

1 *Type of the Paper (Article)*

2 **The three horses of sustainability – population,** 3 **affluence and technology**

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9 **Abstract:** The IPAT equation provides a simple but powerful model for understanding
10 sustainability, particularly from the challenge posed by the Anthropocene – how to reduce personal
11 or societal impact. Impact is calculated by multiplying population, affluence and technology, and a
12 ‘reduction coefficient’ e is used to explore targeted reductions in impact of different entities to cap
13 total (summed) impact. The model offers two solutions. First, that all three factors are essential in
14 determining total impact; a focus on just one or two is not justifiable without credibly addressing
15 the other(s). Second, by presenting reduction of impact as a proportion of current activity, the
16 solution becomes accessible to an individual actor (e.g. an individual, family, organization, or
17 country). Application of the model is illustrated based on household weekly food consumption from
18 cultures around the world. The model helps unify a) disparate perspectives on population, affluence
19 and technology, which currently oppose one another from a basis of belief or dogma, and b)
20 different sectors (e.g. food production, energy, climate impacts and others), as well as actors, so they
21 can jointly identify strategies to resolve their contributions to approaching larger scale
22 sustainability.

23 **Keywords:** affluence, business as usual, climate change, planetary boundaries, population, societal
24 impact, sustainability.
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26 **1. Introduction**

27 The Anthropocene is an era in which human population has grown to have an impact on
28 multiple bio-physical systems on a planetary scale, among which anthropogenically-driven climate
29 change is a dramatic symptom [1-3]. The middle of the 20th century marked a turning point when
30 human population size, per capita affluence and per capita footprint (technology) all entered a phase
31 of rapid and mutually reinforcing growth. The compounding interactions of these factors [4] has led
32 to societal impact that has exceeded the provisioning capacity of planet Earth [2,5]. Across many
33 domains, including scientific, government, business and civil society, realization of the need for
34 profound change in economic and social practices has grown rapidly (Supplementary Material, Text
35 S4).

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37 However, our ability to know what to do to change course – i.e. what actions, and therefore cost,
38 each person, household, business or country has to shoulder to do this – has not caught up with this
39 awareness. This is partly because we have been unable to project exactly what potential futures will
40 be, though global assessments are becoming increasingly precise [6]. A traditional economic focus on
41 costs of change (how much will it cost?) has dominated professional and public discourse, though
42 there is growing realization of the need to think in terms of investment in change (how much will we
43 benefit?) and linked social-ecological systems (how do we avoid tipping points?). We are far from
44 understanding how individual people or social entities gain motivation to change their behaviors on
45 the scale of collective action that is needed [7,8].

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47 The IPAT model initially developed with a balance between ecological and economic
48 perspectives [9-11]. Economic applications of the model have been numerous, with debates around
49 quantities and units, variability and elasticity in its factors, and statistical and empirical
50 improvements [12-17]. Other discussions explored the limitations of the model, particularly around
51 how to incorporate human behaviour and choice theoretically [18-20] and empirically at household
52 levels [21]. It has been applied with a climate perspective [13], in relation to carbon emissions in the
53 IPCC framework [22,23], and at national environmental impact levels particularly in Asia [22,24].
54 These have led to greater complexity of the model and as a result, lower generality and accessibility
55 to non-specialists. Ecological applications of the IPAT model focused on carrying capacity, or the
56 limits to how many individuals or how much biomass an ecosystem can support [25,26]. This has
57 been explored through many different levels of biological organization from species interactions to
58 ecosystem dynamics [27] and in limits to growth models, most notably the global footprint [5] and
59 planetary boundary [3,28] models. However, though the formulations of the footprint and planetary
60 boundary models are crafted to aid interpretation and buy-in among non-specialists, there has
61 remained a gap between messages clearly expressing global consequences and individuals making
62 personal choices on the basis of these findings [8]. At the same time, with growing assertion of
63 localized and indigenous or traditional perspectives, the generalizations inherent in models has led
64 to a backlash against models such as IPAT for not accounting for the cultural and locational
65 differences that differentiate population, affluence and technology, and their inter-relations, in
66 different societies [29].
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68 2. Methods

69 The IPAT model is used here to bring the scale of the sustainability problem, and accessibility of
70 solutions, to the sphere of action of an individual entity – be this an individual, a household, a
71 company or a country. Most simply, IPAT treats impact (I) as a function of population (P), affluence
72 (A), and technology (T):

$$73 \quad I = f(P, A, T) \quad \text{Equation (1)}$$

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76 This article focuses on a coefficient e that varies between zero and 1 and simple multiplication
77 of P, A and T (fig. S1):

$$78 \quad I = (1-e) \times (P \times A \times T) \quad \text{Equation (2)}$$

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81 The identity between the left and right hand sides of the equation mean that within a particular
82 application of the model, the units used to measure population, affluence and technology are not
83 critical. The focus is on the proportionate reduction expressed by e and the specific question "how
84 can entity X reduce their impact?". Further details on the assumptions made in the model are included
85 in the Supplementary Material (Text S1).
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87 Application of the model is illustrated by analyzing images of weekly food intake for households
88 around the world [30]. Population, affluence and technology were parametrized from the images as
89 follows: population by the number of people, and affluence by the per capita cost of weekly food
90 intake. Technology was parametrized using an additive index that combined food type (four types),
91 packaging (3 types) and energy source (3 types), ranked by their footprint or material use and waste
92 (see Supplementary Material, Text S3). The product of P, A and T was standardized from 0 to 100
93 (highest impact household) to ease comparisons, and summary statistics calculated by HDI country
94 category [31]. Projected impact levels in 2030 and 2100 were calculated using the values of e selected
95 to achieve the sustainability scenario, and differential economic growth by HDI country category was
96 estimated to allow for improvements in income in countries with lower HDI.

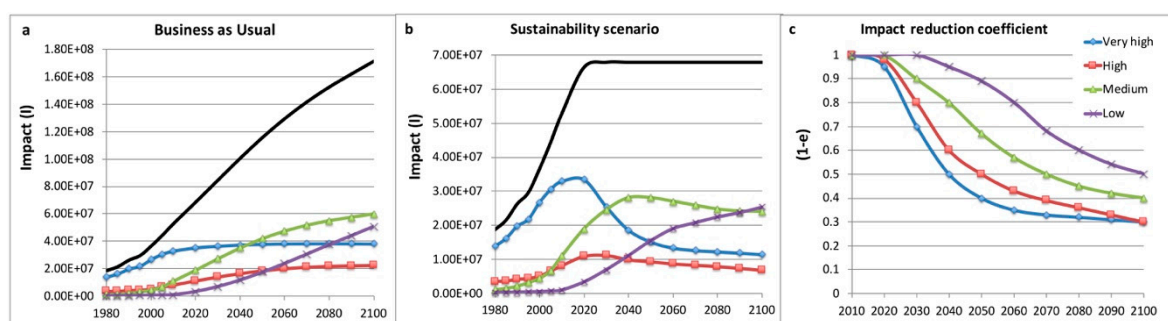
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98 **3. Results**

99 The IPAT model is illustrated here at the country level. In a business as usual scenario ($e = 0$),
 100 total impact of the global population will continue to rise throughout the 21st century, reaching 3
 101 times current levels with no discernible flattening (fig. 1a). That is, humanity's ecological footprint
 102 will grow from 1.5 planet Earths today [5] to 4.5 by 2100. Population in Very High and High Human
 103 Development Index (HDI) countries peaks mid-century and is declining by 2100, in Medium HDI
 104 countries population has stabilized, but in Low HDI countries, population is still growing in 2100
 105 (fig. S1a). Thus, even as Very High HDI countries reduce their total impact, which in this example is
 106 exclusively due to declining population, the increased population, affluence and technology use in
 107 High, Medium and Low HDI countries lead to a continuing increase in total impact. Also, by 2100
 108 the primary source of impact will have shifted from the Very High HDI countries, to today's Medium
 109 and Low HDI countries.

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113 **Figure 1.** Business as usual and sustainability scenarios illustrated by the IPAT
 114 equation illustrated by multiplying population, affluence and technology and used to illustrate two
 115 scenarios: a) business as usual versus b) a sustainability scenario where total impact is capped at 2020
 116 levels. Curves are shown for four HDI country groups: Low, Medium, High and Very High; and their
 117 sum (heavy black line). c) values of coefficient 'e', plotted as $(1 - e)$ to illustrate the proportionate effort
 118 require to cap total impact among HDI country groups.

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120 To achieve sustainability, the reduction coefficient e can be varied between 0 and 1. A scenario
 121 is presented where total impact is arbitrarily capped at 2020 levels (fig. 1b, and Supplementary
 122 Material S1). This article assumes that population in each country grows consistently with current
 123 UN projections, and affluence and technology use are allowed to grow to approach current levels in
 124 Very High HDI countries. To accommodate equity among countries, values of e are different for each
 125 HDI country category, though e increases in all categories over time, approaching a similar value (fig.
 126 1c). For Very High HDI countries e is set at 30 per cent in 2030 and increases to 70 per cent by 2100.
 127 The corresponding levels for High, Medium and Low HDI countries in 2030 and 2100 are 20/70, 10/60
 128 and 0/50 per cent, respectively. Different combinations of curves across HDI categories are possible
 129 that achieve the same overall result of capped total impact.

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131 **4. Discussion**

132 Reducing impact can be achieved through changes in any of the three factors, or a combination
 133 of them. For example, an overall reduction of 50% ($e = 0.5$) could be achieved by a 50% reduction in
 134 any one factor, or by approximately 30% reduction in two ($0.702 = 0.49$), or 20% reduction in all three
 135 ($0.803 = 0.51$). This formulation of IPAT helps open up the debate about which factor is most
 136 important – all have a role in 'pulling the chariot of sustainability'. Not accounting for the level (or
 137 increases) in any one factor consumes benefits obtained from reducing others. Some challenges and

138 advantages of reduction in each of the three factors are explored by HDI country category (Table 1)
 139 and in more general terms in the Supplementary Material (Text S2). Thus, *e* represents multiple
 140 combinations of policy options that may be applied across population, affluence and technology, with
 141 the example presented here being only one of many ways to achieve the same result.
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143 **Table 1.** Pathways to sustainability among Human Development Index (HDI) country groups.

HDI group	Challenges	Advantages
Very High and High	<p>People, businesses and countries accepting limits to growth, both in affluence and technology, and recognizing the need to internalize externalities (i.e. eliminate waste). The reductions of 30/60 and 20/60 per cent of 2020 output by 2030 and 2100 are precisely opposite to the dominant market pressures for continuous growth evidenced by stock exchanges and financial institutions, and the recurrent economic bubbles that create the global financial economic crises of the last decades.</p>	<p>High wealth and standard of living can be invested in innovation and transformation to sustainable pathways.</p> <p>Greater leisure time and wealth enable more personal choices to be made on how to achieve sustainability.</p> <p>Technical innovations (e.g. large solar batteries, declining cost of wind and solar energy below that of fossil fuels) already in reach before 2020.</p>
Medium	<p>The largest problem this century due to compounding of their large and growing populations with high-growth phases of HDI and GNI (fig. S1). Emerging economies – China and India primarily, but many others too – may not be ready to adopt more sustainable aspirations in the next 1-2 decades and set in place the low-in-the-near-future but high-in-the-medium-future efficiencies that are needed (i.e. 5 and 60 per cent).</p>	<p>Driven by science, technology and entrepreneurial innovation, are making strides at local, sub-national and national levels in the face of very local social, environmental and economic manifestations of the global problem.</p> <p>Tangible benefits accruing in real time from greater efficiency in energy and materials use and reduced waste.</p> <p>Leapfrogging of technologies provides scope for the large reductions needed, but good governance and investment policies are needed to liberate innovations.</p>
Low	<p>The key countries are in Africa, which is projected to account for more than half of the global population growth expected by 2100 [32] and is the last major world region set to enter its period of fastest economic growth (i.e. increasing affluence and technology) from a low baseline [33].</p>	<p>The smallest part of the problem through to 2050-2080 due to low GNI and lower populations than Medium HDI countries, providing ample time for change.</p> <p>Leapfrogging technologies with greatest potential impact, particularly</p>

Least capacity among all groups to invest in change, such as in education and governance systems, necessary to change behaviours.

High dependence on ecosystem services, which are already severely stressed - immediate challenges in food, water and other essential service security undermine a focus on the need for long term change.

in energy and material uses, recycling and information technologies.

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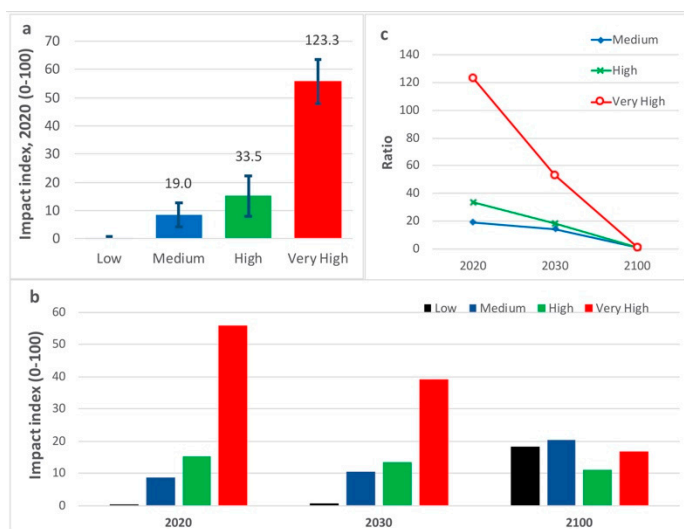
The illustrated scenario shows a degree of differentiation in action among countries in 2030 (30, 20, 10 and 0 per cent for Very High, High, Medium and Low HDI countries, respectively), that reduces as they converge towards welfare parity in 2100 (70, 70, 60 and 50 per cent) (fig. 2b). This implements the principle of 'common but differentiated responsibilities' among countries [34,35]. This is an essential foundation for addressing unequal wealth among countries [36] as well as among groups of people with different levels of wealth. Differentiated responsibilities in reducing total impact are essential for countries at all levels of development to agree on what actions are expected from each now. Equally important, projecting the reduction in differentiation that comes with greater wealth in lower-income countries, and equity among countries over time (fig. 1c), helps to maintain transparency and trust among all countries as capabilities change.

156 4.1 A picture, or model, worth a thousand words

157 The application of IPAT used here frames it as a causal relationship [37], but instead of focusing
158 on the technical challenge of deriving a more complete model, as others have done (see Introduction),
159 this article takes on the challenge of a simpler heuristic approach, for people to answer the personal
160 question: "given what we do now (however measured or estimated), how to reduce our footprint by
161 a certain proportion?" The iconic images of weekly food intake for households around the world [30]
162 provide a vivid illustration of the model. These show population (family size), affluence (amount and
163 diversity of food) and technology (processing of food, packaging, appliances, etc.) across a spectrum
164 of affluence and cultures in a way that can be quantified (see Supplementary Material, Text S3).
165 Summarized by HDI country group gives values of 0.5, 8.6, 15.1 and 55.8, for Low, Medium, High
166 and Very High HDI countries respectively (fig. 2a). Compared to Low HDI countries, impact levels
167 for Medium, High and Very High HDI countries are higher by factors of 25.8, 41.6 and 170.3 times,
168 respectively. This disparity of 2 orders of magnitude captures the dramatic difference in material
169 wealth visible in the images - the constructed home, food quantity, variety and packaging, and
170 energy-dependent appliances in the wealthier households. A simple projection of impact levels to
171 2030 and 2100, applying the assumptions of the model, show that disparity among households can
172 decrease significantly (fig. 2b), even as the material wealth of Low and Medium HDI households is
173 allowed to increase and approach parity with High and Very High HDI households (fig. 2c).

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Two interesting corollaries are suggested: first, that at the lowest levels of affluence and technology the influence of population shrinks to near-insignificance compared to the impact of technology/material wealth and affluence. This supports arguments that even at current high populations in least developed countries, total impact on global systems is disproportionately from higher material wealth countries [38]. But second, as affluence increases (as it should in Low and Medium HDI countries), the importance of population gains in significance, and in the long term, avoiding over-population by reducing family sizes is wise (e.g. in relation to climate change [39]), to reduce 'overshoot' as countries transition from low to middle and high-income standards of living [40] (Supplementary Material, Text S1).



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Figure 2. Application of the IPAT model to images of weekly household food in cultures around the world [30]. a) Impact on a scale from 0 to 100 (highest scoring household) grouped by Human Development Impact (HDI) categories (mean and standard error). b) Applying the assumptions of the IPAT model developed here and projecting forward to 2030 and 2100 enables calculation of Impact at household levels across the HDI country groups. c) the ratio of mean Impact values (in b) for Medium, High and Very High compared to Low HDI countries in 2020, 2030 and 2100 (see Supplementary Material, Text S3).

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This formulation of the IPAT equation provides a simple calculator for guiding individual choice – with a given parametrization and measurement of population, affluence or technology how does a person, family, business or country achieve a specific reduction in impact? Even if only one of the factors can be quantified, it gives a strong formulation of the benefit derived from reducing that factor, and a warning to ensure that other, perhaps unquantified, factors are not allowed to increase. Even more, if none of the factors can be accurately quantified, reducing current activities (e.g. energy use, waste) can be done through considering proxies and focusing on these to reduce impact. Even down to the level of a single individual and trivial population size of one, the model helps to identify how affluence or material use can be altered to reduce impact.

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Many public and political discourses on population, economic growth and sustainability start from a priori statements of which one is most important for a particular interest group, culture or country, and which are deemed 'not relevant' or off-limits. Sensitivities around birth control, family size and cross-cultural mores enabled the 'missing population agenda' [41] during the critical decades of the Great Acceleration [4]. The IPAT model puts them explicitly on equal ground: for example, if a cultural position is "we value economic growth", the compensatory actions in the other factors (population and energy/material use) that are necessary to balance the equation must be made explicit.

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Thus IPAT transforms the problem of reducing impact to a practical personal problem, and provides a direct mechanism for any entity to understand their contribution to sustainability. While this simplification may frustrate experts, it may provide the 'behavioural wedge' [18,21] and a sketch map [42] or calculator that helps plan individual choices and behaviour changes [18,39], and inform discourse in political and major media platforms. Even in December 2018 mainstream media fail to question the mantra of economic growth [43], and far from getting its message across into mainstream discourse, IPAT still has a role to play, simplified to its essentials, in communicating limits to growth [14,17,19]. This level of simplification and personalization may be necessary to motivate the collective action [8] by the diversity of actors, acceleration and scale that is required [44]. While there are many pitfalls in applying a simple relation such as this, this is the purpose of a model – to be, as is commonly

223 attributed to Albert Einstein 'as simple as possible, but not too simple' (and see Supplementary
224 Material, Table S1).
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226 4.2 *Transforming value*

227 Can the reductions in population, affluence and/or technology required for sustainability be
228 realistically achieved? Achieving sustainability does mean fewer televisions, cars and consumer
229 goods per family (at least in Very High and High HDI countries [21,39]) unless, as the IPAT equation
230 allows, new technologies with fractions of today's energy and material cost are developed. Surely the
231 10-30 per cent efficiencies in Medium to Very High HDI countries by 2030 are conceivable within the
232 next decade of technological progress, and the reductions of 50-70 per cent by 2100 in all countries
233 are also well within the innovative capacity of human society, science and technology over these time
234 periods? In individual sectors, many argue this is possible, such as in food systems [40] and energy
235 generation [45], and in limiting climate change to minimum levels [6].
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237 Crucially, this does not necessarily mean a worse quality of life than today. Given the higher
238 environmental and social quality in the sustainability scenario, and that delivery of the outcome may
239 only be possible with a preceding shift in values away from monetary and material growth,
240 individuals, companies and countries may well feel better off (perceive greater value and wealth)
241 than they do now (see Table S1). This transforms all costs of achieving this end state from what are
242 now regarded as costs deducted from the profit line into investments in varied forms of capital, and
243 quality of life. People will not be giving up wealth, they will be building greater wealth, measured
244 differently.
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246 The value transformation that this will require is of course profound. The current value system
247 has not only failed to facilitate earlier adoption of a sustainable and globally efficient path, it has
248 delivered the Great Acceleration and the Anthropocene as direct consequences of its values. The
249 Sustainable Development Goals can be considered a 'strong sustainability' concept [47], within which
250 positive and negative interactions among goals [47,48] can focus policy and decision-making on key
251 opportunities and challenges for reducing impact at scale. This is where IPAT can help people,
252 organizations and even countries to formulate their individual strategies for sustainability within
253 their particular environmental, economic and social context. In the household food example: where
254 affluence should rightfully increase, where material/energy footprint should decrease, and where
255 reducing population growth will have a major influence. How these manifest will be very context-
256 dependent, facilitating contributions 'for all' [49] and 'by all' [8]. IPAT can provide a simple calculator
257 for entities - whether a country, an organization, a family or an individual - to calculate on their own
258 terms what reductions need to be made to make their contribution to sustainability not only within
259 their own frame of reference, but as part of a diverse collective whole.
260

261 **Supplementary Materials:** The following are available online, Text S1 to S4, Figures S1 and S2, Tables S1 and
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269 5. References

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