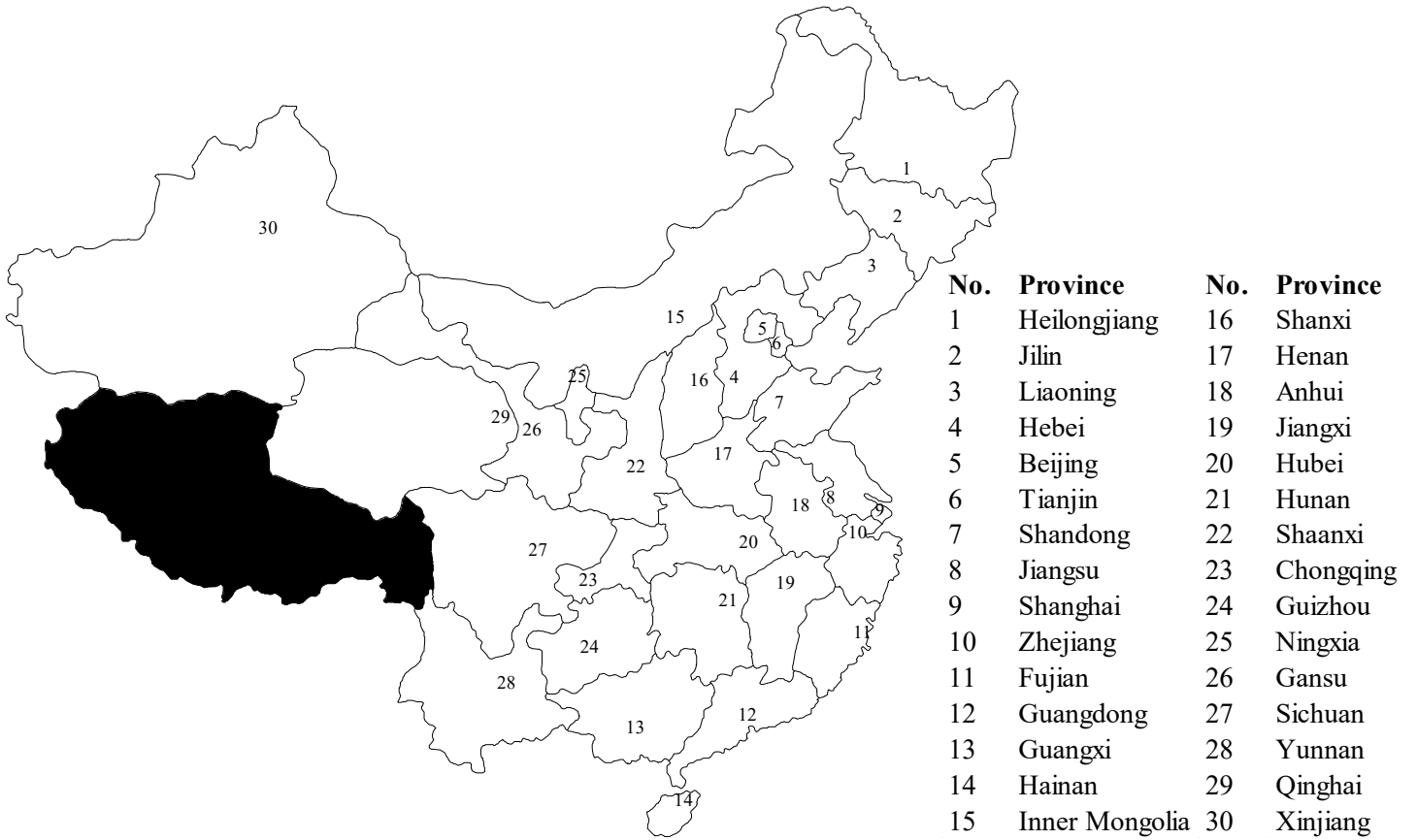


## **Acknowledgements**

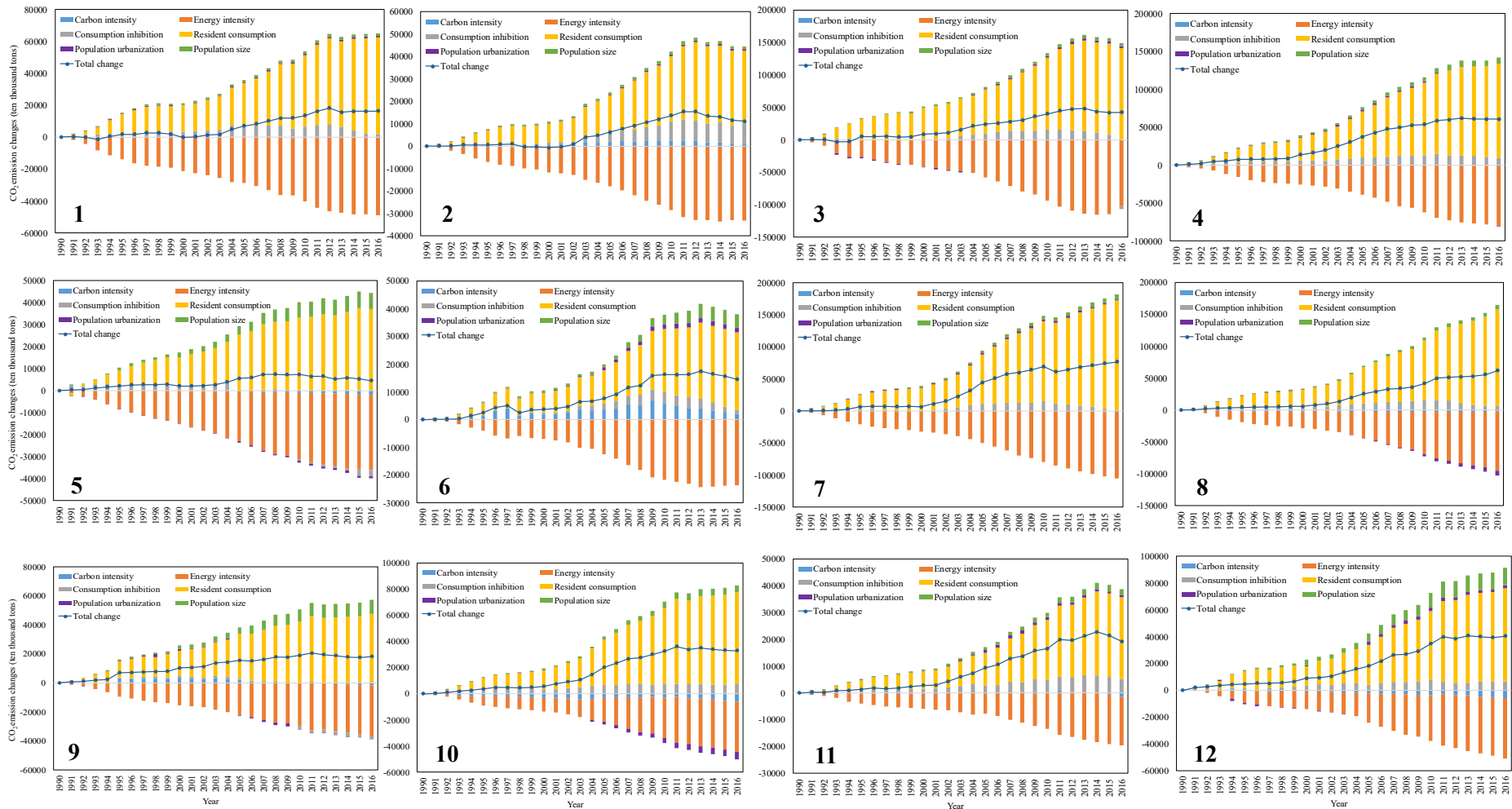
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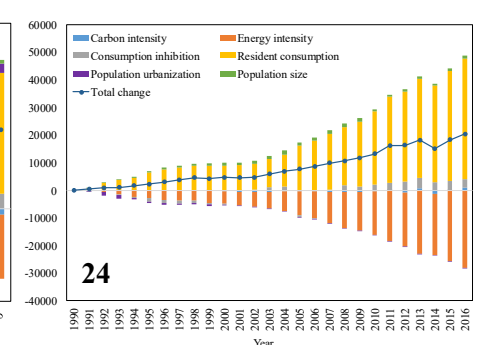
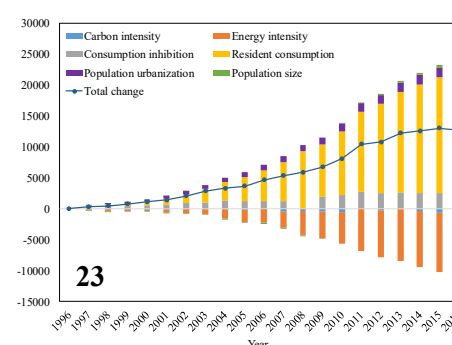
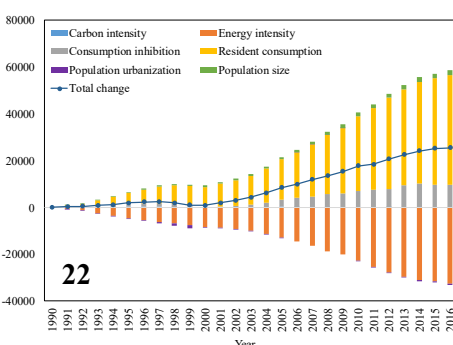
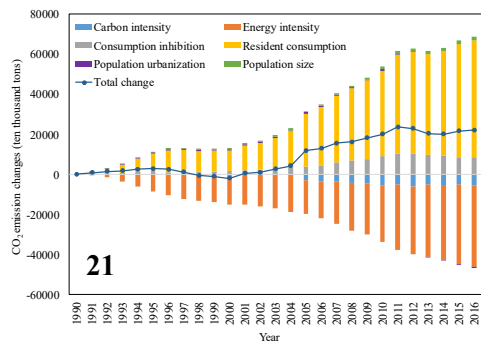
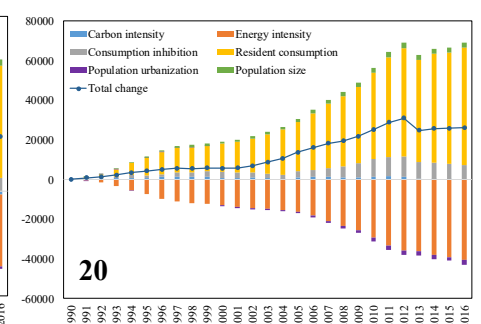
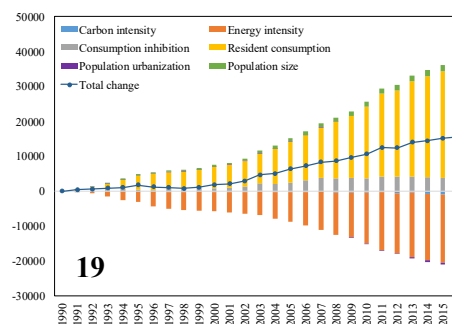
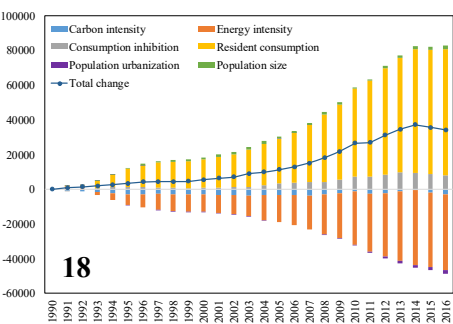
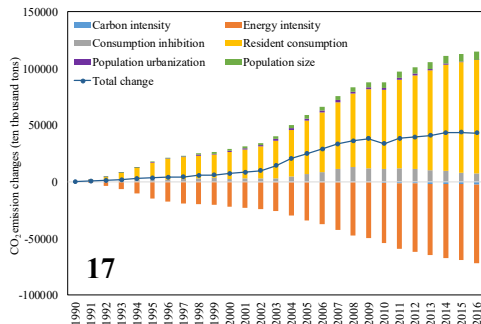
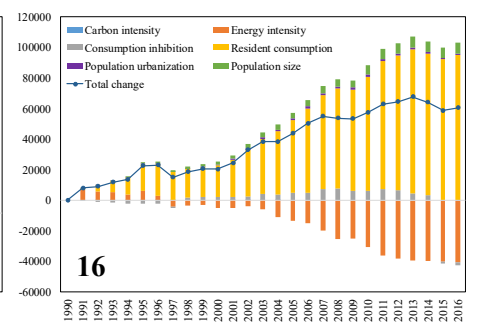
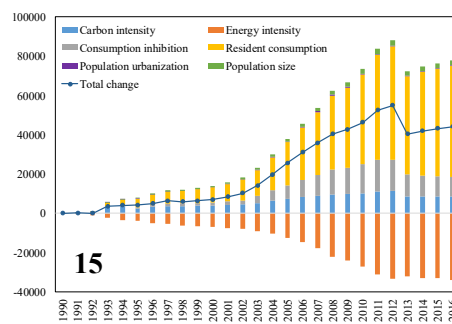
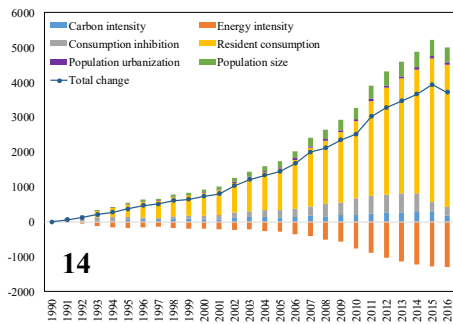
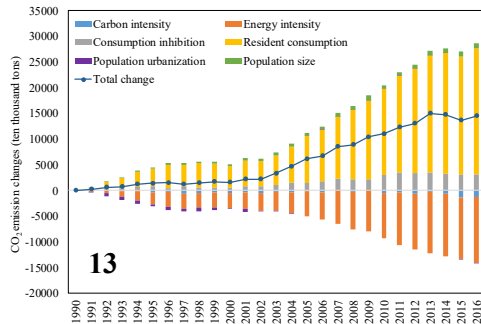
**Appendix**

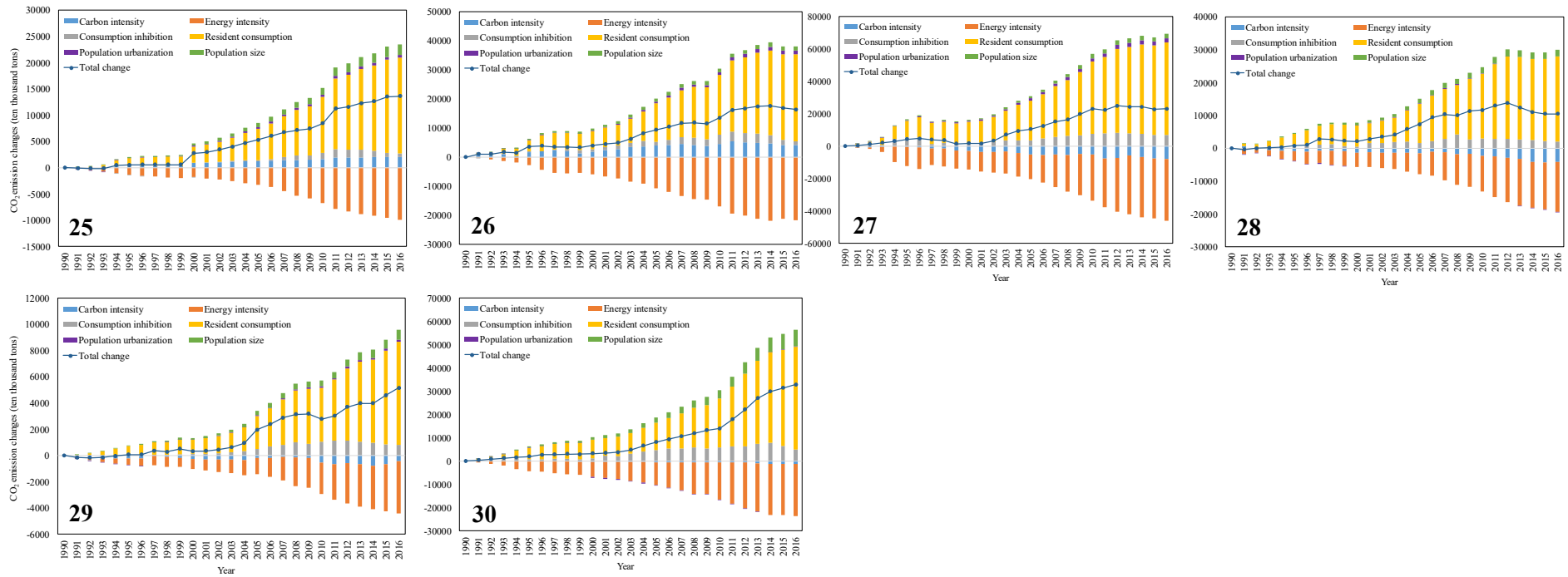


**Figure A 1. The geographical locations of Chinese provinces. The Tibet Autonomous Region, shaded black, was excluded from our study because of a lack of available data.**









**Figure A 2. Provincial-level decomposition results for all of the years of the study relative to 1990. The base year for Chongqing is 1996 because it became a directly administered municipality in 1997 and hence data became available around that year.**

**Table A1 Sources of provincial-level data.**

| No. | Province       | URL   |
|-----|----------------|---|
| 1   | Heilongjiang   | <a href="http://www.hlj.stats.gov.cn/tjsj/tjnj/">http://www.hlj.stats.gov.cn/tjsj/tjnj/</a>   |
| 2   | Jilin          | <a href="http://tjj.jl.gov.cn/tjsj/">http://tjj.jl.gov.cn/tjsj/</a>   |
| 3   | Liaoning       | <a href="http://www.ln.stats.gov.cn/tjsj/sjcx/ndsj/">http://www.ln.stats.gov.cn/tjsj/sjcx/ndsj/</a>   |
| 4   | Hebei          | <a href="http://tjj.hebei.gov.cn/hetj/tjsj/jjnj/">http://tjj.hebei.gov.cn/hetj/tjsj/jjnj/</a>   |
| 5   | Beijing        | <a href="http://tjj.beijing.gov.cn/tjsj/">http://tjj.beijing.gov.cn/tjsj/</a>   |
| 6   | Tianjin        | <a href="http://stats.tj.gov.cn/Category_29/Index.aspx">http://stats.tj.gov.cn/Category_29/Index.aspx</a>   |
| 7   | Shandong       | <a href="http://www.stats-sd.gov.cn/col/col6279/index.html">http://www.stats-sd.gov.cn/col/col6279/index.html</a>   |
| 8   | Jiangsu        | <a href="http://tj.jiangsu.gov.cn/col/col4009/index.html">http://tj.jiangsu.gov.cn/col/col4009/index.html</a>   |
| 9   | Shanghai       | <a href="http://www.stats-sh.gov.cn/html/sjfb/tjnj/">http://www.stats-sh.gov.cn/html/sjfb/tjnj/</a>   |
| 10  | Zhejiang       | <a href="http://tjj.zj.gov.cn/col/col1525563/index.html">http://tjj.zj.gov.cn/col/col1525563/index.html</a>   |
| 11  | Fujian         | <a href="http://tjj.fujian.gov.cn/xxgk/ndsj/">http://tjj.fujian.gov.cn/xxgk/ndsj/</a>   |
| 12  | Guangdong      | <a href="http://www.gdstats.gov.cn/tjsj/gdtjnj/">http://www.gdstats.gov.cn/tjsj/gdtjnj/</a>   |
| 13  | Guangxi        | <a href="http://tjj.gxzf.gov.cn/tjsj/">http://tjj.gxzf.gov.cn/tjsj/</a>   |
| 14  | Hainan         | <a href="http://stats.hainan.gov.cn/tjsu/ndsj/">http://stats.hainan.gov.cn/tjsu/ndsj/</a>   |
| 15  | Inner Mongolia | <a href="http://tj.nmg.gov.cn/channel/nmg_tjj/col10471f.html">http://tj.nmg.gov.cn/channel/nmg_tjj/col10471f.html</a>   |
| 16  | Shanxi         | <a href="http://www.shanxi.gov.cn/sj/tjnj/">http://www.shanxi.gov.cn/sj/tjnj/</a>   |
| 17  | Henan          | <a href="http://www.ha.stats.gov.cn/sitesources/hntj/page_pc/tjfw/tjcbw/tjnj/list1.html">http://www.ha.stats.gov.cn/sitesources/hntj/page_pc/tjfw/tjcbw/tjnj/list1.html</a>     |
| 18  | Anhui          | <a href="http://tjj.ah.gov.cn/tjjweb/web/tjnj_view.jsp?_index=1">http://tjj.ah.gov.cn/tjjweb/web/tjnj_view.jsp?_index=1</a>   |
| 19  | Jiangxi        | <a href="http://www.jxstj.gov.cn/id_tjnj201803120104397238/column.shtml">http://www.jxstj.gov.cn/id_tjnj201803120104397238/column.shtml</a>                                     |
| 20  | Hubei          | <a href="http://tjj.hubei.gov.cn/info/iIndex.jsp?cat_id=10055">http://tjj.hubei.gov.cn/info/iIndex.jsp?cat_id=10055</a>   |
| 21  | Hunan          | <a href="http://tjj.hunan.gov.cn/tjsj/tjnj/">http://tjj.hunan.gov.cn/tjsj/tjnj/</a>   |
| 22  | Shaanxi        | <a href="http://tjj.shaanxi.gov.cn/site/1/html/126/127/233/list.htm">http://tjj.shaanxi.gov.cn/site/1/html/126/127/233/list.htm</a>   |
| 23  | Chongqing      | <a href="http://www.cqdata.gov.cn/publish.htm?code=A01">http://www.cqdata.gov.cn/publish.htm?code=A01</a>   |
| 24  | Guizhou        | <a href="http://stjj.guizhou.gov.cn/tjsj_35719/sjcx_35720/gztjnj_40112/">http://stjj.guizhou.gov.cn/tjsj_35719/sjcx_35720/gztjnj_40112/</a>                                     |
| 25  | Ningxia        | <a href="http://nxdata.com.cn/publish.htm?cn=G01">http://nxdata.com.cn/publish.htm?cn=G01</a>   |
| 26  | Gansu          | <a href="http://www.gstj.gov.cn/HdApp/HdBas/HdClsContentMain.asp?ClassId=70">http://www.gstj.gov.cn/HdApp/HdBas/HdClsContentMain.asp?ClassId=70</a>                             |
| 27  | Sichuan        | <a href="http://tjj.sc.gov.cn/tjcbw/tjnj/">http://tjj.sc.gov.cn/tjcbw/tjnj/</a>   |
| 28  | Yunnan         | <a href="http://www.stats.yn.gov.cn/tjsj/tjnj/">http://www.stats.yn.gov.cn/tjsj/tjnj/</a>   |
| 29  | Qinghai        | <a href="http://www.qhtjj.gov.cn/tjData/qhtjnj/">http://www.qhtjj.gov.cn/tjData/qhtjnj/</a> <a href="http://tjj.hunan.gov.cn/tjsj/tjnj/">http://tjj.hunan.gov.cn/tjsj/tjnj/</a> |
| 30  | Xinjiang       | <a href="http://www.xjtj.gov.cn/tjfw/tjsj/">http://www.xjtj.gov.cn/tjfw/tjsj/</a>   |

Note: All data were taken from the official websites of provincial governments.



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