Environmental History 4

Mauro Agnoletti Simone Neri Serneri *Editors*

The Basic Environmental History



Environmental History

Volume 4

Series editor

Mauro Agnoletti, Florence, Italy

More information about this series at http://www.springer.com/series/10168

Mauro Agnoletti · Simone Neri Serneri Editors

The Basic Environmental History



Editors
Mauro Agnoletti
DEISTAF
University of Florence
Florence
Italy

Simone Neri Serneri Political and International Sciences University of Siena Siena Italy

ISSN 2211-9019 ISBN 978-3-319-09179-2 DOI 10.1007/978-3-319-09180-8 ISSN 2211-9027 (electronic) ISBN 978-3-319-09180-8 (eBook)

Library of Congress Control Number: 2014949490

Springer Cham Heidelberg New York Dordrecht London

© Springer International Publishing Switzerland 2014

This work is subject to copyright. All rights are reserved by the Publisher, whether the whole or part of the material is concerned, specifically the rights of translation, reprinting, reuse of illustrations, recitation, broadcasting, reproduction on microfilms or in any other physical way, and transmission or information storage and retrieval, electronic adaptation, computer software, or by similar or dissimilar methodology now known or hereafter developed. Exempted from this legal reservation are brief excerpts in connection with reviews or scholarly analysis or material supplied specifically for the purpose of being entered and executed on a computer system, for exclusive use by the purchaser of the work. Duplication of this publication or parts thereof is permitted only under the provisions of the Copyright Law of the Publisher's location, in its current version, and permission for use must always be obtained from Springer. Permissions for use may be obtained through RightsLink at the Copyright Clearance Center. Violations are liable to prosecution under the respective Copyright Law. The use of general descriptive names, registered names, trademarks, service marks, etc. in this publication does not imply, even in the absence of a specific statement, that such names are exempt from the relevant protective laws and regulations and therefore free for general use.

While the advice and information in this book are believed to be true and accurate at the date of publication, neither the authors nor the editors nor the publisher can accept any legal responsibility for any errors or omissions that may be made. The publisher makes no warranty, express or implied, with respect to the material contained herein.

Printed on acid-free paper

Springer is part of Springer Science+Business Media (www.springer.com)

Environmental History and other Histories. A Foreword

Environmental history has by now acquired a history of its own. The theme has been treated by generations of scholars who have produced a great number of research studies and compared notes and findings in numerous conferences, associations and academic journals. The fields of interest are many and varied, as are the methods of survey, which have often matured at the crossroads between arts and humanities, social and natural sciences.

What is Environmental History?

The recurring debate on "what is environmental history?" has received numerous and basically converging responses. One of the most concise considers that its purpose is the study of "man and the rest of nature". A decidedly controversial definition in respect of the distinction, when not contraposition, between the human world and the natural world, underlying dominant cultural and scientific tradition, not only in historical studies, in the modern world. With regard to the object and to the end proposed by studies in environmental history, it would, however, appear more incisive to speak of a discipline that has the purpose of studying the relationships between man and the environment in their historical dynamics.

The definition presents various original heuristic implications, but ultimately it is probably more suitable and tends to suggest a holistic approach to the history of man and nature. An approach which, moreover, is widespread among environmental historians, largely derived from studies in natural history, historical ecology, forest history, historical geography and concerned primarily with delineating the numerous changes in the natural environment—from the history of climate change, to changes in landscape or forest cover, from the history of natural disasters to that of epidemics or the variation in animal species, which have been induced by or, on the contrary, condition man's social life. Furthermore, the above-mentioned disciplines remind us that the history of relationships between man and nature did not begin with studies in environmental history, nor with the work by John Perkins

Marsh, but had already been put forward in the early eighteenth century in Germany with the work of Friedrich Stisser. That definition and that approach, however, risk depicting the relationship between human societies and the natural world in excessively naturalistic terms, thus overshadowing the tension between the two areas or considering it as solved. The natural world and human societies are more easily understandable when they are considered as two systemic and complex realities, fully interactive with each other. The dynamics of the natural world, or, better, of the ecosystems and the dynamics of anthropic societies are the most strongly interactive with each other because they rest on the same material, physical, chemical and biological base. But for this very reason, an irreducible state of tension is created which sometimes opens the way to widespread conflict.

In history the tension between anthropic dynamics and ecological dynamics has always been an evident reality, albeit with different modes, intensities and outcomes. It was during the twentieth century, however, that it developed and expressed its explosive power. The main cause for this marked discontinuity was technological development which basically reversed the relationship of dependency between the environmental context and the anthropic context; since then, at least in the short term, human societies have been more successful in adapting ecosystems to their needs rather than the reverse, as occurred previously.

The enormous and, at times, threatening consequences of this change in reciprocal adaptability remind us that—as Donald Worster noted—men are more than ever simultaneously agents and victims of environmental history. But they also induce us not to stop at considering only the most sensational changes in landscape, extinction of animal species or the most conspicuous forms of pollution and to perceive behind these phenomenons the emergence of the most critical forms of tension intrinsic in the constant interaction between the reproductive dynamics of anthropic and environmental systems. These reproductive dynamics proceed through a partial, yet continuous, reciprocal incorporation between the two systems. In turn, this incorporation occurs with processes and intensities which are mediated and progressively redefined by available technology. The outcomes are the consequence of the interaction between reproductive mechanisms and therefore reflect the capacity of anthropic and environmental systems to reproduce through a succession of equilibrium and disequilibrium phases. Increasingly over the last century and latter decades, the negative effects of the dynamics between man and nature have become more and more evident. As a consequence of the rapid change in environmental structures, the sustainability of the reproduction processes of anthropic systems—those that permit the satisfaction of basic needs and the more complex manifestations of social life—has become more and more uncertain. Moreover, the very concept of sustainability, however widespread in political spheres, is subject to growing criticism in scientific circles. The idea of the sustainability of development based on the conservation of a determined quota of systems defined as "natural", is largely a cultural construction given that, strictly speaking, systems that are really natural are now very limited on a planetary scale. More often it is naturalness on the rebound after previous anthropic impacts, or semi-naturalness, whereas the sustainability necessary for the life of man refers to environmental parameters, rather than to quotas of naturalness for the conservation of various animal and vegetable species. The return to nature proposed by much of environmental literature, as a remedy for the disequilibria referred to above, at least from the nineteenth century onwards, is in effect largely the result of the cultural hegemony of currents of thought in Northern Europe and North America which have imposed the value of natural landscapes on that of cultural landscapes which for four or five centuries have represented the template, as described in the Grand Tour literature.

The aim of environmental history is, therefore, to rebuild the relationships and interactions between anthropic and environmental systems, as they were historically set up. Environmental history moves from its awareness of the relative autonomy that characterises the reproductive dynamics of both. It is gradually freeing itself of the merely conservationist perspective that has characterised and still characterises most of its approaches, because its object of study is strictly the changing transformative equilibrium that is set up between social systems and ecosystems. In fact, the relationships between them have anything but a static nature, but rather processual, because it stretches over time and is therefore eminently historical. In other words, historicity is an intrinsic quality in relationships between anthropic and environmental systems precisely because they interact during their respective reproduction processes which, far from reproducing their initial conditions—have a developmental and transformative nature. It also follows that historicity is manifold, if we consider the different levels over which it spreads—"historical times, biological times" wrote Enzo Tiezzi over 30 years ago-but profoundly unitary because anthropic and environmental systems are ultimately part of the same context: the former are, however, an expression of one of the most specialised of the innumerable biological forms that populate the latter.

In conclusion, environmental history is, by definition, a field of tension. Not only, as referred above, because attention can be calibrated to the relationship between man and the rest of nature, privileging either its unitary profile or internal dualism. But—and this is the aspect that most interests us—because, while it develops as a distinct disciplinary area, at the same time it proposes to be a means of critical comparison with more consolidated areas of historical research: economic history, urban history, the history of technology, the history of ideas and cultural history, the history of public policies and, last but not least, social history. On the other hand, it is no coincidence that many scholars from the above-recalled fields of research have become animators of environmental history, bringing with them debatable issues fuelled by the motivating force, sensitivity and knowledge of environmentalist mobilisation which in the 1970s spread throughout Europe, the United States and more widely in Asia, Africa and the American continent. And indeed they have impregnated environmental history research with traditions and cultural and social experiences from their various areas of origin.

Another Point of View: Themes and Suggestions

The essays in this volume mainly reflect this acceptation of environmental history and aim to compare, stimulate and even contest widely consolidated knowledge and compartmentation of predominant historiography. Altogether, the collection of essays make the book first and foremost an introductory instrument to the main themes of environmental history, illustrating its development over time, methodological implications, results achieved and those still under discussion. However, the problem is not that of proposing environmental history as another, distinct and, as such, delimited disciplinary area in search of legitimacy in its own right. Or to offer an overview of the main research studies and consequently the potentialities of environmental history. Quite the opposite, for the overriding aspiration is to show that the doubts, methods and knowledge elaborated by environmental history have a heuristic value that is far from negligible precisely in its attitude to the most consolidated major historiography. For this reason, this book gives an overview of the main themes of environmental history as it is an essential component of the basic knowledge of global history. But, at the same time, it introduces specific aspects which are useful both for anyone wanting to deepen his/her studies of environmental historiography and for those interested in one of the many disciplinary areas—from rural history to urban history, from the history of technology to the history of public health, etc.—with which environmental history, often with some difficulty, develops a dialogue.

The choice of themes, therefore, is not encyclopaedic, but intentionally selective. The expositive approach does not consider environmental history from within, as a primary disciplinary area, nor does it illustrate the making of this historiography. On the contrary, it endeavours to place environmental issues within a much wider field of research and its manifold thematic stratifications. Least of all, the book intends to denounce the gravity of environmental issues—not because they are not serious or worthy of denunciation—but because its concern is primarily with promoting knowledge of the past rather than recounting the present-day crisis.

Circumscribed, but nonetheless challenging, tasks. We hope to succeed in our undertaking. Nor is it the task of the book, let alone of this introduction, to identify dominating lines in the environmental history of the planet, or of any other continent or other thematic area. We do not propose to give a brief outline of the environmental history of the planet or part of it. Many already exist, albeit frequently characterised by limits and typical of attempts to reduce to a global-scale processes that are decidedly more complex which can only be studied on a local scale. We shall merely summarise introductory knowledge, but also—while making no claim to sufficiency or exclusivity—propose methods and analytical and interpretative concepts, the fruit of long and qualified experience acquired by the authors of the essays in their respective areas of research and, more in general, of their indepth knowledge of European and global environmental historiography.

Various essays have different approaches. All share a comprehensive overview of their own theme and develop a narration that necessarily leaves in the

background the history of policies and practices and environmental conflicts. But the choice of the central theme and expositive style responds to different criteria, because the preference is given to descriptive and interpretative efficacy rather than to analytical orderliness. In some cases, a certain environmental medium has been used as barycentre: soil, air and water. In others, a process, such as growth, has been taken as the main theme, and a certain factor, like energy or the interaction between a multitude of factors has been considered. Or, again, production and reproduction processes have been used as a reference, to examine, in one case, waste and residues and, in another, the most acute and serious critical manifestations, chiefly those caused by inappropriate, and therefore risky technologies. Lastly, in another case, the chief observation point is the urban structure that organizes media, resources and processes. Without prejudice to these distinctions, echoes of each of these different approaches can easily be perceived in all the essays.

Likewise, various asymmetries are also seen in the capacity of each essay to communicate critically with the other historical disciplines: a capacity that is unquestionably evident and incisive in the case of urban history or, for example, of economic growth problems or the role of energy, but—on the contrary—forcedly more restrained in the case of environmental history of the soil, an area of investigation still in its infancy. Each essay deals with numerous distinct themes and those that generally circulate, return and in various ways aggregate all together in the essays. Particularly worthy of attention is the vast theme of growth, in the sense of material and, consequently, economic growth, because it deals with the connection between nature and social development, growth being none other than the use of natural resources to the advantage of human society. So to study growth from the viewpoint of environmental history means not only proposing responses to many aporias or highlighting choices, paths, crises, etc., but—as Tello and Javier recount in their essay—explaining how economic growth takes place. On the other hand, precisely the theme of growth shows how the nature/society connection has an intrinsic historicity, because its processuality not only determines different ways of realization—depending on the various factors available—but determines its cyclicity, since the availability of resources depends on their characteristics and therefore is a constitutive rather than a marginal growth factor.

The other theme that is closely linked and, to a large extent, recurrent since it is crucial in mediating between nature and society, is technological development. Technology is the means by which portions of nature become available resources for the productive and reproductive processes of anthropic societies: it is the instrument of what the economists call their valorisation, in other words, of their utilisation for economic and social development. So technology—with its specific modes of action—largely determines the methods, intensities and outcomes of the incorporation of part of the ecosystems in anthropic processes. Also for this reason, the technological question largely characterises and supports many essays in the book. It applies to the use of soil, especially after agricultural practices underwent great innovation with the advance of industrialization. But of similar relevance is the story of water, air or waste or, evidently, risks, accidents and disasters caused by the use of technology in industrial society. It is understandably at the centre of the

environmental history of urban systems which, by definition, are the outcome of the functional integration of numerous technologies aimed at diversifying and articulating the social life of a multitude of people and, at the same time, making it less dependent upon nature's reproduction cycles.

In other words, it is evident that the themes dealt with, the approaches and methods of research and interpretative proposals—far from being self-referential and determined by ideological and militant impulses—establish a close, albeit critical, dialogue with the questions and results of consolidated major historiography. Environmental history has the merit of broadening the view of historical reflection. Because, metaphorically speaking, it forces taking into consideration other points of view, other methods of knowledge and other disciplinary competences. But also in a real sense, because environmental history has an intrinsic spatial dimension that is difficult to define, since it continually calls upon the cohesion or concatenation of ecosystems and always refers to the direct connections that unite the local context to the global context.

Even a brief overall consideration confirms that the essays in this book have several common and peculiar traits which deserve to be stressed because they highlight the richness of the environmental historical approach. Only apparently more extrinsic is the question of periodisation, the conceptual barycentre of every historical reflection. In a formal consideration, the periodisation adopted varies in the different essays: in one respect it is easy to perceive the tendency to stretch backwards in respect of the present in search of anchors to account for the body of changes, but also their different ways of gathering together. In another respect there is a common second tendency to concentrate narration in the centuries that are closest to us. This arrangement is partly for practical reasons—to respond to present-day doubts—but above all derives from environmental history's historiographic solicitations: over the last two centuries anthropic societies have succeeded in making an unparalleled and exceptional impact on the natural world leading to an undoubted acceleration in the history of environmental changes. Those changes have always occurred, sometimes with important, indeed catastrophic, consequences in local and regional and even continental contexts—suffice it to recall the so-called "Columbian exchange" which followed the mass arrival of Europeans on the American continent—but from the end of the eighteenth century, they acquired an unprecedented rhythm, intensity and extension on global scale.

Generally speaking, the essays do not, however, treat their respective themes in a systematically global dimension, aimed at embracing the entire planet as a whole. They do, however, endeavour, with inevitably diverse possibilities and results—to assume a worldwide perspective that takes into account the plurality of the planet's experiences, their connections in history and in the present. Within these coordinates it is easy to perceive first that environmental history is simultaneously the history of relationships between anthropic systems and ecosystems and the history of man's knowledge of nature, as well as the history of the policies and practices that have consequently been implemented. So, for example, the environmental history of soil tells us about technical knowledge, agricultural practices, the culture of agricultural societies, which have characterised much of human history. But it

looks at anthropic practices (the use of forests, livestock breeding, cultivations, irrigation, etc.), hinging on the ecosystem in which they are immersed and which they influence, in the awareness that those practices are within that ecosystem; they are the mode of constructing man's ecological niche. So they do not alter a given equilibrium in itself, but introduce themselves into transformative dynamics that are wide-ranging and more complex. An analytical perspective reminds us that the natural, environmental dimension is a constituent of anthropic practices, not only preliminary to them.

This observation should, in turn, be placed in relation to another which, as various essays suggest, attributes to technology—insofar as it is a crucial instrument of mediation between nature and society—a key role in determining the periodisation of environmental history, marked by the transition between successive states of equilibrium between social structures and ecosystems. Not because technological innovations shape periodisation deterministically, maybe after the hypothetical formation of environmental bottlenecks caused by the obsolescence of a technology and a corresponding depletion of a primary resource. But rather because the transition to different ways of relating between society and environment—for example in the epochal transition to the large-scale exploitation of fossil fuels, the treatment of urban waste, the change in use of agricultural land, etc.—hinges on technological innovations which at times are seen to be comparatively more remunerative as much in terms of cost as in use value, in the exploitation of one natural resource or another which they allow to be incorporated in social reproduction processes. So even in this regard anthropic dynamics—those relating to the economic profitability of a certain technology-and ecosystem dynamics-deriving from its environmental impact—are inextricably intertwined.

The integration between social factors and ecological factors is in fact at the centre of the analytical and interpretative models proposed by environmental history. Whether the approach is "socio-metabolic", borrowed from ecological economy, "urban metabolism" or "ecological heritage", the essays in this book prove their originality and fecundity, compared with traditional approaches which consider development and social changes determined almost exclusively by intrinsic cultural or institutional factors. To consider the capacity, or lack of it, to introduce portions of ecosystems into anthropic systems and the methods for realizing it, as decisive explicative factors of the dynamics of social development is however an extremely innovative and promising approach. Mainly for two reasons: First because it calls for greater attention to the quantity and quality of the overall patrimony of available resources—in the various contexts—for social development. Second, and more in general, because it prompts the abandonment of a solipsistic, accumulative and linear vision of social development and invites consideration of the fact that the circulation of resources (between ecosystems and anthropic systems, but to a likewise significant extent also within these) fuels close interaction between the various systems.

That interaction, and the flows and exchanges that fuel it—even more so following the epochal changes induced by the advent of urban-industrial society—frustrate all investigations that consider social development separately, territory by

territory and country by country. But they impose the repositioning of development processes in a multiplicity of spatial, local, regional and global contexts that accounts for the procurement of the resources that fuel them, the dislocation of residue from anthropic processes and above all of the interaction and accumulation phenomenons consequent to those flows. The result is a conception of development as a composite and plural process, of variable intensity, with a helical trend and partially reversible. The only one that makes it possible to explain the otherwise misleadingly defined "aporias" of development and to fully assess the sustainability of present social and ecosystem structures, if not of future ones. Because, even in the case of environmental history, although knowledge of the past does not place us in a position to foresee the future, it undoubtedly gives us a better understanding of the times in which we live.

Mauro Agnoletti Simone Neri Serneri

Contents

1	Paolo Malanima	1
2	Economic History and the Environment: New Questions, Approaches and Methodologies	31
3	Environmental History of Soils	79
4	Environmental History of Water Resources	121
5	Environmental History of Air Pollution and Protection Stephen Mosley	143
6	Urban Development and Environment	171
7	History of Waste Management and the Social and Cultural Representations of Waste	199
8	Technological Hazards, Disasters and Accidents	227

Editors and Contributors

About the Editors

Mauro Agnoletti is an Associate Professor at the University of Florence, where he teaches landscape planning and environmental history at the Faculty of Agriculture. He has an abilitation to full-time Professor in Landscape Planning and Economic History. Most of his studies and activities have been dedicated to forest and landscape history and to transfer research findings into policies. He chairs the unit on landscape policies at the Italian Ministry of Agriculture, Food and Forestry. He is a scientific expert for UNESCO, CBD, European Landscape Convention, FAO. He is a codirector of the scientific "Journal Global Environment" and member of the board of the International Association of Environmental History Organizations. He has produced more than 120 scientific articles and 20 books. www.landscape.unifi.it.

Simone Neri Serneri completed his Ph.D. in History at the University of Pisa (Italy). He is a full-time Professor of Contemporary History at the Department of Political and International Sciences at the University of Siena (Italy) and Director of the Istituto Storico della Resistenza in Toscana (Florence). He is a member of the editorial board "Global environment" and "Contemporanea. Rivista di storia dell'800 e del 900". He has been a member of the Board and Italian Regional Representative of the European Society for Environmental History. In the field of environmental history, he researched mainly about urban and industrial development, water resources and pollution and environmental policies in Italy from the late nineteenth century to the present. He is author of *Incorporare la natura. Storie ambientali del Novecento* [Rome, 2005] and many articles in collective books and co-edited the books *Industria, ambiente e territorio. Per una storia ambientale delle aree industriali in Italia* [Bologna, 2009]; *Storia e ambiente. Città, risorse e territori nell'Italia contemporanea* [Rome, 2007] and the on line *World environmental history* by Eolls.

xvi Editors and Contributors

About the Contributors

Sabine Barles is a Professor at the University Paris 1 Panthéon-Sorbonne and a member of the laboratory Géographie-Cités (University Paris 1, University Paris 7 and French National Research Council). She is a Civil Engineer (1988) and obtained a Master's degree in Urbanism (1989) and a Master's degree in History of Technology (1990) and later a Ph.D. in Urbanism (1993). The focus of her research is the history of technology and of the urban environment and the interactions between societies and nature (eighteenth-twentieth centuries) through urban metabolism and urban and territorial ecology. She has published La ville délétère. Médecins et ingénieurs dans l'espace urbain, XVIIIe-XIXe siècles (Seyssel, Champ Vallon, 1999) and L'invention des déchets urbains, France, 1790–1970 (Seyssel, Champ Vallon, 2005), and articles and chapters of books about the urban environment, mostly about Paris (see for instance Barles "The Seine and Parisian Metabolism: Growth of Capital Dependencies in the nineteenth and twentieth Centuries", in: Castonguay, S., Evenden, M.D. (eds.), Urban Waters: Rivers, Cities and the Production of Space in Europe and North America, Pittsburgh: Pittsburgh University Press, 2012, p. 94–112; Billen, G., Garnier, J., Barles (eds.), Special issue "History of the urban environmental imprint", Regional Environmental Change 12(2), 2012).

Stéphane Frioux is an Assistant Professor of History at the Université Lyon 2, France, where he teaches European modern history and urban history, and research in urban environmental history at the Laboratoire de recherche historique Rhône-Alpes (UMR CNRS 5190 LARHRA). He published *Les batailles de l'hygiène. Villes et environnement de Pasteur aux Trente Glorieuses* (Paris, PUF, 2013), in which he examines the municipal policies of environmental sanitation and the implementation of water and waste treatment facilities in French cities in the first half of the twentieth century. Among his articles, "At a green crossroads: recent theses in urban environmental history in Europe and North America", *Urban History*, vol. 39/3, 2012: 529–539, and "Pour une histoire politique de l'environnement au 20e siècle", *Vingtième siècle. Revue d'histoire*, 113, 2012/1: 3–12. He is currently working on environmental protection policies in twentieth century France, shifting his focus from water pollution to air pollution.

Gabriel Jover-Avellà is an Associate Professor of the Department of Economics at University of Girona (http://www.udg.edu/personal/tabid/8656/Default.aspx?ID=52454) and collaborator researcher of the international project Sustainable Farm Systems: Long-Term Socio-Ecological Metabolism of Western Agriculture funded from 2012 to 2017 by the Social Sciences and Humanities Research Council of Canada, together with the Ministry of Economy and Competitiveness in Spain. His research is focused on agrarian history from the sixteenth to the eighteenth centuries. He uses farm accounts from the Majorca Island to analyse the changes in Mediterranean organic agro-systems. He has published recently the first results in Gabriel Jover and Jerònia Pons (2012) Possessions, renda de la terra i treball

Editors and Contributors xvii

assalariat. L'illa de Mallorca, 1400–1660, Documenta Universitària-Biblioteca d'Història Rural, Girona [Farms, rents and wage-labour. Majorca Island, 1400–1660]. En Enric Saguer, Gabriel Jover i Helena Benito (2013) Comptes de senyor, comptes de pages. Les comptabilitats en la història rural. Documenta Universitaria-Biblioteca d'Història Rural [Landlor accounts, Peasant accounts. Accounting in Rural History]. He has published in journals like Revista de Historia Económica-Journal of Iberian and Latin American Economic History, Histoire & Mesure, among others.

Paolo Malanima is a Professor of Economic History and Economics (University «Magna Graecia» in Catanzaro). He received his education at the Scuola Normale Superiore (Pisa) and University of Pisa. Malanima is Co-President of the European School for Training in Economic and Social Historical Research (ESTER) (University of Leiden) and a member of the editorial board of the journals Società e Storia and Rivista di Storia Economica, corresponding editor of the International Review of Social History, member of the Consejo of Investigaciones de Historia Economica, and Revista de Istorie A Moldovei, member of the editorial board of the Economic History Review and Scandinavian Review of Economic History. His research is long-term economic history and the history of energy. His book Pre-Modern European Economy. One Thousand Years (tenth-nineteenth Centuries), Leiden-Boston, 2009; german translation as Europäische tschaftsgeschichte 10-19. Jarhundert. Wien: Böhlau, 2010, refers to both these areas of research. He is the author of Le energie degli italiani. Due secoli di storia, Milano, B. Mondadori, 2013, and coauthor of A. Kander, P. Malanima, P. Warde, Power to the people. Energy in Europe over the last five centuries, Princeton, Princeton University Press, 2013.

Stephen Mosley completed both his MA and Ph.D. in History at Lancaster University. He is now a Senior Lecturer in History in the School of Cultural Studies at Leeds Metropolitan University. Mosley's research interests are in environmental history, particularly the history of environmental pollution and associated socioeconomic and health issues. His publications include: Common Ground: Integrating the Social and Environmental in History (2011, with Geneviève Massard-Guilbaud) which opens up a dialogue between the two disciplines; The Chimney of the World: A History of Smoke Pollution in Victorian and Edwardian Manchester (2008 edn.), which examines the human and environmental costs of smoke pollution in the world's first industrial city; and The Environment in World History (2010), which offers a fresh environmental perspective on familiar world history narratives of imperialism and colonialism, trade and commerce, technological progress and the advance of civilisation. He has been an Editor of the journal Environment and History since 2010.

Dieter Schott studied History, Political Science and English at the University of Konstanz and the Free University of Berlin. He gained his Ph.D. with a thesis on history of the city of Konstanz in the interwar-period. His habilitation thesis *Die Vernetzung der Stadt* (=*Networking the City*) (Darmstadt University of Technology

xviii Editors and Contributors

1996, published 1999) analyses urban electrification processes in three German cities in the context of wider processes of urban development in the period 1880–1918. From 2000 to 2004, he taught as Professor for the History of Urban Planning at the Centre for Urban History, University of Leicester, UK. Since 2004, he teaches Modern History at Darmstadt University of Technology. He was particularly involved with promoting international exchange on urban environmental history, co-editing for example the proceedings of a 2002 conference at Leicester on *Resources of the City* (Aldershot 2005). He has published widely in the fields of urban and environmental history of the nineteenth and twentieth century, on natural disasters, energy and infrastructures, rivers and cities. His most recent book is a text book on European Urbanization with a particular focus on city-environment-relations (*Die Urbanisierung Europas. Eine umweltgeschichtliche Einführung*, to be released 3/2014). He is the president of the German Society for Urban History and a member of the International Council of the European Association of Urban History (EAUH).

Gianni Silei is an Aggregate Professor of Social History in the Dipartimento di Scienze Politiche e Internazionali and coordinator of the Observatory on Risks and Natural and Technological Events and Disasters (Osservatorio Rischi e Eventi Naturali e Tecnologici, Orent) under the Centro Interuniversitario per la Storia del Cambiamento Sociale e dell' Innovazione (Ciscam) at the University of Siena. He is a member of the European Society for Environmental History (Eseh). His research interests include welfare state and social protection policies history, contemporary fear culture and natural and man-made disasters history. Among his recent publications: Le radici dell'incertezza. Storia della paura tra Otto e Novecento (2008); Ambiente, rischio sismico e prevenzione nella Storia d'Italia (2011); Volontariato e mutua solidarietà. 150 anni di previdenza in Italia (2011); Espansione e crisi: le politiche di welfare in Italia tra gli anni Settanta e Ottanta, in Momenti del welfare in Italia. Storiografia e percorsi di ricerca (2012); Breve storia dello Stato sociale (2013).

Enric Tello-Aragay is a full-time Professor of the Department of Economic History and Institutions at the University of Barcelona (http://www.ub.edu/histeco/eng/inici.htm) and a co-researcher of the international project Sustainable Farm Systems: Long-Term Socio-Ecological Metabolism of Western Agriculture funded from 2012 to 2017 by the Social Sciences and Humanities Research Council of Canada, together with the Ministry of Economy and Competitiveness in Spain, that assembles seven universities in six countries. He publishes on environmental as well as economic history of Catalonia and Spain, using socio-metabolic approaches to energy and material balances of agricultural systems, as well as landscape ecology analysis of land cover land-use changes. Some of his last publications are: (with Parcerisas, L.; Marull, J.; Pino, J.; Coll, F. and Basnou, C., 2012): Land use changes, landscape ecology and their socioeconomic driving forces in the Spanish Mediterranean coast (El Maresme County, 1850–2005), Environmental Science & Policy 23:120–132; (with Garrabou, R.; Cussó, X.; Olarieta, J.R. and Galán, E.

Editors and Contributors xix

(2012): Fertilizing methods and nutrient balance at the end of traditional organic agriculture in the Mediterranean bioregion: Catalonia (Spain) in the 1860s, *Human Ecology* 40(3):369–383; or (with Ostos, J.R., 2012): Water consumption in Barcelona and its regional environmental imprint: a long-term history (1717–2008), *Regional Environmental Change* 12(2):347–361.

Verena Winiwarter was first trained as a Chemical Engineer. After years of working in atmospheric research, she earned her Ph.D. in Environmental History at the University of Vienna in 1998. She was granted the venia legendi in Human Ecology in 2003. From 2003 to 2006, she held a postdoctoral fellowship in environmental history (APART fellowship) awarded by the Austrian Academy of Sciences at the Institute for Soil Research, University of Natural Resources and Applied Life Sciences, Vienna and at the Faculty for Interdisciplinary Research of Alpen-Adria-Universität Klagenfurt, where she holds the first chair in Environmental History in Austria since 3/2007. Since 2010, she also serves as Dean of the faculty for interdisciplinary studies there. Her main research interests comprise the history of landscapes, in particular rivers, waste, images and the environmental history of soils. She has been among the founding members of ESEH, the European Society for Environmental History. From 2001 to 2005, she served as President of ESEH. A corresponding member of the Austrian Academy of Sciences, she has published numerous articles and edited several books. Her CV can be downloaded at: http://www.uni-klu.ac.at/socec/downloads/CV VW 01-10 13 new.pdf.

Chapter 1 Energy in History

Paolo Malanima

Abstract The topic of energy is of central interest today. Although a long-term view can be useful in order to clarify contemporary trends and future perspectives, scholarly literature provides little information on the consumption of energy sources by past societies, before the beginning of the 20th century. In the following analysis, the topic of energy will be discussed from the viewpoint of economics, with a long-term historical perspective. After a brief introduction in Sects. 1.1 and 1.2 will examine some definitions and concepts, useful when dealing with energy and the role of energy within the economy. Section 1.3 will focus on the relationship between humans and energy in pre-modern societies. Section 1.4 will discuss the energy transition, that is changes in energy and environment from the early modern age to the present day. In the Conclusion (Sect. 1.5) general estimates will be proposed of past energy consumption on the whole.

1.1 Introduction

Scholars disagree about the role of energy within the economy. An optimistic view is shared by many economists. Their opinion is that raw materials played virtually no role in the modern development of the economy, as growth depended and continues to depend on knowledge, technical progress and capital. The contribution of natural resources to past and present growth is almost non-existent; and energy is a natural resource. After all energy represents today—they say—something less than 10 % of aggregate demand in the advanced economies.

Scholars with interest in environmental changes support the opposite view on the role of material goods and nature in the economy. Environment and natural materials played an important function in the development of human societies and in history on the whole. Energy in particular is of central importance in economic

1

P. Malanima (⊠)

Università Magna Graecia, Catanzaro, Italy

e-mail: mala1950@hotmail.it

P. Malanima

life and is also a central concern, given the heavy impact of energy consumption on the environment, especially in the last two centuries. Material underpinnings to economic success are not to be underrated, in their opinion.¹

1.2 Definitions and Concepts

1.2.1 An Economic Definition

In daily life we have direct contact with matter, but not with energy. Matter can be touched, its form described and it is to be found underfoot as well as around us. With energy it is different. Its indirect effects are only perceived deriving from changes either in the *structure*, that is the molecular or atomic *composition* of matter, or in its *location* in space, such as in the case of a stream of water or wind, whose potential energy we can exploit. In both cases effects such as movement, heat or light reveal the presence of what we call energy from about 200 years.

In physics energy is defined as the ability of bodies to perform work.² Since work is the result of force by distance, then energy includes any movement of some material body in space together with the potential energy deriving from its position. Heat as well is the result of the movement of the components of matter. When dealing with the economy and then with the interrelationship between humans and the environment, our definition must be a little different. We could define energy in economic terms as the capacity of performing work, useful for human beings, thanks to changes introduced with some cost or effort in the structure of the matter or its location in space. Solar heat is of primary importance for the existence of life. The definition of energy in physics includes it. Since it is a free source of energy, it is not included in our economic definition; whereas the capture of solar rays by means of some mechanism in order to heat water or produce electric power is included. In the first case solar heat is not an economic resource, while it is in the second. The formation of biomass in a forest is a transformation of the Sun's energy by the plants through photosynthesis and is not included in this definition either. On the other hand, firewood is included, which is a part of forest biomass used by human beings for heating, cooking and melting metals. Food is a source of energy in economic terms, since its consumption enables the performance of useful work and its production implies some cost. Food for animals is only exploitable, and then it is an economic resource, when metabolised by those animals utilized by humans for agricultural work. It is their fuel, and, since the power of the working animals is exploited by the people, its calories have to be divided among the consumers (such as the fuel of our cars today is divided among the population and is part of their per capita consumption). When consumed by wild animals in a forest, however, these

¹ On these topics see the first two chapters of Kander et al. (2013) chaps. 1 and 2.

² Useful the discussion of the definitions of energy in Kostic (2004, 527–538) (2007).

calories are not a source of mechanical power for humans and then are not included in our calculation of past energy consumption. Both fossil fuels used today and uranium are also energy carriers. They were not until a quite recent epoch, since they were not utilized in order to produce economic goods and services.

Although the definition of energy in physics is much wider than in economics, the definition here proposed is much wider than the ordinary meaning of the term energy. Many people immediately think of modern sources, when speaking of energy, and do not include daily food consumption. It is well known that working animals played a central role in pre-modern agricultural economies, but their feed is not considered as a main source of energy for humans. The lack of a clear definition, common to most contributions devoted to the history of energy, prevents from the possibility of calculating energy consumption in past societies.

1.2.2 Energy and Production

In the long history of technology, main developments consisted in the increasing knowledge about the possibility of "extracting" energy from the input of natural resources. The production process and the role of energy can be represented by the following diagram (Fig. 1.1).

The diagram can be seen as an illustration of the ordinary production function:

$$Y = AF(L, R, K).$$

Labour (L) and capital (K), the factors of any productive process of useful goods and services (Y), can be better defined, from the viewpoint of energy, as *converters* able to extract energy from resources (R) in order to transform materials into commodities. Y is in fact a function (F) of the converters. The progress of technical knowledge embodied in A, plays a central role in the production function. In one

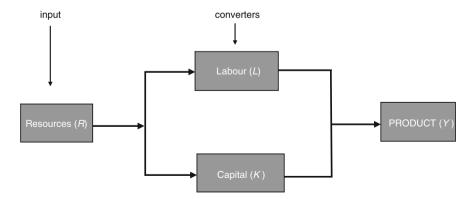


Fig. 1.1 Natural resources, converters of energy, product

P. Malanima

sense, energy is the main input; that is to say, the main input is that part of matter (resources R) transformed by the converters, that is by workers (L), who metabolize food, and capital (K), which transforms some materials such as firewood, coal, oil, gas and electricity into mechanical work, heat and light.

The increase in productivity of energy, as a consequence both of discoveries of new sources and technologies (*macro-inventions*) or improvements in the exploitation of those already existing (*micro-inventions*)³ can be represented by the following ratio:

$$\pi = \frac{Y}{E}$$

where Y is output (in value) and E is the total input of energy in physical terms (in Calories or joules or any other energy measure). The formula represents the productivity of energy, that is the product generated by the unit of energy. It is the reciprocal of the better known energy intensity (i), or the energy we need to produce an unit of GDP:

$$i = \frac{E}{Y}$$

In the previous diagram, energy productivity is the result of the ratio between the final product (in money) and the input of matter (food, coal, oil...) transformed into energy by the converters (in kcal, joules...). It is a measure of the efficiency of the energy converters from a technical viewpoint. The result is also conditioned by changes in the structure of the product. The increasing importance of less energy intensive sectors can result in an increase in energy productivity (or decline in energy intensity) even without any technical change.

1.2.3 Energy and History

At the end of the 20th century, per capita energy consumption, on a world scale, was about 50,000 kcal per day; that is 76 GJ per year, including traditional sources. About 80 % of this consumption was represented by *organic fossil sources*; coal, oil and natural gas. Nuclear energy represented 6 % and hydroelectricity 2 %. This 8 % was the *non organic* contribution to the energy balance. The remaining 12 % consisted of biomass, i.e. *organic vegetable sources* (Table 1.1). If the waste utilized in order to produce energy is excluded, the rest of this 12 % was composed of food for humans and working animals (today a marginal source of power), and firewood, an important item of consumption only in developing countries.

³ For the terms "micro-" and "macro-inventions" see Mokyr (1990).

	Sources	kcal per capita per day Toe per ca		(%)
3	Non organic	4,000	0.15	8
2	Organic fossil	40,000	1.47	80
1	Organic vegetable	6,000	0.22	12
		50,000	1.84	100

Table 1.1 Daily and yearly per capita consumption of energy worldwide around 2000 (kcal, Toe and %)

Source IEA, World Energy Outlook 2010, OECD/IEA, Annex A, Tables for Scenario Projections Note Organic Vegetable food, firewood and feed for working animals; Organic Fossil coal, oil, natural gas; Non organic nuclear, wind, hydro, photovoltaic. Toe = ton oil equivalent = 10 million keal

This composition of the energy balance reveals the strata of a long history of technical conquests.⁴ The history of energy technology is nothing else than the chronological analysis of our present energy balance, in order to single out the various ways of extracting energy from matter to produce heat, movement, light, work etc. Following Table 1.1, we will track the history of energy consumption from the most remote layer (1) that is *Organic vegetable sources*, to the development of *Organic fossil sources*, the intermediate stratum (2), and subsequently to the progressing *Non organic sources* (3), which will be the basis of our future energy systems.⁵

From the viewpoint of energy, the long history of mankind could be divided into two main epochs (corresponding to the first two lines of Table 1.1):

- *First epoch* the about 5–7 million years from the birth of the human species until the early modern age, that is about 5 centuries ago, and
- Second epoch the recent history of the last 500 years, which has witnessed a fast acceleration in the pace of energy consumption.

In the first long epoch, energy sources were represented by *food for humans*, *fodder for animals* and *firewood*, that is biomass, with a small addition of *water* and *wind power*. The second epoch witnesses the rapid partial replacement of the old sources by *fossil carriers*, which became and still are the main energy sources. While in the first epoch energy was scarce, expensive and environmental changes heavily influenced its availability, during recent history energy has been plentiful, its price relatively low and the influence of the energy consumption on the environment considerable.

⁴ Still important on the big changes in the history of energy is the book by Cipolla (1962).

⁵ "Organic economies" is the expression used by Wrigley (1988). With reference to the history of energy, the same term of "organic" had been used before by Cottrell (2009), See also Wrigley (2010).

P. Malanima

		characterizing		

First epoch	Second epoch			
Food	Coal			
Firewood	Oil			
Fodder (for working animals)	Primary electricity			
Water power	Natural gas			
Wind power	Nuclear power			

Although the energy system prevailing today is apparently different from the simple digestion of food (the first energy source), or from the burning of firewood by our primitive ancestors, it is based on the same principle, which is the oxidation of Carbon compounds by breaking their chemical ties. Since Carbon compounds are defined in chemistry as organic compounds and organic chemistry is the chemistry of organic compounds, we could define all the energy systems which have existed until today as organic and the economies based on those organic sources as organic economies. Coal, oil and natural gas, the basic sources oxidized today in order to bring about organized, that is mechanical, work, heating or light are carbon compounds such as bread or firewood. The difference between premodern and modern energy systems depends on the fact that, until the recent energy transition, organic vegetable sources were exploited, whilst from then on organic fossil energy sources became the basis of our economy. Since organic vegetable sources of energy were transformed into work by biological converters (animals) and fossil sources are transformed by mechanical converters (machines), we are able to distinguish past economies according to the system of energy they employed and the prevailing kind of converters in:

- 1. organic vegetable economies or biological economies;
- 2. organic fossil economies or mechanical economies.⁶

Given the importance of energy in human history, changes in the use of this main input mark the evolution of humans in relation to their environment much more than changes in the use of those materials, such as stone and metals, ordinarily utilized by the historians to distinguish the main epochs of human history.

⁶ In chemistry "organic" refers to Carbon compounds. The term has been used by F. Cottrell and A. Wrigley (see the previous footnote) to distinguish past agricultural economies (whose base was an organic energy system) from modern economies (based on mineral fossil sources). However, fossil fuels are also organic compounds. To avoid misunderstandings I think it useful to distinguish "Past agricultural organic vegetable economies" from "Modern organic fossil economies".

1.3 Pre-modern Organic Vegetable Economies

At the end of the 18th century three were the main economic sources of energy; corresponding to three different kinds of biomass. According to the age of the discovery and exploitation of these three sources, three ages can be distinguished in the distant past (that is in the First epoch identified in Sect. 1.2.3). The original source was *food*, the second was *firewood* and the third was *fodder for working animals*. A relatively small contribution came from two other carriers: *falling water*, the potential energy of which was exploited by watermills; and *wind*, utilized both by sailboats, and, much later, mills.

1.3.1 The First Age: Food

Since the birth of the human species some 5–7 million years ago, and then for some 85–90 % of human history, food was the only source of energy. In this long period, the only transformation of matter in order to engender movement and heat was the metabolism of organic material either produced spontaneously by plants and vegetation or converted into meat by some other animal consumed by humans as food. Although nothing certain can be said about energy consumption per head at that time, given the stature and physical structure of these early humans, consumption per day of about 2,000 Cal could be plausible. Their own body was the early machine used by humans. An animal body is not very efficient in the conversion of energy. Only 15–20 % of the input of energy, that is 300–400 Cal, is transformed into work, while the rest is utilized in order to support the metabolism and dispersed in the environment as heat and waste. The economic output of these far ancestors consisted in collecting, transporting and consuming this original input of energy.

1.3.2 The Second Age: Fire

The use of fire has been the main conquest in the history of energy. The first evidence of fire being used by humans refers to several different regions of the world and can be dated between 1 million and 500,000 years ago. Fire was a conquest of independent groups of humans in several parts of the world and the main source of energy for several millennia. Its use spread slowly. In this case, as in the case of food, an estimate of the level of energy consumption by our distant ancestors can only be speculative. As far as is known for much more recent ages, the level of firewood consumption in different regions in pre-modern times may have varied from 1 kg per head per day to 10 in cold climates, that is between

 $^{^{7}}$ On the discovery of fire see particularly Perlès (1977) and Goudsblom (1992).

P. Malanima

3,000–4,000 and 30,000–40,000 Cal. A daily consumption of about 1 kg per capita could be assumed for the humans living in relatively warm climates. In northern regions firewood consumption was considerably higher. Fire could be used for heating, cooking, lighting, and for protection against wild animals. Although, with fire, Calories per head drastically increased from 2,000 to 3,000–4,000 per day or more, that is 5–6 GJ per year, the efficiency in its use was very low. The useful energy exploited by the population did not exceed 5 % of its Calories, the rest being lost in the air.

1.3.3 The Third Age: Agriculture

During the Mesolithic, the end of glaciations and the rise in temperature enabled humans to increase the cultivation of vegetables and particularly cereals. The overall availability of energy in the form of food increased dramatically and supported the growth of population. In per capita terms, the perspective is different. Since population increased rapidly in the agricultural regions of the World, availability of food per head did not increase. A diet based on cereals represented a deterioration, as is witnessed by the decrease in stature following the spread of agriculture. Agriculture, as the main human activity, progressed quite slowly, if we compare the diffusion of this technological conquest to the following ones. From the Near East, where primarily developed 10,000 years ago, agriculture progressed towards Europe at the speed of 1 km per year. Within 3,000 years, agriculture reached northern Europe. At the same time, the new economic system was spreading from northern China and central America, the regions of the world where agriculture independently developed at the same time or a little later than in the Near East.

A new development in the agricultural transition took place during a second phase: from about 5,000 years until 3000 BCE. The period can be considered as a true revolution. The fundamental change was represented by the taming of animals, (oxen, donkeys, horses and camels), and their utilization in agriculture and transportation. Humans' energy endowment was rising. If we consider a working animal as a machine and divide his daily input of energy as food—about 20,000 Cal—among the humans who employed him, consumption per head may have increased by 20–50 % or more, according to the ratio between working animals and human beings; which is not easy to define for these distant epochs. Only about 15 % of this input represented, however, useful energy, that is energy converted into work.

During this age, several innovations allowed a more efficient utilization of humans' power, fuels and animals; e.g. the wheel, the working of metals, pottery, the plough, and the sail. The sail was previously used, but it only spread widely during this revolutionary epoch. The use of wind was the first example of the utilization of a non-organic source of energy, not generated by the photosynthesis of vegetables. Labour productivity rose markedly. Even though some changes in the agricultural energy system also took place in the following centuries, technical