THE HUMAN STORY: AN INTRODUCTION TO THE HUMANITIES



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Humanities: Human History & Culture

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1: INTRODUCTION TO THE HUMANITIES

1.1: Chapter Introduction
1.2: Defining the Humanities
1.3: Chapter Review Questions

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1.1: Chapter Introduction

Chapter Introduction

This chapter explores the transformative impact of the humanities, examining their historical roots, key developments, and contemporary significance. By delving into the disciplines that make up the humanities, ranging from philosophy and literature to visual and performing arts, we'll uncover the profound ways in which human creativity and reflection have shaped culture, identity, and society.

We'll begin by defining the term *humanities* and introducing the various disciplines that fall under the humanities umbrella. We'll then explore how the humanities ask and answer the question "What makes us human?" before concluding with a look at how art, including popular culture, serves as both individual expression and collective social commentary—with examples derived from music and film. Each section will provide insights into how the humanities have evolved and their enduring relevance in the modern world.

Learning Objectives

By the end of this chapter, students will be able to:

1. Identify and describe key historical developments related to the humanities.
2. Analyze the impact of humanistic disciplines on culture, society, and identity.
3. Critically evaluate different perspectives on art, including popular culture.
4. Apply theoretical frameworks to understand the role of the humanities in contemporary contexts.

Theoretical Framework

This chapter employs Philip E. Bishop's framework of expression and reflection to analyze the humanities. The term *modes of expression* refers to creative disciplines that people use to express themselves, such as literature, painting, and music. In contrast, *modes of reflection* refers to fields that explore the human condition through analysis and critical thought—primarily history, philosophy, and religion, although literature and other art forms can also serve this reflective purpose. Understanding this framework will help us critically examine how the humanities both represent and interrogate the human experience.

As you read through this chapter, pay close attention to the connections between human creativity, cultural identity, and social meaning. Take note of the diverse examples provided—from Michelangelo and Miyazaki to Duchamp and hip hop—as they illustrate the complex, evolving nature of art and its power to reflect and challenge societal values. Be prepared to engage with the discussion questions at the end of each chapter, which are designed to deepen your understanding and encourage thoughtful reflection on the role of the humanities in shaping our world.

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1.2: Defining the Humanities

What Are the Humanities?

The term **humanities** refers to the academic disciplines that study various aspects of human society and culture. At their core, the humanities explore what it means to be human by examining the artistic expressions, intellectual pursuits, and cultural achievements of the human species across time and geography. Academic disciplines that fall under the humanities umbrella include art, history, literature, philosophy, and religious studies—each contributing to a broader understanding of human behavior, thought, and creativity. Anthropology (the study of humans across time and cultures) and archaeology (the study of past human societies through material remains such as artifacts, architecture, and landscapes) occupy a unique position at the intersection of the humanities, social sciences, and natural sciences, demonstrating that these categories are not mutually exclusive and are, in fact, often complementary. These disciplines rely on interpretive and ethnographic methods, like those used in history and religious studies, to understand human behavior, art, religion, and culture, while also drawing on scientific tools such as carbon dating, DNA analysis, and geophysical surveys.

In the textbook *Adventures in the Human Spirit*, humanities scholar and professor Philip E. Bishop categorizes these disciplines into two broad categories: modes of expression and modes of reflection. This division highlights the complementary ways in which humans both express their creativity and critically reflect on their existence. By distinguishing between these two modes, Bishop provides a framework for understanding how diverse disciplines in the humanities contribute to a holistic exploration of human culture and thought. However, it should be noted that these two modes are not mutually exclusive, as many works of art serve both expressive and reflective purposes.

- **Modes of expression** encompass the **visual, literary, and performing arts**, such as painting, sculpture, literature, theater, music, and dance. These disciplines focus on how humans convey meaning and beauty through creativity and imagination. They serve as windows into the emotional and cultural landscapes of individuals and societies, providing insight into the values, struggles, and triumphs of different times and places. Through works such as the paintings of Da Vinci, the plays of Shakespeare, and the symphonies of Beethoven, modes of expression capture the essence of human experience in powerful and enduring ways. The diversity of these modes also reflects the evolution of artistic styles and forms, from the realism of Renaissance paintings and the structure of classical symphonies to the abstraction of modern art and the improvisation of jazz.
- **Modes of reflection** include **history, philosophy, and religion**, which investigate the human condition through critical thinking, ethical inquiry, and an understanding of past and present belief systems. These fields delve into the foundations of human thought, examining how ideas evolve and influence society. For example, philosophical texts such as Plato's *Republic*, historical accounts like Herodotus's *Histories*, and religious scriptures such as the Bhagavad Gita, the Qur'an, and the Jewish and Christian bibles, provide profound insights into humanity's attempts to understand the world and our place within it. These disciplines often intersect, offering multidimensional approaches to questions about the past, morality, spirituality, and how best to organize and govern societies.

The visual, literary, and performing arts each play distinct yet interconnected roles within the humanities. Ballet and opera, for example, combine music, storytelling, and visual design into immersive experiences that communicate universal themes such as love, loss, and triumph. Likewise, filmmaking blends writing, acting, cinematography, and music to craft narratives that resonate with diverse global audiences.

In many cases, a single work can function simultaneously as both expression and reflection. Literature, for example, is a mode of expression that may also be used to reflect on questions of historical, philosophical, or religious significance. Similarly, visual arts often transcend their aesthetic appeal, acting as historical records or philosophical meditations.

Pablo Picasso's painting *Guernica* (1937), for example, is not only an artistic masterpiece but also a political statement, powerfully commenting on the horrors of war. Painted in black, white, and shades of grey, its stark, monochromatic palette reflects the grim, brutal reality of the Nazi bombing of the Spanish town of Guernica during the Spanish Civil War. The deliberate lack of color amplifies the painting's raw emotional intensity, making it feel like a bleak newspaper photograph or a timeless, universal symbol of the suffering caused by war, which isn't limited to any single time or place. Prominently featured in the composition are a gored horse, a dismembered soldier, and a dead infant in a wailing mother's arms (see Figure 1.1 below).



Figure 1.2.1: *Guernica* by Pablo Picasso. 1937. Oil on canvas.

The Humanities in Film

Film, too, is a medium that often combines expression and reflection while marrying elements of the visual, literary, and performing arts. A film starts with a script, rooted in the traditions of literature and theater, which shapes the narrative structure, character development, and dialogue—much like a novel or play. The visual arts are introduced through cinematography, set design, lighting, and costume, all of which contribute to the film's aesthetic and mood. The performing arts emerge through the work of actors, whose embodied performances bring characters to life, and through choreography, staging, and direction. When these elements are woven together through editing, accompanied by sound design and a musical score, a film becomes a multisensory experience that can entertain, critique, and provoke—sometimes all at once. Many films not only tell compelling stories but also invite audiences to grapple with questions of history, class, race, identity, and morality. As an art form, film engages both the intellect and the emotions, making it one of the most powerful tools for exploring the human condition.

One such film is *The Good, the Bad and the Ugly* (1966), directed by Italian auteur Sergio Leone. This iconic "Spaghetti Western" is renowned for its stylistic innovations, mythic scope, and subversive take on the American frontier. As a quintessentially American genre, the Western has long served as a vehicle for national myths about rugged individualism, frontier justice, and manifest destiny—often relying on stereotypical or racist portrayals of Native Americans—but Leone, working from outside the U.S., reimagines these myths with a detached, critical eye that both honors and deconstructs the genre's core themes. Set during the chaos of the American Civil War, the film follows three morally ambiguous gunslingers—Blondie (the "Good," played by Clint Eastwood), Angel Eyes (the "Bad," played by Lee Van Cleef), and Tuco (the "Ugly," played by Eli Wallach)—as they each pursue a hidden cache of Confederate gold. While rooted in genre conventions of the Western, the film departs from traditional Hollywood portrayals of heroism and justice, offering a more cynical, morally complex vision of violence, survival, and greed.

Visually, Leone's direction is striking: his use of extreme close-ups, wide-angle shots of desolate landscapes, and prolonged silences builds tension with painterly precision. The film's visual storytelling, especially in the climactic three-way standoff, is a masterclass in composition, rhythm, and emotional suspense. The performances, particularly Wallach's unpredictable and deeply human portrayal of Tuco, blend theatricality with pathos, making the characters feel both mythic and grounded. The musical score by Ennio Morricone is equally essential to the film's impact; his unforgettable theme, with its haunting whistled melody and layered instrumentation, enhances the emotional stakes and has become one of the most recognizable pieces of film music in history.

Beyond its entertainment value, *The Good, the Bad and the Ugly* invites reflection on the futility of war, the complex and sometimes ambiguous nature of morality, and the myth-making power of cinema itself. Through its blend of literary archetypes, bold visual style, and operatic score, the film transcends its genre roots to become a meditation on violence and human desire, cementing its place as a landmark in world cinema.

Another notable example is *The Godfather* (1972), directed by Francis Ford Coppola and adapted from a novel by Mario Puzo. Widely regarded as one of the greatest achievements in cinematic history, it draws heavily from the literary

tradition, gradually unfolding as a sprawling family saga that explores themes of power, loyalty, corruption, and the American Dream. Its layered dialogue, Shakespearean sense of tragedy, and complex character arcs—especially the transformation of Michael Corleone (played by Al Pacino)—elevate it beyond most films of the crime genre. Visually, the film uses richly composed interiors and chiaroscuro lighting (strong contrasts between light and shadow) to evoke a sense of timeless gravitas and moral ambiguity. The performing arts shine through iconic performances by Marlon Brando, Al Pacino, and Diane Keaton, whose subtle gestures and emotional depth lend realism and intensity to the film's most pivotal scenes. The haunting musical score by Nino Rota further enriches the film's atmosphere, blending operatic emotion with quiet menace. *The Godfather* is not merely a story about organized crime; it is a meditation on family, identity, and the ethical cost of power, offering a deeply human and artistic reflection on the contradictions of modern life.

While *The Godfather* and *The Good, the Bad, and the Ugly* are works of fiction that explore deep philosophical themes, some films engage directly with historical events to educate, memorialize, and provoke ethical reflection. One powerful example is *Schindler's List* (1993), directed by Steven Spielberg, which uses the medium of cinema to confront the horrors of the Holocaust with unflinching realism and emotional depth. Based on the true story of Oskar Schindler—a German industrialist who ultimately risked everything to save the lives of more than 1,100 Jews—the film draws from Thomas Keneally's historical novel *Schindler's Ark* as well as extensive archival research. Spielberg's decision to film in stark black-and-white evokes documentary footage, underscoring the historical gravity of the narrative while visually distinguishing between innocence and brutality. One of the film's most haunting visual motifs is the girl in the red coat, one of the few uses of color in the film, whose presence highlights the innocence lost in the chaos of genocide and becomes a symbol of the moral awakening that drives Schindler's transformation.

The performances in *Schindler's List* further ground its historical narrative in emotional truth: Liam Neeson portrays Schindler as a morally conflicted man whose gradual shift from opportunism to compassion anchors the film's moral arc. Ralph Fiennes delivers a chilling performance as Amon Goeth, the sadistic commandant of the Plaszów concentration camp, revealing the terrifying banality of evil. The film's haunting score, composed by John Williams and performed by violinist Itzhak Perlman, underscores the sorrow and resilience at the heart of the story. By combining historical accuracy with cinematic artistry, *Schindler's List* does more than recount events; it invites viewers to grapple with the consequences of hatred, the capacity for moral courage, and the enduring need to remember and bear witness to the atrocities of history. As both a historical document and an artistic achievement, the film exemplifies how cinema can bring the past to life in ways that challenge the conscience and deepen our understanding of humanity.

While some films depict historical events through realism, like *Schindler's List*, others use fantasy or mythology to explore cultural traditions and emotional truths. One striking example is *Crouching Tiger, Hidden Dragon* (2000), directed by Ang Lee. This internationally acclaimed wuxia (martial hero) film draws on centuries of Chinese literary and philosophical traditions to tell a story of love, duty, honor, and spiritual longing. Adapted from a mid-20th-century Chinese novel, the film engages the literary arts through its poetic dialogue, symbolic themes, and intricate character relationships. Visually, it is stunning; its use of cinematography, set design, and costume immerses viewers in a dreamlike version of historical China during the Qing Dynasty (1644-1912), while the performing arts come alive through balletic martial arts choreography that blurs the line between combat and dance. Through the personal struggles of its characters, particularly the warrior Yu Shu Lien (Michelle Yeoh) and the rebellious young woman Jen Yu (Zhang Ziyi), the film explores the tension between personal desire and social obligation. *Crouching Tiger, Hidden Dragon* illustrates how cinema can convey deeply human emotions while also introducing audiences to diverse aesthetic traditions and worldviews, making it a powerful example of global storytelling through film.

Animated films, too, can achieve remarkable depth and thematic complexity, challenging the common perception that they are primarily for children. For example, Hayao Miyazaki's animated masterpiece *Spirited Away* (2001) draws from Japanese folklore and fantasy to explore themes of identity, greed, and resilience. With stunning hand-drawn animation, imaginative world-building, rich character development, and a moving musical score, the film follows a young girl's journey through a magical spirit world where she must save her parents and reclaim her name, which has been taken from her by the witch Yubaba. While the theft of her name represents a loss of identity and autonomy, her quest to reclaim it reflects a symbolic rediscovery of her sense of self, agency, and purpose—a classic theme in coming-of-age stories. Though set in a fantastical landscape, the story touches on universal human experiences of growth, courage, and the struggle between good and evil, making it relatable to viewers of all ages.

One example of a film that blends both fantasy and history by setting its fictional narrative in a specific historical context is *Pan's Labyrinth* (2006), directed by Guillermo del Toro. A dark fantasy set against the backdrop of post-Civil War fascist Spain, the film seamlessly blends myth and history to tell the story of a young girl, Ofelia, who escapes the brutality of her real-world surroundings by entering a magical labyrinth filled with strange creatures and symbolic trials. The literary elements of fairy tale and allegory frame the narrative, drawing on folklore, classical mythology, and moral fables to create a story that resonates with both children's and adult storytelling traditions. Visually, the film is a masterpiece of production design, featuring richly textured sets, haunting creature effects, and a color palette that contrasts the cold gray of fascist rule with the earthy tones of the fantasy

world. The performing arts are powerfully embodied in the cast, especially Ivana Baquero as Ofelia and Sergi López as the sadistic Captain Vidal. Doug Jones's physically expressive performances as both the Faun and the Pale Man add a theatrical, almost balletic layer to the film's otherworldly dimensions. Like the aforementioned films, *Pan's Labyrinth* uses the full range of cinematic tools to ask difficult questions about innocence, resistance, and the role of imagination in surviving trauma, positioning itself as a uniquely powerful blend of fantasy and political critique.

Another powerful example of social critique is *Get Out* (2017), directed by Jordan Peele. Blending psychological horror, satirical commentary, and the conventions of the thriller, the film uses genre storytelling to explore the enduring legacies of racism in American society. At its core, *Get Out* follows Chris Washington (Daniel Kaluuya), a young Black photographer who visits his white girlfriend's family estate, only to uncover a sinister plot beneath their seemingly progressive and welcoming exterior. The literary dimension emerges through Peele's clever and densely layered screenplay, which interweaves foreshadowing, symbolism, and dialogue rich with subtext to build tension and social critique. Visually, the film employs tight framing, deliberate pacing, and surreal imagery—such as the "Sunken Place," a chilling metaphor for powerlessness and erasure—to evoke a sense of claustrophobia and psychological dislocation. The performances, particularly by Kaluuya, ground the film in emotional realism, while also heightening its allegorical impact. The sound design and score further reinforce the unease, especially in moments of silence or sudden musical shifts that reflect the protagonist's growing paranoia. As a work of horror, *Get Out* unsettles; as a work of art, it challenges viewers to confront the subtleties of systemic racism, such as the commodification of Black bodies under the guise of admiration; the insidious nature of cultural appropriation, where Black identity is exploited for the benefit of white individuals; and the performative allyship sometimes found in white liberalism, which masks a sense of entitlement behind a veneer of progressivism. These themes resonated strongly during the presidency of Barack Obama, the nation's first Black president—a time when some pundits declared America's "triumph over race" and the dawn of a "post-racial" society, even as deeper racial anxieties, inequalities, and tensions continued to shape public discourse and everyday life. By transforming social commentary into a gripping cinematic experience, Peele's film redefined the possibilities of genre filmmaking and affirmed cinema's role as a mirror for collective anxieties and cultural truths.

A final example is *Black Panther* (2018), directed by Ryan Coogler. While firmly rooted in the Marvel superhero tradition, the film distinguishes itself by blending Afro-futurist aesthetics, kinetic action, and layered political commentary to explore themes of identity, legacy, and the ethical use of power in a globalized world. Set in the fictional African nation of Wakanda, a technologically advanced society that has remained hidden from colonial exploitation, the film reimagines African cultural heritage through a futuristic lens, combining traditional elements such as tribal dress, language, and ritual with sleek, high-tech innovations reminiscent of the sci-fi genre. This rich visual design not only serves world-building purposes but also challenges stereotypical portrayals of Africa in Western media.

At the center of the narrative is T'Challa (played by Chadwick Boseman), the newly crowned king and Black Panther, who must grapple with the responsibilities of leadership, the burden of historical injustice, and the question of whether Wakanda should intervene in global affairs or remain isolated. Opposite him stands Erik Killmonger (Michael B. Jordan), a complex antagonist whose radical ideology and personal trauma raise difficult questions about the legacies of colonialism, systemic racism, and the morality of armed resistance. The conflict between T'Challa and Killmonger functions as an allegory for broader debates about Black identity, diaspora, and the struggle for liberation.

The film's use of music, costume, and language further reinforces its cultural specificity and thematic depth. Composer Ludwig Göransson's score blends traditional African instrumentation with hip-hop influences, while Ruth E. Carter's Oscar-winning costume design draws from a wide array of African cultures, including the Maasai, Ndebele, and Zulu. These choices elevate the film beyond the typical blockbuster fare, anchoring its spectacle in cultural authenticity and artistic intentionality. By bringing together the literary, visual, and performing arts—through its screenplay, cinematography, choreography, and powerful performances—*Black Panther* engages viewers emotionally and intellectually. It invites audiences to reflect on the past, imagine alternative futures, and reconsider the meaning of heroism in a world shaped by inequality and resistance.

This diverse array of classic and contemporary films, though very different in style and subject matter, illustrate how cinema can address profound human questions while entertaining and inspiring audiences worldwide. They show that filmmaking, as a modern synthesis of visual, literary, and performing arts, has the power to connect with viewers across cultures and generations.

As we have seen in the preceding sections, the modes of expression and reflection, taken together, illustrate the diverse ways humanity seeks to interpret and make sense of the world, showcasing the interplay between expression and introspection that defines the human experience. The humanities allow us to bridge the gap between individual creativity and collective understanding, offering tools to analyze the continuity and change that shape cultures across time and space. By engaging with the humanities, we develop a deeper appreciation for the complexity and richness of the human condition.

Ultimately, the humanities encompass the study of human culture in all its myriad forms, offering a deeper appreciation of the

complexities and commonalities that shape the human experience.

What Makes Us Human?

This is the central question of the humanities, which all humanistic endeavors implicitly explore. Human beings are distinguished from other species by several unique traits, including the capacity for abstract thought, complex language, symbolic expression, and the ability to create and appreciate art. These traits have enabled humans to engage in storytelling, imagine alternate realities, and pass down cultural knowledge across generations, whether orally or in writing. Unlike other species, humans create objects and experiences that transcend mere instinct and survival, exploring realms of beauty, meaning, and transcendence. Ultimately, we are meaning-making machines, and the humanities are the ways in which we strive to interpret and understand the world and our place within it. This includes our relationships to one another, to other species, to our ancestors, to the natural world, and to the sacred—however it may be conceived in a given cultural context, whether as a singular God, a pantheon of deities, or an ineffable cosmic force that permeates all things. In the words of Bishop, "humans quest for meaning." This is perhaps our defining characteristic.

In his book *The Storytelling Animal*, American literary scholar Jonathan Gottschall argues that storytelling is central to the human experience: "We are, as a species, addicted to story," he writes. "Even when the body goes to sleep, the mind stays up all night, telling itself stories." This innate drive to create and consume stories sets humans apart, offering a framework for understanding the world and forging connections across space and time. Examples abound, from the mythologies of ancient Greece and Rome to modern cinematic universes like the Marvel films, all of which reflect humanity's enduring need to weave narratives that explain the world and inspire imagination. Storytelling also plays a crucial role in preserving cultural identities, transmitting moral values, and fostering empathy by providing opportunities for individuals to inhabit perspectives different from their own. In fact, recent studies suggest that reading literary fiction can enhance empathy in diverse populations, including incarcerated individuals and people on the autism spectrum, highlighting how the humanities can help cultivate deeper understanding and compassion.

Humans also possess a profound curiosity about existence itself. This is evident in our quest to understand the universe through science, our exploration of morality through philosophy and religion, and our creation of myths and rituals to explain the unknown and transcend the often mundane existence of daily life. Such endeavors reflect a shared, universal desire to find purpose and connection in a world that often seems mysterious, uncertain, and devoid of meaning. For example, the philosophical inquiries of Socrates or the cosmological musings of ancient Indian texts like the Rigveda demonstrate humanity's enduring quest to answer the fundamental questions of existence. The humanities help us explore these questions, offering pathways to better understand ourselves and others, and inspiring new ways to think about our shared human journey.

What Is Art?

How to define art has been a subject of debate for centuries, with thinkers, artists, and critics offering differing views on what qualifies as art and why it matters. At its core, art encompasses a vast range of human activities that involve creativity, imagination, and expression. Traditional forms such as painting, sculpture, music, theater, and literature have long been considered pillars of artistic practice, valued for their beauty, skill, and ability to convey emotion or meaning.

Over time, artists have increasingly pushed the boundaries of what is considered art, experimenting with new materials, techniques, and concepts. These experimental works, ranging from abstract expressionism and performance art to conceptual pieces like Marcel Duchamp's *Fountain*, often challenge conventional norms and invite viewers to reconsider their assumptions about creativity, intention, and artistic value. As a result, the definition of art has expanded to include not only works that are aesthetically pleasing or technically impressive but also those that provoke thought, question authority, challenge tradition, or reflect social and political realities. This evolving understanding highlights art's dynamic role in society as both a mirror of human experience and a catalyst for dialogue and change. Here are several historical examples of modern works that challenged conventional definitions of art, sparked debate, and influenced how we understand the purpose and role of art in society.

Marcel Duchamp's *Fountain* (1917)

Marcel Duchamp's *Fountain*, a "sculpture" composed of a re-purposed porcelain urinal, challenged the very definition of art (see Figure 1.2 below). By submitting an everyday object as a sculpture, the French painter and sculptor forced viewers to reconsider the boundaries of creativity and the role of context in artistic value. The piece sparked conversations about the role of intention and audience interpretation in defining art, and it remains a cornerstone of the Dada movement, which aimed to disrupt traditional artistic conventions by rejecting established standards of beauty, logic, and reason in art. It embraced chaos, absurdity,

and anti-art techniques—such as collage, readymades, and nonsensical performances—to challenge the cultural and social norms of the early 20th century.

Rather than focusing on skill, beauty, or traditional craft, Duchamp pushed the idea that the artist's choice is what makes something art. By selecting an everyday urinal, signing it with the pseudonym "R. Mutt," and submitting it to an art exhibition, Duchamp challenged the idea that art had to be hand-made or aesthetically pleasing. This is often seen as a foundation for conceptual art.

Fountain is one of Duchamp's "readymades"—ordinary, manufactured items re-contextualized as art. This raises deep questions about originality and creativity. Does the creative act occur in the making of a work of art, or can it happen in the selecting and presenting of it? Additionally, some see Duchamp's playful persona and use of a pseudonym (R. Mutt) as questioning identity and authorship. By presenting a mass-produced urinal as art and attributing it to a fictitious name, Duchamp challenged traditional ideas about the artist's role and the value assigned to art based on who creates it.

Fountain was submitted to the 1917 Society of Independent Artists show, which claimed it would exhibit all submitted works, yet the organizers rejected it. Duchamp was critiquing the art establishment and its gatekeeping, showing that even in supposedly open settings, decisions about what qualifies as art are subjective and inherently political, since the act of accepting or rejecting art involves embedded structures of power and value judgments. There's also a layer of humor and provocation here; Duchamp was mocking the seriousness and self-importance of the art world. Turning a urinal into "high art" is funny and seemingly absurd, intentionally poking fun at the conventions of his time.

Beyond its immediate impact, *Fountain* has been interpreted as a watershed moment that paved the way for later movements: Pop Art, Minimalism, conceptual art, and performance art all owe a debt to Duchamp's challenge to the art object.



Figure 1.2.1: *Fountain*. Marcel Duchamp. 1917. Source: Wikipedia.

The Drip Paintings of Janet Sobel and Jackson Pollock

Janet Sobel (1893–1968), a Ukrainian-born American artist, began experimenting with drip painting in the early 1940s. A self-taught painter, she developed a method of pouring, dripping, and splattering paint onto canvases laid flat, creating intricate, "all-over" compositions (paintings that cover the full surface of a canvas, without a focal point). This approach differed significantly from the traditional method of painting on an upright canvas supported by an easel, where brushstrokes are typically controlled and centralized, reinforcing a clear focal point and a more deliberate, representational style. Her 1945 work *Milky Way* exemplifies this new "drip" technique, showcasing a spontaneous and dynamic application of paint.

American artist Jackson Pollock (1912–1956) further revolutionized and popularized this technique. While he began experimenting with pouring techniques in the mid-1940s, it wasn't until 1947 that he fully embraced the drip method, creating large-scale works by flinging and dripping paint onto canvases placed on the floor. This approach allowed him to move around all sides of the canvas, using his entire body in the act of painting—a process he described as being "in" the painting rather than standing

"outside" the canvas by placing it upright on an easel. By abandoning the use of brushes and traditional composition, Pollock broke away from the constraints of formal design and narrative, transforming painting into an immersive, performative act. His method emphasized rhythm, motion, and improvisation, laying the foundation for a new kind of abstraction that rejected the tradition of "illusionistic space" and celebrated the raw energy of the creative process.

These abstract works, pioneered by Sobel and Pollock, use seemingly chaotic splashes and drips of paint to evoke emotion and energy. While some see them as random, others interpret them as profound expressions of freedom and spontaneity. The drip method redefined artistic technique, inviting viewers to consider the process of creation as equally significant as the finished product. Eventually, Pollock's works came to embody the ethos of the Abstract Expressionist movement, which sought to convey raw emotion and individualism in post-World War II America. Unlike traditional representational painting styles such as portraiture and landscape painting, which aimed to depict recognizable subjects from the external world, Abstract Expressionism emphasized spontaneous gesture, abstraction, and the artist's inner psychological state, often abandoning clear imagery altogether. This radical shift demonstrates how works of art are always in conversation with the artistic traditions that precede them—whether by building upon, reacting against, or redefining those traditions—underscoring the dynamic, evolving nature of art history.



Figure 1.2.1: Jackson Pollock Drip Painting. Photo by Hans Namuth. 1950. CC BY-SA 4.0. Source: Wikimedia.

John Cage's *4'33"* (1952)

Written by American composer John Cage in 1952, *4'33"* is an experimental musical composition consisting entirely of rests—the symbols in music notation that indicate pauses in performance. As a result, it requires musicians to "play" four minutes and thirty-three seconds of silence, during which the ambient sounds of the environment become the "music." For example, an audience member might cough, chuckle, clear her throat, or shuffle her feet. Similarly, the hum of an air conditioning unit might be heard overhead. In this sense, the piece is different every time it's "performed," even though no notes are played by the musician or musicians performing it.

Cage's work, therefore, raises the question of whether art is created by the artist or experienced by the audience. It emphasizes that art exists in the act of perception and interaction, while also challenging conventional notions of performance and demonstrating that creativity can emerge from any context.

Expanding on the groundbreaking idea that silence itself can be a form of music, *4'33"* invites listeners to reconsider the boundaries between sound and silence as well as composition and environment. By framing random noises as part of the musical experience, Cage highlights the role of chance and context in art, shifting the focus from intentional notes composed by an artist to ambient sounds in the environment. These chance occurrences become part of the music, blurring the line between creator and observer and making the audience an active participant rather than a passive recipient. The piece also critiques traditional ideas of music and artistic skill, suggesting that creativity can be found not only in deliberate expression but also in the spontaneous, uncontrollable aspects of everyday life. Over time, *4'33"* has become a landmark work in experimental and conceptual art, inspiring artists across disciplines to explore silence, presence, and perception in new ways.

Because it's a conceptual work, more about the idea and experience than conventional melody or rhythm, *4'33"* isn't performed as frequently as typical musical pieces. It's performed selectively, usually by artists or ensembles interested in pushing boundaries or provoking thought about the nature of music. Nonetheless, it holds a significant place in experimental and contemporary music circles, often featured at avant-garde concerts, art installations, or academic settings focused on challenging traditional ideas about music and sound. The piece is often performed by a single pianist, but ensembles or other solo instruments have also performed it. The key element is that all performers observe silence for the entire duration, allowing ambient sounds to fill the empty space. So, while it's not a regular staple in concerts, it remains an iconic and influential piece that's performed often enough to maintain its artistic and cultural relevance.

The Street Art of Banksy

The anonymous British artist known as Banksy has become one of the most recognizable and controversial figures in the contemporary art world, using public spaces as his canvas and social critique as his message. Emerging in the 1990s from the underground graffiti scene in Bristol, Banksy combines the techniques of street art (spray paint, stencils, and guerilla placement) with biting social and political commentary. His works tackle issues such as war, capitalism, surveillance, environmental destruction, and social inequality. For example, *Girl with Balloon*, one of his most iconic pieces, juxtaposes the innocence of a child with a heart-shaped balloon floating just out of reach, evoking themes of loss, hope, and fleeting beauty while underscoring the precariousness of optimism in a turbulent world (see Figure 1.4 below).

Other well-known works include *Love is in the Air* (also known as *Rage, the Flower Thrower*), which depicts a masked protester hurling a bouquet instead of a Molotov cocktail—an image that subverts expectations of violence with a message of peace. Another example is *Kissing Coppers*, which shows two British police officers locked in a romantic embrace, challenging traditional ideas about authority and masculinity. In *Shop Until You Drop*, a silhouette of a falling woman clutching a shopping cart plunges down the side of a building, offering a darkly comic critique of consumer culture and the perils of materialism. Each of these pieces uses irony and visual contrast to spark public reflection, making Banksy's art as thought-provoking as it is visually arresting.

Banksy's art challenges the idea that art must exist within the walls of galleries or museums to have value or legitimacy. By placing his works in public, often unauthorized, locations—on city walls, sidewalks, and even the West Bank barrier wall in Israel-Palestine—he forces viewers to encounter art in everyday environments. His anonymous use of the pseudonym Banksy also raises questions about authorship and celebrity in the art world, echoing themes similar to Duchamp's *Fountain*.

This questioning of traditional art institutions and values is exemplified in Banksy's *Love is in the Bin* (2018), a piece that offers a bold and theatrical critique of the commercialization of art. A framed version of Banksy's *Girl with Balloon* was sold at a Sotheby's auction in 2018 for £1,042,000 (approximately $1.4 million). Moments after the final bid was placed, a hidden paper shredder embedded in the frame was activated, destroying the artwork in front of a stunned audience. The incident instantly transformed the remains of the piece into a new work, titled *Love is in the Bin*, which was later authenticated under this new title by Banksy's official body, Pest Control. In 2021, the shredded work was resold at Sotheby's for a record-breaking £18,582,000 (approximately $25.3 million), a dramatic increase from its original sale price.

This stunt was widely interpreted as a direct commentary on the absurdity of the art market and the inflated value placed on art by collectors and institutions. It also raised deeper questions about authorial intent and the performative nature of art in a media-saturated world. By orchestrating the destruction of his own work, Banksy subverted the expectations of both the art world and the audience, challenging traditional ideas of permanence, value, and institutional authority in determining what counts as "real" or important art.

More recently, in September 2025, Banksy painted a mural on the Queen's Building of the Royal Courts of Justice in London, showing a judge in full wig and gown striking a protester with a gavel. The protester is depicted on the ground, clutching a picket sign spattered red with blood. The image was immediately interpreted as a commentary on government censorship and the silencing of dissent, prompted by the arrests of nearly 900 demonstrators at a protest against the UK government's ban of the group Palestine Action, which has engaged in activism on behalf of the Palestinian people. The ban effectively designated the group as a terrorist organization and criminalized not only its activities but also any expressions of solidarity with the group by members of the public, framing such expressions as support for terrorism.

Within days of the mural's appearance, officials attempted to remove the work, scraping away the paint in an effort to erase it from public view, arguing that the building is a protected structure that must maintain its original appearance. Ironically, the removal did not succeed in fully obliterating the image; instead, it left behind a ghostly shadow of the figure—a spectral trace that seemed to haunt the wall. This unintended "after-image" underscored Banksy's critique, dramatizing the futility of censorship and the persistence of suppressed voices. Much like *Love is in the Bin*, where the act of destruction transformed the artwork into

something new, the courthouse piece gained strength through its attempted erasure, demonstrating how Banksy continues to use destruction and transformation of art as strategies that amplify his message rather than diminish it.

Banksy's work underscores that art can be disruptive, political, and ephemeral. It also demonstrates how contemporary artists continue to redefine not only *what* art is, but *where* and *how* it can exist, provoking both public engagement and debate. Like Duchamp, Sobel, Pollock, and Cage, Banksy reminds us that art is in an ongoing conversation with society and the traditions that precede it.



Figure 1.2.1: "Girl with Balloon," by Banksy. Source: Wikimedia Commons.

Maurizio Cattelan's *Comedian* (2019)

One of the most talked-about 21st-century examples of art that challenges traditional assumptions is *Comedian* (2019), by Italian artist Maurizio Cattelan. The piece, consisting of a real banana duct-taped to a gallery wall, was first exhibited at Art Basel Miami Beach and sold for $120,000. Much like Duchamp's *Fountain*, Cattelan's work stirred controversy and debate, prompting viewers to question what qualifies as art and what role institutions, markets, and audiences play in assigning value. Rather than emphasizing technique or permanence, *Comedian* foregrounds the conceptual; its humor, absurdity, and commentary on commodification serve as the true content.

The public reaction was as much a part of the artwork as the object itself. When performance artist David Datuna ate the banana in an unsanctioned act he titled *Hungry Artist*, the gallery simply replaced the fruit, reinforcing the idea that the physical object was secondary to the concept. In this way, *Comedian* fits within a larger lineage of provocative and conceptual works, from Duchamp's readymades to Cage's silent performance and Banksy's subversive graffiti art, all of which redefine artistic boundaries and invite viewers to rethink the nature and purpose of art in contemporary culture.

This raises a broader question: if high-concept provocations can expand our understanding of art, then where does that leave popular culture? Should mass-produced entertainment—such as music videos, comic books, fashion, and memes—also be considered art? Moreover, who gets to decide?

Is Pop Culture Art?

Popular culture, also called pop culture or mass culture, refers to the cultural practices, ideas, and products that emerge from—and are embraced by—the general public (also known as the masses). To say that something is popular is to say that it has been embraced by a significant percentage of the population. In other words, pop culture encompasses the everyday tastes and experiences of large groups of people, making it distinct from so-called elite or "high culture," which has historically been associated with the educated, wealthy, or ruling classes and often linked to institutions like museums, classical music halls, and literary canons.

Pop culture further complicates the definition of art, raising questions about artistic value and legitimacy. Cultural forms associated with the masses, such as comic books, graffiti art, horror movies, and popular music genres (e.g., punk rock, hip-hop, and heavy metal), are often dismissed as mere commercial entertainment. On the contrary, these art forms often serve as vital expressions of contemporary life that exhibit remarkable skill and aesthetic sophistication, though they also exist in watered-down, corporatized forms. In such cases, the original spirit of rebellion, critique, or subcultural identity can be diluted when mainstream industries repackage them for mass consumption, prioritizing profit over authenticity. For example, hip hop began as a grassroots expression of marginalized Black and Latino youth in the Bronx, addressing issues like poverty, police violence, and racial identity, but was later commercialized into a global industry often stripped of its political edge. Similarly, punk rock's raw, anti-establishment ethos was quickly co-opted by fashion brands and record labels, turning its symbols of resistance into mainstream commodities.

In the past, some scholars have debated whether such popular modes of expression should be classified as art or merely products of mass consumption. Historically, cultural elites have often dictated what is and is not worthy of being considered art, though this trend has softened over time. Such inquiries lead us to question the boundaries of so-called "high" and "low" art. What makes a symphony or opera more deserving of scholarly attention than a punk rock, hip hop, or heavy metal album? All of them engage audiences emotionally and intellectually, reflecting the cultural contexts in which they're produced.

In 1989, Chuck D—frontman of the rap group Public Enemy—famously described hip hop as "the CNN of the ghetto" (sometimes paraphrased as "the CNN of the streets"), meaning that rap music often functions as a form of grassroots journalism, reporting on the lived experiences, struggles, and realities of marginalized communities that are often ignored or misrepresented in mainstream media. This phrase emphasizes how hip hop, particularly in its early and politically charged forms, gave voice to the voiceless by documenting issues like urban poverty, substance abuse, police brutality, systemic racism, and inner-city violence. Songs by groups like Public Enemy, N.W.A., and others were raw, unfiltered, and urgent, acting as a kind of social commentary and public record from within the community, rather than commentary about the community from outside observers. So, when Chuck D compared hip hop to CNN (the popular Cable News Network), he was highlighting the genre's power not just as entertainment but as a truth-telling medium and a vehicle for political awareness and protest.

Thankfully, many modern scholars now recognize the value of pop culture as a means of artistic expression. In fact, a growing number of academics are studying and writing dissertations and scholarly journal articles on various forms of pop culture, from punk rock and graffiti art to slasher films and comic books. For example, academics from fields like musicology, cultural studies, sociology, and anthropology have explored heavy metal's musical complexity, subcultural identities, lyrical themes, and social and political significance. Topics often include metal's role in youth culture, its expressions of rebellion and identity, gender dynamics within the scene, and its global variations. So, heavy metal, like hip hop, is now recognized as a rich subject for serious academic inquiry.

The inclusion or exclusion of pop culture from academic study reflects broader societal values and biases, emphasizing the need for a more inclusive understanding of creativity. Art in all forms has the potential to inspire, challenge, and connect us, regardless of its medium or audience. The many examples above demonstrate that art's value often lies in its ability to provoke thought and dialogue rather than conform to traditional standards. They highlight the evolving nature of art and its power to challenge societal norms, making it a central component of the humanities.

Art as Social and Political Expression

As suggested above, art is not only a means of personal expression but also a tool for social and political engagement. Music, in particular, has long served as a powerful medium through which artists respond to injustice, rally communities, and give voice to collective struggles. From African American spirituals to modern hip hop anthems, music has carried messages of hope, defiance, and collective struggle for justice.

Spirituals and the Underground Railroad

African American spirituals, which emerged in the late 18th century during the era of enslavement in the American South, exemplify this power. These religious folksongs combined African melodies and rhythms with European Christian hymnody to provide comfort, convey hope, and—most crucially—serve as coded messages that communicated plans for escape and resistance. Some notable examples include:

- "Wade in the Water": This song covertly instructed enslaved individuals to submerge themselves in the river to evade capture and conceal their scent from search dogs. Abolitionist leader Harriet Tubman is believed to have used this song to guide

fugitive slaves along the Underground Railroad, a secret network of people, routes, and safe houses that helped enslaved African Americans escape from slavery in the southern United States to freedom in the North and Canada during the 19th century.

- "Swing Low, Sweet Chariot": This spiritual signaled an impending escape. Its lyrics symbolized the journey to freedom, describing a divine chariot "coming for to carry me home."
- "Steal Away (to Jesus)": Enslaved people sang this song to indicate that an escape was imminent. Its double meaning, referring to both going to heaven and escaping to freedom, highlighted the symbolism and metaphors often found in spirituals.
- "Go Down Moses": This spiritual draws on the biblical story of Moses leading the Hebrews out of slavery in Egypt. For enslaved African Americans, the song symbolized a powerful plea for liberation and divine intervention. Its refrain, "Let my people go," became a rallying cry for freedom and resistance, connecting their struggles to an ancient story of deliverance found in the biblical book of Exodus.
- "Let Us Break Bread Together": This spiritual centers on the communal act of breaking bread, symbolizing unity, fellowship, and spiritual sustenance. During the era of slavery and afterward, the song fostered a sense of solidarity and hope among African Americans. It also reflected Christian themes of communion and shared strength, providing comfort and encouragement in times of hardship.

Other songs associated with the Underground Railroad include "Follow the Drinking Gourd," which used metaphorical language to provide coded directions for escape. The "Drinking Gourd" refers to the Big Dipper, a constellation that points toward the North Star and served as a celestial guide for enslaved people traveling north. The song's simple melody and symbolic lyrics made it an effective and memorable tool for navigating the journey to freedom under cover of night.

Together, these songs exemplify how spirituals were much more than religious hymns; they were vital tools of communication, resistance, and hope that helped enslaved people navigate the brutal realities of daily life while dreaming of freedom, weaving faith and practical guidance into a shared language of resistance, demonstrating art's transformative role in the struggle for freedom.

Blues, Gospel, and Beyond

Building on this foundation, blues and gospel music later developed within the African American community, reflecting lived experiences of oppression, resilience, and spiritual hope. Blues often expresses personal and collective struggles, while gospel music draws on faith and community to inspire strength. Both genres emerged as responses to oppressive social conditions, providing solace as well as a powerful means of resistance. Their profound influence on countless other musical styles underscores art's enduring ability to address social issues in powerful ways that resonate with audiences of all colors and cultures.

Philosopher and professor Cornel West has described the Black musical tradition not only as a means of cultural expression but also as a profound response to historical suffering and collective resilience. For West, this music is much more than entertainment; it's a moral and emotional compass, born out of struggle and sustained by a commitment to truth, justice, and beauty. In his own words, he explains:

> "Blues, rhythm 'n' blues, hip hop, jazz . . . It's an expression of a people raising their voices in catastrophic, traumatic circumstances. You start in your situation, and Black folk have always started with the catastrophic: slavery, Jim Crow, lynching, devaluation, degradation, subjugation, and so forth. But most importantly, the music serves as a truth-teller, because, you see, in the end though, brother, Black music is fundamentally about unarmed truth. It's about unconventional love. It's about unadulterated justice. It's about unadorned beauty."

The power of music as protest and witness was evident as early as 1939 in jazz singer Billie Holiday's haunting rendition of "Strange Fruit," a song that boldly confronted the horrors of lynching in the American South, standing as one of the earliest and most powerful musical indictments of racial terror. With stark, poetic imagery, the song forced audiences to confront the brutal realities of racial violence: "Southern trees bear strange fruit / Blood on the leaves and blood at the root / Black bodies swinging in the southern breeze / Strange fruit hanging from the poplar trees." Holiday's performance transformed the nightclub into a space of moral reckoning and remains one of the most chilling and courageous artistic protests ever recorded.

The profound influence of these musical traditions can be seen in later social movements, especially the American Civil Rights Movement (in many ways, a continuation of the struggle for abolition), where music continued to serve as a unifying and mobilizing

force. Consider, for example, the anthem "We Shall Overcome," which became deeply connected to the American Civil Rights Movement of the 1950s and '60s. The song's simple, direct lyrics express determination and unity in the face of injustice, with a central message of hope: despite hardship, "we shall overcome someday." Originally a gospel hymn with roots in African American spirituals and labor protest songs, it was adapted and popularized by civil rights activists, including leaders like Martin Luther King Jr., who often quoted its lines in his speeches. During marches, sit-ins, and other protests, "We Shall Overcome" was often sung as a unifying chant, offering strength and hope to those fighting against segregation and racial inequality. Over time, it became a symbol of peaceful resistance and the broader struggle for justice, not only in the U.S. but around the world.

Jazz saxophonist John Coltrane contributed to this movement with "Alabama" (1963), a solemn, instrumental tribute written in response to an act of racial terror: the bombing of the 16th Street Baptist Church in Birmingham, Alabama, which killed four young Black girls. Through its mournful, meditative tone, "Alabama" conveyed profound grief and quiet defiance, proving that even instrumental music could serve as a powerful form of witness and protest.

The following year, soul singer Sam Cooke captured the weary hope of the movement in the soaring ballad "A Change Is Gonna Come" (1964), written after he and his entourage were denied lodging at a whites-only motel. With lines like "It's been a long, long time comin', but I know a change is gonna come," Cooke's song voiced the deep sorrow and enduring hope that defined the struggle for civil rights.

In addition to these contributions from Black artists, several white folk musicians also used their platforms to support the Black freedom struggle. Bob Dylan, one of the most prominent voices in 1960s protest music, addressed racial injustice directly in songs like "The Death of Emmett Till" (1962), a haunting ballad recounting the brutal lynching of a 14-year-old boy in Mississippi, and "Only a Pawn in Their Game" (1963), which responds to the assassination of civil rights leader Medgar Evers and critiques the broader systems that perpetuate racial violence. Dylan's lyrics underscored how racism was not just an individual failing but a structural and political tool used to manipulate poor white communities and uphold an unjust system of white supremacy.

Similarly, folk singer Phil Ochs dedicated much of his music to social justice causes. In "Too Many Martyrs" (1964), co-written with Bob Gibson, Ochs mourns the deaths of Evers and others who gave their lives for the cause of equality. His biting protest song "Here's to the State of Mississippi" (1965) indicts the state's entrenched racism, lamenting the complicity of its institutions and leaders in maintaining segregation and suppressing civil rights. With lines like "Here's to the land you've torn out the heart of / Mississippi, find yourself another country to be part of," Ochs' song delivers an unflinching critique of systemic injustice.

These white singer-songwriters, while outsiders to the Black community, lent their voices in solidarity, using the folk tradition's storytelling power to amplify the cause of racial justice and expose the realities of racial oppression to broader audiences. Their work, like that of the Black artists discussed above, highlights how music can cross racial and cultural boundaries to support a shared vision of justice.

While folk music provided a vital voice for protest, Black artists were using a variety of genres and musical forms to forge their own powerful responses to injustice, combining musical innovation with unapologetically political messages. One notable example is Jimi Hendrix's performance of *The Star-Spangled Banner* at the 1969 Woodstock Festival, which stands as one of the most iconic and powerful musical moments in American history. Taking the stage early on the morning of August 18, Hendrix delivered a distorted, improvisational rendition of the national anthem that reflected the chaos and conflict of the era. The United States was reeling from the recent assassinations of prominent political leaders—including John F. Kennedy (1963), Malcolm X (1965), Martin Luther King Jr. (1968), and Robert F. Kennedy (1968)—while protests against the Vietnam War and racial injustice had sparked widespread civil unrest, violent clashes, and deep cultural divisions. Through screeching guitar feedback, aggressively bent notes, and whammy-bar sound effects that mimicked bombs, screams, and sirens, Hendrix transformed a patriotic song into a haunting protest against the Vietnam War and a meditation on America's turbulent social landscape. Although the performance shocked some listeners at the time, it has since been recognized as a groundbreaking example of music as political expression. Hendrix, a U.S. Army veteran himself, did not reject the anthem but reinterpreted it, forcing audiences to confront the gap between American ideals and reality.

Further innovations came in the form of the funk and soul music of the 1960s and '70s, which continued to advance this legacy of musical protest by blending infectious rhythms with bold, socially conscious lyrics. For example, James Brown's 1968 anthem "Say It Loud (I'm Black and I'm Proud)" directly challenged anti-Black racism and celebrated Black identity, becoming an unofficial soundtrack to the Black Power movement. The song's empowering chorus and assertive declaration that Black is beautiful (in a society that had communicated the opposite for generations) helped reframe public discourse around race, pride, and self-determination. His message was amplified by defiant lyrics such as "we'd rather die on our feet than keep livin' on our knees," expressing a collective refusal to accept subjugation and a call for dignity through resistance. Similarly, Marvin Gaye's landmark 1971 album *What's Going On* tackled a wide range of urgent social issues, from environmental degradation to racial injustice and war. In the track "Inner City Blues (Make Me Wanna Holler)," Gaye speaks candidly about urban poverty and "trigger-

happy policing," voicing the same themes of structural neglect and state violence that would later be echoed by hip hop artists of the 1980s and beyond. These musical expressions were not only artistic innovations but also deeply political acts, amplifying marginalized voices, fostering solidarity, and continuing the long tradition of using music to resist oppression and envision a more just world.

Hip Hop as Political Protest

Decades later, the protest spirit would be reignited in the streets of the Bronx with the birth of a new musical genre heavily influenced by the funky beats and hard-hitting grooves pioneered by James Brown and others. Perhaps more than any other genre, hip hop is more than just music; it's a powerful form of artistic, cultural, social, and political expression. Originating in the 1970s among marginalized Black and Latino communities in the Bronx, New York, it emerged as a creative outlet for voices often excluded from mainstream narratives. Through its core elements of MCing (rapping), DJing (turntablism), breakdancing, and graffiti art, hip hop encompasses an entire culture and lifestyle that gives voice to personal struggles, community experiences, and social issues like poverty, racism, inequality, police violence, and resistance to oppression.

Since its inception, artists have used hip hop to tell stories that are often excluded from mainstream narratives, making it a platform for both cultural pride and political critique. For example, Grandmaster Flash and the Furious Five's 1982 song "The Message" vividly portrays the harsh realities of inner-city life in the Bronx, highlighting issues like poverty, substance abuse, and police brutality. With lyrics like "Don't push me 'cause I'm close to the edge / I'm trying not to lose my head," the song captures the psychological toll of living in an environment marked by violence and economic hardship, offering a raw, unfiltered perspective that was rarely represented in popular media at the time. The recurring line "It's like a jungle sometimes / It makes me wonder how I keep from going under" captures the constant pressure and chaos of life in many marginalized communities, expressing a sense of resilience amid overwhelming social and economic challenges. In its verses, the song presents stark scenes of social decay—broken glass, abandoned buildings, substance abuse, domestic violence, and youth entangled in crime—offering an unflinching look at the structural forces that shape urban despair. By doing so, it broke new ground in using hip hop as a vehicle for urgent social commentary, setting the stage for future generations of socially and politically conscious artists.

In the late 1980s and early '90s especially, hip hop emerged as a powerful vehicle for political resistance and social critique. Groups such as Public Enemy and N.W.A. boldly confronted systemic racism, police brutality, and institutional oppression with fearless and forceful language and a defiant, unapologetic style.

For example, N.W.A.'s incendiary track "F—k tha Police" (1988) expressed intense anger at police violence and racial profiling in Los Angeles, delivered in the form of a fictional court trial. The song's blunt lyrics reflected the deep frustration and rage felt by many Black Americans during the height of the War on Drugs, which disproportionately targeted low-income communities of color:

> F—k the police, comin' straight from the underground
> A young n—a got it bad 'cause I'm brown
> And not the other color, so police think
> They have the authority to kill a minority
> . . .
>
> F—kin' with me 'cause I'm a teenager
> With a little bit of gold and a pager
> Searchin' my car, lookin' for the product
> Thinkin' every n—a is sellin' narcotics

In this verse, rapper Ice Cube's lyrics condemn racial profiling and police brutality, exposing how Black youth are often stereotyped and treated as criminals based on assumptions rather than evidence—an issue reflected in controversial policies like "stop and frisk," which empowered police to stop, question, and search individuals without a warrant, disproportionately targeting communities of color.

These themes gained even more urgency in the public consciousness after the highly publicized beating of Rodney King, an unarmed Black man who was violently assaulted by four Los Angeles police officers during a traffic stop in 1991. The attack, which was captured on video by a bystander, showed King being struck more than 50 times with batons and kicked repeatedly while on the ground. When the officers were acquitted in 1992 despite the graphic footage, the verdict sparked outrage and led to the Los Angeles Uprising, a multi-day protest and rebellion that highlighted the deep racial tensions and mistrust between communities of color and law enforcement. For many, the incident confirmed the reality that N.W.A. and other artists had been documenting for

years.

Similarly, Public Enemy's protest anthem "Fight the Power" (1989), famously featured in Spike Lee's socially conscious film *Do the Right Thing*, calls on listeners to resist systems of oppression, with lyrics challenging dominant cultural narratives and the erasure of Black contributions to American culture:

> Elvis was a hero to most, but he never meant s—t to me
> Straight-up racist, that sucker was simple and plain
> Motherf—k him and John Wayne
> 'Cause I'm Black and I'm proud
> I'm ready, I'm hyped plus I'm amped
> Most of my heroes don't appear on no stamps

These provocative lines deliver a bold critique of American cultural icons and expose the racial biases in mainstream historical narratives. When MC Chuck D references Elvis Presley (dubbed the "King of Rock 'n' Roll" for popularizing the genre), he challenges how white artists like Elvis were celebrated and mythologized despite heavily borrowing from Black musical traditions, often covering songs originally written and performed by Black artists. Meanwhile, pioneering Black musicians were frequently excluded or marginalized in mainstream discourse. The mention of iconic Hollywood actor John Wayne extends this critique to other symbols of white American heroism, with Wayne representing a legacy of racial stereotyping in film, especially of Native Americans in the Western genre. By declaring, "Most of my heroes don't appear on no stamps," Chuck D highlights how Black leaders, artists, and activists who effected real change have often been erased or overlooked in official narratives. These lyrics unapologetically assert Black pride—directly referencing James Brown's "Say It Loud"—and call for a critical reexamination of who society chooses to honor, reflecting the song's larger message about resisting dominant cultural narratives and fighting systemic injustice.



Figure 1.2.1: Public Enemy, from Left to Right: Terminator X, Flavor Flav, and Chuck D. 1989. Source: Flickr.com.

While Public Enemy delivered a searing critique of cultural erasure and racial injustice in songs like "Fight the Power," the next generation of artists built upon this foundation by broadening the conversation. Tupac Shakur, for example, combined social critique with deeply personal reflections on race, poverty, and gender, continuing the legacy of his predecessors with songs like "Brenda's Got a Baby" (1991), "Keep Ya Head Up" (1993), "Dear Mama" (1995), and "Changes" (1998). In "Keep Ya Head Up," he directly addresses misogyny, poverty, and the struggles of Black women, rapping, "And since we all came from a woman / Got our name from a woman and our game from a woman / I wonder why we take from our women / Why we rape our women, do we hate our women?" These lines highlight not just gender-based injustice but also call for community accountability and compassion, blending personal insight with a broader social commentary.

Beyond this track, Tupac's discography reflects a sustained critique of both cultural and structural injustice, confronting not only societal attitudes toward race and gender but also the systemic forces that perpetuate inequality. In songs like "Keep Ya Head Up" and "Changes," he speaks out against poverty and the misallocation of government resources. One of his most quoted lines—"They got money for wars but can't feed the poor"—calls out the priorities of political leadership, highlighting the

disparity between massive military spending and the ongoing neglect of impoverished communities. This concise yet powerful line encapsulates Tupac's ability to deliver a scathing critique of economic inequality with poetic force and moral clarity.

In "Changes," Tupac expands this critique with the lines, "And still I see no changes, can't a brother get a little peace? / There's a war in the streets and a war in the Middle East / Instead of a war on poverty / They got a war on drugs so the police can bother me." Here, he links domestic and international conflict, noting how political attention and resources are diverted away from systemic social issues like poverty. The lyric critiques the so-called "War on Drugs" as a policy that disproportionately targets low-income communities of color, functioning more as a justification for surveillance and police harassment than a solution to social problems. Through this intersection of personal experience and political insight, Tupac underscores the deep frustrations of marginalized communities who feel caught in a cycle of neglect, violence, and institutional control.

This critique aligns with the perspective of scholar and activist Angela Davis, who similarly challenges punitive approaches to social issues and advocates for community-based solutions. In doing so, she argues that true security lies not in warfare or mass incarceration, but in meeting people's basic needs: "Security does not mean squandering all of the country's resources on war and prisons at the expense of healthcare and education. Security means affordable housing. Security means free education. Security means free healthcare. And security means compassion for one's community." Like Davis, Tupac envisions justice and security not through increased policing, surveillance, and militarization but through investment in community and human dignity.

In the 21st century, artists like Common, Dead Prez, Immortal Technique, and Kendrick Lamar have carried this tradition into a new era. Dead Prez and Immortal Technique, in particular, have used hip hop as a vehicle for explicitly political messaging, drawing inspiration from activists such as Malcolm X and the Black Panther Party, while Lamar's 2015 song "Alright" became a rallying cry for the Black Lives Matter movement, echoing both frustration and hope in response to a series of high-profile police killings of unarmed Black men, women, and children. With the refrain "We gon' be alright," Lamar offered a message of resilience amid ongoing police violence and systemic inequality. In verses like "Wouldn't you know / We been hurt, been down before / When our pride was low / Lookin' at the world like, 'Where do we go?'" Lamar taps into a collective sense of historical trauma while affirming the enduring strength of Black communities.

From early protest anthems to modern social critiques, hip hop has remained a vital cultural force, raising awareness, challenging injustice, and amplifying the voices of those too often neglected in mainstream discourse. Whether calling out systemic racism, advocating for gender equality, or confronting economic injustice, hip hop at its best continues to serve as a global platform for truth-telling and resistance to oppression. As the many musical examples above illustrate, this deep tradition of protest and storytelling in hip hop connects it to earlier musical forms that also emerged from struggle and resistance. Genres such as blues, gospel, jazz, soul, and funk laid the musical, emotional, and intellectual groundwork for hip hop to flourish as a powerful form of cultural and political expression, which continues to resonate today.

These creative traditions, from antebellum spirituals to modern hip hop, not only reflect the social and political realities of their time but also exemplify the deeper human impulse to make meaning, assert one's identity, and seek justice through artistic expression. They remind us that the arts are not separate from the world's problems but intimately connected to them. This connection lies at the heart of the humanities.

Why Study the Humanities?

In today's rapidly changing world, dominated by technological innovation and scientific advancement, it's reasonable to ask: What role should the humanities play in modern education? Why should students study literature, philosophy, history, art, or religion when fields like engineering, medicine, or computer science might seem to offer more lucrative career prospects? The answer lies in the distinct and vital contributions that the humanities make, not just to individual growth but to society as a whole. While the sciences and technical fields equip us to build and innovate, the humanities teach us how to think critically, communicate effectively, and understand the human experience in all its complexity. They cultivate empathy, ethical reasoning, and cultural awareness—skills that are essential not only in professional settings but also in sustaining a healthy democracy and a just society. In a world facing global conflict, political polarization, and social inequality, the ability to interpret meaning, question assumptions, and engage across differences is more crucial than ever. Far from being outdated or impractical, the humanities offer tools for navigating a complex and interconnected world with thoughtfulness, creativity, and compassion. Furthermore, reducing education to nothing more than a means of securing a job overlooks its deeper purpose. Education is not just about workforce preparation; it's also about developing thoughtful, informed, and engaged human beings capable of contributing meaningfully to society.

Understanding the Human Experience

At its core, the humanities is the study of what it means to be human. Through literature, we enter the minds and emotions of people across cultures and centuries, cultivating empathy by inhabiting diverse perspectives. Through philosophy, we engage in critical inquiry and reflection to explore fundamental questions about ethics, justice, and meaning. Through history, we gain insight into the forces that have shaped societies and the decisions that have changed the course of civilization. Through art and music, we encounter creative expressions of joy, grief, wonder, and struggle, which help us recognize beauty in everyday life and experience the sublime in moments of emotional intensity.

In short, the humanities empower us to explore the kaleidoscope of human life across time and cultures while equipping us with essential skills in the process. As philosopher Martha Nussbaum observes: "The humanities prepare students to be good citizens and help them understand a complicated, interlocking world. The humanities teach us critical thinking, how to analyze arguments, and how to imagine life from the point of view of someone unlike [ourselves]" (Colgate University commencement address). In her work, Nussbaum emphasizes that cultivating empathy and imaginative engagement is essential not only for personal insight but also for democratic citizenship.

Critical Thinking, Cultural Literacy, and Civic Engagement

The skills developed through humanities courses (critical thinking, analytical reading, persuasive writing, and effective oral communication) are essential in any field. Employers consistently rank these as among the most desirable job skills, regardless of profession. A well-reasoned argument or a compelling narrative is often just as important as technical proficiency, especially in leadership and collaborative environments.

Studying the humanities also fosters a deeper understanding of different cultures, belief systems, and historical contexts. In a globally interconnected world, this kind of cultural literacy is more important than ever. Furthermore, humanities disciplines help students become more informed citizens, better equipped to engage in democratic processes, recognize bias, and make ethical decisions.

For example, media studies—a branch of the humanities—encourages students to examine how information is framed and disseminated, and how power operates through language, imagery, and narrative. Noam Chomsky and Edward S. Herman's "propaganda model," introduced in their book *Manufacturing Consent*, argues that mass media often functions less as an objective source of information and more as a system that subtly promotes dominant ideologies and marginalizes dissenting voices. According to the model, factors such as corporate ownership, advertising revenue, ideological bias, and access to official institutions shape what news gets covered—and how.

Most major media outlets are owned by large corporations or conglomerates whose primary objective is to generate profit. This ownership structure has a direct impact on editorial choices. Content that could threaten the interests of the parent company, its shareholders, or its political allies may be avoided altogether. Even without explicit censorship, journalists and editors may engage in self-censorship, steering clear of stories that could be seen as too critical of large corporations, government policies that benefit elite interests, or the system of capitalism itself. For example, a media company owned by a defense contractor may be less inclined to publish investigative reporting critical of military spending or U.S. foreign interventions. Additionally, as media ownership becomes increasingly consolidated—with nearly all major outlets now owned by just six corporations—a small number of voices dominate the conversation, limiting the diversity of perspectives available to the public.

Commercial media outlets also rely heavily on advertising to fund their operations, which means they are financially incentivized to attract and retain audiences that are desirable to advertisers. As a result, stories that could alienate sponsors or make consumers uncomfortable are often filtered out. Media companies may avoid coverage that challenges consumerism, critiques corporate malfeasance, or highlights systemic inequalities—especially if such reporting casts advertisers in a negative light. For example, a network funded by major energy companies might hesitate to air a documentary on the environmental damage caused by fossil fuels. This doesn't necessarily require direct interference by advertisers; the influence is often indirect but powerful, shaping editorial priorities, content, and tone.

Beyond economic pressures, media content is also shaped by dominant cultural and political ideologies. News organizations often frame stories in ways that align with the perspectives of political and economic elites, contributing to a consensus-driven worldview. This framing marginalizes dissenting voices—such as anti-capitalist, anti-imperialist, or grassroots social movements—and reinforces the status quo. Language choices and editorial framing play a major role: labeling protesters as "rioters" or calling military invasions "humanitarian interventions" subtly communicates ideological alignment. For example, coverage of teacher strikes may emphasize "disruptions" to students and parents while minimizing the strikers' demands for fair

wages or better working conditions.

The issue of "access to official institutions" refers to journalists' reliance on government bodies, military agencies, law enforcement, and major corporations as primary sources of information for news coverage. According to Chomsky and Herman's propaganda model, media outlets often depend on these institutions for press releases, official statements, briefings and interviews, or leaked information. This access provides legitimacy, efficiency, and a steady flow of content, but it also creates a power imbalance. If journalists challenge or criticize these sources too aggressively, they risk losing access, which could hurt their careers or their outlet's competitiveness. As a result, media may avoid reporting that undermines or contradicts official narratives, leading to coverage that subtly favors those in power. Access to official institutions, therefore, shapes news content by making the media structurally dependent on elite sources, thereby reinforcing dominant ideologies and limiting dissenting perspectives.

Each of these factors—corporate ownership, advertising dependence, ideological framing, and access—does not necessarily lead to overt censorship. Rather, they work together as structural filters, subtly shaping the scope and tone of news coverage and reinforcing dominant power structures in ways that are often invisible to the casual media consumer.

One notable example of this phenomenon is the difference in media coverage of foreign conflicts involving U.S. allies versus adversaries. During Indonesia's occupation of East Timor (1975–1999), which resulted in widespread human rights abuses and the deaths of up to 200,000 people, U.S. media coverage was minimal—despite the United States providing military and diplomatic support to the Indonesian regime. In contrast, atrocities committed by U.S. enemies often receive far more sustained attention and condemnation. For instance, while the American press gave considerable coverage to the Soviet Union's invasion of Afghanistan in the 1980s, it largely downplayed the devastating effects of U.S. intervention in Vietnam, which included widespread destruction, millions of civilian deaths, and long-term environmental and health damage caused by the use of approximately 20 million gallons of Agent Orange—a powerful herbicide and defoliant sprayed primarily over southern and central Vietnam, as well as parts of Laos and Cambodia, leading to severe birth defects, cancers, and ecological devastation in those areas, as well as serious health issues among American troops who were exposed during the war. Similarly, mainstream media coverage minimized the roughly 200,000 to 250,000 civilian casualties resulting from the 2003 invasion and subsequent occupation of Iraq—deaths caused by violence, displacement, and the collapse of essential infrastructure.

Major media outlets have also frequently underreported human rights abuses in Saudi Arabia—such as the devastating war in Yemen, which has led to widespread civilian casualties, famine, and a humanitarian crisis—or the murder of journalist Jamal Khashoggi—due to the kingdom's strategic alliance with the United States. Chomsky and Herman argue that such discrepancies are not accidental but reflect a systematic bias in coverage that serves the interests of political and economic power, conditioning the public to accept certain policies as normal or justified (thereby "manufacturing consent" for them) while casting others as illegitimate or barbaric.

These same forces also influence the boundaries of acceptable public discourse, often referred to as the "Overton Window," which refers to the range of ideas considered politically or socially acceptable at any given time. Media play a powerful role in reinforcing that window, making certain perspectives seem "common sense" while excluding or discrediting others, even when those excluded ideas may be worthy of public debate.

One example of the Overton Window can be seen in the shifting public discourse around same-sex marriage in the United States. In the 1980s-90s, the idea of same-sex marriage was considered politically unthinkable or radical in mainstream political discourse. Most politicians opposed it, and it was widely dismissed in public dialogue. By the early 2000s, however, the conversation began to shift. Civil unions and domestic partnerships gained some acceptance, moving the window slightly toward greater inclusion of LGBTQ+ rights. Over time, public opinion and legal rulings (like *Obergefell v. Hodges* in 2015) moved the idea fully into the mainstream, and support for same-sex marriage became a standard position for many major political parties and institutions. This shift illustrates how what was once politically "unthinkable" can move into the realm of "policy" or "popular support" as societal attitudes evolve—an essential aspect of the Overton Window in action.

Understanding these dynamics empowers students to think critically about the information they consume, to question dominant narratives, and to seek out independent or marginalized sources of knowledge. At the same time, the humanities encourage students to recognize that all sources—whether mainstream or alternative—may carry their own assumptions, biases, or agendas, and thus must be examined with the same analytical rigor. In doing so, the humanities foster not only media literacy but also a deeper awareness of how truth is constructed, contested, and mediated in the public sphere.

The STEM vs. Humanities Debate

In recent decades, there has been a growing emphasis on STEM (Science, Technology, Engineering, and Mathematics) education, driven by economic and technological priorities. While STEM fields are undeniably important, the turn toward them has sometimes come at the expense of a more balanced and holistic experience, represented by the traditional "liberal arts" education. This has sparked debate about the value, and even the viability, of the humanities in higher education.

Critics of this shift toward STEM argue that when education focuses solely on what is measurable, profitable, or utilitarian, it risks losing sight of deeper human questions. Technological solutions alone cannot address social inequality, ethical dilemmas, or the meaning of life. These are the domains of the humanities. For instance, while science and engineering may tell us *how* to build an artificial intelligence system, the humanities ask *why* we are building it, *whom* it serves, and *what* the ethical implications might be. In a world increasingly shaped by technological systems—automated decision-making, social media algorithms, surveillance technologies, and more—the ability to critique and question those systems is crucial. For example, scholars in the field of digital humanities and tech ethics, such as Safiya Umoja Noble (author of *Algorithms of Oppression*) analyze how supposedly neutral algorithms can reinforce racial and gender biases by reproducing and amplifying patterns already present in the data sets they're trained on. These data sets—the information used to teach algorithms how to make decisions or predictions—often reflect existing social inequalities. Noble's work therefore exemplifies how the humanities offer tools for critically examining the social consequences of technological design.

Importantly, the relationship between STEM and the humanities need not be adversarial. In fact, the two categories are often complementary and work best when combined in interdisciplinary ways. Many of the world's most pressing challenges—such as climate change, artificial intelligence, and global health—require interdisciplinary solutions that combine technical knowledge with ethical reasoning, historical awareness, and cultural understanding. For all these reasons, the humanities remain an essential part of the educational landscape.

Enriching the Human Spirit

Finally, the humanities enrich our inner lives. They give us tools to make sense of joy and suffering, love and loss, identity and mortality. They help us connect with others and with ourselves. They remind us that while science can tell us how, the humanities ask us why. Whereas STEM fields may teach us to become efficient number-crunchers and systems managers, the humanities teach us how to think critically about data and ask questions about systems themselves.

At their core, the humanities help us grapple with the most fundamental aspects of being human. They don't just equip us with skills; they offer us the means to interpret our inner lives and the world around us. Through literature, philosophy, religious studies, the arts, and history, we explore the emotional, ethical, and existential dimensions of human experience—dimensions that no algorithm or data set can fully capture.

As Socrates famously declared, "The unexamined life is not worth living," highlighting the importance of continual self-inquiry and thoughtful examination. In studying the humanities, students are invited to ask: Who am I? What does it mean to live a good life? What happens when we die? These aren't questions science is prepared to answer. Religion and philosophy, however, offer diverse and sometimes conflicting responses, encouraging reflection, dialogue, and intellectual humility. For instance, studying Buddhist texts like the *Dhammapada* introduces students to concepts such as impermanence and detachment, while reading existentialist philosophers like Albert Camus or Jean-Paul Sartre encourages confrontation with absurdity and death, often leading not to despair but to a clearer sense of purpose.

The humanities provide frameworks for understanding personal and collective experience. Consider literature: when we read Toni Morrison's novel *Beloved*, for example, we confront the trauma of slavery not as a distant historical fact but as a deeply personal narrative that challenges us to reflect on memory, loss, and intergenerational pain. In plays like Sophocles' *Antigone* and Shakespeare's *Hamlet*, we see timeless meditations on grief, loyalty, justice, and the tragic costs of human decision-making.

Art and music similarly provide emotional and spiritual sustenance. Listening to Beethoven's Ninth Symphony or viewing Van Gogh's *Starry Night* may not be "practical" in an economic sense, but such works continue to move people across centuries because they tap into universal human experiences. They teach us how to feel, and how to endure.

Courses in gender studies or African American studies similarly empower students to interrogate social categories and historical narratives, encouraging a deeper understanding of how identity is shaped by language, power, and culture. These fields challenge students to critically examine the ways in which societal norms and institutional structures influence perceptions of race, gender,

and sexuality, often revealing the roots of inequality and marginalization. By exploring diverse voices and experiences, students learn to recognize the complexity and fluidity of identity, moving beyond simplistic or stereotypical representations. Moreover, such courses foster critical thinking about how history is recorded and whose stories are prioritized or silenced, prompting reflection on the ongoing impact of colonialism, racism, patriarchy, and other systems of oppression. Ultimately, these studies not only broaden intellectual horizons but also cultivate empathy and social awareness, equipping students to engage thoughtfully with the diverse realities of the world around them.

As philosopher and classicist Edith Hall argues in *Introducing the Ancient Greeks*, the study of the humanities is not merely about preserving tradition; it's about equipping us for a richer, more examined life. She writes, "The ancient Greeks taught us that democracy, science, and philosophy are not natural products of human society, buy rather hard-won accomplishments that must be cultivated and defended." This cultivation is personal as well as political. When students read personal essays by writers like Henry David Thoreau or James Baldwin, they're exposed to vulnerability, introspection, and moral struggle. These are not abstract intellectual exercises; they are guides for how to live.

Notably, interest in the humanities often rises during moments of upheaval. During the COVID-19 pandemic, for example, universities reported increased enrollment in philosophy and ethics courses. Students were eager to reflect on mortality, justice, and human interconnectedness—issues that could not be addressed by public health statistics alone. Literature, art, and religious reflection offered language and meaning amid uncertainty. In short, the humanities don't just help us understand the world; they help us live examined lives within it.

Conclusion

As we've seen, the humanities encompass a wide range of creative and intellectual pursuits that span centuries and continents. From Renaissance painting and classical music to religious texts and philosophical treatises, each discipline offers insight into how individuals and communities make sense of the world and their place within it. But the humanities are not frozen in the past; they remain deeply connected to present-day struggles, ideas, and innovations. In modern and experimental art, figures like Marcel Duchamp, Janet Sobel, Jackson Pollock, John Cage, Banksy, and Maurizio Cattelan have challenged conventional boundaries, inviting audiences to rethink the nature of art, authorship, and meaning. Likewise, musical forms from blues and jazz to hip hop show how music, poetry, and performance can serve as powerful tools for reflection and protest, especially within communities grappling with injustice. These evolving forms demonstrate that the humanities are not only a record of human experience; they are also active sites of critique, imagination, and cultural transformation. They remind us that studying the humanities means engaging with both tradition and disruption, not only to understand the past but to explore the creative forces that continue to shape how we understand ourselves and the world around us today.

In the next chapter, we'll examine the earliest evidence of human creativity, long before the development of civilization, as we explore how the modes of expression manifested in the prehistoric past.

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1.3: Chapter Review Questions

Instructions

Use the following questions to test your knowledge of the material in the preceding chapter.

What Are the Humanities?

1. Define the term *humanities*.
What areas of study does it encompass, and what central question does it aim to explore?

2. What are the two broad categories that Philip E. Bishop uses to classify the humanities?
Explain the difference between these complementary categories as well as the ways in which they often overlap.

3. Why does the text say that modes of expression and reflection are not always mutually exclusive?
Give an example from the chapter that supports this idea.

4. List at least four disciplines considered part of the "modes of expression."
What do these disciplines focus on?

5. How do the arts serve as "windows" into emotional and cultural landscapes?
Provide an example from the text that illustrates this idea.

6. How have artistic styles and forms evolved over time, according to the chapter?
Include at least two contrasting examples in your explanation.

7. Name three disciplines that fall under the "modes of reflection."
What kinds of questions or topics do they investigate?

8. How do philosophical, historical, and religious texts contribute to our understanding of the human condition?
Include at least one specific example from the chapter.

9. What makes ballet and opera examples of interconnected art forms?
How do they combine different artistic elements?

10. What makes Picasso's *Guernica* both an artistic and political statement?
Mention at least two visual elements and what they represent.

The Humanities in Film

1. How do the literary, visual, and performing arts work together to make film a powerful tool for exploring the human condition?
What specific advantages does this fusion offer compared to other, more singular artistic forms?

2. In what ways does *The Good, the Bad, and the Ugly* challenge traditional portrayals of morality and justice in the Western genre?
How does the film's distinctive visual style and use of music contribute to that critique?

3. *The Godfather* is often described as both a crime story and a meditation on power and family.
How do its artistic elements—such as lighting, performance, and dialogue—convey moral complexity and offer a cultural critique?

4. *Schindler's List* uses stark visual choices, emotionally resonant performances, and historical detail to memorialize the Holocaust.
How do these elements work together to provoke emotional engagement and ethical reflection in viewers?

5. Compare *Crouching Tiger, Hidden Dragon* and *Pan's Labyrinth* in terms of how they use fantasy and mythology to explore real-world emotions and political or cultural realities.
What do these films suggest about the role of imagination in confronting trauma, oppression, or social expectations?

6. Films like *Get Out* and *Black Panther* use genre storytelling—horror and superhero fiction, respectively—to examine systemic racism, identity, and resistance to oppression.
Why is genre fiction such an effective vehicle for exploring difficult or complex social issues?

7. In what ways does film function as both a mode of expression and reflection?
Use at least one of the films discussed in the chapter to explain your response.

8. According to the chapter, how do the humanities help bridge the gap between individual creativity and collective understanding?
Summarize the concluding idea of the chapter in your own words.

What Makes Us Human?

1. According to the text, what core traits distinguish human beings from other species?
What do these traits enable us to do that goes beyond mere survival?

2. Why does the chapter describe human beings as "meaning-making creatures"?
How is this idea related to the study of the humanities?

3. In what ways does storytelling set humans apart from other species?
Provide at least one example from the text to support your answer.

4. How does Jonathan Gottschall describe humanity's relationship to story?
What does his quote suggest about the role of narrative in human life?

5. Why are stories important for cultural identity and moral understanding?
What does the chapter say about storytelling's role in fostering empathy?

6. How can reading literary fiction influence empathy, according to recent studies?
Mention at least two groups of people who have benefited in this way.

7. What kinds of questions do humans explore through science, philosophy, and religion?
Give an example from the chapter that illustrates this curiosity.

8. How do myths, rituals, and philosophical inquiry help humans deal with uncertainty?
What does this reveal about our shared need for meaning and connection?

What Is Art?

1. How is art broadly defined in this chapter?
What key qualities or activities does it involve?

2. What are some traditional forms of art mentioned in the text?
Historically, how have these forms been valued?

3. How have artists challenged traditional definitions of art over time?
Give at least two examples of experimental forms or movements.

4. What is the significance of Marcel Duchamp's *Fountain* (1917)?
Why did it cause controversy in the art world?

5. What is a "readymade," and how does *Fountain* represent this concept?
Explain what makes this term relevant to Duchamp's work.

6. How did Duchamp's use of a pseudonym ("R. Mutt") contribute to the meaning of *Fountain*?
What questions did it raise about authorship and identity?

7. Why was *Fountain* rejected from the 1917 Society of Independent Artists show, and what did this rejection reveal?
Discuss the contradiction between the show's stated mission and its actions.

8. In what way did Duchamp's work critique the art establishment?
What does it suggest about who decides what qualifies as art?

9. What influence has *Fountain* had on later art movements?
List at least two movements it helped inspire.

10. Who was Janet Sobel, and what was innovative about her painting technique?
Describe how her "drip" method differed from traditional painting approaches.

11. How did Jackson Pollock expand upon the drip technique pioneered by Sobel?
What made his process so revolutionary?

12. What does Pollock mean when he says he felt "in" the painting?
How does this reflect his method and artistic philosophy?

13. How do the drip paintings of Sobel and Pollock challenge traditional ideas of composition and technique?
What did they prioritize instead?

14. What are some key features of Abstract Expressionism as described in the text?
How does it differ from traditional representational art like portraiture or landscape?

15. What is unique about John Cage's *4'33"*?
What makes this composition different from most musical works?

16. How is *4'33"* "performed," and what becomes the "music" during the performance?
Provide examples of sounds that might be heard.

17. What does *4'33"* suggest about the role of the audience in creating or experiencing art?
How does this differ from traditional musical performance?

18. What role do chance and context play in *4'33"*?
Why is each performance unique?

19. Why isn't *4'33"* performed as often as traditional musical works?
Where is it usually performed, and by what kinds of artists or groups?

20. How did *4'33"* influence the development of conceptual art?
What elements make it a conceptual rather than a purely musical piece?

21. How does Banksy use public space in his artwork?
Why is this significant for the meaning and impact of his pieces?

22. What social and political themes are commonly addressed in Banksy's work?
Name at least two topics and provide a relevant example.

23. What happened to Banksy's *Girl with a Balloon* during the Sotheby's auction in 2018?
What was the new title of the artwork afterward?

24. What message did Banksy convey by shredding his own artwork?
How did this act critique the commercial art world (i.e., the act of selling works of art for large sums of money)?

25. How did the market respond to *Love Is in the Bin* after the shredding stunt?
What does this suggest about how value is assigned in the art world?

26. How does Banksy's anonymity contribute to his artistic message?
What questions does it raise about authorship and celebrity?

27. In what ways is Banksy similar to artists like Duchamp, Pollock, and Cage?
List at least two shared ideas or methods.

28. What was Maurizio Cattelan's *Comedian*, and how did it challenge traditional definitions of art?
How does its conceptual nature relate to earlier avant-garde works like Duchamp's *Fountain* or Cage's *4'33"*?

29. Why was the public and media reaction to *Comedian* significant in understanding the artwork's meaning?
In what ways did actions like David Datuna's performance emphasize the importance of concept over object in contemporary art?

30. How does the chapter describe the relationship between new and traditional art forms?
Summarize how art is shown to evolve over time.

Is Pop Culture Art?

1. How does the chapter define the term *pop culture*?
How might distinctions between so-called "high" and "low" reflect elitist and class-based attitudes?

2. Why have some critics dismissed certain forms of creative expression as commercial entertainment rather than "art"?
Name at least three examples mentioned in the chapter.

3. How can the corporatization of popular culture affect its original meaning or message?
What aspects of authenticity might be compromised?

4. Who has traditionally determined what counts as legitimate art?
What impact has this had on cultural recognition?

5. What question does the text pose about the legitimacy of classical music versus popular music genres?
Why is this comparison significant?

6. According to the chapter, how do both "high art" and popular culture connect with audiences?
In what ways do they reflect their cultural and historical contexts?

7. Who referred to hip hop as "the CNN of the ghetto"?
What does this metaphor suggest about one of the many functions of hip hop?

8. How does Chuck D's quote reflect the role of hip hop in society?
What kinds of narratives does it aim to share?

9. What social issues were frequently addressed by early instances of political messaging in hip hop?
List at least three specific topics.

10. How did groups like Public Enemy and N.W.A. use their music as a form of social commentary and even protest?
What perspectives did they bring to public discourse?

11. How has academia's perception of popular culture evolved over time?
What does the chapter say about its growing acceptance?

12. Which disciplines have contributed to the scholarly study of pop culture?
Name at least three mentioned in the text.

13. What features of heavy metal have drawn academic interest in recent years?
Describe at least two areas of focus.

14. Why is it important for academia to include pop culture in its studies?
How does this shift contribute to a broader understanding of creativity and expression?

15. According to the chapter, what is the fundamental value of art in all its forms?
Why might this value transcend traditional boundaries?

Art as Social and Political Expression

1. What was the primary function of African American spirituals during slavery?
How did these songs offer both emotional support and practical assistance?

2. What is the coded meaning behind the lyrics of "Wade in the Water"?
How did they help enslaved individuals avoid capture?

3. What double meaning is found in the song "Steal Away (to Jesus)"?
How did it function both spiritually and as a message of resistance?

4. How does "Go Down Moses" draw on biblical imagery to express the desire for liberation?
What phrase in the song directly connects it to the struggle for freedom?

5. How did "Follow the Drinking Gourd" serve as a guide for those seeking freedom?
What natural feature was used as a directional tool?

6. How did blues and gospel music reflect African American experiences after emancipation?
What emotional and spiritual needs did they fulfill?

7. According to Cornel West, what deeper purposes does Black music serve beyond entertainment?
How does his description reframe the way we might listen to and interpret genres like blues, jazz, or hip hop?

8. What historical events and conditions does Cornel West identify as the origins of the Black musical tradition?
In what ways might this historical grounding shape the emotional and moral tone of the music?

9. What social issue does Billie Holiday's "Strange Fruit" confront, and what imagery does it use to do so?
Why is Holiday's performance of the song considered such a powerful and courageous act of protest?

10. What made "We Shall Overcome" an anthem of the Civil Rights Movement?
How did this song function as more than just music for the activists who sang it?

11. What tragic event inspired John Coltrane's composition "Alabama"?
What makes this piece different from other examples of protest music included in this chapter?

12. What personal experience influenced Sam Cooke to write "A Change Is Gonna Come"?
In what ways does the song capture both the pain and the hope of the civil rights struggle?

13. What events do Bob Dylan's songs "The Death of Emmett Till" and "Only a Pawn in Their Game" address?
How does Dylan use these songs to explore the systemic nature of racism rather than just individual acts?

14. What is the message of Phil Ochs' song "Here's to the State of Mississippi"?
How do Ochs' lyrics reflect the broader themes of protest and solidarity with the Black freedom movement?

15. How did funk and soul artists like James Brown and Marvin Gaye use their music to respond to racial and social injustice?
What makes these musical responses not only artistic achievements but also political acts of resistance?

16. What are the four main elements of hip hop culture mentioned in the chapter?
How does each element contribute to its overall expression?

17. What is the central message of "The Message" by Grandmaster Flash and the Furious Five?
How does the song reflect life in marginalized urban communities?

18. How did N.W.A.'s "F—k tha Police" confront social injustice?
What specific issues did it bring to light?

19. What cultural critique is expressed in Public Enemy's "Fight the Power"?
Why were figures like Elvis Presley and John Wayne called out?

20. How does Tupac's "Keep Ya Head Up" address the issue of misogyny and gender-based injustice?
What message does it send about the treatment of women in society?

21. What criticism of government policy does Tupac make in songs like "Keep Ya Head Up" and "Changes"?
Which lyrics highlight the disparity between military spending and investment in programs to alleviate poverty?

22. What phrase from Kendrick Lamar's "Alright" became associated with the Black Lives Matter movement?
Why did this lyric resonate as a message of hope and resilience?

23. In what ways has hip hop become a global platform for resistance?
Provide examples of how it amplifies marginalized voices and confronts systemic issues.

Why Study the Humanities

1. What central question does the chapter pose about the role of the humanities in modern education?
How does the chapter respond to concerns about choosing humanities over more "practical" or technical fields?

2. How does the chapter define the humanities and their role in understanding the human experience?
What kinds of texts or disciplines are mentioned as tools for developing empathy, perspective, and critical reflection?

3. According to the chapter, why are critical thinking and cultural literacy considered essential outcomes of a humanities education?
How might these skills apply in both civic life and the workplace?

4. What concerns does the chapter raise about the growing emphasis on STEM education?
How does it suggest that the humanities and STEM can work together to solve complex global challenges?

5. In what ways do the humanities enrich our inner lives and help us make sense of human emotions and moral questions?
Name at least three works or authors referenced in the chapter and explain how they contribute to this process.

6. How can the humanities be used to examine and critique technology, power, and systems of inequality?
What example does the chapter offer involving artificial intelligence or algorithmic bias?

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2: PREHISTORY

2.1: Chapter Introduction
2.3: Paleolithic Cave Art and Portable Art
2.4: The Mesolithic and Neolithic Periods

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2.1: Chapter Introduction

Chapter Introduction

Topics

- What is Culture?
- What is Civilization?
- Prehistoric Civilization (Paleolithic, Mesolithic, and Neolithic)
  - Cave Art
  - "Venus" Figurines
  - The Agricultural Revolution
  - Stonehenge

This module introduces the cultural expressions of the Prehistoric era, during the Paleolithic, Mesolithic, and Neolithic periods. The term *lithic* refers to the Stone Age, while the prefixes *paleo* and *neo* mean "old" and "new," respectively. Therefore, the Paleolithic period is the "Old Stone Age," and the Neolithic period is the "New Stone Age."

In this section, we'll interpret cultural artifacts such as the "Venus" of Willendorf and archaeological sites such as Stonehenge to determine what they might tell us about the lives and thoughts of prehistoric men and women. After completing this chapter, you'll be able to list events from the Prehistoric era in chronological order as well as assess the extent to which religious belief may have motivated many of the artistic and architectural innovations of this period. Before we begin, however, it's important to clarify how historians measure and label time, so you can accurately place these events and artifacts in context.

Historians divide time into two major eras. The period before Year One is identified as BCE (Before the Common Era) or BC (Before Christ). The period after Year One is identified as CE (Common Era) or AD (Anno Domini, which is Latin for "The Year of Our Lord"). While Christian-based designations of history (BC and AD) were commonly used in the past, most modern scholars now prefer the more neutral terms BCE and CE. These terms acknowledge that not everyone identifies as Christian and that different religious traditions use different starting points for measuring time. For example, Jewish tradition marks the beginning of the biblical creation as its first year, while the Islamic calendar begins with Muhammad's migration (Hijra) from Mecca in the year 622 CE of the Gregorian calendar. Using BCE and CE allows historians to refer to historical events in a secular, universally comprehensible framework rather than one tied to a specific religious tradition.

Regardless of which option one chooses to use, the designations work the same. In the period of BCE/BC, time counts backward. Once you reach Year One, however, time begins to count forward in the CE/AD period. For example, the Roman emperor Augustus came to power in the year 27 BCE and died in 14 CE, giving him a total reign of 41 years (27 years before the start of Year One and 14 years after it). It's also worth noting that, even though this system was based on a calculation of the birth year of Jesus of Nazareth, most modern scholars now place his birth slightly earlier, sometime around the year 4 BCE.

Because exact years are not always known, historians use a notation to indicate approximate dates. They often use the abbreviation *c.* before a date, which stands for the Latin word *circa*, meaning "around" or "approximately." This indicates that the date is a close estimate based on the available evidence. For example, writing *c. 10,000 BCE* shows that an event occurred roughly around that time, even if the exact year is uncertain. Understanding this notation allows us to place Prehistoric events and cultural artifacts in their proper temporal context and interpret their significance accurately.

Using BCE/CE and *c.* together, we can situate events throughout human history in a chronological framework, which is essential for understanding the sequence and development of cultures, technologies, and ideas, as well as for interpreting their meaning and significance.

Learning Outcomes

1. Demonstrate proficiency in critical thinking
2. Recognize the relationships between cultural expressions and their contexts
3. Understand prehistoric cultural expressions

4. Interpret and evaluate cultural artifacts and their contexts

Objectives

Upon completion of this chapter, the student will be able to:

- Identify characteristics that distinguish the Paleolithic period from the Neolithic period.
- Identify possible motivations for the creation of cave art during the Paleolithic period.
- Identify possible explanations as to why prehistoric communities created "Venus" figurines.
- Identify the reasons why the Neolithic period was revolutionary in human history.
- Identify possible explanations for the construction of megalithic sites, such as Stonehenge, and explain how they may have functioned.
- Identify features that mark the end of the Prehistoric era in human history.

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2.3: Paleolithic Cave Art and Portable Art

Paleolithic Cave Art

Archaeological discoveries across a broad swath of Europe (especially southern France and northern Spain) include over two hundred caves with spectacular paintings, drawings, and sculpture that are among the earliest undisputed examples of representational image-making. Paintings and engravings along the caves' walls and ceilings fall under the category of **parietal art**.

The most famous examples of parietal art are found in sites like Lascaux and Chauvet caves in France or Altamira in Spain, where early humans depicted animals, abstract symbols, and hand prints. Unlike **portable art** (such as carved figurines and spearthrowers), parietal art is stationary and often associated with ritual, symbolic, or communal activities, rather than everyday decoration. It provides insight into early humans' spiritual beliefs, social organization, and relationship with the natural world.

The most common themes in cave paintings are large wild animals, such as horses, bison, deer, ibex, and aurochs (wild cattle). Tracings of human hands and hand stencils were also very popular, as well as abstract patterns called finger flutings. The species found most often were suitable for hunting by humans but were not necessarily the typical prey found in associated bone deposits. For example, the painters of Lascaux, France left mainly reindeer bones, but this species does not appear at all in the cave paintings; in fact, wild horses are the most common. Drawings of humans are rare and are usually schematic as opposed to the detailed and naturalistic images of animals.

The pigments used appear to be red and yellow ochre, manganese or carbon for black, and china clay for white. Some of the color may have been mixed with fat. The paint was applied by finger, chewed sticks, or fur for brushes. Sometimes the silhouette of the animal was incised in the rock first, and in some caves, many of the images were only engraved in this fashion, taking them out of a strict definition of "cave painting."

Chauvet and Lascaux

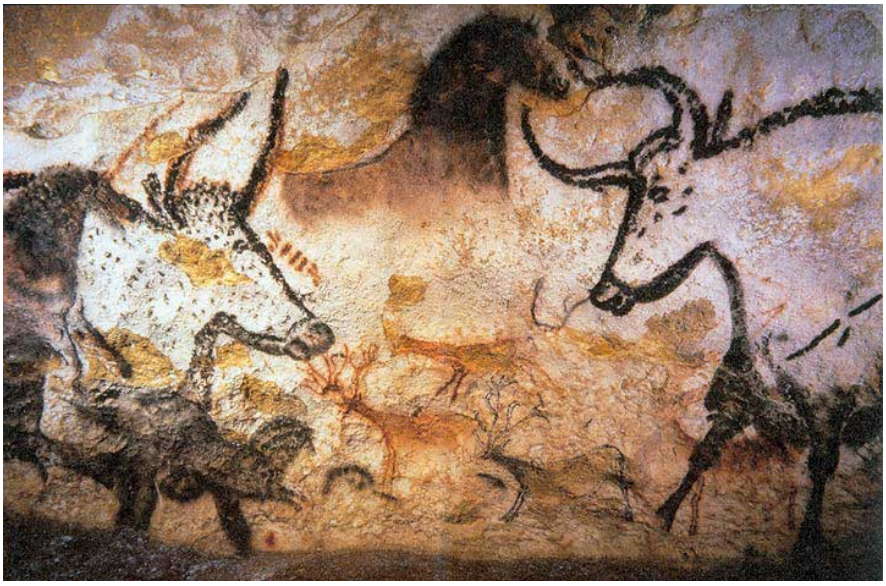


Figure 2.3.1: Lascaux Painting by Prof saxx is licensed under CC BY-SA 3.0

Lascaux (c. 15,000 BCE), in southwestern France, is an interconnected series of caves with one of the most impressive examples of artistic creations by Paleolithic humans. Discovered in 1940, the cave contains nearly two thousand figures, which can be grouped into three main categories: animals, human figures, and abstract signs. Over nine hundred images depict animals from the surrounding areas, such as horses, stags, aurochs, bison, and birds—species that would have been hunted and eaten—as well as predators such as lions and bears. The paintings contain no images of the surrounding landscape or the vegetation of the time.

The Chauvet–Pont–d'Arc Cave (c. 30,000 BCE), in the Ardèche department of southern France, contains some of the earliest known paintings, as well as other evidence of Upper Paleolithic life. The Chauvet Cave is uncharacteristically large, and the quality, quantity, and condition of the artwork found on its walls have been called spectacular. Hundreds of animal paintings have been catalogued, depicting at least thirteen different species—not only the familiar herbivores that predominate Paleolithic cave art, but also many predatory animals, such as cave lions, panthers, bears, and cave hyenas.



Figure 2.3.1: Chauvet horses by an unknown author from Wikimedia is licensed under Public Domain

As is typical of most cave art, there are no paintings of complete human figures in Chauvet. There are a few panels of red ochre hand prints and hand stencils made by spitting pigment over hands pressed against the cave surface. Abstract markings (lines and dots) are found throughout the cave.

The artists who produced these unique paintings used techniques rarely found in other cave art. Many of the paintings appear to have been made after the walls were scraped clear of debris and concretions, leaving a smoother and noticeably lighter area upon which the artists worked. Similarly, a three-dimensional quality and the suggestion of movement are achieved by incising or etching around the outlines of certain figures. The art also includes scenes that were complex for their time, such as animals interacting with each other. For instance, a pair of wooly rhinoceroses are seen butting horns in an apparent contest for territory or mating rights.

Altamira



Figure 2.3.1: Altamira Bison by Rameessos is licensed under Public Domain

Altamira (c. 18,000 BCE) is a cave in northern Spain famous for its Upper Paleolithic cave paintings featuring drawings and polychrome rock paintings of wild mammals and human hands. The cave has been declared a World Heritage Site by UNESCO.

The long cave consists of a series of twisting passages and chambers. Human occupation was limited to the cave mouth, although paintings were created throughout the length of the cave. The artists used **polychromy** (the practice of decorating objects with multiple colors) to create the images, often diluting pigments such as charcoal and ochre or haematite to produce variations in intensity, creating an impression of **chiaroscuro** (the use of strong contrasts between light and shadow to create the illusion of three-dimensional form and depth in two-dimensional art). Some artists also exploited the natural contours in the cave walls to give their subjects a three-dimensional effect.

Like much prehistoric art, the purpose of the Lascaux cave paintings remains a subject of ongoing debate and speculation. Some anthropologists and art historians propose that these paintings may have served to commemorate successful hunts, functioning as a form of visual storytelling or historical record that celebrated human triumph over nature. Alternatively, others suggest that the images could have been part of mystical or ritual practices aimed at ensuring the success of future hunts, reflecting a belief system where depicting animals might have influenced or controlled real-world events. A widely discussed theory, rooted in ethnographic studies of contemporary hunter-gatherer societies, posits that the paintings are connected to shamanistic practices. According to this view, **shamans** (spiritual leaders believed to mediate between the human and spirit worlds) might have created or used the images as part of rituals to invoke animal spirits or gain supernatural assistance. This interpretation draws on parallels with living indigenous cultures where art and ritual are closely linked to spiritual and healing practices

Recent research has proposed that some cave paintings may incorporate prehistoric star charts, reflecting a sophisticated understanding of astronomy among Paleolithic humans. One of the most compelling pieces of evidence is the "Shaft Scene" in the Lascaux cave, which features a bison and a human figure adorned with a bird-headed staff. Above these figures are clusters of dots and lines that some researchers interpret as representations of the night sky. Notably, these patterns have been associated with the Pleiades star cluster, the Hyades, and the Orion Belt, suggesting that the artists may have been mapping these constellations. Such findings imply that Paleolithic humans had a complex understanding of the night sky, utilizing art to record and interpret celestial phenomena. While these interpretations are still subject to scholarly debate, the possibility that the Lascaux paintings function as star charts offers a fascinating glimpse into the cognitive and cultural practices of our ancient ancestors.

Venus Figurines

"Venus figurines" is an umbrella term for a number of prehistoric statuettes of women that have been found mostly in Europe, but also in Asia and Siberia, dating from the Upper Paleolithic. These figures are all quite small, between 4 and 25 centimeters tall, and carved mainly in steatite, limestone, bone, or ivory. These sculptures have been collectively described as "Venus" figurines

in reference to the Roman goddess of beauty (named Venus), as early historians assumed they represented an ideal of beauty from the time. However, contemporary scholars recognize that this label can be misleading and Eurocentric, as the figurines likely held diverse symbolic meanings that may not relate to beauty, fertility, or goddesses as previously thought. As a result, more neutral terms like "female figurines" or "prehistoric female statuettes" are increasingly preferred to avoid projecting modern cultural biases or potentially misleading ideas onto these ancient objects.

Venus figures are characterized by shared stylistic features, such as an oval shape, large belly, wide-set thighs, large breasts, and the typical absence of arms and feet. Hundreds of these sculptures have been found both in open-air settlements and caves. The Venus of Hohle Fels, a 6-centimeter figure of a woman carved from a mammoth's tusk, was discovered in Germany's Hohle Fels cave in 2008 and represents one of the earliest found sculptures of this type. It should also be noted that a small loop in place of the figurine's head may have enabled an ancient person to wear it around their neck (see Figure 1.5 below). The Venus of Willendorf is a particularly famous example of the Venus figurine. While initially thought to be symbols of fertility, or of a fertility goddess, the true significance of these sculptures remains obscure, as does much of prehistoric art. However, multiple theories have been advanced by scholars.

The Venus figurines have sometimes been interpreted as representations of a mother goddess or fertility deity. This interpretation stems from the emphasis on exaggerated female features—such as enlarged breasts, hips, and buttocks—which some scholars suggest symbolize fertility, abundance, and the life-giving power of women. The abundance and widespread distribution of these female figurines have led some researchers to propose that Upper Paleolithic societies, and later Neolithic cultures, may have practiced forms of female-centered religion or even matriarchal social structures. This theory suggests that these communities revered women as the source of life and may have organized their social and spiritual lives around female deities or principles.

However, this view remains contested and controversial. Alternative explanations argue against assuming a singular religious or societal role for the figurines. Some scholars propose that the figurines might have served as fertility charms or talismans, meant to ensure successful childbirth or bountiful hunts. Others interpret them as symbolic objects related to rites of passage or communal identity.

Another intriguing hypothesis suggests that the figurines could be self-portraits created by women themselves. This idea is based on the perspective that many of the figurines' proportions, especially the pronounced curves and absence of facial details, might reflect how women perceived their own bodies, especially during pregnancy. The lack of faces and the emphasis on the torso could indicate an introspective, self-referential purpose, where the statuettes served as personal objects related to identity and self-representation.

Overall, the exact purpose and meaning of the Venus figurines remain open to interpretation, illustrating the complex symbolic world of prehistoric peoples and cautioning modern scholars against imposing contemporary cultural assumptions on ancient artifacts.

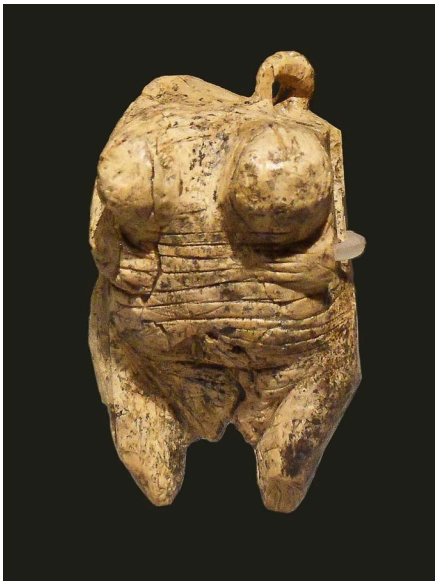


Figure 2.3.1: Venus of Hohle Fels by Thilo Parg is licensed under CC BY-SA 3.0



Figure 2.3.1: Venus of Willendorf by MatthiasKabel is licensed under CC BY-SA 3.0 CC licensed content, Shared previously.

Therianthropes: Hybrid Beings in Prehistoric Art

One of the most mysterious and striking features of prehistoric art is the presence of **therianthropes**—figures that combine human and animal characteristics. These hybrid beings, often depicted in cave paintings and portable sculptures from the Upper Paleolithic period (c. 40,000–10,000 BCE), challenge modern distinctions between myth, ritual, and representation. While their exact meaning remains uncertain, therianthropes likely held deep symbolic, spiritual, or shamanic significance for the people who created them.

The "Lion Man" of Hohlenstein-Stadel

Discovered in a cave in southwestern Germany in 1939 and dated to around 40,000 years ago, the *Lion Man* (*Löwenmensch*) is one of the oldest known examples of figurative sculpture. Carved from mammoth ivory, the figure stands about 30 centimeters tall and has the body of a man with the head of a cave lion—an animal that would have been both feared and revered by Ice Age hunters.

The craftsmanship and effort required to create the Lion Man suggest it was more than a simple artistic expression. Its humanoid posture and lion features imply a complex worldview in which the boundaries between human and animal were fluid. Some scholars interpret the Lion Man as evidence of early spiritual belief, perhaps a deity, a shaman in transformation, or a mythic ancestor figure. Others see it as an embodiment of power or protection, indicating early forms of symbolic thinking and imagination.

The "Sorcerer" of Trois Frères

In the Trois Frères cave in the French Pyrenees, archaeologists uncovered an extraordinary figure drawn high on a wall in a concealed chamber. Often referred to as *The Sorcerer,* this composite being has antlers like a stag, the eyes and face of an owl or feline, human legs, and a tail. Estimated to be over 13,000 years old, the figure appears in a setting filled with images of animals and hunting scenes, suggesting a ritualistic context.

Interpretations of the Sorcerer vary. French archaeologist Henri Breuil, who first documented the image in the early 20th century, believed it represented a shaman in ceremonial attire performing a dance to ensure hunting success. Others argue that it may depict a deity or spirit being involved in the cycles of life and death. The blending of animal features from various species may symbolize the interconnectedness of natural forces or the shaman's ability to transcend physical forms during trance or vision.

The "Bird Man" of Lascaux

In the famed Lascaux cave, also in France, one of the most enigmatic images appears in the so-called *Shaft Scene*. Unlike the surrounding elegant depictions of horses, bulls, and deer, this image is more narrative and violent. It shows a wounded or dead bison, its entrails spilling out, facing a bird-headed human figure who appears to be either falling or lying prone, with a spear or staff nearby. A bird—perhaps a heron or duck—rests on top of a stick.

This *Bird Man* scene, estimated to be around 17,000 years old, has puzzled scholars for decades. It may depict a myth, a shamanic journey, a hunting mishap, or a symbolic death and rebirth. The anthropomorphic figure—part human, part bird—echoes motifs found in later mythology around the world, in which birds are often associated with the soul, transformation, or messages between worlds.

Some scholars suggest this image is one of the earliest known examples of storytelling or religious expression in visual form. Unlike the more naturalistic animal depictions in the rest of the cave, the "Bird Man" scene implies intentional narrative, which gives it special significance in the study of symbolic thought.

Interpreting Therianthropes

While we can never know exactly what these therianthropic figures meant to the people who created them, they offer vital clues into prehistoric consciousness. Their presence across sites and cultures suggests shared beliefs about transformation, the relationship between humans and animals, and the power of hybrid forms. Whether they represented gods, shamans, myths, or metaphors, therianthropes reveal that early humans were not only keen observers of the natural world, but also imaginative thinkers that engaged in abstract, symbolic, and possibly even spiritual thought.

These hybrid figures remind us that human identity has long been constructed in relation to the animal world, and that our earliest ancestors saw no rigid line separating the two.

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2.4: The Mesolithic and Neolithic Periods

The Mesolithic Period

The Mesolithic period, or Middle Stone Age, is an archaeological term describing specific cultures that fall between the Paleolithic and the Neolithic periods. While the start and end dates of the Mesolithic period vary by geographical region, it is dated from approximately 10,000 BCE–8,000 BCE.

The Paleolithic was an age of hunting and gathering, but during the Mesolithic period the development of agriculture contributed to the rise of permanent settlements and a sedentary—rather than nomadic—lifestyle. The later Neolithic period is distinguished by the domestication of plants and animals. Some Mesolithic people continued with intensive hunting, while others practiced the initial stages of domestication. Some Mesolithic settlements were villages of huts; others were walled cities.

The Neolithic Period



Figure 2.4.1: An array of Neolithic artifacts by Michael Greenhalgh is under licensed CC BY-SA 2.5

The term Neolithic, or New Stone Age, is most frequently used in connection with agriculture. This is because the Neolithic period is the time when the domestication of animals and the cultivation of cereal grains were introduced, both of which allowed for food surpluses and the development of permanent settlements. Since agriculture developed at different times in different regions of the world, there is no single date for the beginning of the Neolithic period. In the Near East, agriculture developed around 9,000 BCE, in Southeast Europe around 7,000 BCE, and later in other regions. Even within a specific region, agriculture developed during different times. For example, agriculture first developed in Southeast Europe about 7,000 BCE, in Central Europe about 5,500 BCE, and Northern Europe about 4,000 BCE. In East Asia, the Neolithic spans roughly 6000–2000 BCE.

Pottery is another element that makes the dating of the Neolithic problematic. In some regions, the appearance of pottery is considered a symbol of the Neolithic, but this notion makes the term Neolithic even more ambiguous, since the use of pottery does not always occur after agriculture. In Japan, for example, pottery appears before agriculture, while in the Near East agriculture pre-dates pottery production.

All these factors make the starting point of the Neolithic somewhat fuzzy. It should be remembered that the origin of the term lies in a late 19th-century classification system, so while it remains useful, it has its limitations.

A Revolution?

In order to reflect the deep impact that agriculture had over the human population, an Australian archaeologist named Gordon Childe popularized the term "Neolithic Revolution" in the 1940s. Today, however, it's believed that the impact of agricultural innovation was exaggerated in the past; the development of Neolithic culture appears to have been a gradual rather than a sudden change. Moreover, before agriculture was established, archaeological evidence has shown that there is usually a period of semi-nomadic life, where pre-agricultural societies might have a network of campsites and live in different locations according to how the resources respond to seasonal variations. Sometimes, one of these campsites might be adopted as a base camp. The group might spend the majority of time there during the year exploiting local resources, including wild plants, which is a step closer to agriculture. Agriculture and foraging are not mutually exclusive ways of life. This means that a group could perform hunter-gatherer activities for part of the year and some farming during the rest, perhaps on a small scale. Rather than a revolution, the archaeological record suggests that the adoption of agriculture is the result of small and gradual changes.

Agriculture was developed independently in several regions. Since its origin, the dominant pattern in these separate regions is the spread of agricultural economies and the reduction of hunting and gathering activities, to the point that today hunting economies only persist in marginal areas where farming is not possible, such as frozen arctic regions, densely forested areas, or arid deserts.

The advent of agriculture brought profound changes to human society, transforming how people organized themselves and interacted with the environment. These changes included the clearing of forests, the cultivation of root crops and cereal grains that could be stored for long periods, and the development of new farming and herding technologies such as plows and irrigation systems. More intensive agricultural practices led to increased food production, which supported larger populations, the growth of permanent villages, and a gradual shift toward more complex social and political structures. As village populations grew, many evolved into towns and eventually into cities.

Changes During the Neolithic Period

By adopting a sedentary lifestyle, Neolithic groups developed a stronger sense of of territoriality. Settling in one place meant investing in land for farming, building permanent dwellings, and protecting resources, which encouraged a clearer definition of boundaries and ownership. During the period from roughly 9600 to 6900 BCE in the Ancient Near East, there were significant innovations in stone tool production, including more refined arrowhead designs. Although no major changes in the types of animals hunted have been detected from this time, some human skeletons have been found with arrowheads embedded in them, suggesting instances of interpersonal violence. Notably, the ancient settlement of Jericho, dating to around 8000 BCE, was surrounded by a substantial stone wall and a large ditch, possibly for defense. Additionally, the widespread adoption of new lithic technologies by distant groups points to the presence of extensive exchange networks and cultural interaction across the region.

Living in permanent settlements brought new forms of social organization as well. As the subsistence strategies of Neolithic communities—such as farming and herding—became more efficient, settlement populations grew. Anthropological research indicates that, generally, as group size increases, societies tend to become less egalitarian and more hierarchical. Individuals involved in managing and allocating food and other communal resources often gained greater social importance. Archaeological evidence supports this shift: in early Neolithic villages, individual houses typically lacked private storage facilities, suggesting that food storage and distribution were coordinated at the community level. At the site of Jarf el Ahmar in northern Syria (dated to the 9th millennium BCE), for instance, a large subterranean structure appears to have functioned as a communal granary. Its central location among households, and signs of ritual activity within, suggest that it served both practical and symbolic roles in village life.

With larger, more complex communities came the beginnings of labor specialization. As not everyone needed to be directly involved in food production, some individuals could focus on other roles—such as toolmaking, construction, ritual leadership, or trade. This diversification of labor contributed to emerging social distinctions and laid the groundwork for more stratified and organized societies in the millennia to follow.

Neolithic Culture

While the Neolithic period saw an expansion in artistic expression—including pottery, figurines, and architectural decoration—cave painting declined significantly. Neolithic people lived in permanent settlements and created more art on portable objects or architectural surfaces, rather than inside caves. While cave paintings are a hallmark of Paleolithic culture, by the Neolithic, art shifted to other media and contexts, reflecting changes in lifestyle, such as agriculture and sedentary village life. Many Neolithic societies produced sculptures of animals and women, engravings, and elaborate pottery decoration. In

Western Europe, though, this period is best represented by the **megalithic** (large stone) monuments and passage tomb structures found from Malta to Portugal, through France and Germany, and across southern England to most of Wales and Ireland.

Stonehenge

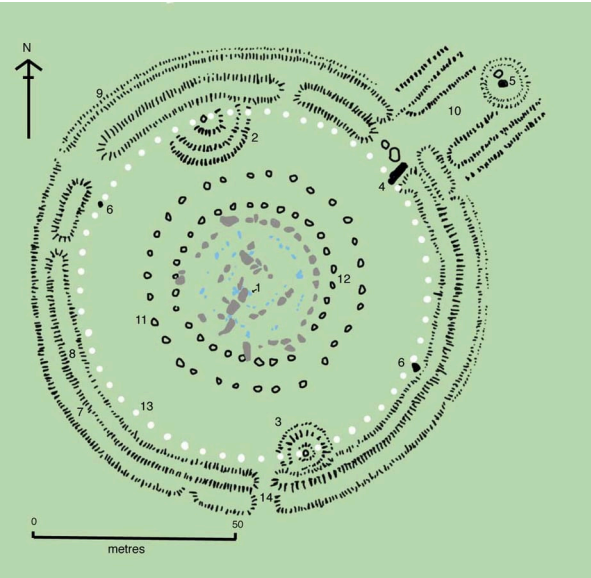


Figure 2.4.1: Above ground layout of Stonehenge Drawn by en:User:Adamsan is under licensed CC BY-SA 3.0

Perhaps the best known megalithic structure is Stonehenge, located on Salisbury Plain in the county of Wiltshire in south-central England. Archaeologists believe it was constructed from roughly 3000 BCE–2000 BCE. The surrounding circular earth bank and ditch, which constitute the earliest phase of the monument, have been dated to about 3100 BCE. Radiocarbon dating suggests that the first bluestones in the innermost ring of Stonehenge were raised between 2400 and 2200 BCE, although these stones may have been transported to the site as early as 3000 BCE.

Even the smallest bluestones weigh several tons each. These stones, so-called because they appear blue when wet, were quarried approximately 150 miles away in the Prescelly Mountains in southwest Wales. The quarrying and transport of these massive stones took place without the aid of the wheel, requiring a sophisticated system involving felled trees used as rollers and earthen mounds to move and position the stones. Similarly impressive are the larger Sarsen stones that form the post-and-lintel ring and the free-standing trilithons; these were quarried approximately 25 miles to the north of Salisbury Plain and transported using the same ingenious methods.

Although human remains have been found at the site, archaeologists are uncertain whether Stonehenge primarily served funerary purposes, ritual purposes, or a combination of both. The discovery of cremated remains and burial pits suggests that it was a significant ceremonial center for ancestral veneration and mortuary practices. Additionally, its precise alignments with the sunrise of the summer solstice and the sunset of the winter solstice have led many scholars to propose that Stonehenge functioned as an ancient astronomical observatory or calendar. These solar alignments could have helped early agrarian societies mark the changing seasons, crucial for timing agricultural activities such as planting and harvesting.

Beyond its practical uses, Stonehenge likely held deep symbolic and religious significance for its builders. It may have been a site for communal gatherings, rites of passage, or spiritual ceremonies intended to connect people with the cosmos, the land, and their ancestors. The enormous effort involved in quarrying and transporting these massive stones over great distances—without the use of wheels or draft animals—demonstrates the monument's extraordinary cultural importance. This undertaking reflects social cohesion and the emergence of organized leadership in Neolithic Britain. Thus, Stonehenge embodies a complex interplay of astronomy, ritual, community, and memory, making it one of the most enigmatic and studied prehistoric monuments in the world.



Figure 2.4.1: Stonehenge, Wiltshire, England by Diego Delso is under licensed CC BY-SA 4.0

Avebury



Figure 2.4.1: Avebury Henges by Diliff is under licensed CC BY-SA 3.0

One of the best known prehistoric sites in the United Kingdom, Avebury, contains the largest stone circle in Europe. Located in the same county as Stonehenge, Avebury lies north of the better-known site. Constructed over several hundred years in the third millennium BCE, the monument comprises a large henge with a large outer stone circle and two separate smaller stone circles situated inside the center of the monument. Its original purpose is unknown, though archaeologists believe it was likely used for ritual or ceremony. The Avebury monument was part of a larger prehistoric landscape containing several older monuments.

The chronology of Avebury's construction is unclear. It was not designed as a single monument but was the result of various projects undertaken at different times during late prehistory. Experts date the construction of the central cove to 3,000 BCE, the inner stone circle to 2,900 BCE, the outer circle and henge to 2,600 BCE, and the avenues to 2,400 BCE. The construction of Avebury and Stonehenge indicate that a stable agrarian economy had developed in this region of England by 4000–3500 BCE.

Passage Tombs

Passage tombs (also called passage graves) consist of narrow passages made of large stones and one or multiple burial chambers covered in earth or stone. Megaliths were commonly used in the construction of passage tombs and typically date to the Neolithic period. A common layout is the cruciform passage tomb, characterized by a cross-shaped structure.



Figure 2.4.1: Newgrange Monument, Ireland by Popsracer is under licensed CC BY-SA 3.0

The Newgrange monument is comprised of a large mound built of alternating layers of earth and stones, covered with growing grass and with flat white quartz stones studded around the circumference. The mound covers 4500 square meters of ground. Within, a passage stretches through the structure ending at three small chambers.

Newgrange contains various examples of abstract Neolithic art carved onto its rocks. These are separated into 10 categories consisting of curvilinear forms like circles, spirals, arcs, dots-in-circles, and serpentiforms (curving or undulating lines that may represent snakes, water, or abstract symbolic concepts), as well as rectilinear examples such as chevrons, lozenges, radials, parallel lines, and offsets.

There is no agreement as to what the site was used for, but it has been speculated that it had some form of religious significance due to its alignment with the rising sun, which floods the stone room with light on the winter solstice.

Göbekli Tepe: The World's Oldest Temple?

Nestled atop a barren hill in southeastern Turkey, Göbekli Tepe (pronounced *Guh-BEK-lee TEH-peh*, meaning "Potbelly Hill" in Turkish) is one of the most extraordinary archaeological discoveries of the 20th century—and arguably one of the most important ever. Built over 11,000 years ago, Göbekli Tepe has dramatically reshaped our understanding of prehistoric life and the origins of human civilization.

Discovery and Excavation

Although the site was first noted in the 1960s by American archaeologists, its significance went unrecognized for decades. In 1994, German archaeologist Klaus Schmidt began excavations and quickly realized that Göbekli Tepe was far older and more complex than anyone had imagined. What he uncovered were massive T-shaped limestone pillars, some reaching over 16 feet in height and weighing up to 20 tons, arranged in circular enclosures. Many of these stones are elaborately carved with reliefs of animals—lions, boars, snakes, vultures—and abstract symbols.

Radiocarbon dating places the construction of the earliest layers to around 9600 BCE, during the Pre-Pottery Neolithic period, a time when humans were still living as hunter-gatherers. This makes Göbekli Tepe the oldest known monumental religious structure

in the world, predating Stonehenge by over 7,000 years and the Egyptian pyramids by roughly 6,000 years.

Excavation is ongoing and only a fraction of the site has been uncovered. Ground-penetrating radar suggests there may be 20 or more stone circles still buried beneath the surface.

Architectural and Cultural Significance

Göbekli Tepe's scale and sophistication are astonishing given its age. The builders had no metal tools, no wheels, and no domesticated animals for hauling. Yet they managed to quarry, carve, transport, and erect multi-ton stones, aligning some of them with astronomical precision. The craftsmanship suggests a high degree of organization, coordination, and shared cultural or religious purpose.

What makes Göbekli Tepe even more remarkable is what it tells us about human social evolution. Until its discovery, the dominant theory held that agriculture led to the development of complex societies, which in turn led to organized religion and monumental architecture. Göbekli Tepe reverses that narrative. The site suggests that religious or ritual activity may have come first, acting as a social glue that brought scattered groups together and eventually encouraged permanent settlement and farming.

Theories and Interpretations

While no written records exist from this time, scholars have proposed a number of interpretations about Göbekli Tepe's purpose:

- Ritual Center or Temple: Most archaeologists agree that Göbekli Tepe served a religious or ceremonial function. The absence of domestic artifacts (like hearths or trash pits) suggests it was not a residential site. The animal carvings and central positioning of the pillars may have had spiritual or symbolic meaning, perhaps related to ancestor worship, animal spirits, or cosmic forces.

- Shamanic or Visionary Space: Some researchers argue that the site was used by shamans or ritual leaders who entered trance-like states to connect with spiritual realms. The presence of stylized headless human forms and vultures has been interpreted as symbolic of death, transformation, or sky burial practices, which were known in later Anatolian and Mesopotamian cultures.

- Early Social Hub: Göbekli Tepe may have functioned as a gathering place for scattered groups of hunter-gatherers, fostering community and cooperation. Ritual feasting and shared labor could have reinforced social bonds and even encouraged the eventual domestication of grains in nearby regions.

- Astronomical or Cosmological Role: Some scholars suggest that the pillars and enclosures may align with celestial events, such as solstices or star patterns, pointing to an early interest in cosmology and timekeeping. However, this theory remains speculative and controversial.

Burial and Abandonment

Curiously, the site was intentionally buried around 8000 BCE. This may have been a ceremonial closure, or it could indicate a shift in spiritual beliefs or social organization. Whatever the reason, this act of burial helped preserve the stone structures for millennia—providing modern archaeologists with a time capsule from the dawn of human civilization.

Conclusion: Rethinking the Origins of Civilization

Göbekli Tepe forces us to reconsider long-held assumptions about how civilization began. Instead of religion and culture emerging from settled agricultural life, Göbekli Tepe suggests that the desire for shared meaning, ritual, and symbolic expression may have actually helped spark the transition to farming and permanent settlement.

As archaeologist Klaus Schmidt famously said, "First came the temple, then the city." In other words, it may have been belief, not necessity, that first brought people together and laid the foundations for complex society.

The End of the Neolithic Period and the Prehistoric Era



Figure 2.4.1: Greenish-metallic slab of copper by Chris 73 is under licensed CC BY-SA 3.0

At least two key factors mark the transition from the prehistoric era to the ancient era. The first is the development and use of metal technology. Toward the end of the Neolithic period, communities began working with copper, signaling the beginning of the Chalcolithic (Copper Age), also called the Eneolithic in some regions. Copper tools and ornaments were initially used alongside traditional stone implements. Over time, societies developed bronze, an alloy of copper and tin, which is harder and more durable than pure copper, has better casting properties, and melts at a lower temperature. Unlike copper, which is relatively soft, bronze could be used to make effective weapons and tools. Eventually, bronze became the dominant material for tools and weapons, reducing the reliance on stone implements. This technological shift marks the end of the Neolithic and the broader Stone Age, setting the stage for the urbanization and complex societies of the Bronze Age.

The second factor is the emergence of writing. While prehistoric peoples relied on oral storytelling and visual representations to preserve their culture and traditions, by around 3200–3000 BCE, societies in Mesopotamia and Egypt developed the first true writing systems: cuneiform in Sumer and hieroglyphs in Egypt. This innovation allowed communities to record ideas, transactions, and historical events in durable form. The advent of writing marks the transition from prehistory to history, signaling the end of the Prehistoric era and the beginning of recorded human history.

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3: ANCIENT MESOPOTAMIA

3.1: Chapter Introduction
3.2: The Fertile Crescent
3.3: Mesopotamian Civilization Before the Ancient Dark Ages
3.4: The Ancient “Dark Ages” and the Rise of the Israelite State
3.5: Neo-Assyrian Civilization
3.6: The Neo-Babylonians and Persians

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3.1: Chapter Introduction

Topics

- Mesopotamian Civilizations
  - The Sumerians
  - The Royal Standard of Ur
  - The Epic of Gilgamesh
  - The Babylonians
  - The Law Code of Hammurabi
  - The Assyrians
  - Assyrian Art, such as the Hunting Reliefs of Ashurnasirpal
- The Ancient Israelites and the Hebrew Bible

This chapter introduces students to artistic, religious, and political expressions within Mesopotamian culture between prehistory and the Hellenistic age (the period after the conquests of Alexander the Great, marked by widespread Greek influence across the Eastern Mediterranean, Egypt, and the Near East). Students will determine what cultural artifacts, such as Hammurabi's Code and the Lachish Inscription, can tell us about their historical contexts. Students will demonstrate an understanding of these cultural artifacts in part by distinguishing the religious beliefs of the Mesopotamian peoples and the Israelites of the ancient Near East. Finally, students will also demonstrate critical thinking by assessing whether writing or metallurgy was a greater factor in the development of Mesopotamian civilizations.

Learning Outcomes Related to this Module

1. Demonstrate proficiency in critical thinking
2. Recognize the relationships between cultural expressions and their contexts
3. Understand cultural expressions
4. Interpret and evaluate cultural artifacts and/or their contexts for significance

Objectives

Upon completion of this module, the student will be able to:

- List historical events in chronological order
- Identify the function of the Ziggurat within Mesopotamian cultures
- Identify the importance of Mesopotamian inscriptions as written records of the ancient past
- Identify the importance of Mesopotamian inscriptions as windows into the daily lives of ancient peoples
- Identify the impact of the ancient Dark Ages on traditional and peripheral powers in the Mesopotamian world
- Identify major Mesopotamian figures and their achievements
- Assess whether writing or metallurgy was a greater factor in the development of Mesopotamian civilizations

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3.2: The Fertile Crescent

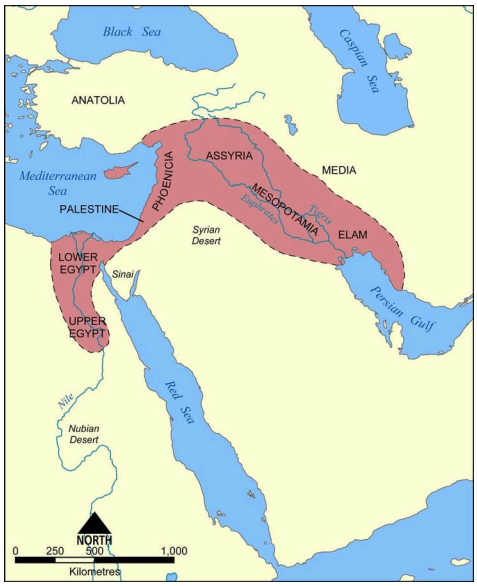


Figure 3.2.1: Map of the Fertile Crescent. Original image by NormanEinstein and uploaded by Jan van der Crabben is licensed under CC BY-SA 3.0

The Fertile Crescent is a region in the Middle East that curves in a quarter-moon shape from the Persian Gulf through modern-day southern Iraq, Syria, Lebanon, Jordan, and Israel, sometimes extending to northern Egypt. The term was first coined in 1916 by the Egyptologist James Henry Breasted in his work *Ancient Times: A History of the Early World*. Breasted described it as "approximately a semi-circle, with the open side toward the south, having the west end at the south-east corner of the Mediterranean, the center directly north of Arabia, and the east end at the north end of the Persian Gulf." His phrase quickly gained circulation and became the standard designation for the region.

The Fertile Crescent is traditionally linked, in Jewish, Christian, and Muslim thought, with the earthly location of the Garden of Eden. The biblical book of Genesis describes Eden as "in the east," at the confluence of the Tigris and Euphrates rivers, along with two ancient rivers, Pishon and Gihon. Most modern scholars, however, interpret Eden as a mythological or symbolic space, representing an ideal, divinely ordered environment rather than a literal, historical location.

Often called the "Cradle of Civilization," the Fertile Crescent is recognized as the birthplace of agriculture, urbanization, writing, trade, science, history, and organized religion. The region was first populated around 10,000 BCE, coinciding with the beginnings of agriculture and the domestication of animals. By 9,000 BCE, the cultivation of wild grains and cereals was widespread, and by 5,000 BCE, irrigation systems were fully developed. By 4,500 BCE, wool-bearing sheep were widely domesticated.

The first cities emerged around 4,500–4,000 BCE. Eridu, regarded by the Sumerians as the earliest city, was followed by Uruk and other settlements. Cultivation of wheat, barley, rye, and legumes continued alongside the further domestication of animals. By the mid-4th millennium BCE, depictions of Saluki dogs appeared in artwork, including ceramics and wall paintings. The region's fertile soil also supported early beer production; the earliest solid evidence comes from Sumerian sites in southern Mesopotamia, with some additional evidence from the site of Godin Tepe in modern-day Iran. By around 3,400 BCE, city priests—who had previously served as rulers—managed food distribution and carefully monitored surpluses for trade.

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3.3: Mesopotamian Civilization Before the Ancient Dark Ages

Sumerian Civilization

Sumer was an ancient civilization in southern Mesopotamia (in the region of modern Iraq) during the Chalcolithic and Early Bronze Ages. Although the historical records in the region do not go back much further than roughly 2900 BCE, modern historians believe that Sumer was first settled between c. 4500 and 4000 BCE by people who may or may not have spoken the Sumerian language. These people, now called the "Ubaidians," were the first to drain the marshes for agriculture, develop trade, and establish industries, including weaving, leatherwork, metalwork, masonry, and pottery.

The Sumerian city of Eridu, which was situated along the Persian Gulf, is often regarded as the world's first city. It emerged through the fusion of three distinct groups: Ubaidian farmers, Semitic-speaking pastoralists who raised livestock, and local fishing communities. The surplus of storable food produced by this mixed economy enabled populations to settle permanently rather than migrate as hunter-gatherers. It also supported a much higher population density, which in turn required an organized labor force and encouraged the development of specialized crafts and professions.

Over time, Eridu was joined by other major settlements such as Uruk, Ur, and Lagesh, each developing into independent city-states with their own rulers, social hierarchies, and patron deities. Temples became not only religious centers but also hubs of administration and economic activity, coordinating labor and managing surplus resources. This combination of urban growth and centralized religious authority laid the groundwork for the cultural achievements most closely associated with Sumer, including the invention of cuneiform writing and the construction of monumental buildings known as ziggurats. In the following sections, we'll explore these two innovations in greater depth to understand how they shaped the course of Mesopotamian civilization.

Cuneiform

An early form of wedge-shaped writing called **cuneiform** developed during the early Sumerian period, around 3200 BCE. At first, the system consisted of simple pictograms pressed into soft clay with a reed stylus. These images represented concrete objects such as livestock, jars of grain, or tools. Over time, the symbols became increasingly abstract and standardized, evolving into the wedge-shaped marks we now recognize as cuneiform. The earliest known texts came from Uruk, where tablets were used primarily for economic and administrative purposes—recording agricultural yields, temple offerings, and trade. In time, the writing system expanded to encompass legal codes, hymns, myths, and eventually epic poetry.

The survival of these records is due largely to the durability of clay. While wood, leather, or papyrus could easily decay, clay tablets could be sun-dried or baked, preserving them for millennia. Thousands of tablets have been uncovered in Mesopotamian archaeological sites, offering modern scholars a direct window into Sumerian society. Alongside written texts, inscriptions and decorated pottery testify to the abundance of artistic traditions in early Mesopotamia. Clay was shaped into storage jars, cooking pots, and ritual vessels, and it also provided the medium for the world's earliest archives.

Metalworking advanced significantly during this same period. Smiths employed lost-wax casting to produce bronze and copper tools, including dagger blades, axes, and agricultural implements. Softer metals such as gold and copper were hammered into decorative items like plates, necklaces, and collars. Many such objects have been recovered from the Royal Cemetery at Ur (c. 2600 BCE), where finely crafted jewelry and ceremonial weapons were interred with elite individuals. These artifacts reveal both the high level of Sumerian craftsmanship and the social and religious significance of metalwork.

The innovations of writing, pottery, and metallurgy did more than provide tools for survival; they fostered the growth of urban culture and laid the foundations for organized religion, monumental architecture, and literature. While writing and monumental construction also developed independently in ancient Egypt, Mesopotamia represents one of the earliest known centers where these innovations first coalesced. The next sections will examine the construction of ziggurats—towering temple complexes that embodied the religious and political heart of the Sumerian city-state—and the Epic of Gilgamesh, one of the world's earliest surviving works of literature.

Ziggurats

By the late fourth millennium BCE, Sumer was divided into about a dozen independent city-states delineated by canals and other

boundary makers. At each city center stood a temple dedicated to the particular patron god or goddess of the city. Priestly governors ruled over these temples and were intimately tied to the city's religious rites.



Figure 3.3.1: Ziggurats Mesopotamia by unknown from Wikispaces.com is licensed under CC BY-SA 3.0

One of the most remarkable achievements of Mesopotamian architecture was the ziggurat, a massive terraced step pyramid built of mudbrick, with successively receding levels that rose high above the city. Ziggurats first appeared in the Sumerian culture of the fourth millennium BCE and continued to be built into the late third and early second millennium BCE.

At the summit of each ziggurat stood a small shrine or temple dedicated to the city's patron deity—for example, the ziggurat of Ur was crowned with a sanctuary to the moon-god Nanna (known to the Akkadians by the name Sin). These sacred spaces were not open to the general public but served instead as the home of the god, where priests cared for cult statues of deities and made daily offerings to them. For the people below, the towering ziggurat was a powerful symbol of a cosmic mountain that connected heaven and earth, reminding everyone of the bond between their city and its patron deity.



Figure 3.3.1: Great Ziggurat of Ur by Hardnfast is licensed under CC BY-NC-SA 3.0

Temples Where People Gathered

The temples where people actually interacted with priests, priestesses, and temple staff were usually adjacent to or near the ziggurat, rather than perched on top. These were large, bustling complexes, often with courtyards, storage rooms, kitchens, and living quarters for temple personnel. They functioned not just as places of worship but as economic and social hubs: they owned land, ran workshops, stored surplus grain, and even sponsored festivals.

In Mesopotamian cities, temples were not only religious centers but also major economic, social, and cultural institutions. Women attached to temples could serve the goddess Inanna/Ishtar (goddess of love, fertility, and war) in various ways: through ritual, song, dance, sexual rites, and sometimes acting as hostesses for visiting dignitaries.

For Mesopotamians, sexuality was far more than a means of reproduction; it was a sacred force that shaped human life, society, and the relationship with the gods. Sexuality was closely tied to fertility and abundance, both human and agricultural. Rituals sometimes included symbolic or even real sexual acts believed to ensure the growth of crops and the multiplication of herds. The goddess Ishtar (known to the Sumerians as Inanna) embodied this life-giving power, presiding over both love and war as a reminder that sexuality was central to the balance of life.

Sexuality also symbolized the transition from wilderness to civilization. In *The Epic of Gilgamesh*, Enkidu becomes fully human through his relationship with Shamhat, which grants him awareness, knowledge, and a place in society. Sharing sex, along with food, drink, and clothing, marked one's entry into the human community. At the same time, sexuality could represent union with the divine. In the ritual known as the "sacred marriage," for example, a priestess of Ishtar symbolically united with the king to secure the god's favor, fertility, and protection for the city. In this way, sex was not a private act but a force connected to the cosmic order and the wellbeing of society. Shamhat's role in civilizing Enkidu thus reflects a broader cultural belief: for Mesopotamians, sexuality was life-giving, civilizing, and sacred, linking humans to nature, to one another, and to the gods.

The Epic of Gilgamesh

The Epic of Gilgamesh is one of the oldest surviving stories in the world and a cornerstone of ancient literature. It was recorded on clay tablets in Mesopotamia, the land between the Tigris and Euphrates rivers (modern-day Iraq and Syria). The story of Gilgamesh was likely based on oral tales about a historical king of Uruk, so it may have been told in spoken form long before it was written down. The earliest Sumerian poems about Gilgamesh date to roughly c. 2100–2000 BCE, while the more complete Akkadian/Babylonian versions appear around c. 1200–1000 BCE. These tablets represent the oldest surviving long-form narrative that we can read today, distinguished as the first extended story with developed characters, plot, and themes.

Gilgamesh belongs to the literary genre of epic poetry, which typically tells the adventures of a larger-than-life hero whose actions reflect the values and concerns of their culture. Epics often combine historical memory, mythology, and moral reflection, using elevated language and a formal structure to convey their stories. In this context, Gilgamesh exemplifies the epic hero: he is powerful yet flawed, undertaking extraordinary journeys, facing supernatural challenges, and learning lessons about life, death, and human society. Like other epics of the ancient world, *Gilgamesh* combines action, mythology, and moral inquiry, telling a story that has monsters, violent battles, a vengeful goddess, and the legendary friendship between a mighty king, Gilgamesh, and a hairy wild-man of the forest named Enkidu. Above all, it explores universal themes such as the nature of power, friendship, mortality, and the quest for meaning in human life.

The narrative opens with a prologue introducing Gilgamesh, the handsome and powerful, yet deeply flawed, king of Uruk. His abuses of power provoke anger and despair among the citizens, who petition the gods for relief. In response, the gods create Enkidu, a wild man who must first be civilized by a woman before he can enter the city.

Enkidu is created by the gods to be a rival and counterbalance to Gilgamesh. At first, he is described as a wild man who lives in the steppe, covered in hair, drinking from watering holes alongside gazelles, and eating grass like an animal. He sets traps, frees animals from hunters' nets, and disrupts human activity. Hunters complain to Gilgamesh that Enkidu is too strong to confront and is spoiling their work. Gilgamesh devises a plan: send a woman to "tame" him. The temple prostitute Shamhat (sometimes described as a sacred courtesan) associated with the goddess Ishtar is sent to Enkidu. When Enkidu sees Shamhat, he is drawn to her. She seduces him, using her sexuality to lure him out of the wilderness, and they spend six days and seven nights together in union (some versions of the story shorten this, but the idea is prolonged intimacy).

Afterward, Enkidu tries to return to the animals, but they flee from him, recognizing that he is no longer one of them. Through his intimacy with Shamhat, he has crossed a boundary: he has lost his wild innocence but gained human awareness. Shamhat then introduces him to human customs—such as eating bread, drinking beer, bathing, wearing clothes, and living in community—all

symbols of Mesopotamian civilization. She clothes him and leads him toward Uruk. Along the way, she teaches him about human customs, kingship, and Gilgamesh. Through her, Enkidu transitions from nature to culture—a key theme in Mesopotamian thought.

This episode shows the Sumerian belief that what made someone fully human was not just birth, but participation in society. Sexuality, food, drink, clothing, and companionship were all essential parts of civilization. Shamhat's role is crucial, highlighting the importance of women and cultural institutions (like temples) in shaping human life. She represents the temple as a civilizing force, linking Enkidu to the world of cities, gods, and kings. Without Shamhat, Enkidu would never enter Uruk, and Gilgamesh would never begin the journey that defines the epic.

When Enkidu arrives in Uruk, he challenges Gilgamesh to a duel. The two struggle in combat and find that they are equally matched. Neither is defeated, and the two gain mutual respect, forming a profound friendship that drives much of the story.

Together, Gilgamesh and Enkidu embark on epic adventures. They journey to the Cedar Forest to confront the monstrous Humbaba, ultimately felling the giant tree to build a magnificent gate for Uruk. Their heroism draws the attention of Ishtar, goddess of love and war, who proposes to Gilgamesh. When he rejects her, she asks her father, the Sun god Shamash, to unleash the Bull of Heaven to punish him. The heroes slay the bull, but the gods, angered by their defiance, curse Enkidu to a slow death. Witnessing the loss of his friend plunges Gilgamesh into grief and forces him to confront his own mortality.

In the wake of Enkidu's death, Gilgamesh undertakes a quest to discover the secret of eternal life. His journey leads him to Utnapishtim, a wise survivor of a great flood (paralleling the biblical story of Noah), who recounts the story of the flood and explains the limits of human power. Utnapishtim also reveals the existence of a magical plant capable of rejuvenation. Gilgamesh retrieves the plant but loses it to a snake, symbolically underscoring the inevitability of death and the limits of human achievement.

The epic concludes with Gilgamesh's return to Uruk, where he reflects on his journey. He takes solace in the enduring legacy of his accomplishments, including the fortified city walls, which symbolize both human ingenuity and the power of memory. The text ends with the death of Gilgamesh, praised not only for his heroic feats but also for the wisdom he gains through experience and reflection. Through the written word, Gilgamesh achieves symbolic immortality, ensuring that his story—and the questions it raises about life, death, and human purpose—resonates across millennia.

The Epic of Gilgamesh is thus more than an adventure tale; it reflects the urban, religious, and cultural context of early Mesopotamian city-states, where kings, temples, and priests shaped society, and where literature served as a medium for exploring the deepest human concerns.



Figure 3.3.1: Part of Tablet V, the Epic of Gilgamesh by Osama Shukir Muhammed Amin is licensed under CC BY-NC-SA 3.0

Uruk Civilization

By the time of the Uruk period (c. 4100–2900 BCE), the volume of trade goods transported along the canals and rivers of southern Mesopotamia facilitated the rise of many large, stratified, temple-centered cities where centralized administrations employed specialized workers. Artifacts of the Uruk civilization have been found over a wide area—from the Taurus Mountains in Turkey, to the Mediterranean Sea in the west, and as far east as Central Iran. The Uruk civilization, exported by Sumerian traders and colonists, had an effect on all surrounding peoples, who gradually developed their own comparable, competing economies and cultures.

Sumerian cities during the Uruk period were probably theocratic and likely headed by priest-kings (ensis), assisted by a council of elders, including both men and women. The later Sumerian pantheon (gods and goddesses) was likely modeled upon this political structure. There is little evidence of institutionalized violence or professional soldiers during the Uruk period. Towns generally lacked fortified walls, suggesting little, if any, need for defense. During this period, Uruk became the most urbanized city in the world, surpassing for the first time 50,000 inhabitants. [10]

Akkadian Civilization

The Akkadian Empire was the first political entity to make extensive and efficient use of bureaucracy and administration on a large scale and set the standard for future rulers and kingdoms. His story was long known throughout Mesopotamia where, in time, he came to be considered the greatest man who had ever lived, celebrated in glorious tales down through the Persian Empire, along with his grand-son Naram-Sin. The historian Paul Kriwaczek sums up the impact Sargon had on later generations in Mesopotamia, writing, "for at least 1,500 years after his death, Sargon the Great, founder of the Akkadian Empire, was regarded as a semi-sacred figure, the patron saint of all subsequent empires in the Mesopotamian realm" (111). Even so, where he came from and even his actual name are unknown.

`Sargon'—whose name means “True King” or Legitimate King”— was not the name given him at birth but the throne name he chose for himself. It is a Semitic, not Sumerian, name and so it is generally accepted that he was a Semite. Nothing certain is known of Sargon’s birth or younger years. In fact, although his name was among the most famous in antiquity, he was unknown to the modern world until 1870 CE when the archaeologist Sir Henry Rawlinson published the Legend of Sargon which he had found in the library of Ashurbanipal while excavating Nineveh in 1867 CE.

The Legend of Sargon reads:

> My mother was a changeling, my father I knew not, The brother of my father loved the hills, My home was in the highlands, where the herbs grow. My mother conceived me in secret, she gave birth to me in concealment. She set me in a basket of rushes, She sealed the lid with tar. She cast me into the river, but it did not rise over me, The water carried me to Akki, the drawer of water. He lifted me out as he dipped his jar into the river, He took me as his son, he raised me, He made me his gardener. (Bauer, 95)

After conquering Sumer, he either built a new city or renovated an older one, Akkad (also known as Agade) on the banks of the Euphrates River. This was a complete break with precedent in that, previously, the king of an existing city conquered another for the glory of the home city and the resources which would now be available. Sargon, on the other hand, conquered for no city, only for himself and, once he had control of the area, then built his own city to enjoy the benefits of conquest.

Forming an empire is one thing; but keeping it operating is quite another. Still, in administration, Sargon proved himself as capable as he was in military conquest. The Akkadian Empire created the first postal system where clay tablets inscribed in cuneiform Akkadian script were wrapped in outer clay envelopes marked with the name and address of the recipient and the seal of the sender. These letters could not be opened except by the person they were intended for because there was no way to open the clay envelope save by breaking it, thus ensuring privacy in correspondence. Sargon also standardized weights and measures for use in trade and daily commerce, initiated a system of taxation which was fair to all social classes, and engaged in numerous building projects such as the restoration of Babylon (which, according to some sources, he founded – though this is not generally accepted as true). He also created, trained, and equipped a full-time army — at least in the city of Akkad — where, as an inscription reads, 5400 soldiers “ate bread daily” with the king.

After Sargon’s death, the empire passed to his son Rimush, who was forced to endure what his father had and put down the rebellions which contested his legitimacy. Rimush reigned for nine years and, when he died, the kingship passed to Sargon’s other son, Manishtusu who ruled for the next fifteen years. Though both sons ruled well, the height of the Akkadian Empire was realized

under Sargon's grandson, Naram-Sin. During his reign, the empire grew and flourished beyond the boundaries even Sargon had attained. After his death, his son Shar-Kali-Sharri became ruler and, at this time, the empire began to unravel as city-states broke away to form their own independent kingdoms. [13][14]

Babylonian Civilization

Babylon was founded at some point prior to the reign of Sargon of Akkad (also known as Sargon the Great) who ruled from 2334-2279 BCE and claimed to have built temples at Babylon (other ancient sources seem to indicate that Sargon himself founded the city). At that time, Babylon seems to have been a minor city or perhaps a large port town on the Euphrates River at the point where it runs closest to the river Tigris.

The known history of Babylon, then, begins with its most famous king: Hammurabi (1792-1750 BCE). This obscure Amorite prince ascended to the throne upon the abdication of his father, King Sin-Muballit, and fairly quickly transformed the city into one of the most powerful and influential in all of Mesopotamia. So successful was he in both diplomacy and war that, by 1755 BCE, he had united all of Mesopotamia under the rule of Babylon that, at this time, was the largest city in the world, and named his realm Babylonia. [15]



Figure 3.3.1: Code of Hammurabi by an unknown artist from Louvre Museum is licensed under CC BY 2.5

The Code of Hammurabi is one of the oldest deciphered writings of length in the world, and features a code of law from ancient Babylon in Mesopotamia. Written in about 1754 BCE by the sixth king of Babylon, Hammurabi, the Code was written on stone stele and clay tablets. It consisted of 282 laws, with punishments that varied based on social status (slaves, free men, and property owners). It is most famous for the "an eye for an eye, a tooth for a tooth" (lex talionis) form of punishment. Other forms of codes of law had been in existence in the region around this time, including the Code of Ur-Nammu, king of Ur (c. 2050 BCE), the Laws of Eshnunna (c. 1930 BCE) and the codex of Lipit-Ishtar of Isin (c. 1870 BCE).

The laws were arranged in groups, so that citizens could easily read what was required of them. Some have seen the Code as an early form of constitutional government, and as an early form of the presumption of innocence, and the ability to present evidence in one's case. Intent was often recognized and affected punishment, with neglect severely punished. Some of the provisions may have been codification of Hammurabi's decisions, for the purpose of self-glorification. Nevertheless, the Code was studied, copied, and used as a model for legal reasoning for at least 1500 years after.

The prologue of the Code features Hammurabi stating that he wants "to make justice visible in the land, to destroy the wicked person and the evil-doer, that the strong might not injure the weak." Major laws covered in the Code include slander, trade, slavery, the duties of workers, theft, liability, and divorce. Nearly half of the code focused on contracts, such as wages to be paid, terms of transactions, and liability in case of property damage. A third of the code focused on household and family issues, including

inheritance, divorce, paternity and sexual behavior. One section establishes that a judge who incorrectly decides an issue may be removed from his position permanently. A few sections address military service.

One of the most well-known sections of the Code was law #196: "If a man destroy the eye of another man, they shall destroy his eye. If one break a man's bone, they shall break his bone. If one destroy the eye of a freeman or break the bone of a freeman he shall pay one gold mina. If one destroy the eye of a man's slave or break a bone of a man's slave he shall pay one-half his price."

The Social Classes

Under Hammurabi's reign, there were three social classes. The amelu was originally an elite person with full civil rights, whose birth, marriage and death were recorded. Although he had certain privileges, he also was liable for harsher punishment and higher fines. The king and his court, high officials, professionals and craftsmen belonged to this group. The mushkenu was a free man who may have been landless. He was required to accept monetary compensation, paid smaller fines and lived in a separate section of the city. The ardu was a slave whose master paid for his upkeep, but also took his compensation. Ardu could own property and other slaves, and could purchase his own freedom.

Women's Rights

Women entered into marriage through a contract arranged by her family. She came with a dowry, and the gifts given by the groom to the bride also came with her. Divorce was up to the husband, but after divorce he then had to restore the dowry and provide her with an income, and any children came under the woman's custody. However, if the woman was considered a "bad wife" she might be sent away, or made a slave in the husband's house. If a wife brought action against her husband for cruelty and neglect, she could have a legal separation if the case was proved. Otherwise, she might be drowned as punishment. Adultery was punished with drowning of both parties, unless a husband was willing to pardon his wife.

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3.4: The Ancient “Dark Ages” and the Rise of the Israelite State

The Late Bronze Age (1700-1100 BCE) saw the Kassite Empire (from the modern-day area of Iran) replace Babylon as the regional power in Mesopotamia. By 1200, however, all of Mesopotamia entered a “dark age” period following a systemic collapse in the region, most likely precipitated by a band of naval raiders, more commonly called the “Sea Peoples.” The collapse of Mesopotamian Civilization allowed for smaller states—outside of the political periphery of the Tigris and Euphrates region—to become regional powers in their own right. The Kingdom of Israel in the modern region of Palestine was one of those nations to benefit from the ebbing of Mesopotamian influence during this age.



Figure 3.4.1: Merneptah Stele known as the Israel stela by Webscribe is licensed under CC BY-SA 3.0

To be sure, the Egyptian Merneptah Stele makes clear that a collection of people identified as Israel was present in Palestine by 1200 BCE. By the tenth century, these people were able to organize a formal government around the leadership of a king, first Saul, then David (c.1040-960 BCE). David chose the Canaanite city of Jerusalem as his capital and the biblical writer records that he moved the Ark of the Covenant there. As the Ark was thought to contain the living presence of God, bringing it to Jerusalem would have made the city both a political and religious center of considerable importance. David intended to build a great temple to house the Ark but that task fell to his son, Solomon (circa 960-920 BCE) whose rule corresponds to the height of Israelite grandeur. Solomon consolidated treaties with neighboring kingdoms such as Tyre to the north, Egypt, Sheba and sponsored building projects which made Jerusalem a great and opulent city (including, of course, the First Temple). The reigns of Saul, David, and Solomon (but especially the latter two) have been traditionally characterized as a `golden age’ of unity and prosperity.



Figure 3.4.1: Kingdoms of Israel and Judah map by Oldtidens Israel & Judea is licensed under CC BY-SA 3.0

Culturally speaking, the political elite of the Kingdom of Israel promoted belief in a singular god named Yahweh. As such, the Israelites were unique from their Mesopotamian neighbors in that they were monotheistic rather than polytheistic, at least in principle. David and Solomon, especially, seem to have used this belief to their benefit in unifying the people but, upon Solomon's death (around 920 BCE) the kingdom split in half. Israel occupied the northern region with a capital at Samaria and the Kingdom of Judah in the south with Jerusalem as capital. The relationship between the two kingdoms would remain tenuous, with the two never achieving their level of influence during reigns of David and Solomon. Much of the reason for this was due to the resurgence of the Mesopotamian kingdom of Assur in the mid-tenth century, and the subsequent development of the Assyrian Empire. (13)(17)

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3.5: Neo-Assyrian Civilization

The Neo-Assyrian Empire (934-610 BCE or 912-612 BCE) was, according to many historians, the first true empire in the world. The Assyrians had expanded their territory from the city of Ashur over the centuries, and their fortunes rose and fell with successive rulers and circumstances in the Near East. Beginning with the reign of Adad Nirari II (912-891 BCE), the empire made great territorial expansions that resulted in its eventual control of a region which spanned the whole of Mesopotamia, part of Anatolia, the Levant, and Egypt. They fielded the most effective fighting force in the world at that time, the first to be armed with iron weapons, whose tactics in battle made them invincible. Their political and military policies have also given them the long-standing reputation for cruelty and ruthlessness. [18]

Assyrian Arts and Politics

The Assyrian state proved masterful in promoting their ruthlessness and vigor through visual representation.

Lion Hunts

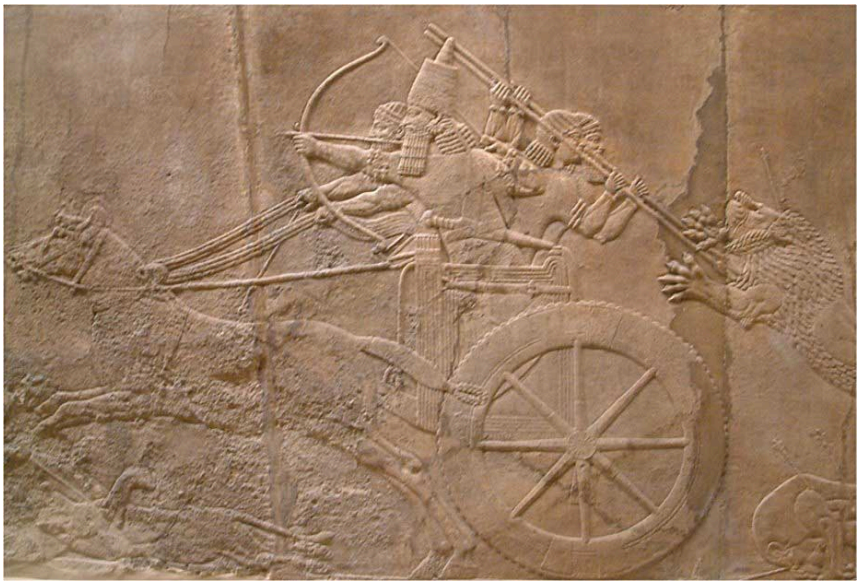


Figure 3.5.1: Ashurbanipal's Lion Hunt by Mark.murphy is licensed under CC BY-SA 3.0

Lion hunter was one role of the Assyrian king. We know this primarily from lion hunt steles located in Nineveh dating back to the reign of Ashurnasirpal II. These steles illustrate the king capturing and killing lions. Without a doubt, these steles functioned as propaganda, promoting the virility and might of the king through his ability to conquer the fiercest of beasts.

Political Servitude



Figure 3.5.1: Jehu King of Israel giving tribute to King Shalmaneser III of Assyria cropped by Steven G. Johnson is licensed under CC BY-SA 3.0

The Assyrians made public their dominance over lesser nations by illustrating the kings of conquered nations bowing before the Assyrian king. In the relief above from the Black Obelisk Inscription, the stele portrays the Israelite king Jehu of Israel paying tribute to the Assyrian king and bowing in the dust before the Assyrian king Shalmaneser III. The cuneiform text on the obelisk suggests that "Jehu the son of Omri" brought gifts of gold, silver, lead, and spear shafts as a sign of loyalty to the Assyrian state. (19)

Mass Deportation



Figure 3.5.1: Lachish Inscription by Mike Peel is licensed under CC BY-SA 4.0

On conquering lands in rebellion, the Assyrians would regularly relocate the conquered peoples from their home territory to

another portion of the empire. This became known as exile or mass deportation. The stele above represents the Assyrian deportation of the population of Lachish, following their defeat at the hands of the Assyrians in 701 BCE.

The Assyrian Capital of Nineveh

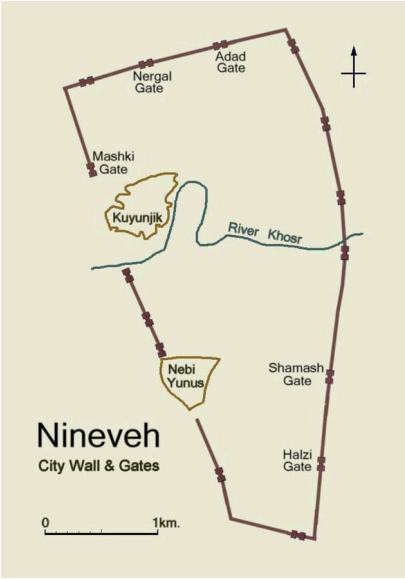


Figure 3.5.1: Nineveh map city walls & gates by Fredarch is licensed under CC BY-SA 3.0

Nineveh was an ancient Assyrian city on the eastern bank of the Tigris River, and the capital of the Neo-Assyrian Empire. Its ruins are across the river from the modern-day major city of Mosul in Iraq.

Today, Nineveh's location is marked by two large mounds, Kouyunjik and NabÄ« YÅ«nus "Prophet Jonah," and the remains of the city walls. These were fitted with fifteen monumental gateways which served as checkpoints on entering and exiting the ancient city, and were probably also used as barracks and armories. With the inner and outer doors shut, the gateways were virtual fortresses. Five of the gateways have been explored to some extent by archaeologists.

Nineveh was an important junction for commercial routes crossing the Tigris. Occupying a central position on the great highway between the Mediterranean Sea and the Indian Ocean, Nineveh united the East and the West, and received wealth from many sources. Thus, it became one of the oldest and greatest of all the region's ancient cities, and the capital of the Neo-Assyrian Empire. The area was settled as early as 6000 BCE, and by 3000 BCE had become an important religious center for worship of the Assyrian goddess Ishtar.

It was not until the Neo-Assyrian Empire that Nineveh experienced a considerable architectural expansion. King Sennacherib is credited with making Nineveh a truly magnificent city during his rule (c. 700 BCE). He laid out new streets and squares and built within it the famous "palace without a rival", the plan of which has been mostly recovered. It comprised at least 80 rooms, many of which were lined with sculpture. A large number of cuneiform tablets were found in the palace. The solid foundation was made out of limestone blocks and mud bricks. Some of the principal doorways were flanked by colossal stone-door figures that included many winged lions or bulls with the heads of men. The stone carvings in the walls include many battle and hunting scenes, as well as depicting Sennacherib's men parading the spoils of war before him.

Nineveh's greatness was short-lived. In around 627 BCE, after the death of its last great king Ashurbanipal, the Neo-Assyrian empire began to unravel due to a series of bitter civil wars, and Assyria was attacked by the Babylonians and Medes. From about 616 BCE, in a coalition with the Scythians and Cimmerians, they besieged Nineveh, sacking the town in 612, and later razing it to the ground.

The Assyrian empire as such came to an end by 605 BC, with the Medes and Babylonians dividing its colonies between them. Following its defeat in 612, the site remained largely unoccupied for centuries with only a scattering of Assyrians living amid the ruins until the Sassanian period, although Assyrians continue to live in the surrounding area to this day. [19]

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3.6: The Neo-Babylonians and Persians

The Neo-Babylonians

It was also during this period that Nebuchadnezzar supposedly built the Hanging Gardens of Babylon, although there is no definitive archeological evidence to establish their precise location. Ancient Greek and Roman writers describe the gardens in vivid detail. However, the lack of physical ruins has led many experts to speculate whether the Hanging Gardens existed at all. If this is the case, writers might have been describing ideal mythologized Eastern gardens or a famous garden built by the Assyrian king Sennacherib (704–681 BCE) at Nineveh roughly a century earlier. If the Hanging Gardens did exist, they were likely destroyed around the first century CE.

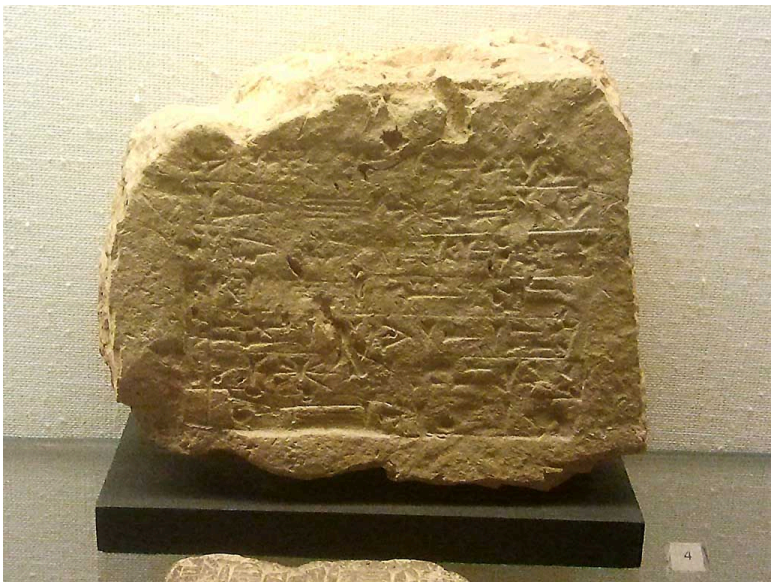


Figure 3.6.1: Nebuchadnezzar II inscription by Hanay is licensed under CC BY-SA 3.0

The Neo-Babylonian Empire, also known as the Chaldean Empire, was a civilization in Mesopotamia that began in 626 BC and ended in 539 BC.

During the preceding three centuries, Babylonia had been ruled by the Akkadians and Assyrians, but threw off the yoke of external domination after the death of Assurbanipal, the last strong Assyrian ruler. The Neo-Babylonian period was a renaissance that witnessed a great flourishing of art, architecture, and science.

The Neo-Babylonian rulers were motivated by the antiquity of their heritage and followed a traditionalist cultural policy, based on the ancient Sumero-Akkadian culture. Ancient artworks from the Old-Babylonian period were painstakingly restored and preserved, and treated with a respect verging on religious reverence. Neo-Babylonian art and architecture reached its zenith under King Nebuchadnezzar II, who ruled from 604–562 BC and was a great patron of urban development, bent on rebuilding all of Babylonia's cities to reflect their former glory.

It was Nebuchadnezzar II's vision and sponsorship that turned Babylon into the immense and beautiful city of legend. The city spread over three square miles, surrounded by moats and ringed by a double circuit of walls. The river Euphrates, which flowed through the city, was spanned by a beautiful stone bridge. At the heart of the city lay the ziggurat Etemenanki, literally "temple of the foundation of heaven and earth." Originally seven stories high, it is believed to have provided the inspiration for the biblical story of the Tower of Babel. [20]



Figure 3.6.1: Hanging Gardens of Babylon by Maarten van Heemskerck is licensed under Public Domain

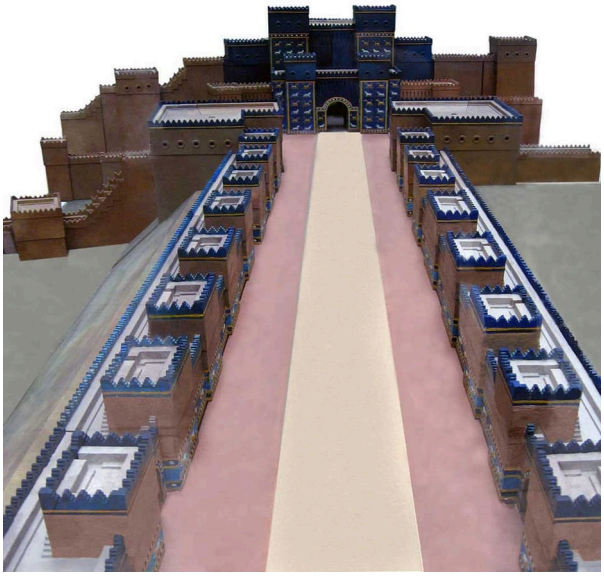


Figure 3.6.1: Model of the Ishtar Gate by Gryffindor is licensed under CC BY-SA 3.0



Figure 3.6.1: Lion of Babylon by Jan van der Crabben is licensed under CC BY-NC-SA 3.0

Most of the evidence for Neo-Babylonian art and architecture is literary. The material evidence itself is mostly fragmentary. Some of the most important fragments that survive are from the Ishtar Gate, the eighth gate to the inner city of Babylon. It was constructed in 575 BC by order of Nebuchadnezzar II, using glazed brick with alternating rows of bas-relief dragons and aurochs. Dedicated to the Babylonian goddess Ishtar, it was a double gate, and its roofs and doors were made of cedar, according to the dedication plaque. Babylon's Processional Way, which was lined with brilliantly colorful glazed brick walls decorated with lions, ran through the middle of the gate. Statues of the Babylonian gods were paraded through the gate and down the Processional Way during New Year's celebrations. (20)

The Persians

By the 7 th century BCE, a group of ancient Iranian people had established the Median Empire, a vassal state under the Assyrian Empire that later tried to gain its independence in the 8th century BCE. After Assyria fell in 605 BCE, Cyaxares, king of the Medes, extended his rule west across Iran. (21)

Cyrus the Persian or “Great”



Figure 3.6.1: Cyrus II of Persia by Siamax is licensed under CC BY-SA 3.0

Around 550 BCE, Cyrus II of Persia, who became known as Cyrus the Great, rose in rebellion against the Median Empire, eventually conquering the Medes to create the first Persian Empire, also known as the Achaemenid Empire. Cyrus utilized his tactical genius, as well as his understanding of the socio-political conditions governing his territories, to eventually assimilate the neighboring Lydian and Neo-Babylonian empires into the new Persian Empire. (21)

Cyrus, whose rule lasted between 29 and 31 years, until his death in battle in 530 BCE, controlled the vast Achaemenid Empire through the use of regional monarchs, called s*atrap* , who each oversaw a territory called as*atrapy* . The basic rule of governance was based upon the loyalty and obedience of the *satrapy* to the central power, the king, and compliance with tax laws. Cyrus also connected the various regions of the empire through an innovative postal system that made use of an extensive roadway and relay stations.

Cyrus the Great was recognized for achievements in human rights and politics, having influenced both Eastern and Western Civilization. The ancient Babylonians called him “The Liberator,” while the modern nation of Iran calls Cyrus its “father.” (22)

The book of Isaiah in the Hebrew Bible remembers him as a savior or “messiah’. This is for good reason. Cyrus granted the descendants of the exiled kingdom of Judah to return home to Israel in 540 BCE following Babylonian captivity (c.f. Isa 45:1). The Cyrus Cylinder serves as a testament of the Persian king’s magnanimous treatment of captured persons.

The Cyrus Cylinder

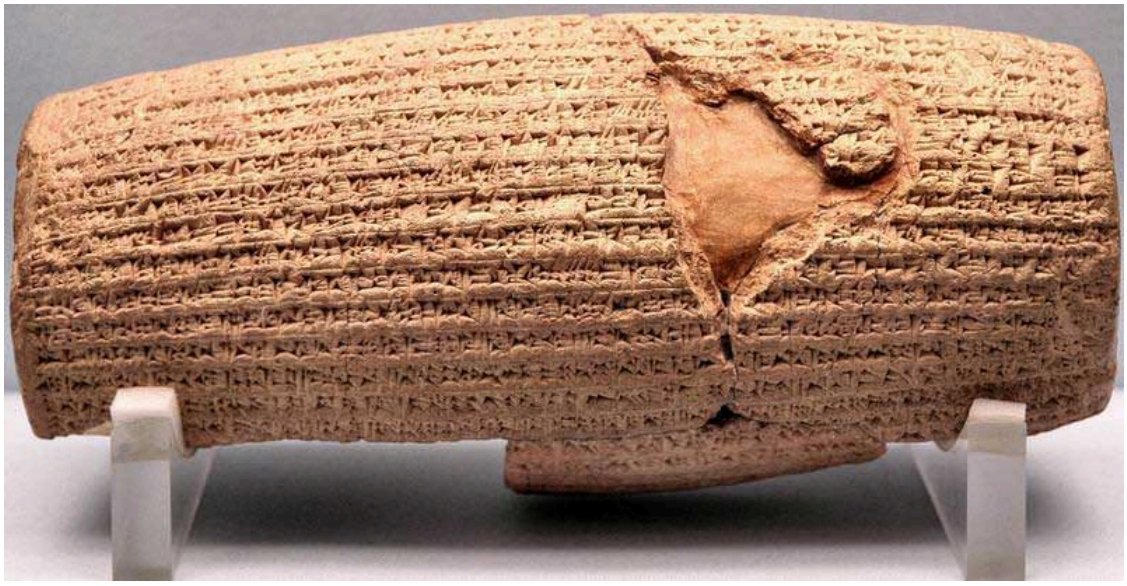


Figure 3.6.1: Cyrus Cylinder Original image by kourosh e kabir. Uploaded by Antoine Simonin is licensed under CC BY-SA 3.0

The Cyrus Cylinder is an ancient clay artifact, now broken into several fragments, that has been called the oldest-known charter of universal human rights and a symbol of his humanitarian rule. The cylinder dates from the 6 thcentury BCE, and was discovered in the ruins of Babylon in Mesopotamia, now Iraq, in 1879. In addition to describing the genealogy of Cyrus, the declaration in Akkadian cuneiform script on the cylinder is considered by many Biblical scholars to be evidence of Cyrus's policy of repatriation of the Jewish people following their captivity in Babylon.

The historical nature of the cylinder has been debated, with some scholars arguing that Cyrus did not make a specific decree, but rather that the cylinder articulated his general policy allowing exiles to return to their homelands and rebuild their temples. (22)

Darius I

When Darius I (550-486 BCE), also known as Darius the Great , ascended the throne of the Achaemenid Empire in 522 BCE, he established Aramaic as the official language and devised a codification of laws for Egypt. Darius also sponsored work on construction projects throughout the empire, focusing on improvement of the cities of Susa,Pasargadae , Persepolis, Babylon, and various municipalities in Egypt.

When Darius moved his capital from Pasargadae to Persepolis, he revolutionized the economy by placing it on a silver and gold coinage and introducing a regulated and sustainable tax system. This structure precisely tailored the taxes of each satrapy based on its projected productivity and economic potential. For example, Babylon was assessed for the highest amount of silver taxes, while Egypt owed grain in addition to silver taxes. (22)



Figure 3.6.1: Well preserved Achamenid reliefs from Persepolis by travelling runes is licensed under CC BY-SA 2.0

Behistun Inscription

Sometime after his coronation, Darius ordered an inscription to be carved on a limestone cliff of Mount Behistun in modern Iran. The Behistun Inscription, the text of which Darius wrote, came to have great linguistic significance as a crucial clue in deciphering cuneiform script.

The inscription begins by tracing the ancestry of Darius, followed by a description of a sequence of events following the deaths of the previous two Achaemenid emperors, Cyrus the Great and Cyrus's son, Cambyses II, in which Darius fought 19 battles in one year to put down numerous rebellions throughout the Persian lands.

The inscription, which is approximately 15 meters high and 25 meters wide, includes three versions of the text in three different cuneiform languages: Old Persian, Elamite and Babylonian, which was a version of Akkadian. Researchers were able to compare the scripts and use it to help decipher ancient languages, in this way making the Behistun Inscription as valuable to cuneiform as the Rosetta Stone is to Egyptian hieroglyphs. [22]



Figure 3.6.1: Bisotun Iran Relief Achamenid Period by Hara1603 is licensed under Public Domain

The Persian Empire After Darius I

Between c. 500–400 BCE, Darius the Great and his son, Xerxes I, ruled the Persian Plateau and all of the territories formerly held by the Assyrian Empire, including Mesopotamia, the Levant, and Cyprus. It eventually came to control Egypt, as well. This expansion continued even further afield with Anatolia and the Armenian Plateau, much of the Southern Caucasus, Macedonia, parts of Greece and Thrace, Central Asia as far as the Aral Sea, the Oxus and Jaxartes areas, the Hindu Kush and the western Indus basin, and parts of northern Arabia and northern Libya.

This unprecedented area of control under a single ruler stretched from the Indus Valley in the east to Thrace and Macedon on the northeastern border of Greece. At its height, the Achaemenid Empire ruled over 44% of the world's population, the highest such figure for any empire in history. (21)

Conclusion

After Cyrus II took Babylon, the bulk of Mesopotamia became part of the Persian Empire, and this period saw a rapid cultural decline, most notably in the loss of the knowledge of cuneiform script. The conquest of the Persians by Alexander the Great in 331 BCE brought Hellenization of the culture and religion, and even though Alexander tried to again make Babylon a city of consequence, its days of glory were a thing of the past. After his death, Alexander's general Seleucus took control of the region and founded the Seleucid Dynasty which ruled until 126 BCE when the land was conquered by the Parthians who were, in turn, dominated by the Sassanians (a people of Persian descent).

By the time of the conquest by the Roman Empire (116 CE), Mesopotamia was a largely Hellenized region, lacking in any unity, which had forgotten the old gods and the old ways. The Romans improved the infrastructure of their colonies significantly through their introduction of better roads and plumbing and brought Roman Law to the land. The entire culture of the region once known as Mesopotamia was swept away in the final conquest of the area by Muslim Arabs in the 7 th century CE which resulted in the unification of law, language, religion and culture under Islam. (13)

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4: ANCIENT EGYPT

4.1: About This Module
4.2: The Nile and Egyptian Religion
4.3: The New Kingdom and the Amarna Period
4.4: Pre-Dynastic Egypt and The Old Kingdom
4.5: The First and Second Intermediate Period

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4.1: About This Module

Topics Covered:

- Ancient Egyptian Civilization
  - Menkaure and his wife
  - Senusret
  - Hatshepsut
  - Akhenaten and Nefertiti
  - Creation Myth
  - Book of the Dead

This module introduces students to artistic, religious, and political expressions within Egyptian culture that developed between prehistory and the Hellenistic age. Students will determine what cultural artifacts such as the Narmer Palette and Ramses Great Temple tell us about their historical context. Students will demonstrate understanding of cultural expressions by distinguishing Amarna era art from the art of other Egyptian eras. Finally, students will also demonstrate proficiency in critical thought by assessing how far Pharaonic depictions remained the same from the Old Kingdom to the New Kingdom of Egypt. [1]

Learning Outcomes Related to this Module

1. Demonstrate proficiency in critical thinking
2. Recognize the relationships between cultural expressions and their contexts
3. Understand cultural expressions
4. Interpret and evaluate cultural artifacts and/or their contexts for significance

Objectives

Upon completion of this module, the student will be able to:

- Sort events in historical order from Egyptian and Mesopotamian civilization.
- Compare the role of the Nile in Egyptian culture with the role of the Tigris and Euphrates in Mesopotamian culture.
- Identify developments in Pyramid architecture within Egyptian culture.
- Identify key elements of religious belief in ancient Egypt.
- Identify distinctions between the Kingdom and Intermediate periods in Ancient Egypt.
- Identify how the Amarna period in ancient Egypt is distinct from prior dynastic periods.
- Identify major Egyptian figures and their achievements. [1]

Assigned Readings

- Learning Unit – Ancient Egypt

Assignments | Learning Activities

- Review Learning Unit
- Participate in Discussion 3
- Complete Timeline Assignment 3
- Complete Assessment Module 3

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4.2: The Nile and Egyptian Religion

Overview

Egypt is a country in North Africa, on the Mediterranean Sea, and is among the oldest civilizations on earth. The name 'Egypt' comes from the Greek Aegyptos which was the Greek pronunciation of the Egyptian name 'Hwt-Ka-Ptah' (which means "House of the Spirit of Ptah", who was a very early God of the Ancient Egyptians). In the early Old Kingdom, Egypt was simply known as 'Kemet' which means 'Black Land' so named for the rich, dark soil along the Nile River where the first settlements began.

Later, the country was known simply as Misr which means 'country', a name still in use by Egyptians for their nation in the present day. Egypt thrived for thousands of years (from c. 8,000 BCE to c. 525 BCE) as an independent nation whose culture was famous for great cultural advances in every area of human knowledge, from the arts to science to technology and religion. The great monuments which Egypt is still celebrated for reflect the depth and grandeur of Egyptian culture which influenced so many ancient civilizations, among them Greece and Rome. [23]

The Nile

The principle of harmony (known to the Egyptians as ma'at) was of the highest importance in Egyptian life (and in the afterlife) and their religion was fully integrated into every aspect of existence. The geography of Nile River may have influenced this belief. Unlike the Tigris and Euphrates which needed to be tamed on account of their unpredictable natures, the Nile's consistent rise in the middle of July and fall in September gave Egyptians a dependable source of nourishment for vegetation over the year.

Not surprisingly, the Egyptians came to believe that the gods caused the river's annual floods which deposited the fertile black soil along the arid banks. According to some myths, it was Isis who taught the people the skills of agriculture (in others, it is Osiris) and, in time, the people would develop canals, irrigation, and sophisticated systems to work the land. The Nile was also an important recreational resource for the Egyptians.

The river became known as the "Father of Life" and the "Mother of All Men" and was considered a manifestation of the god Hapi, who blessed the land with life, as well as with the goddess Ma'at, who embodied the concepts of truth, harmony, and balance. The Nile was also linked to the ancient goddesses Hathor and, later, as noted, with Isis and Osiris. The god Khnum, who became the god of rebirth and creation in later dynasties, was originally the god of the source of the Nile who controlled its flow and sent the necessary yearly flood which the people depended on to fertilize the land. [24][25]

Egyptian Religion

The Egyptian Gods

The first written records of religious practice in Egypt come from around 3400 BCE in the Predynastic Period of Egypt (6000-3150 BCE). Deities such as Isis, Osiris, Ptah, Hathor, Atum, Set, Nephthys, and Horus were already established as potent forces to be recognized fairly early on. The Egyptian Creation Myth is similar to the beginning of the Mesopotamian story in that, originally, there was only chaotic, slow-swirling waters. This ocean was without bounds, depthless, and silent until, upon its surface, there rose a hill of earth (known as the ben-ben, the primordial mound, which, it is thought, the pyramids symbolize) and the great god Atum (the sun) stood upon the ben-ben and spoke, giving birth to the god Shu (of the air) the goddess Tefnut (of moisture) the god Geb (of earth) and the goddess Nut (of sky). Atum had intended Nut as his bride but she fell in love with Geb. Angry with the lovers, Atum separated them by stretching Nut across the sky high away from Geb on the earth.

Although the lovers were separated during the day, they came together at night and Nut bore three sons, Osiris, Set and Horus, and two daughters, Isis and Nephthys. Osiris, as eldest, was announced as 'Lord of all the Earth' when he was born and was given his sister Isis as a wife. Set, consumed by jealousy, hated his brother and killed him to assume the throne. Isis then embalmed her husband's body and, with powerful charms, resurrected Osiris who returned from the dead to bring life to the people of Egypt. Osiris later served as the Supreme Judge of the souls of the dead in the Hall of Truth and, by weighing the heart of the soul in the balances, decided who was granted eternal life. [24]

The Egyptian Afterlife

The Egyptian afterlife was known as the Field of Reeds and was a mirror-image of life on earth down to one's favorite tree and stream and dog. Those one loved in life would either be waiting when one arrived or would follow after. The Egyptians viewed earthly existence as simply one part of an eternal journey and were so concerned about passing easily to the next phase that they created their elaborate tombs (the pyramids), temples, and funerary inscriptions (the Pyramid Texts, the Book of the Dead) to help the soul's passage from this world to the next.

The gods cared for one after death just as they had in life from the beginning of time. The goddess Qebhet brought water to the thirsty souls in the land of the dead and other goddesses such as Selket and Nephthys cared for and protected the souls as they journeyed to the Field of Reeds. An ancient Egyptian understood that, from birth to death and even after death, the universe had been ordered by the gods and everyone had a place in that order. (24)

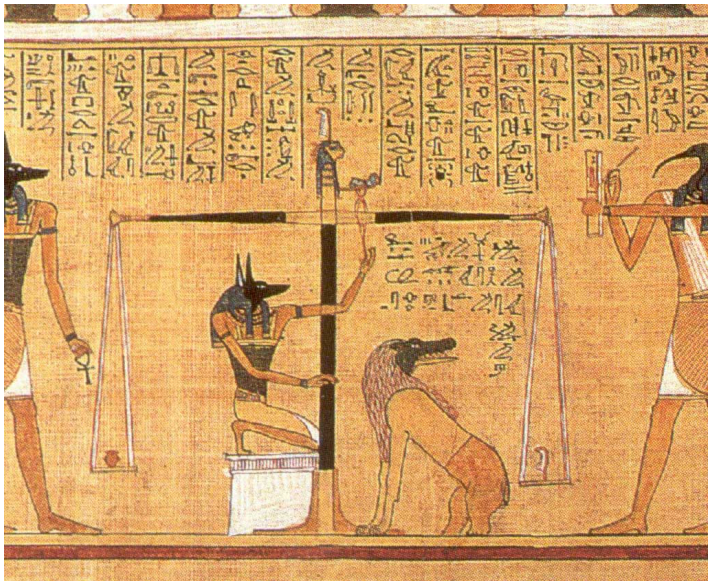


Figure 4.2.1: Weighing of the heart by National Geographic, Ancient Egyptians is licensed under Public Domain

The Book of the Dead

The Book of the Dead originated from concepts depicted in tomb paintings and inscriptions from as early as the Third Dynasty of Egypt (c. 2670 – 2613 BCE). By the 12 th Dynasty (1991 – 1802 BCE) these spells, with accompanying illustrations, were written on papyrus and placed in tombs and graves with the dead. The spells served as instructions for how the dead might overcome the perils of the afterlife. They also served, however, to provide the soul with fore-knowledge of what would be expected at every stage. According the Book, when a person died, they were guided by Anubis to the Hall of Truth (also known as The Hall of Two Truths) where they would make the Negative Confession (also known as The Declaration of Innocence). This was a list of 42 sins the person could honestly say they had never indulged in.

Once the Negative Confession was made, Osiris, Thoth, Anubis, and the Forty-Two Judges would confer and, if the confession was accepted, the heart of the deceased was then weighed in the balance against the white feather of Ma'at, the feather of truth. If the heart was found to be lighter than the feather, the soul passed on toward paradise; if the heart was heavier, it was thrown onto the floor where it was devoured by the monster goddess Ammut and the soul would cease to exist. (26)

With respect to the soul, the Egyptians believed it consisted of nine separate parts: the Khat was the physical body; the Ka one's double-form; the Ba a human-headed bird aspect which could speed between earth and the heavens; Shuyet was the shadow self; Akh the immortal, transformed self, Sahu and Sechem aspects of the Akh; Ab was the heart, the source of good and evil; Ren was one's secret name. All nine of these aspects were part of one's earthly existence and, at death, the Akh (with the Sahu and Sechem) appeared before the great god Osiris in the Hall of Truth and in the presence of the Forty-Two Judges to have one's heart (Ab) weighed in the balance on a golden scale against the white feather of truth. (27)

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4.3: The New Kingdom and the Amarna Period

The New Kingdom and the Amarna Period

Ahmose I initiated what is known as the period of the New Kingdom (1570– 1069 BCE) which again saw great prosperity in the land under a strong central government. The title of pharaoh for the ruler of Egypt comes from the period of the New Kingdom; earlier monarchs were simply known as kings. Many of the Egyptian sovereigns best known today ruled during this period and the majority of the great structures of antiquity such as the Ramesseum, Abu Simbel, the temples of Karnak and Luxor, and the tombs of the Valley of the Kings and Valley of the Queens come from this time. Between 1504-1492 BCE the pharaoh Tuthmosis I consolidated his power and expanded the boundaries of Egypt to the Euphrates River in the north, Syria and Palestine to the west, and Nubia to the south. His reign was followed by Queen Hatshepsut (1479–1458 BCE). [23]

Hatshepsut

Hatshepsut (1479–1458 BCE) was the first female ruler of ancient Egypt to reign as a male with the full authority of pharaoh. Her name means “Foremost of Noble Women” or “She is First Among Noble Women”. She began her reign as regent to her stepson Thuthmose III (1458– 1425 BCE) who would succeed her and, initially, ruled as a woman as depicted in statuary. In around the seventh year of her reign, however, she chose to be depicted as a male pharaoh in statuary and reliefs though still referring to herself as female in her inscriptions.



Figure 4.3.1: Hatshepsut by Postdlf is licensed under CC BY-SA 2.5



Figure 4.3.1: Granite sphinx bearing the likeness of the female pharaoh Hatshepsut by Keith Schengili-Roberts is licensed under CC BY-SA 2.5

Her temple at Deir el-Bahri remains one of the most impressive and often visited in Egypt. The lower terrace was lined with columns and a ramp led up to a second terrace which was equally impressive. The temple was decorated with statuary, reliefs, and inscriptions with her burial chamber carved out of the cliffs which form the back of the building. Hatshepsut's temple was so admired by the pharaohs who came after her that they increasingly chose to be buried nearby and this necropolis came to eventually be known as the Valley of the Kings. (35)

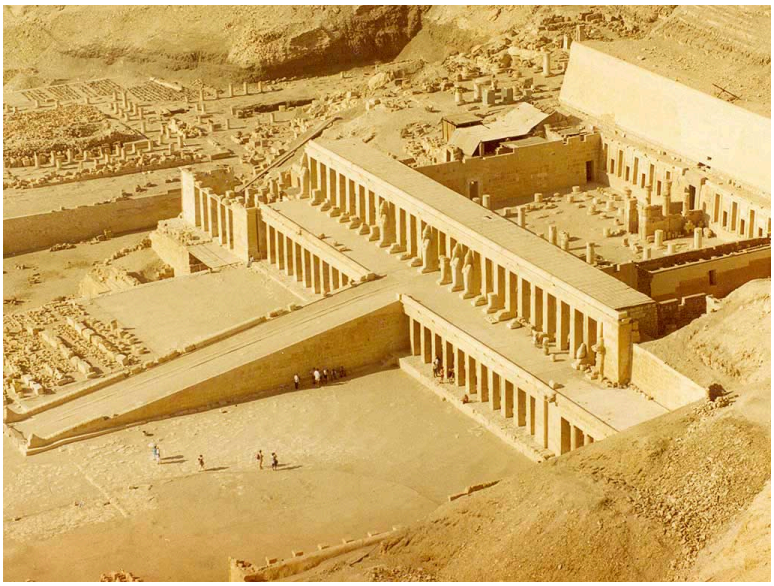


Figure 4.3.1: Temple of Hatshepsut. Original image by N/A. Uploaded by Joshua J. Mark is licensed under CC BY 3.0

Her successor, Tuthmosis III, carried on her policies (although he tried to eradicate all memory of her as, it is thought, he did not want her to serve as a role model for other women since only males were considered worthy to rule) and, by the time of his death in 1425 BCE, Egypt was a great and powerful nation. The prosperity led to, among other things, an increase in the brewing of beer in many different varieties and more leisure time for sports. Advances in medicine led to improvements in health. (23)

Amenhotep III

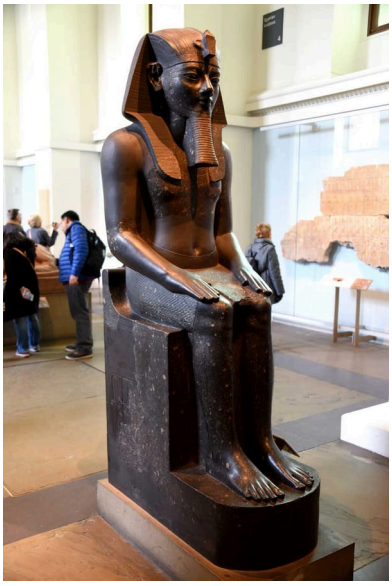


Figure 4.3.1: King Amenhotep III by Osama Shukir Muhammed Amin is licensed under CC BY-NC-SA 3.0

Amenhotep III (c. 1386–1353 BCE) was the ninth king of the 18 th dynasty of Egypt. Amenhotep's father, Tuthmosis IV, left his son an empire of immense size, wealth, and power. He was only twelve years old when he came to the throne and married Tiye in a royal ceremony. It is a significant aspect of Amenhotep's relationship with his wife that, immediately after their marriage, she was elevated to the rank of Great Royal Wife, an honor which Amenhotep's mother, Mutemwiya, was never accorded and which effectively meant that Tiye outranked the king's mother in courtly matters.

Amenhotep III's vision was of an Egypt so splendid that it would leave one in awe, and the over 250 buildings, temples, statuary, and stele he ordered constructed attest to his success in this. The statues which Durant mentions are today known as the Colossi of Memnon and are the only pieces left of Amenhotep III's mortuary temple. Their immense size and intricacy of detail, however, suggest that the temple itself – and his other building projects no longer extant – were equally or even more impressive.

There was another power in Egypt which had been growing long before Amenhotep III came to the throne: the cult of Amun. Land ownership meant wealth in Egypt and, by Amenhotep III's time, the priests of Amun owned almost as much land as the king. In accordance with traditional religious practice, Amenhotep III did nothing to interfere with the work of the priests, but it is thought that their immense wealth, and threat to the power of the throne, had a profound effect on his son. The god Aten was only one of many gods worshipped in ancient Egypt but, for the royal family, he had a special significance which would later become manifest in the religious edicts of Akhenaten. The cult of Amun continued to grow and amass wealth and, in doing so, continued to pose a threat to the royal family and the authority of the throne. (36)

Akhenaten



Figure 4.3.1: Amenhotep IV/Akhenaten by Paul Mannix is licensed under CC BY 2.0

Akhenaten (r. 1353–1336 BCE) was a pharaoh of Egypt of the 18 th Dynasty. His reign as Amenhotep IV lasted five years during which he followed the policies of his father and the religious traditions of Egypt. However, in the fifth year, he underwent a dramatic religious transformation, changed his devotion from the cult of Amun to that of Aten. He then moved his seat of power from the traditional palace at Thebes to one he built at the city he founded, Akhetaten, changed his name to Akhenaten, and continued the religious reforms which resulted in his being despised as `the heretic king' by some later writers while admired as a champion of monotheism by others. His religious reforms were not without controversy at the time.

To be sure, the polytheism of the ancient Egyptians encouraged a world view where peace and balance were emphasized and religious tolerance was not considered an issue; there is not even a word directly corresponding to the concept of `religious tolerance' in the ancient Egyptian texts. A hallmark of any monotheistic belief system, however, is that it encourages the belief that, in order for it to be right, other systems must necessarily be wrong; and this insistence on being the sole administrator of ultimate truth leads to intolerance of other beliefs and their suppression; this is precisely what happened in Egypt. The names of the god Amun and the other gods were chiseled from monuments throughout Egypt, the temples were closed, and the old practices outlawed.

The Amarna Letters, (correspondence found in the city of Amarna between the kings of Egypt and those of foreign nations) which provide evidence of Akhenaten's negligence, also show him to have a keen sense of foreign policy when the situation interested him. He strongly rebuked Abdiashirta for his actions against Ribaddi and for his friendship with the Hittites who were then Egypt's enemy. While there are, then, examples of Akhenaten looking after state affairs, there are more which substantiate the claim of his disregard for anything other than his religious reforms and life in the palace.



Figure 4.3.1: Sixth Armana Letter Tablet by Osama Shukir Muhammed Amin | CC BY-NC-SA 3.0



Figure 4.3.1: Akhenaten by Maksim is licensed under Public Domain

Unlike the images from other dynasties of Egyptian history, the art from the Amarna Period depicts the royal family with elongated necks and arms and spindly legs. Scholars have theorized that perhaps the king "suffered from a genetic disorder called Marfan's syndrome" (Hawass, 36) which would account for these depictions of him and his family as so lean and seemingly oddly-proportioned. A much more likely reason for this style of art, however, is the king's religious beliefs. The Aten was seen as the one true god who presided over all and infused all living things. It was envisioned as a sun disk whose rays ended in hands touching and caressing those on earth.

Perhaps, then, the elongation of the figures in these images was meant to show human transformation when touched by the power of the Aten. The famous Stele of Akhenaten, depicting the royal family, shows the rays of the Aten touching them all and each of them, even Nefertiti, depicted with the same elongation as the king. To consider these images as realistic depictions of the royal family, afflicted with some disorder, seems to be a mistake in that there would be no reason for Nefertiti to share in the king's supposed disorder. The depiction, then, could illustrate Akhenaten and Nefertiti as those who had been transformed to god-like status by their devotion to the Aten to such an extent that their faith is seen even in their children. [37]

King Tutankhamun



Figure 4.3.1: Tutankhamun & Ankhsenamun by Pataki Márta is licensed under CC BY-NC-SA 3.0

Akhenaten's reign was followed by his son, the most recognizable Egyptian ruler in the modern day, Tutankhamun, who reigned from 1336–1327 BCE. He was originally named `Tutankhaten' to reflect the religious beliefs of his father. Upon assuming the throne, he deemed it was necessary to restore harmony in ancient Egypt by reinstating the traditional beliefs and practices. Thus, he changed his name to `Tutankhamun' to honor the ancient god Amun. He restored the ancient temples, removed all references to his father's single deity, and returned the capital to Thebes.

King Tutankhamun's reign was mysteriously cut short by an early death. His fame today rests mainly on the magnificent artifacts found in his tomb and the sensational discovery (which was headline news worldwide) on 4 November 1922 CE. The `Mummy's Curse', or `Curse of Tutankhamun', has only amplified his celebrity. (38)

Ramesses II

The greatest ruler of the New Kingdom, however, was Ramesses II (also known as Ramesses the Great, 1279–1213 BCE). Ramesses was the son of Seti I and Queen Tuya and accompanied his father on military campaigns in Libya and Palestine at the age of 14. By the age of 22 Ramesses was leading his own campaigns in Nubia with his own sons and was named co-ruler with Seti. After the death of Seti I in 1290 BCE, Ramesses assumed the throne and at once began military campaigns to restore the borders of Egypt, ensure trade routes, and take back from the Hittites what he felt rightfully belonged to him.

In the second year of his reign, Ramesses defeated the Sea Peoples off the coast of the Nile Delta. Ramesses next launched a military campaign into Canaan which had been a Hittite vassal state since the reign of the Hittite king Suppiluliuma I. This campaign was successful and Ramesses returned home with plunder and Canaanite (and probably Hittite) royalty as prisoners. In late 1275 BCE, Ramesses prepared his army to march on Kadesh and waited only for the omens to be auspicious and word from his spies in Syria as to the enemy's strength and position. In 1274 BCE, when all seemed in his favor, he led some twenty thousand men into battle. According to his own reports, it was only owing to his own personal courage and calm in battle (and the goodwill of the gods) that he was able to turn the tide against the Hittites.

After the Battle of Kadesh, Ramesses devoted himself to improving Egypt's infrastructure, strengthening its borders, and commissioning vast building projects commemorating his victory of 1274 and his other accomplishments. One of those building projects was that of the Abu Simble temple complex. (39)

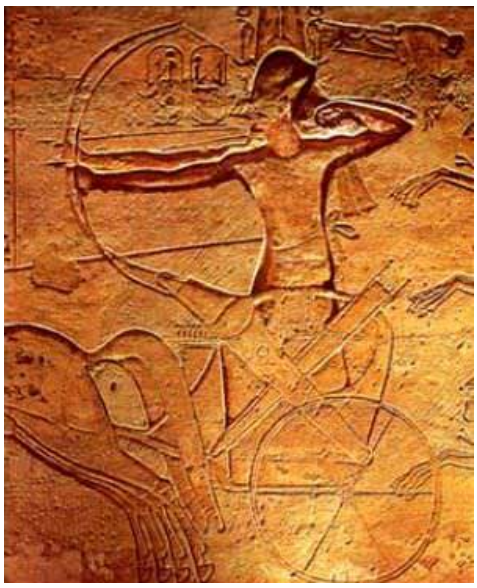


Figure 4.3.1: Ramesses II at The Battle of Kadesh by Cave cattum is licensed under CC BY-SA 3.0

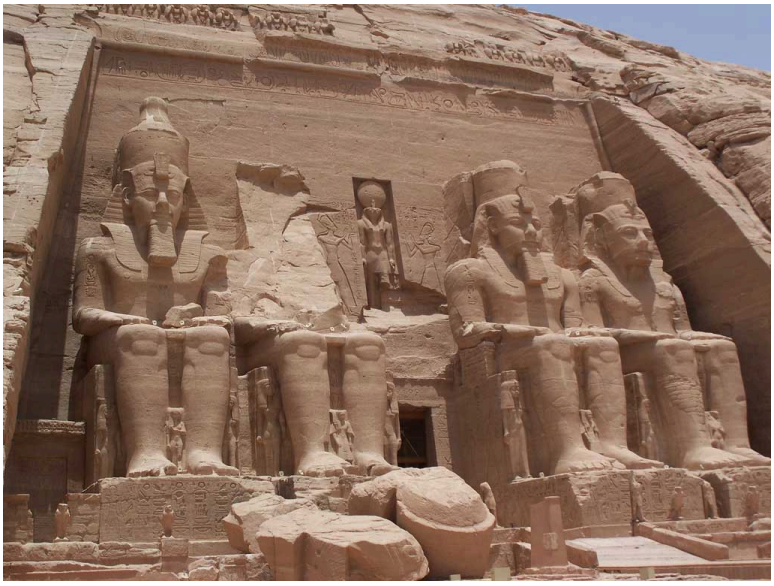


Figure 4.3.1: Abu Simbel Temple of Ramesses II by Than217 is licensed under Public Domain

The Great Temple stands 98 feet high and 115 feet long with four seated colossi flanking the entrance, two to each side, depicting Ramesses II on his throne; each one 65 feet tall. Beneath these giant figures are smaller statues (still larger than life-sized) depicting Ramesses' conquered enemies, the Nubians, Libyans, and Hittites. Further statues represent his family members and various protecting gods and symbols of power. Passing between the colossi, through the central entrance, the interior of the temple is decorated with engravings showing Ramesses and Nefertari paying homage to the gods. Ramesses' great victory at Kadesh (considered by modern scholars to be more of a draw than an Egyptian triumph) is also depicted in detail across the north wall of the Hypostyle Hall. The Small Temple stands nearby at a height of 40 feet and 92 feet long. This temple is also adorned by colossi across the front facade, three on either side of the doorway, depicting Ramesses and his queen Nefertari (four statues of the king and two of the queen) at a height of 32 feet. [40]

Although Ramesses has been popularly associated with the pharaoh of the biblical Book of Exodus, there is absolutely no evidence to support this claim. Extensive archaeological excavations at Giza and elsewhere throughout Egypt have unearthed

ample evidence that the building projects completed under the reign of Ramesses II (and every other king of Egypt) used skilled and unskilled Egyptian laborers who were either paid for their time or who volunteered as part of their civic duty. The custom of Egyptian citizens volunteering their time to work on the king's building projects is well documented and it was even thought that, in the afterlife, souls would be called upon to work for Osiris, Lord of the Dead, on the building projects he would want. (39)

The Decline of Egypt and the Rise of Alexander the Great

His successor, Ramesses III, followed his policies but, by this time, Egypt's great wealth had attracted the attention of the Sea Peoples who began to make regular incursions along the coast. The Sea Peoples, like the Hyksos, are of unknown origin but are thought to have come from the southern Aegean area. Between 1276–1178 BCE the Sea Peoples were a threat to Egyptian security (Ramesses II had defeated them in a naval battle early in his reign). After his death, however, they increased their efforts, sacking Kadesh, which was then under Egyptian control, and ravaging the coast. Between 1180–1178 BCE Ramesses III fought them off, finally defeating them at the Battle of Xois in 1178 BCE.

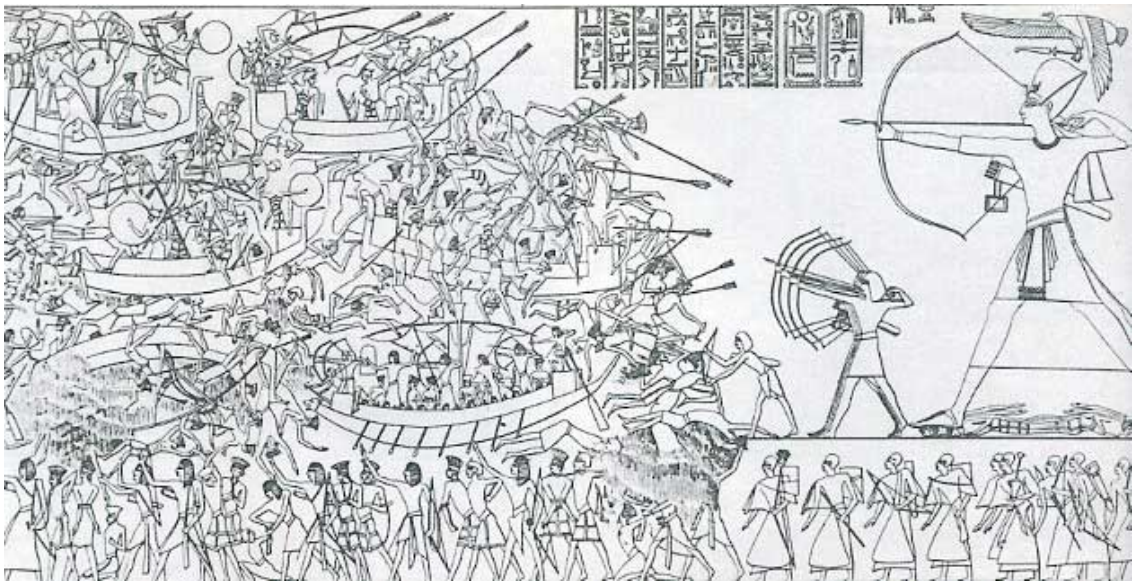


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Following the reign of Ramesses III, his successors attempted to maintain his policies but increasingly met with resistance from the people of Egypt, those in the conquered territories, and, especially, the priestly class. In the years after Tutankhamun had restored the old religion of Amun, and especially during the great time of prosperity under Ramesses II, the priests of Amun had acquired large tracts of land and amassed great wealth which now threatened the central government and disrupted the unity of Egypt. By the time of Ramesses XI (1107–1077 BCE), the end of the 20 th Dynasty, the government had become so weakened by the power and corruption of the clergy that the country again fractured and central administration collapsed, initiating the so-called Third Intermediate Period of 1069–525 BCE. (23)

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4.4: Pre-Dynastic Egypt and The Old Kingdom

Pre-Dynastic Egypt

Hunter-gathering nomads sought the cool of the water source of the Nile River Valley and began to settle in the region sometime prior to 6000 BCE. Organized farming began in the region c. 5000 BCE and communities known as the Badarian Culture began to flourish alongside the river. Industry developed at about this same time as evidenced by faience workshops discovered at Abydos dating to c. 5500 BCE. The Badarian were followed by the Amratian, the Gerzean, and the Naqada cultures (also known as Naqada I, Naqada II, and Naqada III), all of which contributed significantly to the development of what became Egyptian civilization.

The written history of the land begins at some point between 3400 and 3200 BCE when Hieroglyphic Script is developed by the Naqada Culture III. By 3500 BCE mummification of the dead was in practice at the city of Hierakonpolis and large stone tombs built at Abydos. As in other cultures world-wide, the small agrarian communities became centralized and grew into larger urban centers. (23)



Figure 4.4.1: The Narmer Palette by unknown author from Wikimedia is licensed under Public Domain

Over time, Egypt became divided into Upper (the south) and Lower (the north, closer to the Mediterranean Sea) divisions. Upper Egypt was more urbanized with cities like Thinis, Hierakonpolis, and Naqda developing fairly rapidly. Lower Egypt was more rural (generally speaking) with rich agricultural fields stretching up from the Nile River. Both regions developed steadily over thousands of years throughout the Predynastic Period of Egypt until trade with other cultures and civilizations led to increased development of Upper Egypt who then conquered its neighbor most likely for grains or other agricultural crops to feed the growing population or to trade. The Narmer Palette remembers king Narmer as the ruler to successfully unify the regions Upper and Lower Egypt.

The Narmer Palette is an Egyptian ceremonial engraving, a little over two feet (64 cm) tall and shaped like a chevron shield, depicting the First Dynasty king Narmer conquering his enemies and uniting Upper and Lower Egypt. It features some of the earliest hieroglyphics found in Egypt and dates to c. 3200-3000 BCE. On one side, Narmer is depicted wearing the war crown of Upper Egypt and the red wicker crown of Lower Egypt which signifies that Lower Egypt fell to him in conquest. Beneath this scene is the largest engraving on the palette of two men entwining the serpentine necks of unknown beasts. These creatures have been interpreted as representing Upper and Lower Egypt but there is nothing in this section to justify that interpretation. The other side of the palette (considered the back side) is a single, cohesive image of Narmer with his war club about to strike down an enemy he holds by the hair. Beneath his feet are two other men either dead or attempting to escape his wrath. (28)

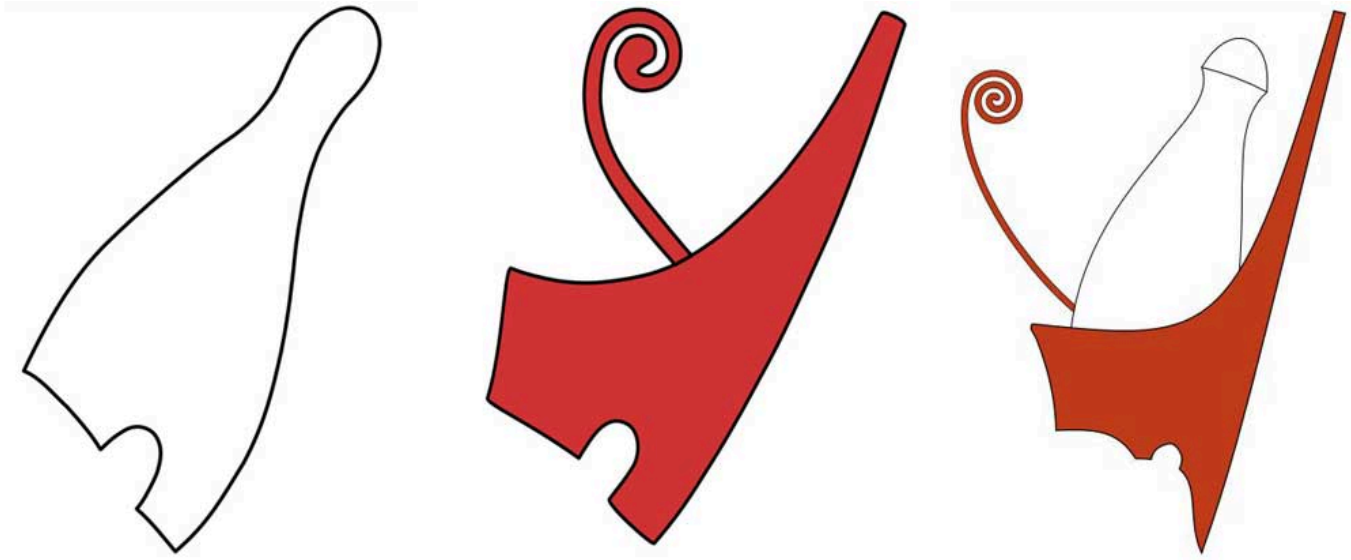


Figure 4.4.1 From left to right: Hedjet by Käyttäjä:Kompak is licensed under CC BY-SA 3.0, Deshret by Käyttäjä:Kompak is licensed under CC BY-SA 3.0, Double crown by Jeff Dahl is licensed under CC BY-SA 3.0

The Old Kingdom

The Old Kingdom is the name commonly given to the period from the Third Dynasty through the Sixth Dynasty (2686-2181 BCE), when Egypt gained in complexity and achievement. The Old Kingdom is the first of three so-called “Kingdom” periods that mark the high points of civilization in the Nile Valley. During this time, a new type of pyramid (the step) was created, as well as many other massive building projects, including the Sphinx. Additionally, trade became more widespread, new religious ideas were born, and the strong centralized government was subtly weakened and finally collapsed.

The king (not yet called Pharaoh) of Egypt during this period resided in the new royal capital, Memphis. He was considered a living god, and was believed to ensure the annual flooding of the Nile. This flooding was necessary for crop growth. The Old Kingdom is perhaps best known for a large number of pyramids, which were constructed as royal burial places. Thus, the period of the Old Kingdom is often called “The Age of the Pyramids.”

Egypt’s Old Kingdom was also a dynamic period in the development of Egyptian art. Sculptors created early portraits, the first life-size statues, and perfected the art of carving intricate relief decoration. These had two principal functions: to ensure an ordered existence, and to defeat death by preserving life in the next world. [29]

Death and Burial in the Old Kingdom

The first notable king of the Old Kingdom was Djoser (reigned from 2691- 2625 BCE).

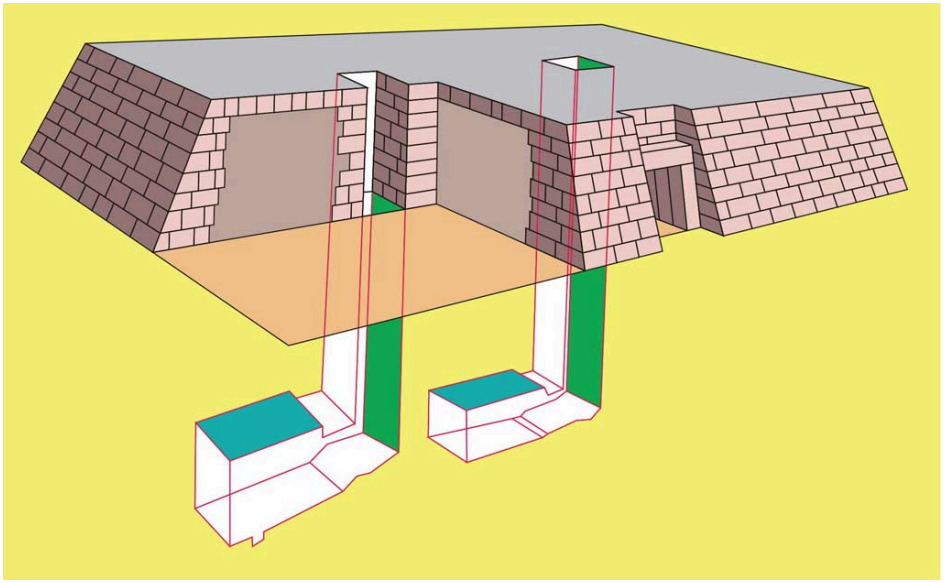


Figure 4.4.1: Schematic of an Egypt Mastaba from the Old Kingdom originally uploaded by Oesermaatra00069 is licensed under CC BY-SA 3.0



Figure 4.4.1: Example of a Mastaba by Jon Bodsworth is licensed under CC BY-SA 3.0

During the Old Kingdom, royal mastabas eventually developed into rock-cut “step pyramids” and then “true pyramids,” although non-royal use of mastabas continued to be used for more than a thousand years. As the pyramids were constructed for the kings, mastabas for lesser royals were constructed around them. The interior walls of the tombs were decorated with scenes of daily life and funerary rituals. Because of the riches included in graves, tombs were a tempting site for grave-robbers. The increasing size of the pyramids is in part credited to protecting the valuables within, and many other tombs were built into rock cliffs in an attempt to thwart grave robbers. [30]



Figure 4.4.1: Djoser's stepped pyramid in Egypt by Charlesjsharp is licensed under CC BY-SA 3.0

The first king to launch a major pyramid building project was King Djoser, who ruled in the 3 rd Dynasty. By 2611, the famed Egyptian architect Imhotep had constructed the famous "Step Pyramid" for the king at Saqqara, not far from the capital city of Memphis (near modern-day Cairo). In the following dynasties, the pyramid design changed from the "step" pyramid to a true pyramid shape as kings continued to build tombs for their kings. Among these, the Pyramids of Giza are considered the greatest architectural achievement of the time (30)

Pyramid Construction

The Old Kingdom and its royal power reached a zenith under the Fourth Dynasty, which began with Sneferu (2613â€"2589 BCE). Using a greater mass of stones than any other king, he built three pyramids: Meidum, the Bent Pyramid, and the Red Pyramid. He also sent his military into Sinai, Nubia and Libya, and began to trade with Lebanon for cedar. (29)



Figure 4.4.1: Pyramid of Meidum by Jon Bodsworth is licensed under Public Domain

The pyramid of Meidum is the first true pyramid constructed in Egypt but did not last. This is because modifications were made to Imhotep's original pyramid design which resulted in the outer casing resting on a sand foundation rather than rock, causing it to collapse. [31]



Figure 4.4.1: Bent Pyramid. Original image by Chanel Wheeler. Uploaded by Ibolya Horvath is licensed under CC BY-SA 3.0

The Bent Pyramid is so called because it rises at a 55-dgree angle and then shifts to 43 degrees of smaller stones giving it the appearance of bending in toward the top. The workers had completed the foundation and the sides before realizing that a 55-degree angle was too steep and modified their plan to finish the project as best they could. Sneferu seems to have understood the problem and moved on to build his third pyramid. [31]

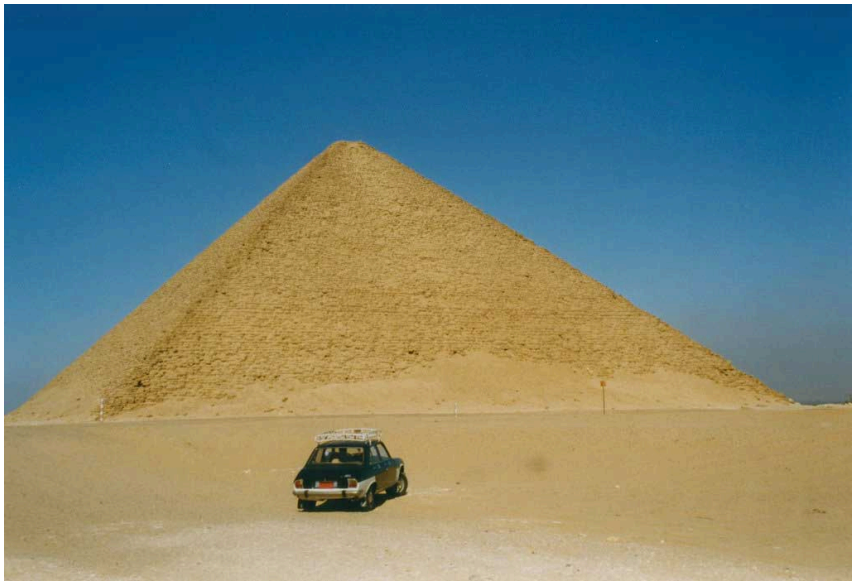


Figure 4.4.1: Red Pyramid. Original image by Arian Zwegers. Uploaded by Ibolya Horvath is licensed under CC BY-SA 3.0

The Red Pyramid (so called because of the use of reddish limestone in construction) was built on a solid base for greater stability, rising at a 43-degree angle. 344 feet (105 meters) high, the Red Pyramid was the first successful true pyramid built in Egypt. Originally it was encased in white limestone, as the other later pyramids were also, which fell away over the centuries and were harvested by locals for other building projects. [31]



Figure 4.4.1: The six Pyramids of Giza by Ricardo Liberato is licensed under CC BY-SA 2.0

The Pyramids of Giza, also known as the Giza Necropolis, are one of the oldest remaining wonders of the world. The Necropolis includes three pyramid complexes: the Great Pyramid (built by King Khufu of the 4 th Dynasty); the somewhat smaller Pyramid of Khafre (buit by Khufu's son); and the relatively modest-sized Pyramid of Menkaure. The Necropolis also includes several cemeteries, a workers' village, an industrial complex, and a massive sculpture known as the Great Sphinx. The Great Sphinx is a limestone statue of a reclining sphinx—a mythical creature with a lion's body and a human head. It is commonly believed that the head is that of King Khafra, who ruled during the 4 th dynasty. It is the largest monolith statue in the world, standing 241 ft long, 63 ft wide, and 66.34 ft high. [30]

Considering the technology of the day, some have argued, a monument such as the Great Pyramid of Giza should not exist. Others claim, however, that the existence of such buildings and tombs suggest superior technology which has been lost to time. Most modern scholars today reject the claim that the pyramids and other monuments were built by slave labor, and recent archaeological excavations in and around Giza support this view. Such monuments were considered public works created for the state and used both skilled and unskilled Egyptian workers in construction who were paid for their labor [23]

Sculpture During the Old Kingdom



Figure 4.4.1: Statue of king Menkaure and his queen, Khamerernebty II by Keith Schengili-Roberts is licensed under CC BY-SA 2.5

Egyptian sculptors created the first life-sized statues and fine reliefs in stone, copper, and wood. They perfected the art of carving intricate relief decoration and produced detailed images of animals, plants, and even landscapes, recording the essential elements of their world for eternity in scenes painted and carved on the walls of temples and tombs. Kings used reliefs to record victories in battle, royal decrees, and religious scenes, and sculptures of kings, goddesses, and gods were common as well. Sculptures from the Old Kingdom are characteristically more natural in style than their predecessors. Toward the end of the Old Kingdom, images of people shifted toward formalized nude figures with long bodies and large eyes.

While most sculptures were made of stone, wood was sometimes used as a cheap and easily carved substitute. Paints were obtained from minerals such as iron ores (red and yellow ochres), copper ores (blue and green), soot or charcoal (black), and limestone (white). Paints could be mixed with gum arabic as a binder and pressed into cakes, which could be moistened with water when needed.

By the Fourth Dynasty, the idea of the ka statue was firmly established. Typically made of wood or stone, these statues were placed in tombs as a resting place for the ka, or spirit, of the person after death. Other sculptural works served as funerary art, accompanying the deceased in burial tombs with the intention of preserving life after death. Strict conventions that changed very little over the course of Egyptian history were intended to convey the timeless and non-aging quality of the figure's ka. (32)

Close of the Old Kingdom

The enormous resources required for these projects ran out as the Old Kingdom went on. It was not just a problem of what it cost to build the pyramid complexes but also a matter of maintaining them. The maintenance was left to the priests of the complexes and the local official, the *nomarch* , of the region, who received money from the royal treasury. As more money went to the districts from the capital at Memphis, those districts naturally increased in wealth, and with the rise in popularity of the Cult of the Sun God Ra, the priests gained more wealth and power. This situation, combined with others of the time, brought about the end of the Old Kingdom. (33)

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4.5: The First and Second Intermediate Period

The First Intermediate Period and the Middle Kingdom of Egypt



Figure 4.5.1: Statue of Mentuhotep II by Keith Schengili-Robertson is licensed under CC BY-SA 2.5

Toward the end of the First Intermediate Period, Mentuhotep II and his successors unified Egypt under a single rule, and commanded such faraway locations as Nubia and the Sinai. He reigned for 51 years and restored the cult of the ruler, considering himself a god and wearing the headdresses of Amun and Min. His descendants ruled Egypt, until a vizier, Amenemhet I, came to power and initiated the Twelfth Dynasty.

From the Twelfth dynasty onward, pharaohs often kept well-trained standing armies, which formed the basis of larger forces raised for defense against invasion, or for expeditions up the Nile or across the Sinai. However, the Middle Kingdom remained defensive in its military strategy, with fortifications built at the First Cataract of the Nile, in the Delta and across the Sinai Isthmus.

Amenemhet I never held the absolute power commanded, in theory, by the Old Kingdom pharaohs. During the First Intermediate Period, the governors of the nomes of Egypt — nomarchs — gained considerable power. To strengthen his position, Amenemhet required registration of land, modified nome borders, and appointed nomarchs directly when offices became vacant. Generally, however, he acquiesced to the nomarch system, creating a strongly feudal organization.

In his 20 th regnal year, Amenemhat established his son, Senusret I, as his co-regent. This instituted a practice that would be used throughout the Middle and New Kingdoms. The reign of Amenemhat II, successor to Senusret I, has been characterized as largely peaceful. It appears Amenemhet allowed nomarchs to become hereditary again. In his 33 rd regnal year, he appointed his son, Senusret II, co-regent.

There is no evidence of military activity during the reign of Senusret II. Senusret instead appears to have focused on domestic issues, particularly the irrigation of the Faiyum. He reigned only fifteen years, and was succeeded by his son, Senusret III. [34]



Figure 4.5.1: Statues of the pharaoh Sesotris III by Captmondo is licensed under CC BY-SA 3.0

Senusret III was a warrior-king, and launched a series of brutal campaigns in Nubia. After his victories, Senusret built a series of massive forts throughout the country as boundary markers; the locals were closely watched.

Domestically, Senusret has been given credit for an administrative reform that put more power in the hands of appointees of the central government. Egypt was divided into three warets, or administrative divisions: North, South, and Head of the South (perhaps Lower Egypt, most of Upper Egypt, and the nomes of the original Theban kingdom during the war with Herakleopolis, respectively). The power of the nomarchs seems to drop off permanently during Sensuret's reign, which has been taken to indicate that the central government had finally suppressed them, though there is no record that Senusret took direct action against them.

The reign of Amenemhat III was the height of Middle Kingdom economic prosperity, and is remarkable for the degree to which Egypt exploited its resources. Mining camps in the Sinai, that had previously been used only by intermittent expeditions, were operated on a semi-permanent basis. After a reign of 45 years, Amenemhet III was succeeded by Amenemhet IV, under whom dynastic power began to weaken. Contemporary records of the Nile flood levels indicate that the end of the reign of Amenemhet III was dry, and crop failures may have helped to destabilize the dynasty. Furthermore, Amenemhet III had an inordinately long reign, which led to succession problems. Amenemhet IV was succeeded by Sobekneferu, the first historically attested female king of Egypt, who ruled for no more than four years. She apparently had no heirs, and when she died the Twelfth Dynasty came to a sudden end. (34)

Decline into the Second Intermediate Period

After the death of Sobeknefru, Egypt was ruled by a series of ephemeral kings for about 10-15 years. Ancient Egyptian sources regard these as the first kings of the Thirteenth Dynasty.

After the initial dynastic chaos, a series of longer reigning, better attested kings ruled for about 50-80 years. The strongest king of this period, Neferhotep I, ruled for 11 years, maintained effective control of Upper Egypt, Nubia, and the Delta, and was even recognized as the suzerain of the ruler of Byblos. At some point during the Thirteenth Dynasty, the provinces of Xois and Avaris began governing themselves. Thus began the final portion of the Thirteenth Dynasty, when southern kings continued to reign over Upper Egypt; when the unity of Egypt fully disintegrated, however, the Middle Kingdom gave way to the Second Intermediate Period. (34)

The Second Intermediate Period in Egypt



Figure 4.5.1: Ibscha Relief Chnumhotep II by NebMaatRa is licensed under CC BY-SA 3.0

The Hyksos are a mysterious people, most likely from the area of Syria/Palestine, who first appeared in Egypt c. 1800 and settled in the town of Avaris. While the names of the Hyksos kings are Semitic in origin, no definite ethnicity has been established for them. The Hyksos grew in power until they were able to take control of the whole of Lower Egypt by c. 1720 BCE, rendering the Theban Dynasty of Upper Egypt a vassal state and the pharaoh no more than a figure head. This era is known as The Second Intermediate Period (c. 1782- c.1570 BCE). While the Hyksos (whose name simply means `foreign rulers') were hated by the Egyptians, they introduced a great many improvements to the culture such as the composite bow, the horse, and the chariot along with crop rotation and developments in bronze and ceramic works.

By 1700 BCE the Kingdom of Kush had risen to the south of Thebes in Nubia and allied themselves with the Hyksos rulers against the Kingdom of Thebes. The Egyptians mounted a number of campaigns to drive the Hyksos out and subdue the Nubians but all failed until Ahmose I, who had been a soldier in the Theban army, finally succeeded c. 1555/50 BCE. [23]

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5: ANCIENT GREECE

5.1: About This Module
5.2: Cycladic, Minoan, and Mycenaean Civilization
5.3: The Greek Dark Ages, Classical Greece, and the Rise of Athens
5.4: Greek Religion, Philosophy, and Sculpture
5.5: The Hellenistic Age

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5.1: About This Module

Topics Covered:

- Archaic, Classical, Hellenistic Greek Civilization to Include
  - Archaic, Classical, and Hellenistic Architecture A
  - Archaic, Classical, and Hellenistic Art such as the Parthenon
  - Archaic, Classical, and Philosophy such as the Pre-Socratics and Socratics
  - The Greek City States
  - The Persian and Peloponnesian Wars

This module introduces students to artistic, religious, and political expressions within Greek culture that developed between the Archaic Greek era to the end of the Hellenistic age. Students will determine what cultural artifacts such as the Parthenon and the Boxer tell us about their historical contexts. Students will demonstrate understanding of cultural expressions by drawing distinctions between the different eras of Greek art as well as the different Greek philosophical schools. Finally, students will recognize the contribution of the Greeks to the democratic style of governance.

Learning Outcomes Related to this Module

1. Demonstrate proficiency in critical thinking
2. Recognize the relationships between cultural expressions and their contexts
3. Understand cultural expressions
4. Interpret and evaluate cultural artifacts and/or their contexts for significance
5. Recognize the important contributions of the classical world; understand and analyze specific primary texts from the classical world

Objectives

Upon completion of this module, the student will be able to:

- Sort events in historical order from Greek civilization.
- Identify geographic regions impacted by Greek culture and civilization.
- Identify features of pre-Archaic and Archaic Greek civilization and culture.
- Draw distinctions between the various Pre -Socratics, Sophists, and Socratic schools of thought.
- Identify characteristics of the Athenian democratic system.
- Identify historical moments that resulted in the rise and fall of Athenian influence in Greece.
- Draw distinctions between Classical Greek and Hellenistic Greek sculpture.
- Identify major Greek figures and their achievements.

Assigned Readings

- Learning Unit – Greek Culture

Assignments | Learning Activities

- Review Learning Unit
- Participate in Discussion 4
- Complete Timeline Assignment 4
- Complete Assessment Module 4
- Submit Capstone Project | Draft Paper

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5.2: Cycladic, Minoan, and Mycenaean Civilization

Geography of Greece

Greece is a country in southeastern Europe, known in Greek as Hellas or Ellada, and consisting of a mainland and an archipelago of islands. Greece is the birthplace of Western philosophy (Socrates, Plato, and Aristotle), literature (Homer and Hesiod), mathematics (Pythagoras and Euclid), history (Herodotus), drama (Sophocles, Euripedes, and Aristophanes), the Olympic Games, and democracy. The concept of an atomic universe was first posited in Greece through the work of Democritus and Leucippus.

The process of today's scientific method was first introduced through the work of Thales of Miletus and those who followed him. The Latin alphabet also comes from Greece, having been introduced to the region by the Phoenicians in the 8 th century BCE, and early work in physics and engineering was pioneered by Archimedes, of the Greek colony of Syracuse, among others.

Mainland Greece is a large peninsula surrounded on three sides by the Mediterranean Sea (branching into the Ionian Sea in the west and the Aegean Sea in the east) which also comprises the islands known as the Cyclades and the Dodecanese (including Rhodes), the Ionian islands (including Corcyra), the isle of Crete, and the southern peninsula known as the Peloponnese.

The geography of Greece greatly influenced the culture in that, with few natural resources and surrounded by water, the people eventually took to the sea for their livelihood. Mountains cover eighty percent of Greece and only small rivers run through a rocky landscape which, for the most part, provides little encouragement for agriculture. Consequently, the early Greeks colonized neighboring islands and founded settlements along the coast of Anatolia (also known as Asia Minor, modern day Turkey). The Greeks became skilled seafaring people and traders who, possessing an abundance of raw materials for construction in stone, built some of the most impressive structures in antiquity.

Cycladic Greek Civilization

Greek history is most easily understood by dividing it into time periods. The region was already settled, and agriculture initiated, during the Paleolithic era as evidenced by finds at Petralona and Franchthi caves (two of the oldest human habitations in the world). The Neolithic Age (c. 6000 – c. 2900 BCE) is characterized by permanent settlements (primarily in northern Greece), domestication of animals, and the further development of agriculture.

Archaeological finds in northern Greece (Thessaly, Macedonia, and Sesklo, among others) suggest a migration from Anatolia in that the ceramic cups and bowls and figures found there share qualities distinctive to Neolithic finds in Anatolia. These inland settlers were primarily farmers, as northern Greece was more conducive to agriculture than elsewhere in the region, and lived in one-room stone houses with a roof of timber and clay daubing.

The Cycladic Civilization (c. 3200-1100 BCE) flourished in the islands of the Aegean Sea (including Delos, Naxos and Paros) and provides the earliest evidence of continual human habitation in that region. During the Cycladic Period, houses and temples were built of finished stone and the people made their living through fishing and trade. This period is usually divided into three phases: Early Cycladic, Middle Cycladic, and Late Cycladic with a steady development in art and architecture. The latter two phases overlap and finally merge with the Minoan Civilization, and differences between the periods become indistinguishable.

Minoan Civilization

The Minoan Civilization (c. 2700-1500 BCE) developed on the island of Crete, and rapidly became the dominant sea power in the region. Under the rule of King Minos, the city of Knossos flourished through maritime trade as well as overland commerce with the other great cities of Crete: Kato Sakro (Phaestos) and Mallia. The Minoans developed a writing system known as Linear A (which has not yet been deciphered) and made advances in ship building, construction, ceramics, the arts and sciences, and warfare. King Minos was credited by ancient historians (Thucydides among them) as being the first person to establish a navy with which he colonized, or conquered, the Cyclades.

The Palace at Knossos



Figure 5.2.1: The North Portico in Knossos by Bernard Gagno is licensed under CC BY-SA 3.0

This first palace was destroyed around 1700 BCE and re-built on a grander, though less massive, scale. Great attention was paid to intricacy of architecture and design with less effort spent on defensive walls. As the pottery of this period shows a unity of culture throughout Crete, it has been determined that the culture of Knossos prevailed at this time and the island was a unified nation under a central government. This palace had four entrances, one from each direction, all leading to the central court. As the corridors within were dark and circuitous, it is thought that this gave rise to the mythic story of the labyrinth of Minos with a bull-headed beast, called a Minotaur, at its center. The throne room was particularly impressive. According to The British School at Athens, "Two double doors led into the Throne Room with gypsum benches on three sides and the magnificent throne in the center of the north wall flanked by the reconstructed Griffin fresco."

The Snake Goddess of Minoan Civilization

The Snake Goddess of the Minoans was the supreme deity who may have been an early version of the Greek goddess Eurynome. Images and figures of the Snake Goddess (now at the Iraklion Museum) have been found at Knossos and elsewhere in Crete dating from this period. Further evidence of the goddess is the repetition of the motif of the double axe, most notably in the Hall of the Double Axes in the palace. There is no doubt that the double axe symbolized an important goddess of the Minoans but it is not clear whether it was the Snake Goddess or another.



Figure 5.2.1: Minoan Snake Goddess, Knossos by Mark Cartwright is licensed under CC BY-NC-SA 3.0

Bull Mythology and the Knossos Civilization

For centuries, Knossos was considered only a city of myth and legend until, in 1900 CE, it was uncovered by the English archaeologist Sir Arthur Evans and excavations were begun. Through frescoes on the walls, the excavated site revealed more about the Minoan sport of bull jumping, and the ancient story of Theseus and the Minotaur (half-man, half-bull) seemed to have some historical kernel of truth at its core. The possibility that there existed a Minotaur became more acceptable once it was understood that, in the Minoan sport of bull-jumping, the male athlete became "one" with the bull as he vaulted over the bull's horns.

This sport, then, it is now supposed, gave rise in ancient consciousness to the myth of the Minotaur through the impression that these athletes were half men and half bulls. The story of the labyrinth also was given more credence once the intricate interior of the palace was uncovered. It was Evans who first called the ancient inhabitants of Crete "Minoan" after King Minos of Knossos, and his efforts in excavation and re-construction, however controversial, paved the way for all future work in both physical and cultural anthropology concerning the Minoan civilization.



Figure 5.2.1: Minoan Bull Leaping by Mark Cartwright is licensed under CC BY-NC-SA 3.0

The Collapse of Minoan Civilization

Archaeological and geological evidence on Crete suggests this civilization fell due to an overuse of the land causing deforestation though, traditionally, it is accepted that they were conquered by the Mycenaeans. The eruption of the volcano on the nearby island of Thera (modern day Santorini) between 1650 and 1550 BCE, and the resulting tsunami, is acknowledged as the final cause for the fall of the Minoans. The isle of Crete was flooded and the cities and villages destroyed. This event has been frequently cited as Plato's inspiration in creating his myth of Atlantis in his dialogues of the Critias and Timaeus.

Mycenaean Civilization

The Mycenaean Civilization (approximately 1900-1100 BCE) is commonly acknowledged as the beginning of Greek culture, even though we know almost nothing about the Mycenaeans beyond what can be determined through archaeological finds and through the poet Homer's account of their war with Troy, as recorded in the great epic *The Iliad*. The Mycenaeans are largely credited with establishing the culture, owing primarily to their architectural advances, their development of a writing system (known as Linear B, an early form of Greek descended from the Minoan Linear A), and the establishment, or enhancement of, religious rites. The Mycenaeans appear to have been greatly influenced by the Minoans of Crete in their worship of earth goddesses and sky gods, which, in time, become the classical pantheon of ancient Greece.

The City of Mycenae

Mycenae was a fortified late Bronze Age city located between two hills on the Argolid plain of the Peloponnese, Greece. The acropolis today dates from between the 14 th and 13 th century BCE when the Mycenaean civilization was at its peak of power, influence, and artistic expression.

Situated on a rocky hill (40-50 meters high) commanding the surrounding plain as far as the sea 15 km away, the site of Mycenae covered 30,000 square meters and has always been known throughout history, although the surprising lack of literary references to the site suggest it may have been at least partially covered. First excavations were begun by the Archaeological Society of Athens in 1841 CE and then famously continued by the archaeologist Heinrich Schliemann in 1876 CE, who discovered the magnificent treasures of Grave Circle A. The archaeological excavations have shown that the city has a much older history than the Greek literary tradition described.

The large palace structure built around a central hall or Megaron is typical of Mycenaean palaces. Other features included a secondary hall, many private rooms and a workshop complex. Decorated stonework and frescoes and a monumental entrance, the

Lion Gate (a 3x3-meter square doorway with an 18-ton lintel topped by two 3-meter high heraldic lions and a column altar), added to the overall splendor of the complex. The relationship between the palace and the surrounding settlement and between Mycenae and other towns in the Peloponnese is much discussed by scholars. Concrete archaeological evidence is lacking but it seems likely that the palace was a center of political, religious and commercial power. Certainly, high value grave goods, administrative tablets, pottery imports, and the presence of precious materials deposits such as bronze, gold, and ivory would suggest that the palace was, at the very least, the hub of a thriving trade network.

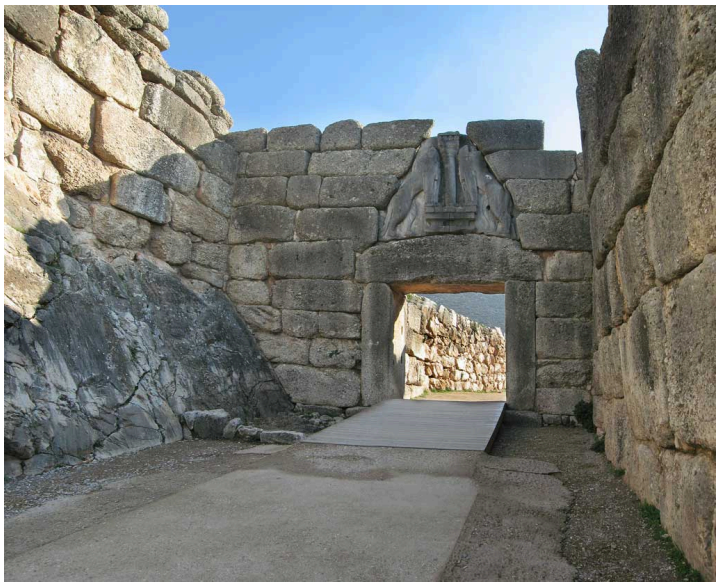


Figure 5.2.1: The Lion Gate at Mycenae by Andreas Trepte is licensed under CC BY-SA 2.5

Mycenaean Artifacts

The Mycenaean grave site was excavated by Heinrich Schleimann in 1876. Schleimann had excavated ancient sites such as Mycenae and Troy based on the writings of Homer and was determined to find archaeological remains that aligned with observations discussed in *The Iliad* and *The Odyssey*. Upon excavating the Mycenaean tombs, Schleimann declared that he found the remains of King Agamemnon and many of his followers.

Schleimann's dig uncovered metal death masks in many of the tombs. The masks were created from thin sheets of gold, through a careful method of metalworking to create a low relief. These objects are fragile, were carefully crafted, and were laid over the face of the dead. Schleimann called the most famous of the death masks the *Mask of Agamemnon*, under the assumption that this was the burial site of the Homeric king. The mask depicts a man with a triangular face, bushy eyebrows, a narrow nose, pursed lips, a mustache, and stylized ears. This mask is an impressive and beautiful specimen but looks quite different from other death masks found at the site. The faces on other death masks are rounder; the eyes are more bulbous; and at least one bears a hint of a smile. None of the other figures have a mustache or even the hint of beard. In fact, the mustache looks distinctly nineteenth century and is comparable to the mustache that Schleimann himself had. The artistic quality between the *Mask of Agamemnon* and the others seems dramatically different. Despite these differences, the *Mask of Agamemnon* has inserted itself into the story of Mycenaean art.



Figure 5.2.1: Death Mask of Agamemnon by Xuan Che is licensed under CC BY 3.0

Decorative bronze daggers found in the grave shafts suggest multicultural influences on Mycenaean artists. These ceremonial daggers were made of bronze and inlaid in silver, gold, and niello with scenes clearly influenced from foreign cultures. Two daggers excavated depict scenes of hunts, which suggest an Ancient Near Eastern influence. One of these scenes depicts lions hunting prey, while the other scene depicts a lion hunt.

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5.3: The Greek Dark Ages, Classical Greece, and the Rise of Athens

The Greek Dark Ages

The Late Bronze Age collapse, or Age of Calamities, was a transition in the Aegean Region, Eastern Mediterranean, and Southwestern Asia that took place from the Late Bronze Age to the Early Iron Age. Historians believe this period was violent, sudden, and culturally disruptive. The palace economy of the Aegean Region that had characterized the Late Bronze Age, was replaced, after a hiatus, by the isolated village cultures of the Greek Dark Ages — a period that lasted for more than 400 years. Cities like Athens continued to be occupied, but with a more local sphere of influence, limited evidence of trade, and an impoverished culture, which took centuries to recover.

Many historians attribute the fall of the Mycenaeans, and overall Bronze Age collapse, to climatic or environmental catastrophe, combined with an invasion by the Dorians or Sea Peoples — a group of people who possibly originated from different parts of the Mediterranean like the Black Sea, though their origins remain obscure. Historians also point to the widespread availability of edged iron weapons as an exasperating factor. Despite this, no single explanation fits all available archaeological evidence in explaining the fall of the Mycenaean culture.

Many large-scale revolts took place in several parts of the eastern Mediterranean during this time, and attempts to overthrow existing kingdoms were made as a result of economic and political instability by peoples already plagued with famine and hardship. Some regions in Greece, such as Attica, Euboea, and central Crete, recovered economically quicker from these events than other regions, but life for the poorest Greeks would have remained relatively unchanged. Farming, weaving, metalworking, and potting continued at lower levels of output and for local use. Some technical innovations were introduced around 1050 BCE with the start of the Proto-geometric style. However, the overall trend was toward simpler, less intricate pieces with fewer resources being devoted to the creation of art.

None of the Mycenaean palaces of the Late Bronze Age survived, with the possible exception of the Cyclopean fortifications on the Acropolis of Athens. The archaeological record shows that destruction was heaviest at palaces and fortified sites. Up to 90% of small sites in the Peloponnese were abandoned, suggesting major depopulation. The Linear B writing of the Greek language used by Mycenaean bureaucrats ceased, and decorations on Greek pottery after about 1100 BCE lacks the figurative decoration of the Mycenaeans, and was restricted to simpler geometric styles.

The Archaic Period

The Archaic period of Greek history lasted from the 8 th century BCE to the second Persian invasion of Greece in 480 BCE. The period began with a massive increase in the Greek population and a structural revolution that established the Greek city-states, or *polis* . The Archaic period saw developments in Greek politics, economics, international relations, warfare, and culture. It also laid the groundwork for the classical period, both politically and culturally. During this time, the Greek alphabet developed, and the earliest surviving Greek literature was composed. Monumental sculpture and red-figure pottery also developed in Greece, and in Athens, the earliest institutions of democracy were implemented.

Some written accounts of life exist from this time period in the form of poetry, law codes, inscriptions on votive offerings, and epigrams inscribed on tombs. However, thorough written histories, such as those that exist from the Greek classical period, are lacking. Historians do have access to rich archaeological evidence from this period, however, that informs our understanding of Greek life during the Archaic period.

Development of the Polis

The Archaic period saw significant urbanization and the development of the concept of the *polis* as it was used in classical Greece. However, the *polis* did not become the dominant form of sociopolitical organization throughout Greece during the Archaic period, and in the north and west of the country it did not become dominant until later in the classical period. The process of urbanization known as “synoecism” (or the amalgamation of several small settlements into a single urban center), took place in

much of Greece during the 8 th century. Both Athens and Argos, for example, coalesced into single settlements near the end of that century. In some settlements, physical unification was marked by the construction of defensive city walls. The increase in population, and evolution of the *polis* as a sociopolitical structure, necessitated a new form of political organization.

Age of Tyranny

Archaic Greece from the mid-7 th century onward has been referred to as an "age of tyrants." Various explanations have been provided for the rise of tyranny in the 7 th century. The most popular explanation dates back to Aristotle , who argued that tyrants were set up by the people in response to the nobility becoming less tolerable. Because there is no evidence from this time period demonstrating this to be the case, historians have looked for alternate explanations. Some argue that tyrannies were set up by individuals who controlled private armies, and that early tyrants did not need the support of the people at all. Others suggest that tyrannies were established as a consequence of in-fighting between rival oligarchs, rather than as a result of fighting between oligarchs and the people.

Other historians question the existence of a 7 th century "age of tyrants" altogether. In the Archaic period, the Greek word *tyrannos* did not have the negative connotations it had later in the classical period. Often the word could be used as synonymous with "king." As a result, many historians argue that Greek tyrants were not considered illegitimate rulers, and cannot be distinguished from any other rulers during the same period.

The Homeric Question



Figure 5.3.1: Manuscript of Homer's Iliad by an unknown author from Wikimedia is licensed under Public Domain

The Homeric Question concerns the doubts and consequent debate over the identity of Homer, the author of *The Iliad* and *The Odyssey*; it also questions the historicity of the two books. Many scholars agree that regardless of who authored Homer's works, it is highly likely that the poems attributed to him were part of a generations-old oral tradition, with many scholars believing the works to be transcribed sometime in the 6 th century BCE or earlier. Many estimates place the events of Homer's Trojan War as preceding the Greek Dark Ages, of approximately 1250 to 750 BCE. *The Iliad*, however, has been placed immediately following the Greek Dark Age period.

Archaic Greek Sculpture

The earliest large stone figures (kouroi — nude male youths and kore — clothed female figures) were rigid as in Egyptian monumental statues with the arms held straight at the sides, the feet are almost together and the eyes stare blankly ahead without any particular facial expression. These rather static figures slowly evolved though and with ever greater details added to hair and

muscles, the figures began to come to life. Slowly, arms become slightly bent giving them muscular tension and one leg (usually the right) is placed slightly more forward, giving a sense of dynamic movement to the statue. Excellent examples of this style of figure are the kouroi of Argos, dedicated at Delphi (c. 580 BCE).

Around 480 BCE, the last kouroi become ever more life-like, the weight is carried on the left leg, the right hip is lower, the buttocks and shoulders more relaxed, the head is not quite so rigid, and there is a hint of a smile. Female kore followed a similar evolution, particularly in the sculpting of their clothes that were rendered in an ever-more realistic and complex way. A more natural proportion of the figure was also established where the head became 1:7 with the body, irrespective of the actual size of the statue.



Figure 5.3.1: Kouroi of Argos by Mark Cartwright is licensed under CC BY-NC-SA 3.0

Classical Greece

Classical Greece was a 200-year period in Greek culture lasting from the 5 th to the 4 th centuries BCE. This period saw the annexation of much of modern-day Greece by the Persian Empire, as well as its subsequent independence. Classical Greece also had a powerful influence on the Roman Empire, and greatly influenced the foundations of Western civilization. Much of modern Western politics, artistic and scientific thought, literature, and philosophy derives from this period of Greek history. The classical period was preceded by the Archaic period, and was succeeded by the Hellenistic period.

Rise of the City-States

The term “city-state,” which is English in origin, does not fully translate the Greek term for these same entities, polis. Poleis were different from ancient city-states in that they were ruled by bodies of the citizens who lived there. Many were initially established, as in Sparta, via a network of villages, with a governance center being established in a central urban center. As notions of citizenship rose to prominence among landowners, polis came to embody an entire body of citizens and the term could be used to describe the populace of a place, rather than the physical location itself.

Basic elements of a polis often included the following:

- Polis were established and expanded by synoecism, or the absorption of nearby villages and tribes. Most cities were composed of several tribes that were in turn composed of groups sharing common ancestry, and their extended families. Territory was a less helpful means of thinking about the shape of a polis than regions of shared religious and political associations.
- Dwellers of a polis were typically divided into four separate social classes, with an individual’s status usually being determined

at birth. Free adult men born of legitimate citizens were considered citizens with full legal and political rights, including the right to vote, be elected into office, and bear arms, with the obligation to serve in the army during wartime. The female relatives and underage children of full citizens were also considered citizens, but they had no formal political rights. They were typically represented within society by their adult male relatives. Citizens of other poleis who chose to reside in a different polis possessed full rights in their place of origin, but had no political rights in their new place of residence. Otherwise, such citizens had full personal and property rights subject to taxation. Finally, slaves were considered possessions of their owner and had no rights or privileges other than those granted by their owner.

Greco-Persian Wars

The Greco-Persian Wars, also referred to as the Persian Wars, were a series of conflicts that began in 499 BCE and lasted until 449 BCE, between the Achaemenid Empire of Persia (modern-day Iran) and Greek city-states. The conflict began when Cyrus the Great conquered the Greek-inhabited region of Ionia in 547 BCE. After struggling to control the cities of Ionia, the Persians appointed tyrants to rule each of them. When the tyrant of Miletus embarked on an unsuccessful expedition to conquer the island of Naxos with Persian support, however, a rebellion was incited throughout Hellenic Asia Minor against the Persians. This rebellion, known as the Ionian Revolt, lasted until 493 BCE, and drew increasingly more regions throughout Asia Minor into the conflict.

Eventually the Ionians suffered a decisive defeat and the rebellion collapsed. Subsequently, Darius the Great, the Persian ruler, sought to secure his empire from further revolts and interference from the mainland Greeks, and embarked upon a scheme to conquer all of Greece. The first Persian invasion of Greece began in 492 BCE, and was successful in conquering Macedon and re-subjugating Thrace. In 490 BCE, a second force was sent to Greece across the Aegean Sea, successfully subjugating the Cyclades. However, the Persians were defeated by the Athenians at the Battle of Marathon, putting a halt to Darius's plan until his death in 486 BCE.

In 480 BCE, Darius's son, Xerxes, personally led the second Persian invasion of Greece with one of the largest ancient armies ever assembled. His invasion was successful and Athens was burned. However, the following year, the Allied Greek states went on the offensive, defeating the Persian army at the Battle of Plataea and ending the invasion of Greece. The Greeks continued to expel Persian forces from Greece and surrounding areas, but the actions of Spartan General Pausanias at the siege of Byzantium alienated many of the Greek states from the Spartans, causing the anti-Persian alliance to be reconstituted around Athenian leadership in what became known as the Delian League. The Delian League continued the campaign against the Persians for the next three decades. Some historical sources suggest the end of hostilities between the Greeks and the Persians was marked by a peace treaty between Athens and Persia, called the Peace of Callias.

Athenian Democracy

Athenian democracy developed around the 5 th century BCE, in the Greek city-state of Athens. It is the first known democracy in the world. Other Greek cities set up democracies, most following the Athenian model, but none are as well documented as Athens. Athenian democracy was a system of direct democracy, in which participating citizens voted directly on legislation and executive bills. Participation was open to adult, land-owning men, which historians estimate numbered between 30,000 and 50,000 individuals, out of a total population of approximately 250,000 to 300,000.

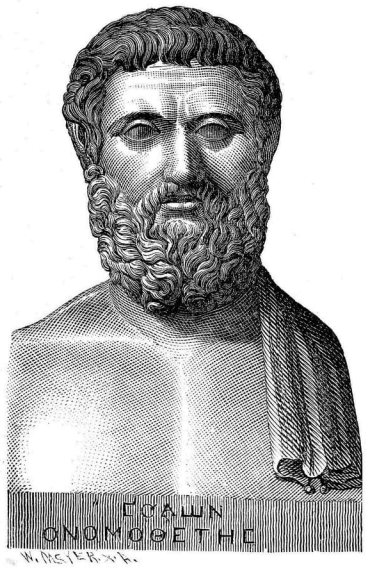


Figure 5.3.1: Illustration of Solon by Ernst Wallis et al is licensed under Public Domain

Before the first attempt at democratic government, Athens was ruled by a series of archons, or chief magistrates, and the Areopagus, which was made up of ex-archons. Archons were typically aristocrats who ruled to their own advantage. Additionally, a series of laws codified by Draco in 621 BCE reinforced the power of the aristocracy over all other citizens. A mediator called Solon reshaped the city-state by restructuring the way citizenship was defined in order to absorb the traditional aristocracy within it, and established the right of every Athenian to participate in meetings of governing assemblies. The Areopagus, however, retained ultimate lawmaking authorities.

Cleisthenes

In 510 BCE, Spartan troops helped the Athenians overthrow their king, the tyrant Hippias, son of Peisistratos. Cleomenes I, king of Sparta, put in place a pro-Spartan oligarchy headed by Isagoras. But his rival, Cleisthenes, with the support of the middle class and aided by democrats, managed to take over. Cleomenes intervened in 508 and 506 BCE, but could not stop Cleisthenes, who was then supported by the Athenians. Through his reforms, the people endowed their city with institutions furnished with equal rights (i.e., isonomic institutions), and established ostracism, a procedure by which any citizen could be expelled from the city-state of Athens for ten years.

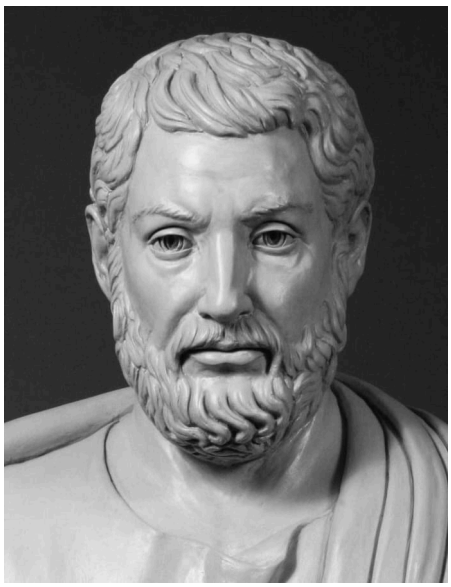


Figure 5.3.1: Cleisthenes with permission by The Ohio Channel is licensed under CC BY-SA 3.0

The isonomic and isegoric democracy was first organized into about 130 demes — political subdivisions created throughout Attica. Ten thousand citizens exercised their power via an assembly (the ekklesia, in Greek), of which they all were a part, that was headed by a council of 500 citizens chosen at random. The city's administrative geography was reworked, the goal being to have mixed political groups — not federated by local interests linked to the sea, the city, or farming — whose decisions (declaration of war, etc.) would depend on their geographical situations. The territory of the city was subsequently divided into 30 trittyes. It was this corpus of reforms that would allow the emergence of a wider democracy in the 460s and 450s BCE.

The Rise of Athens (508-448 BCE)



Figure 5.3.1: Greek-Persian duel by National Museums Scotland is licensed under Public Domain

In 514 BCE, the dictator Hippias established stability and prosperity with his rule of Athens, but remained very unpopular as a ruler. With the help of an army from Sparta in 511/510 BCE, he was overthrown by Cleisthenes, a radical politician of aristocratic background who established democracy in Athens.

Prior to the rise of Athens, Sparta, a city-state with a militaristic culture, considered itself the leader of the Greeks, and enforced a hegemony. In 499 BCE, Athens sent troops to aid the Ionian Greeks of Asia Minor, who were rebelling against the Persian Empire during the Ionian Revolt. This provoked two Persian invasions of Greece, both of which were repelled under the leadership of the soldier-statesmen Miltiades and Themistocles, during the Persian Wars. In the decades that followed, the Athenians, with the help of the Spartans and other allied Greek city-states, managed to rout the Persians. These victories enabled Athens to bring most of the Aegean, and many other parts of Greece, together in the Delian League, creating an Athenian-dominated alliance from which Sparta and its allies withdrew.

Pericles

The 5 th century BCE was a period of Athenian political hegemony, economic growth, and cultural flourishing that is sometimes referred to as the Golden Age of Athens. The latter part of this time period is often called The Age of Pericles. After peace was made with Persia in the 5 th century BCE, what started as an alliance of independent city-states became an Athenian empire. Athens moved to abandon the pretense of parity among its allies, and relocated the Delian League treasury from Delos to Athens, where it funded the building of the Athenian Acropolis, put half its population on the public payroll, and maintained the dominant naval power in the Greek world.

With the empire's funds, military dominance, and its political fortunes as guided by statesman and orator Pericles, Athens produced some of the most influential and enduring cultural artifacts of Western tradition, during what became known as the Golden Age of Athenian democracy, or the Age of Pericles. The playwrights Aeschylus, Sophocles, and Euripides all lived and worked in Athens during this time, as did historians Herodotus and Thucydides, the physician Hippocrates, and the philosopher Socrates.

Pericles was arguably the most prominent and influential Greek statesman, orator, and general of Athens during its Golden Age. One of his most popular reforms while in power was to allow thetes (Athenians without wealth) to occupy public office. Another success of his administration was the creation of the misthophoria, a special salary for the citizens that attended the courts as jurors. As Athens' ruler, he helped the city to prosper with a resplendent culture and democratic institutions.

The Parthenon

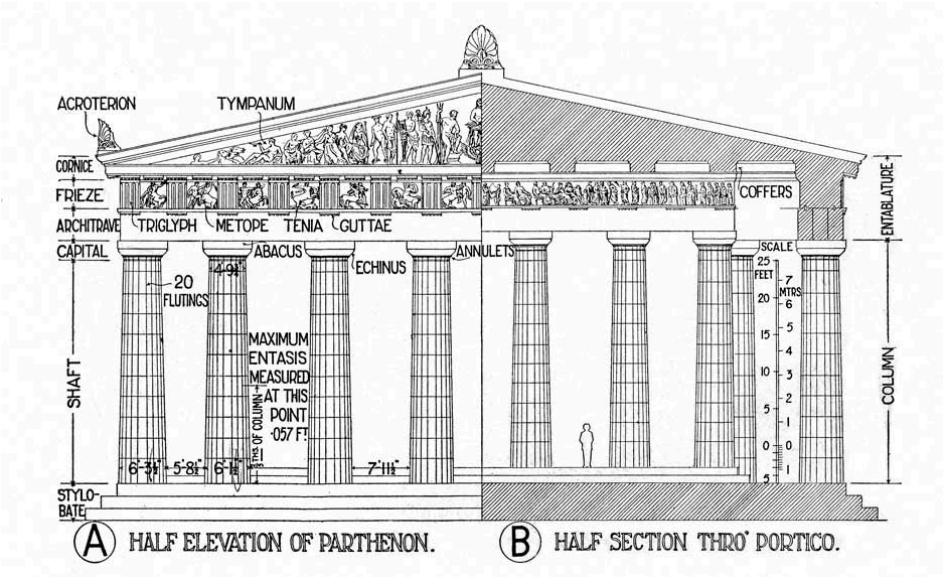


Figure 5.3.1: Architectural Elements of the Parthenon by F. Banister is licensed under Public Domain

The temple was unprecedented in both the quantity and quality of architectural sculpture used to decorate it. No previous Greek temple was so richly decorated. The Parthenon had 92 metopes carved in high relief (each was on average 1.2 m x 1.25 m square with relief of 25 cm in depth), a frieze running around all four sides of the building, and both pediments filled with monumental sculpture.

The subjects of the sculpture reflected the turbulent times that Athens had and still faced. Defeating the Persians at Marathon in 490 BCE, at Salamis in 480 BCE, and at Plataea in 479 BCE, the Parthenon was symbolic of the superiority of Greek culture against â€˜barbarian' foreign forces. This conflict between order and chaos was symbolized in particular by the sculptures on the metopes running around the exterior of the temple, 32 along the long sides and 14 on each of the short. These depicted the Olympian gods fighting the giants (East metopes – the most important, as this was the side where the principal temple entrance was), Greeks, probably including Theseus, fighting Amazons (West metopes), the Fall of Troy (North metopes), and Greeks fighting Centaurs, possibly at the wedding of the king of the Lapiths Perithous (South metopes).

The most important sculpture of the Parthenon though was not outside but inside. There is evidence that the temple was built to measure in order to accommodate the chryselephantine statue of Athena by Pheidias. This was a gigantic statue over 12 m high and made of carved ivory for flesh parts and gold (1140 kilos or 44 talents of it) for everything else, all wrapped around a wooden core. The gold parts could also be easily removed if necessary in times of financial necessity. The statue stood on a pedestal measuring 4.09 by 8.04 metres. The statue has been lost (it may have been removed in the 5 th century CE and taken to Constantinople), but smaller Roman copies survive, and they show Athena standing majestic, fully armed, wearing an aegis with the head of Medusa prominent, holding Nike in her right hand and with a shield in her left hand depicting scenes from the Battles of the Amazons and the Giants. A large coiled snake resided behind the shield. On her helmet stood a sphinx and two griffins. In front of the statue was a large shallow basin of water, which not only added the humidity necessary for the preservation of the ivory, but also acted as a reflector of light coming through the doorway. The statue must have been nothing less than awe-inspiring and the richness of it — both artistically and literally — must have sent a very clear message of the wealth and power of the city that could produce such a tribute to their patron god.



Figure 5.3.1: Athena Parthenon by Mary Harrsch is licensed under CC BY-NC-SA 3.0

5th Century Athenian Political Institutions

The administration of the Athenian state was managed by a group of people referred to as magistrates, who were submitted to rigorous public control and chosen by lot. Only two magistrates were directly elected by the Popular Assembly: strategos (or generals), and magistrates of finance. All magistrates served for a year or less, with the exception of Pericles, who was elected year after year to public office. At the end of their service, magistrates were required to give an account of their administration and use of public finances.

The most elite posts in the Athenian political system belonged to archons. In ages past, they served as heads of the Athenian state, but in the Age of Pericles they lost much of their influence and power, though they still presided over tribunals. The Assembly of the People was the first organ of democracy in Athens. In theory, it was composed of all the citizens of Athens. However, it is estimated that the maximum number of participants it witnessed was 6,000. The Assembly met in front of the

Acropolis and decided on laws and decrees. Once the Assembly gave its decision in a certain matter, the issue was raised to the Council, or Boule, to provide definitive approval.

The Council consisted of 500 members, 50 from each tribe, and functioned as an extension of the Assembly. Council members were chosen by lot in a similar manner to magistrates and supervised the work of the magistrates in addition to other legal projects and administrative details. They also oversaw the city-state's external affairs.

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5.4: Greek Religion, Philosophy, and Sculpture

Greek Religion

In the ancient Greek world, religion was personal, direct, and present in all areas of life. With formal rituals which included animal sacrifices and libations, myths to explain the origins of mankind and give the gods a human face, temples which dominated the urban landscape, city festivals and national sporting and artistic competitions, religion was never far from the mind of an ancient Greek. Whilst the individual may have made up their own mind on the degree of their religious belief and some may have been completely skeptical, certain fundamentals must have been sufficiently widespread in order for Greek government and society to function: the gods existed, they could influence human affairs, and they welcomed and responded to acts of piety and worship.

The Greek Gods

Polytheistic Greek religion encompassed a myriad of gods, each representing a certain facet of the human condition, and even abstract ideas such as justice and wisdom could have their own personification. The most important gods, though, were the Olympian gods led by Zeus. These were Athena, Apollo, Poseidon, Hermes, Hera, Aphrodite, Demeter, Ares, Artemis, Hades, Hephaistos, and Dionysos. These gods were believed to reside on Mt. Olympos and would have been recognized across Greece, albeit, with some local variations and perhaps particular attributes and associations.

In the Greek imagination, literature, and art, the gods were given human bodies and characters — both good and bad — and just as ordinary men and women, they married, had children (often through illicit affairs), fought, and in the stories of Greek mythology they directly intervened in human affairs. These traditions were first recounted only orally as there was no sacred text in Greek religion and later, attempts were made to put in writing this oral tradition, notably by Hesiod in his Theogony and more indirectly in the works of Homer.

Gods became patrons of cities, for example, Aphrodite for Corinth and Helios for Rhodes, and were called upon for help in particular situations, for example, Ares during war and Hera for weddings. Some gods were imported from abroad, for example, Adonis, and incorporated into the Greek pantheon whilst rivers and springs could take on a very localized personified form such as the nymphs.

The Greek Philosophical Tradition

The Pre-Socratic Philosophical Tradition

The Pre-Socratic philosophers, following Thales' lead, initiated what would become the scientific method in exploring natural phenomena. The first group of Greek philosophers is a triad of Milesian thinkers: Thales, Anaximander, and Anaximenes. Their main concern was to come up with a cosmological theory purely based on natural phenomena. Their approach required the rejection of all traditional explanations based on religious authority, dogma, myth and superstition. They all agreed on the notion that all things come from a single "primal substance": Thales believed it was water; Anaximander said it was a substance different from all other known substances, "infinite, eternal and ageless"; and Anaximenes claimed it was air.

Observation was also important among the Milesian school. Thales predicted an eclipse which took place in 585 BCE and it seems he had been able to calculate the distance of a ship at sea from observations taken at two points. Anaximander, based on the fact that human infants are helpless at birth, argued that if the first human had somehow appeared on earth as an infant, it would not have survived: therefore, humans have evolved from other animals whose offspring are fitter.

The Sophist Philosophical Tradition

The Sophists were intellectuals who taught courses in various topics, including rhetoric, a useful skill in Athens. Because they taught in return for a fee, the Sophists' schools were only attended by those who could afford it, usually members of the aristocracy and wealthy families. This was a time of profound political and social change in Athens: democracy had replaced the old way of doing politics and many aristocrats whose interests were affected were trying to destroy the democracy; the rapid

increase of wealth and culture, mainly due to foreign commerce, undermined traditional beliefs and morals. In a way, the Sophists represented the new political era in Athenian life, especially because they were linked with the new educational needs.

Socrates

Socrates, born in Athens in the 5 th century BCE, marks a watershed in ancient Greek philosophy. Athens was a center of learning, with sophists and philosophers traveling from across Greece to teach rhetoric, astronomy, cosmology, geometry, and the like. The great statesman Pericles was closely associated with these new teachings, however, and his political opponents struck at him by taking advantage of a conservative reaction against the philosophers. It became a crime to investigate issues above the heavens or below the earth because they were considered impious. While other philosophers, such as Anaxagoras, were forced to flee Athens, Socrates was the only documented individual charged under this law, convicted, and sentenced to death in 399 BCE. In the version of his defense speech presented by Plato, he claims that the envy others experience on account of his being a philosopher is what will lead to his conviction.



Figure 5.4.1: The Death of Socrates from Catharine Lorillard Wolfe Collection, Wolfe Fund, 1931 is licensed under Public Domain

Many conversations involving Socrates (as recounted by Plato and Xenophon) end without having reached a firm conclusion, a style known as *aporia* . Socrates is said to have pursued this probing question-and-answer style of examination on a number of topics, usually attempting to arrive at a defensible and attractive definition of a virtue. While Socrates' recorded conversations rarely provide a definitive answer to the question under examination, several maxims or paradoxes for which he has become known recur. Socrates taught that no one desires what is bad, and so if anyone does something that truly is bad, it must be unwillingly or out of ignorance; consequently, all virtue is knowledge. He frequently remarks on his own ignorance (claiming that he does not know what courage is, for example). Plato presents Socrates as distinguishing himself from the common run of mankind by the fact that, while they know nothing noble and good, they do not know that they do not know, whereas Socrates knows and acknowledges that he knows nothing noble and good.

Socrates was morally, intellectually, and politically at odds with many of his fellow Athenians. When he was on trial, he used his method of *elenchos* , a dialectic method of inquiry that resembles the scientific method , to demonstrate to the jurors that their moral values are wrong-headed. He tells them they are concerned with their families, careers, and political responsibilities when they ought to be worried about the "welfare of their souls." Socrates' assertion that the gods had singled him out as a divine emissary seemed to provoke irritation, if not outright ridicule. Socrates also questioned the Sophistic doctrine that *arete* (virtue) can be taught. He liked to observe that successful fathers (such as the prominent military general Pericles) did not produce sons of their own quality. Socrates argued that moral excellence was more a matter of divine bequest than parental nurture.

Plato

Plato was an Athenian of the generation after Socrates. Ancient tradition ascribes 36 dialogues and 13 letters to him, although of these only 24 of the dialogues are now universally recognized as authentic. Most modern scholars believe that at least 28 dialogues, and two of the letters, were in fact written by Plato, although all of the 36 dialogues have some defenders. Plato's dialogues feature Socrates, although not always as the leader of the conversation. Along with Xenophon, Plato is the primary source of information about Socrates' life and beliefs, and it is not always easy to distinguish between the two.

Much of what is known about Plato's doctrines is derived from what Aristotle reports about them, and many of Plato's political doctrines are derived from Aristotle's works, *The Republic* , the *Laws* , and the *Statesman* . *The Republic* contains the suggestion that there will not be justice in cities unless they are ruled by philosopher kings; those responsible for enforcing the laws are compelled to hold their women, children, and property in common; and the individual is taught to pursue the common good through noble lies. *The Republic* determines that such a city is likely impossible, however, and generally assumes that philosophers would refuse to rule if the citizenry asked them to, and moreover, the citizenry would refuse to compel philosophers to rule in the first place.

"Platonism" is a term coined by scholars to refer to the intellectual consequences of denying, as Plato's Socrates often does, the reality of the material world. In several dialogues, most notably *The Republic* , Socrates inverts the common man's intuition about what is knowable and what is real. While most people take the objects of their senses to be real if anything is, Socrates is contemptuous of people who think that something has to be graspable in the hands to be real. Socrates's idea that reality is unavailable to those who use their senses is what puts him at odds with the common man and with common sense.

Socrates says that he who sees with his eyes is blind, and this idea is most famously captured in his allegory of the cave, a paradoxical analogy wherein Socrates argues that the invisible world is the most intelligible and that the visible world is the least knowable and most obscure. In the allegory, Socrates describes a gathering of people who have lived chained to the wall of a cave facing a blank wall. The people watch shadows projected on the wall from the fire burning behind them, and the people begin to name and describe the shadows, which are the closest images they have to reality. Socrates then explains that a philosopher is like a prisoner released from that cave who comes to understand the shadows on the wall are not reality.

Classical Greek Sculpture

In the Classical period, Greek sculptors would break off the shackles of convention from the Archaic era and achieve what no-one else had ever before attempted. They created life-size and life-like sculpture which glorified the human and especially nude male form. Greater attention is paid to the facial countenance, though a stoic expression still typifies the sculpture from this era. Clothes too become more subtle in their rendering and cling to the contours of the body in what has been described as "wind-blown' or the "wet-look'. Quite simply, the sculptures no longer seemed to be sculptures but were figures instilled with life and verve. The material of choice for early Greek sculpture was marble with the other favored material being bronze. Unfortunately, because bronze was always in demand for re-use in later periods, marble sculpture has better survived for posterity.

Discobolus Lancellotti

The most famous example of the Discobolus Lancellotti that we have today, for example, is actually a marble replica of a Greek bronze produced by Myron c. 450 BCE. One of the most copied statues from antiquity and it suggests powerful muscular motion caught for a split second, as in a photo. The piece is also interesting because it is carved in such a way (in a single plain) as to be seen from one viewpoint (like a relief carving with its background removed). [47]



Figure 5.4.1: Discus Thrower by Mark Cartwright is licensed under CC BY-NC-SA 3.0

Poseidon of Artemesium

In bronze, the Poseidon of Artemesium is a transitional piece between Archaic and Classical art as the figure is extremely life-like, but in fact the proportions are not exact (e.g. the limbs are extended). However, as Boardman eloquently describes, "(it) manages to be both vigorously threatening and static in its perfect balance"; the onlooker is left in no doubt at all that this is a great god.



Figure 5.4.1: NAMA Poséidon by Marsyas is licensed under CC BY-SA 3.0

The Close of the Classical Age

The Peloponnesian War (431-404 BCE) was fought between Athens and its empire, known as the Delian League, and the Peloponnesian League, led by Sparta. During this conflict, Greek warfare evolved from an originally limited and formalized form of

conflict, to all-out struggles between city-states, complete with large-scale atrocities. The Peloponnesian War provided a dramatic end to the 5 th century BCE, shattering religious and cultural taboos, devastating vast swathes of countryside, and destroying whole cities.

In the aftermath of the Peloponnesian War, Sparta rose as a hegemonic power in classical Greece. Sparta's dominance was challenged by many Greek city-states who had traditionally been independent during the Corinthian War of 395-387 BCE. Sparta prevailed in the conflict, but only because Persia intervened on their behalf, demonstrating the fragility with which Sparta held its power over the other Greek city-states. Following the decline of the Greek city-states, the Greek kingdom of Macedon rose to power under Philip II. Alexander III, commonly known as Alexander the Great, was born to Philip II in Pella in 356 BCE, and succeeded his father to the throne at the age of 20.

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5.5: The Hellenistic Age

The Hellenistic Age



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Alexander the Great (356-323 BCE) carried on his father's plans for a full-scale invasion of Persia in retaliation for their invasion of Greece in 480 BCE. As he had almost the whole of Greece under his command, a standing army of considerable size and strength, and a full treasury, Alexander did not need to bother with allies nor with consulting anyone regarding his plan for invasion and so led his army into Egypt, across Asia Minor, through Persia, and finally to India. Tutored in his youth by Plato's great student Aristotle, Alexander would spread the ideals of Greek civilization through his conquests and, in so doing, transmitted Greek philosophy, culture, language, and art to every region he came in contact.

The result was a remarkable interweaving of Greek culture with that of non-Greek cultures, such as the world had never witnessed.



Figure 5.5.1: Buddha with Hercules Protector by World Imaging is licensed under CC BY-NC-SA 3.0

In 323 BCE Alexander died and his vast empire was divided between four of his generals. This initiated what has come to be known to historians as the Hellenistic Age (323-31 BCE) during which Greek thought and culture became dominant in the various regions under these generals' influence.

Alexander's empire opened the East to an enormous wave of immigration, and his successors continued his policy by inviting Greek colonists to settle in their realms. For seventy-five years after Alexander's death, Greek immigrants poured into the East. At least 250 new Hellenistic colonies were set up. The Mediterranean world had seen no comparable movement of peoples since the days of Archilochus (680-645 BC) when wave after wave of Greeks had turned the Mediterranean basin into a Greek-speaking region.

In many respects the Hellenistic city resembled a modern city. It was a cultural center with theatres, temples, and libraries. It was a seat of learning, home of poets, writers, teachers, and artists. It was a place where people could find amusement. The Hellenistic city was also an economic center that provided a ready market for grain and produce raised in the surrounding countryside. The city was an emporium, scene of trade and manufacturing. In short, the Hellenistic city offered cultural and economic opportunities but did not foster a sense of united, integrated enterprise. (57)

Alexandria, the port city in Egypt founded by Alexander in 331 became, in many ways, the paradigmatic Hellenistic city. At its height, the city grew to become the largest in the known world at the time, attracting scholars, scientists, philosophers, mathematicians, artists, and historians. The Library at Alexandria also became world-renowned, with scholars estimating that it likely held as many as 500,000 texts from around the world at one time. Outside of Alexandria, the newly discovered Hellenistic city of Ay Khanoum also stood a model Hellenistic city. Situated on the borders of Russia and Afghanistan and not far from China, the city was mostly Greek. It had the typical Greek trappings of a gymnasium, a choice of temples, and administration buildings. It was not, however, purely Greek. It also contained an oriental temple and artistic remains that showed that the Greeks and the natives had already embraced aspects of each other's religions.

Aristotilean Philosophy

Aristotle moved to Athens from his native Stageira in 367 BCE, and began to study philosophy, and perhaps even rhetoric, under Isocrates. He eventually enrolled at Plato's Academy. He left Athens approximately twenty years later to study botany and zoology, became a tutor of Alexander the Great, and ultimately returned to Athens a decade later to establish his own school, the Lyceum. He is the founder of the Peripatetic School of philosophy, which aims to glean facts from experiences and explore the "why" in all things. In other words, he advocates learning by induction.

At least 29 of Aristotle's treatises have survived, known as the *corpus Aristotelicum* , and address a variety of subjects including

logic, physics, optics, metaphysics, ethics, rhetoric, politics, poetry, botany, and zoology. Aristotle is often portrayed as disagreeing with his teacher, Plato. He criticizes the regimes described in Plato's*Republic* and *Laws* , and refers to the theory of forms as "empty words and poetic metaphors." He preferred utilizing empirical observation and practical concerns in his works. Aristotle did not consider virtue to be simple knowledge as Plato did, but founded in one's nature, habit, and reason. Virtue was gained by acting in accordance with nature and moderation.

Hellenistic Greek Sculpture

Just as the quest to represent the ideal physical form by Classical Age sculptors mirrored the philosophical quest for apprehending the Ideal heavenly Forms, so also does the art of the Hellenistic age reflect the Aristotelian concern for that which one can see with the naked eye. As such, a transition from Idealism to Realism takes place in the Hellenistic era, as artists strive to represent their subjects as they actually appear. Greek artists in this era added a new level of naturalism to their figures by adding an elasticity to their form and expressions, both facial and physical, to their figures. These figures interact with their audience in a new theatrical manner by eliciting an emotional reaction from their view. This is known as pathos.

The Dying Gaul



Figure 5.5.1: Dying gaul by Antmoose and antmoose is licensed under CC BY 2.0

The Dying Gaul — also called The Dying Galatian (in Italian: Galata Morente) or The Dying Gladiator — is an ancient Roman marble copy of a lost Hellenistic sculpture thought to have been unknown.

The statue serves both as a reminder of the Celts' defeat, thus demonstrating the might of the people who defeated them, and a memorial to their bravery as worthy adversaries.

The white marble statue which may have originally been painted depicts a wounded, slumping Celt with remarkable realism and emotion, particularly as regards the face. A bleeding sword puncture is visible in his lower right chest. The figure is represented as a Celtic warrior with characteristic hairstyle and moustache and has a torc around his neck. He lies on his fallen shield while his sword, belt, and a curved trumpet lie beside him.

The Boxer



Figure 5.5.1: So-called “Thermae boxer”: athlete resting after a boxing match by Folegandros from the Thermae of Constantine is licensed under CC BY-SA 3.0

Another image of the old and weary is a bronze statue of a seated boxer. While the image of an athlete is a common theme in Greek art, this bronze presents a Hellenistic twist. He is old and tired, much like the Late Classical image of a Weary Herakles. However, unlike Herakles, the boxer is depicted beaten and exhausted from his pursuit. His face is swollen, lip spilt, and ears cauliflowered. This is not an image of a heroic, young athlete but rather an old, defeated man many years past his prime.

Drunken Elderly Woman

Images of drunkenness were also created of women, which can be seen in a statue attributed to the Hellenistic artist Myron of a drunken beggar woman. This woman sits on the floor with her arms and legs wrapped around a large jug and a hand gripping the jug’s neck. Grape vines decorating the top of the jug make it clear that it holds wine. The woman’s face, instead of being expressionless, is turned upward and she appears to be calling out, possibly to passersby. Not only is she intoxicated, but she is old: deep wrinkles line her face, her eyes are sunken, and her bones stick out through her skin.



Figure 5.5.1: Drunken old woman clutching a big lagynos (Hellenistic wine jug) decorated with reliefsby Tetraktys is licensed under CC BY-SA 3.0

The Closing of the Greek Era

The Roman Republic became increasingly involved in the affairs of Greece during this time and, in 168 BCE, defeated Macedon at the Battle of Pydna. After this date, Greece steadily came under the influence of Rome. In 146 BCE the region was designated a Protectorate of Rome and Romans began to emulate Greek fashion, philosophy and, to a certain extent, sensibilities. In 31 BCE Octavian Caesar annexed the country as a province of Rome following his victory over Mark Antony and Cleopatra at the Battle of Actium. Octavian became Augustus Caesar and Greece a part of the Roman Empire.

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6: ANCIENT ROME AND CHRISTIANITY

6.1: About This Module
6.2: Early Beliefs and the Roman Pantheon
6.3: Cults
6.4: Early Christian Religion and Culture

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6.1: About This Module

Topics Covered:

- Roman and Christian Culture to Include
  - Constantine
  - Early Christian Architecture such as the Church at Dura-Europas
  - Jesus and Early Christianity
  - Roman Imperial Cult
  - Roman Mystery Religions such as the Mithras

This module introduces students to Roman and Christian religious expressions that developed over the course of Roman civilization. Students will determine what cultural artifacts such as the Mithraic reliefs and early Christian paintings tell us about their historical contexts. Students will demonstrate understanding of cultural expressions by noting the similarities and differences between Roman religious culture and Christian culture. Students will recognize the contribution that Roman and Jewish religion had on the development of early Christian belief. Finally, students will also demonstrate proficiency in critical by assessing how far early Christian belief functioned much like a Roman Mystery Religion. [1]

Learning Outcomes Related to this Module

1. Demonstrate proficiency in critical thinking
2. Recognize the relationships between cultural expressions and their contexts
3. Understand cultural expressions
4. Interpret and evaluate cultural artifacts and/or their contexts for significance
5. Recognize the important contributions of the classical world; understand and analyze specific primary texts from the classical world

Objectives

Upon completion of this module, the student will be able to:

- Sort events related to Roman and Christian religious culture in historical.
- Compare aspects of Roman and Greek Religion.
- Identify features that exemplify Roman Religion.
- Identify elements that identify the Roman Mystery religions.
- Discuss the historical development of Christian belief in antiquity.
- Distinguish between Christian belief and practice before and after Constantine. [1]

Assigned Readings

- Learning Unit – Roman and Christian Religious Culture

Assignments | Learning Activities

- Review Learning Unit
- Participate in Discussion 6
- Complete Timeline Assignment 6
- Complete Assessment Module 6

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6.2: Early Beliefs and the Roman Pantheon

In many societies, ancient and modern, religion has performed a major role in their development, and the Roman Empire was no different. From the beginning, Roman religion was polytheistic. From an initial array of gods and spirits, Rome added to this collection to include both Greek gods as well as a number of foreign cults.As the empire expanded, the Romans refrained from imposing their own religious beliefs upon those they conquered; however, this inclusion must not be misinterpreted as tolerance — this can be seen with their early reaction to the Jewish and Christian population. Eventually, all of their gods would be washed away, gradually replaced by Christianity, and in the eyes of some, this change brought about the decline of the western empire.

Early Beliefs & Influences

Early forms of the Roman religion were animistic in nature, believing that spirits inhabited everything around them, people included. The first citizens of Rome also believed they were watched over by the spirits of their ancestors. Initially, a Capitoline Triad (possibly derived from a Sabine influence) were added to these "spirits" — the new gods included Mars, the god of war and supposed father of Romulus and Remus (founders of Rome); Quirinus, the deified Romulus who watched over the people of Rome; and lastly, Jupiter, the supreme god.

They, along with the spirits, were worshipped at a temple on Capitoline Hill. Later, due to the Etruscans, the triad would change to include Jupiter who remained the supreme god; Juno, his wife and sister; and Minerva, Jupiter's daughter.

Due to the presence of Greek colonies on the Lower Peninsula, the Romans adopted many of the Greek gods as their own. Religion and myth became one. Under this Greek influence, the Roman gods became more anthropomorphic –with the human characteristics of jealousy, love, hate, etc. However, this transformation was not to the degree that existed in Greek mythology.

In Rome individual expression of belief was unimportant, strict adherence to a rigid set of rituals was far more significant, thereby avoiding the hazards of religious zeal. Cities adopted their own patron deities and performed their own rituals. Temples honoring the gods would be built throughout the empire; however, these temples were considered the "home" of the god; worship occurred outside the temple. While this fusion of Roman and Greek deities influenced Rome in many ways, their religion remained practical. (76)

The Roman Pantheon

While the study of Roman mythology tends to emphasize the major gods – Jupiter, Neptune (god of the sea), Pluto (god of the underworld) and Juno – there existed, of course, a number of "minor" gods and goddesses such as Nemesis, the god of revenge; Cupid, the god of love; Pax, the god of peace; and the Furies, goddesses of vengeance. However, when looking at the religion of Rome, one must examine the impact of the most important gods. Foremost among the gods were, of course, Jupiter, the Roman equivalent of Zeus (although not as playful), and his wife/sister Juno. He was the king of the gods; the sky god (the great protector) – controlling the weather and forces of nature, using thunderbolts to give warning to the people of Rome.

Originally linked with farming as Jupiter Elicius, his role changed as the city grew, eventually obtaining his own temple on Capitoline Hill. Later, he became Jupiter Imperator Invictus Triumphator – Supreme General, Unconquered, and ultimately, Jupiter Optimus Maximus – Best and Greatest. His supremacy would be temporarily set aside during the reign of Emperor Elagabalus who attempted to replace the religion of Rome with that of the Syrian god Elagabal. After the emperor's assassination, his successor, Alexander Severus, returned Jupiter to his former glory.

Next, Jupiter's wife/sister was Juno, for whom the month of June is named – she was the equivalent of the Greek Hera. Besides being the supreme goddess with a temple on Esquiline Hill, she was the goddess of light and moon, embodying all of the virtues of Roman matron hood – as Juno Lucina she became the goddess of childbirth and fertility.

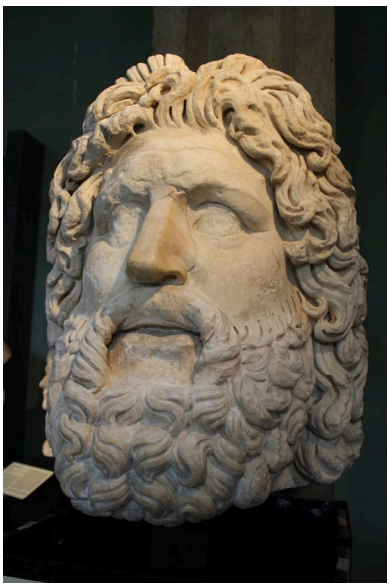


Figure 6.2.1: Jupiter by Mark Cartwright is licensed under CC BY-NC-SA 3.0

After Juno comes Minerva, the Roman name for Athena (the patron goddess of Athens), and Mars, the god of war. According to legend, Minerva sprang from Jupiter's head fully formed. She was the goddess of commerce, industry, and education. Later, she would be identified as a war goddess as well as the goddess of doctors, musicians and craftsmen.

Although no longer one of the Capitoline triad, Mars remained an important god to Rome — similar to Ares, the Greek god of war. As Mars the Avenger, this son of Juno and her relationship with a flower, had a temple dedicated to him by Emperor Augustus, honoring the death of Julius Caesar's assassins. Roman commanders would make sacrifices to him before and after battles and Tuesday (Martes) is named for him.

There are a number of lesser gods (all with temples built to them) — Apollo, Diana, Saturn, Venus, Vulcan, and Janus. Apollo had no Roman equal and he was simply the Greek god of poetry, medicine, music, and science. He was originally brought to the city by the Etruscans to ward off the plague and was rewarded with a temple on Palatine Hill. Diana, Apollo's Roman sister equivalent to the Greek Artemis, was not only the goddess of wild beasts and the harvest moon but also the goddess of the hunt. She was seen as a protector of women in childbirth with a temple at Ephesus in Asia Minor.

Another god brought to the Rome by the Etruscans was Saturn, an agricultural god equal to the Greek Cronus and who had been expelled from heaven by Jupiter. A festival in his honor, the Saturnalia, was held yearly between the 17 th and 23rd of December. His temple, at the foot of Capitoline Hill, housed the public treasury and decrees of the Senate. Another Roman goddess was Venus, who was born, according to myth, from the foam of the sea, equal to the Greek Aphrodite. According to Homer, she was the mother of Aenaes the hero of the Trojan War. Of course, the planet Venus is named for her.

Next was Vulcan, also expelled from heaven by Jupiter, who was a lame (caused by his expulsion), ugly blacksmith and the god of fire. Lastly, there was Janus who had no Greek equal. He was the two-faced guardian of doorways and public gates. Janus was valued for his wisdom and was the first god mentioned in a person's prayer; because of his two faces he could see both the past and the future.

One cannot forget the Vestal Virgins who had no Greek counterpart. They were the guardians of the public hearth at the Atrium Vesta. They were girls chosen only from the patrician class at the tender age of six, beginning their service to the goddess Vesta at the age of ten and for the next thirty years they would serve her. While serving as a Vestal Virgin, a girl/woman was forbidden to marry and had to remain chaste. Some chose to remain in service to Vesta after serving their thirty years since, at the age of forty, they were considered too old to marry. Breaking the vow of chastity would result in death — only twenty would break the vow in over one thousand years. Emperor Elagabalus attempted to marry a vestal virgin but was convinced otherwise. (76)

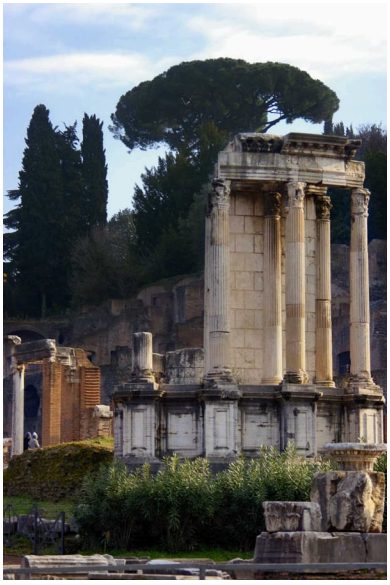


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6.3: Cults

The Imperial Cult

The idea of deification of the emperor came during the time of Emperor Augustus. He resisted the Senate's attempts to name him a god during his reign as he thought himself the son of a god, not a god. Upon his death, the Roman Senate rewarded him with deification which was an honor that would be bestowed upon many of his successors. Often, an emperor would request his predecessor to be deified. Of course, there were a few exceptions, notably, Tiberius, Caligula, Nero and Domitian, who were considered too abhorrent to receive the honor. Caligula and Nero believed themselves living gods while Domitian thought himself the reincarnation of Hercules.

As Imperial cult developed over time, the worshipper would receive a libellus, or certificate of proof that certified that the worshipper had sacrificed to the Roman Emperor (more affectionately known as the "Son of God"). As the proliferation of private religions began to spring up throughout the Roman Empire promising personal salvation in exchange for fidelity to the cult, proof of sacrifice developed as a way to identify Roman citizens whose allegiance were not with the Roman state. (76)

Private Cults

Private religious cults — or "Mystery Religions" as they have come to be called — that appeared throughout the Roman Empire were often imported from areas taken over by the Roman state. As "foreign religions' they gained in popularity because they offered a religious experience that was personalized, unlike the religion promoted by the Roman state. Indeed, whereas the religion of the state promised only solidarity at the level of citizenship, mystery faiths thrived because they provided a sense of solidarity between likeminded believers. That they often addressed individualized matters such as forgiveness, salvation, and personal identification with the Divine made them even more attractive to persons living in the Roman Empire. (1)

Mithraism

The Mithraic Mysteries, also known as Mithraism, were a mystery cult in the Roman world where followers worshipped the Indo-Iranian deity Mithras (Akkadian for "contract") as the god of friendship, contract and order. The cult first appeared in the late 1 st century CE and, at an extraordinary pace, spread from the Italian Peninsula and border regions across the whole of the Roman empire.

The cult, like many others, was a secret one. The most important element of the myth behind the Mithraic Mysteries was Mithras' killing of a bull; this scene is also known as "tauroctony". It was believed that from the death of the bull — an animal often seen as a symbol of strength and fertility — sprung new life. Rebirth was an essential idea in the myth of Mithraic Mysteries. The sacrifice of the bull established a new cosmic order and was also associated with the moon, which was also associated with fertility.



Figure 6.3.1: Cult relief of the Mithraic Mysteries by Marcuc Cyron is licensed under CC BY-NC-SA 3.0

What is special about the Mithraic Mysteries is its visuality. The sacrifice of the bull was depicted in a stone relief that had a central place in nearly every cult temple. In the relief, Mithras is often shown as he wrangles the bull to the ground and kills it. In a typical example, such as the celebrated sculpture from the Roman-Germanic Museum in Cologne, Mithras looks away from the dying bull, up to the moon. In addition, Mithras has a few helpers that assist him in taking the bull's fertility: A dog and a snake drink from the bull's blood, and a scorpion stings the bull's scrotum. Also, a raven sits on the bull's tail that typically ends in ears of grain. The raven could have played the role of a mediator between Mithras and the sun god Sol invictus, with whom Mithras will share the meat of the bull.

The bull sacrifice relief was typically placed at the end of the temple, which was essentially built like a stretched-out Roman dining room — an aisle flanked by two broad, raised benches. However, the sacrifice of the bull was rarely enacted by the worshippers themselves. Worshippers did imitate how Mithras shared the bull's meat with Sol, as fragments of dishes and bones of animals that have been found in these temples testify. High-quality pork, chicken and a large quantity of wine were consumed in high-spirited cultic feasts that connected the worshippers to each other and to Mithras.

The Mithraic Mysteries were not just about fun and games, however. There were strict rules as to how the feasts were organised, for example, regarding hygiene. What is more, there were seven degrees of initiation, ranging from "corax" (raven) to "pater" (father), of which each had its own type of clothing. The other degrees were "nymphus" (bridegroom), "miles" (soldier), "leo" (lion), "perses" (Persian), and "heliodromus" (sun-runner). Each degree of initiation had a different task to fulfill, e.g. a "raven" had to carry the food, while the "lions" offered sacrifices to the "father". Also, the initiates had to take part in tests of courage. The paintings in the temple of Mithras at Santa Maria Capua Vetere show us different scenes of this ritual.

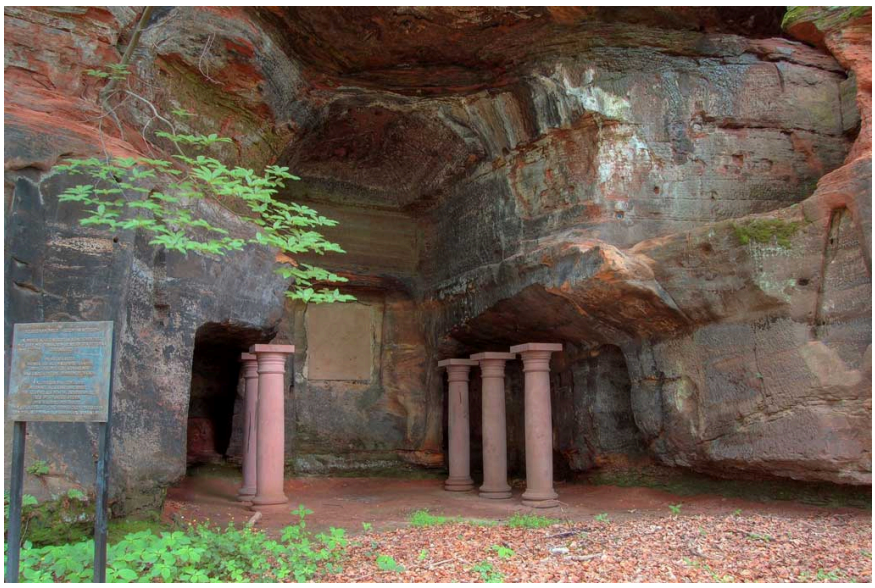


Figure 6.3.1: Mithraeum in Saarbrucken by Anna16 is licensed under CC BY-SA 3.0

An initiate, blindfolded and naked, is led to the ceremony by an assistant. Later, the initiate has to kneel before the “father”, who holds a torch or a sword in his face. Finally, he is stretched out on the floor, as if he had died. This probably was a ritual “suicide” in which the initiate was “killed” with a non-lethal theatre-sword, and was then reborn. (77)

Isis Cult

Isis is an ancient Egyptian goddess, associated with the earlier goddess Hathor, who became the most popular and enduring of all the Egyptian deities. Her name comes from the Egyptian Eset, (“the seat”) which referred to her stability and also the throne of Egypt as she was considered the mother of every pharaoh through the king’s association with Horus, Isis’ son. Her name has also been interpreted as Queen of the Throne, and her original headdress was the empty throne of her murdered husband Osiris. Her symbols are the scorpion (who kept her safe when she was in hiding), the kite (a kind of falcon whose shape she assumed in bringing her husband back to life), the empty throne, and the sistrum. She is regularly portrayed as the selfless, giving, mother, wife, and protectress, who places other’s interests and well-being ahead of her own.



Figure 6.3.1: Temple of Isis, Delos by Mark Cartwright is licensed under CC BY-NC-SA 3.0

She was also known as Weret-Kekau (“the Great Magic”) for her power and Mut-Netjer, “Mother of the Gods” but was known by many names depending on which role she was fulfilling at the moment. As the goddess who brought the yearly inundation of the Nile which fertilized the land she was Sati, for example, and as the goddess who created and preserved life she was Ankhet, and so on.

In time, she became so popular that all gods were considered mere aspects of Isis and she was the only Egyptian deity worshiped by everyone in the country. She and her husband and son replaced the Theban Triad of Amon, Mut, and Khons, who had been the most popular trinity of gods in Egypt. Osiris, Isis, and Horus are referred to as the Abydos Triad. Her cult began in the Nile Delta and her most important sanctuary was there at the shrine of Behbeit El-Hagar, but worship of Isis eventually spread to all parts of Egypt.

Both men and women served Isis as clergy and no doubt rituals concerning her worship were conducted along the lines of other deities: a temple was built as her earthly home which housed her statue and this image was reverently cared for by the priests and priestesses. The people of Egypt were encouraged to visit the temple to leave offerings and make supplications but no one except the high priest or priestess was allowed into the sanctuary where the statue of the goddess resided. Beyond this, however, little is known of the details of the rituals surrounding her worship. Like the Eleusinian Mysteries, the Cult of Isis grew into a Mystery Religion promising the secrets of life and death to initiates, who were then sworn to secrecy. It is known that the cult promised eternal life to those who were admitted to its secrets. The people who worshiped her throughout Egypt may or may not have been full initiates into her cult and, either way, left no record of how the goddess was honored.

It was not until Isis was worshiped in Rome that people wrote about the cult to any great degree and by then it was clear that knowledge of the rituals involved was only for initiates. Her temple on the island of Philae in Upper Egypt would remain an active pilgrimage site for thousands of years until closed in the 6 th century CE by the Christian emperor Justinian. In her role as “throne goddess”, she was considered the mother of all kings, but her benevolence was not limited to royalty. Isis dominated the religious sensibilities of the people at the same time that Christianity was taking form through the evangelical missions of St. Paul c. 42- 62 CE. The concept of the Dying and Reviving God which had long been established through the Osiris myth was now made manifest in the figure of the son of God, Jesus the Christ. In time, epithets for Isis became those for the Virgin Mary such as “Mother of God” and “Queen of Heaven” as the new religion drew on the power of the older belief to establish itself. The worship of Isis was the most stubborn of pagan beliefs to rival the new faith and continued longer than any other. (78)

Bacchus Cult

Dionysus (Roman name: Bacchus) was the ancient Greek god of wine, merriment, and theatre. Being the bad boy of Mt. Olympus, he was perhaps the most colorful of the Olympian Gods. In Greek mythology, despite being the son of Zeus and Semele (the daughter of Kadmos and Harmonia), Dionysus did not receive the best start in life when his mother died while still pregnant. Hera, wife of Zeus, was jealous of her husband’s illicit affair and craftily persuaded Semele to ask Zeus to reveal himself to her in all his godly splendour. This was too much for the mortal and she immediately expired; however, Zeus took the unborn child and reared him in his thigh.



Figure 6.3.1: Dionysos by Mark Cartwright is licensed under CC BY-NC-SA 3.0

Dionysus travelled widely, even as far as India, and spread his cult throughout Greece, indeed he was known as being of an eastern origin himself. Orgiastic rituals were held in his honor, where the participants were taken over by a Dionysian frenzy of dancing and merriment to such a degree that they transcended themselves. It is believed that theatre sprang from this activity as, like Dionysus' worshippers, actors strive to leave behind their own persona and become one with the character they are playing. Indeed, priests of Dionysus were given seats of honor in Greek theatres. [79]

As the Romans incorporated Greek culture into itself, so also came the worship of Dionysus. The appearance of Greek culture had been, for the most part, positive. Under this Greek influence, the Roman gods became more human, exhibiting such diverse characteristics as jealousy, love, and hate. However, unlike in Greece, in Rome an individual's self-expression of belief was not considered as important as adherence to ritual. In an effort to avoid religious zeal, the state demanded a strict adherence to a rigid set of rituals. While this integration of the Greeks gods was never seen as a viable threat — they easily fit into the existing array of gods — some cults proved to be something completely different: a genuine danger to the prevailing state religion.

In 186 BCE the Roman Senate, recognizing a potential menace, suppressed the worship of the Greek god of wine, Dionysus, known to the Romans as Bacchus. His worship is best remembered for its intoxicating festival held on March 17, a day when a Roman male youth would supposedly become a man. The cult was viewed as being excessively brutal, supposedly involving ritual murder and sexual excess. As a result, many of its adherents were either imprisoned or executed. It should be noted, however, that the authority's fear of this cult was largely generated, not from first-hand experience (the cult's rituals were always conducted in secret) but from the writings of the historian Livy (c. 64 BCE-17 CE) who consistently portrayed the cult as a dangerous menace to social stability and characterized adherents as little more than drunken beasts. [80]



Figure 6.3.1: Cybele by Dave & Margie Hill / Kleerup is licensed under CC BY-SA 3.0

Cybele Cult

Originally, the Cybelean cult was brought to Rome during the time of the Second Punic War (218â€“201 BCE). At that time the Carthaginian general Hannibal was wreaking havoc in Italy, posing a serious threat to the city of Rome. The Sibylline Books, books of prophecy consulted by the Roman Senate in times of emergencies, predicted that Italy would be freed by an Idaean mother of Pessinus; to many, this meant Cybele. A black meteorite, representing the goddess, was brought to Rome from Asia Minor in 204 BCE. Miraculously, Hannibal and his army left shortly afterwards to defend Carthage against the invading Romans; a temple honoring Cybele would be built on Palatine Hill in 191 BCE.

The cult eventually achieved official recognition during the reign of Emperor Claudius (41â€“44 CE). Ultimately, her appeal as an agrarian goddess would enable her to find adherents in northern Africa as well as Transalpine Gaul.

Due to its agricultural nature, her cult had tremendous appeal to the average Roman citizen, more so women than men. She was responsible for every aspect of an individual's life. She was the mistress of wild nature, symbolized by her constant companion, the lion. Not only was she was a healer (she both cured and caused disease) but also the goddess of fertility and protectress in time of war (although, interestingly, not a favorite among soldiers), even offering immortality to her adherents.

She is depicted in statues either on a chariot pulled by lions or enthroned carrying a bowl and drum, wearing a mural crown, flanked by lions. Followers of her cult would work themselves into an emotional frenzy and self-mutilate, symbolic of her lover's self-castration.

Important to the worship of Cybele was Attis, the Phrygian god of vegetation, also considered a resurrection god (similar to the Greek Adonis). Supposedly, Attis was Cybele's lover, although some sources claim him to be her son. Unfortunately, he fell in love with a mortal and chose to marry. According to one story, on the day of their wedding banquet, the irate and jealous goddess apparently struck panic into those who attended the wedding. Afraid for his own safety (no mention is made of his bride), the frightened groom fled to the nearby mountains where he gradually became insane, eventually committing suicide but not before castrating himself. Regaining her own sanity, the remorseful Cybele appealed to Zeus to never allow Attis's corpse to decay. Myth claims that he would return to life during the yearly rebirth of vegetation; thus identifying Attis as an early dying-and-reviving god figure.

Cybele was one of many cults that appeared in Rome. Some were considered harmless, the Cult of Isis for example, and allowed to survive while others, like Bacchus, were seen as a serious threat to the Roman citizens and was persecuted. Of course, almost all of these cults disappeared with the arrival of Christianity when Rome became the center of this new religion. The Cult of Cybele lasted until the 4 th century CE, at which time Christianity dominated the religious landscape and pagan beliefs and rituals

gradually became transformed or discarded to suit the new faith. [80]

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6.4: Early Christian Religion and Culture

Early Christian Religion and Culture

Life of Jesus

The life of Jesus began in north and central Palestine, a region between the Dead Sea and the Jordan River in the east and the Eastern Mediterranean in the west. This region was under Roman control since the 1st century BCE, initially as a tributary kingdom. The Roman campaigns, coupled with internal revolts and the incursion of the Parthians, made the region very unstable and chaotic up until 37 BCE, when Herod the Great (c.73 BCE-4 BCE) became king. The region gradually gained political stability and became prosperous. Although Jewish in religion, Herod was a vassal king who served the interests of the Roman Empire.

Jesus was born towards the end of the reign of Herod the Great (died 4 BCE) and brought up in Nazareth, Galilee. He was named Jesus (Yeshu'a in Aramaic, Yehoshua or Joshua in Hebrew, Iesous in Greek, Iesus in Roman) and was conceived between the engagement and marriage of his parents whose names were Mary (Miriam in Hebrew and Mariam in Aramaic) and Joseph (Yossef in Hebrew, Yosep in Aramaic). In Matthew 13.55 it is said that his father was a carpenter, and Mark 6.3 says that this was also Jesus' profession. It was a common practice during that time that sons would follow their father's occupation, so it would be safe to believe that Jesus was a carpenter. Although not certain, it is probable that Jesus' education included a detailed study of the Hebrew Scriptures, a very common practice among the devout poor in Israel.

His public ministry began after being baptized by John the Baptist. According to the gospel of Luke, this was when Jesus was about 30 years of age. According to Mark (11.27-33), Jesus saw John the Baptist as an authority and possibly a source of inspiration. It seems that he performed baptisms parallel to John the Baptist (John 3.22). After the arrest of John the Baptist (Mark 1.14), Jesus began a new kind of ministry, spreading the message of the kingdom of God approaching and stressing the importance of repentance by the people of Israel.



Figure 6.4.1: Jesus Christ by Hardscarf is licensed under CC BY-NC-SA 3.0

Jesus was heavily influenced by the prophet Isaiah, who considered the coming of the reign of God a central topic (Isa. 52.7). Many of Jesus' teachings have allusions to Isaiah, and he also quotes him on many occasions. Jesus is presented as an eschatological prophet announcing the definitive coming of God, its salvation, and the end of time.

Jesus gradually gained popularity and thousands of followers are mentioned in the gospels. He shared some attributes with the

Pharisees and the Essenes, two of the Jewish sects at that time. Like the Pharisees, his teaching methods included the expression of thoughts about the human condition in the form of aphorisms and parables, and he also shared the belief in the genuine authority of Hebrew sacred scriptures. Unlike the Pharisaic teachers, Jesus believed that outward compliance with the law was not of utmost importance and that values such as the love for enemies were more important.

Moreover, Jesus summed up his ethical views in the double command concerning love: "Thou shalt love the Lord thy God with all thy heart, and with all thy soul, and with all thy mind" and "Thou shalt love thy neighbor as thyself" (Mark 12.28-31; Matthew 22.35-40 and Luke 10.25-28). The Essenes had a very simple way of life, a pacifist spirit, common ownership of property, common meals, they practiced exorcisms, and they stressed the love for each other, all practices seen in the ministry of Jesus.

At some point towards the end of his career, Jesus moved to Jerusalem in Judea, reaching the climax of his public life. Here he engaged in different disputes with his many adversaries. At the same time, some religious authorities were seeking to entrap him into self-incrimination by raising controversial topics, mostly of a theological nature. The gospels offer different reasons as to why the Sanhedrin (the Jewish court) was interested in executing Jesus, but only John (11.47-53) seems convincing enough: Jesus was seen as a trouble-maker who threatened public harmony.

A Roman intervention to restore order, thus breaking the fine balance between Jewish and Roman power, did not interest the Sanhedrin. An arresting party finally took Jesus to the Sanhedrin, where he was judged, found guilty of blasphemy, and condemned to death. However, the execution order had to be issued by a Roman authority; the Jewish court did not have such power at that time. Therefore, Jesus was brought to the procurator of Rome who ordered Jesus' execution. Because Jesus never denied the charges, he should have been convicted and not executed, as the Roman law required in case of confession for such a penalty. On a hill outside Jerusalem, Jesus was finally crucified and killed, which was not a Jewish form of punishment but a common Roman practice. [81]

The Early Christian Movement

Following Jesus' death, the Christian religion continued to flourish. This was in large part to missionaries like the apostle Paul who successfully reshaped the religion, making it more Greco-Roman in orientation than Jewish. Indeed, playing down the importance of circumcision and pork abstinence, Paul was able to make the budding faith more palatable to a Gentile audience. Emphasizing themes such as life-after-death and personal redemption, Paul promoted Christianity in terms not unlike those promoted by the various mystery religions of the day. As such, Christianity became a competitor for converts within a very crowded religious marketplace.

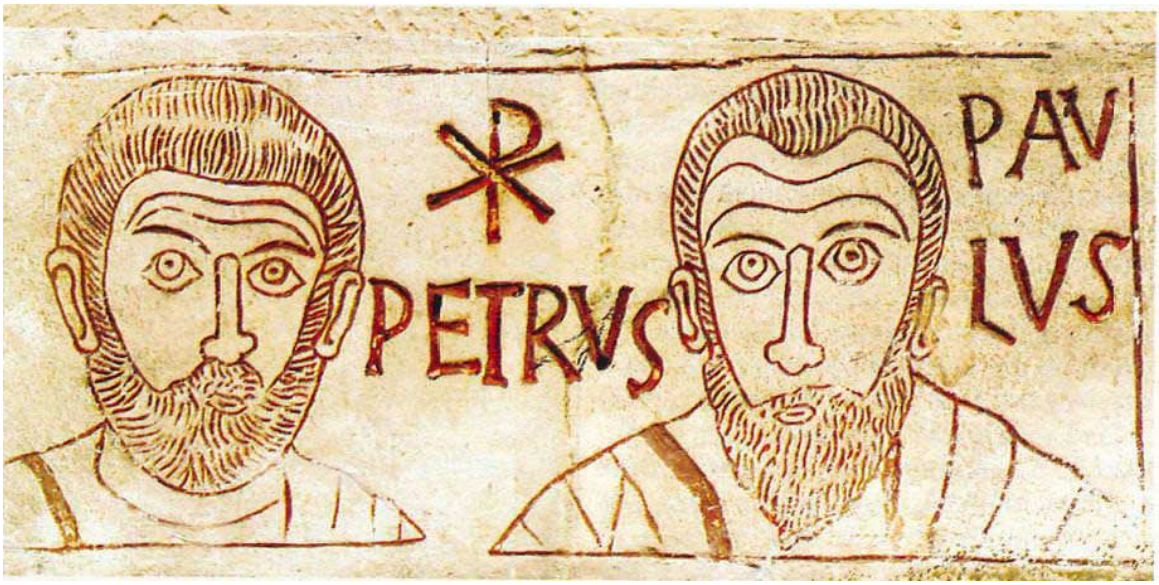


Figure 6.4.1: Saints Peter and Paul, from a catacomb etching by Anonymous is licensed under CC BY-SA 3.0

From the Roman point of view, they initially identified Christianity as a sect of the Jewish religion. As Christian believers became increasingly Gentile in orientation, however, practitioners of the faith became a problem for Roman rulers. Around the year 98,

Nerva decreed that Christians — unlike the Jews — would no longer be able to pay a tax in order to absolve themselves from demonstrating devotion to the Roman gods. This opened the way to the persecutions of Christians for disobedience to the emperor, as many refused to sacrifice to the Roman gods and the emperor. Thus, members of the Early Christian movement often became political targets and scapegoats for the social ills and political tensions of specific rulers and turbulent periods during the first three centuries, CE; however, this persecution was sporadic and rarely Empire-wide, but it was devastating, nonetheless.

The so-called Great Persecution — during the reign of Diocletian — was the last and most severe persecution of Christians in the Roman Empire. This lasted from 302-311 CE. By this point, however, the Emperor's sweeping endeavor to wipe out the religion proved an impossibility as Christians comprised upwards of ten percent of the Roman population. In the end, the persecution failed to check the rise of the church. By 324, Constantine was sole ruler of the empire, and Christianity had become his favored religion. (82)(83)(84)

Constantine's Relationship with Christianity

While the Roman Emperor Constantine the Great reigned (306- 337 CE), Christianity began to transition to the dominant religion of the Roman Empire. Historians remain uncertain about Constantine's reasons for favoring Christianity, and theologians and historians have argued about which form of Early Christianity he subscribed to. There is no consensus among scholars as to whether he adopted his mother Helena's Christianity in his youth, or (as claimed by Eusebius of Caesarea) encouraged her to convert to the faith himself. Some scholars question the extent to which he should be considered a Christian emperor: "Constantine saw himself as an 'emperor of the Christian people.' If this made him a Christian is the subject of debate," although he allegedly received a baptism shortly before his death.

Constantine's decision to cease the persecution of Christians in the Roman Empire was a turning point for early Christianity, sometimes referred to as the Triumph of the Church, the Peace of the Church, or the Constantinian Shift. In 313, Constantine and Licinius issued the Edict of Milan, decriminalizing Christian worship. The emperor became a great patron of the Church and set a precedent for the position of the Christian emperor within the Church, and the notion of orthodoxy, Christendom, ecumenical councils, and the state church of the Roman Empire, declared by edict in 380. He is revered as a saint and is an apostle in the Eastern Orthodox Church and Oriental Orthodox Church for his example as a "Christian monarch." (85)

Christianity After Constantine

After Constantine, the Christianization of the Roman Empire would continue apace. Under Theodosius I (r. 378- 395), Christianity became the state religion. By the 5 th century, Christianity was the empire's predominant faith, and filled the same role paganism had at the end of the 3rd century. Because of the persecution, however, a number of Christian communities were driven between those who had complied with imperial authorities (traditores) and those who had refused. In Africa, the Donatists, who protested the election of the alleged traditor, Caecilian, to the bishopric of Carthage, continued to resist the authority of the central church until after 411. The Melitians in Egypt left the Egyptian Church similarly divided. (82)

Early Christian Art

Early Christian, or Paleochristian, art was produced by Christians or under Christian patronage from the earliest period of Christianity to, depending on the definition used, between 260 and 525. In practice identifiably Christian art only survives from the second century onwards. After 550, Christian art is classified as Byzantine, or of some other regional type.

It is difficult to know when distinctly Christian art began. Prior to 100, Christians may have been constrained by their position as a persecuted group from producing durable works of art. Since Christianity was largely a religion of the lower classes in this period, the lack of surviving art may reflect a lack of funds for patronage or a small numbers of followers. The Old Testament restrictions against the production of graven images (an idol or fetish carved in wood or stone) might have also constrained Christians from producing art. Christians could have made or purchased art with pagan iconography but given it Christian meanings. If this happened, "Christian" art would not be immediately recognizable as such.

Early Christians used the same artistic media as the surrounding pagan culture. These media included fresco, mosaics, sculpture, and manuscript illumination. Early Christian art not only used Roman forms, it also used Roman styles. Late Classical art included a proportional portrayal of the human body and impressionistic presentation of space. The Late Classical style is seen in early Christian frescos, such as those in the Catacombs of Rome, which include most examples of the earliest Christian art.

Early Christian art is generally divided into two periods by scholars: before and after the Edict of Milan of 313. The end of the period of Early Christian art, which is typically defined by art historians as being in the fifth through seventh centuries, is thus a good deal later than the end of the period of Early Christianity as typically defined by theologians and church historians, which is more often considered to end under Constantine, between 313 and 325.[83]

Early Christian Painting

In a move of strategic syncretism, Early Christians adapted Roman motifs and gave new meanings to what had been pagan symbols. Among the motifs adopted were the peacock, grapevines, and the “Good Shepherd.” Early Christians also developed their own iconography. Such symbols as the fish (ikhthus), were not borrowed from pagan iconography.

During the persecution of Christians under the Roman Empire, Christian art was necessarily and deliberately furtive and ambiguous, using imagery that was shared with pagan culture but had a special meaning for Christians. The earliest surviving Christian art comes from the late second to early fourth centuries on the walls of Christian tombs in the catacombs of Rome. From literary evidence, there might have been panel icons which have disappeared.

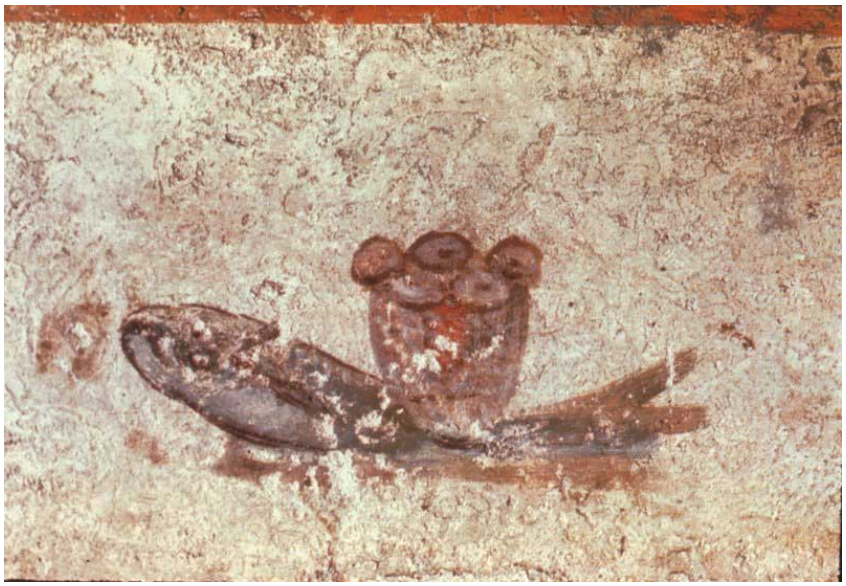


Figure 6.4.1: Eucharistic bread and fish by Leinad-Z~commonswiki is licensed under Public Domain

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Initially Jesus was represented indirectly by pictogram symbols such as the Ichthys, the peacock, the Lamb of God, or an anchor. Later, personified symbols were used, including Jonah, whose three days in the belly of the whale prefigured the interval between the death and resurrection of Jesus, Daniel in the lion’s den, or Orpheus charming the animals. However, the depiction of Jesus was well-developed by the end of the pre-Constantinian period. He was typically shown in narrative scenes, with a preference for New Testament miracles, and few of scenes from his Passion.

A variety of different types of appearance were used, including the thin long-faced figure with long centrally-parted hair that was later to become the norm. But in the earliest images as many show a stocky and short-haired beardless figure in a short tunic, who can only be identified by his context. In many images of miracles Jesus carries a stick or wand, which he points at the subject of the miracle rather like a modern stage magician (though the wand is significantly larger).



Figure 6.4.1: Healing of a bleeding women by unknown from Wikimedia is licensed under Public Domain

The image of The Good Shepherd, a beardless youth in pastoral scenes collecting sheep, was the most common of these images and was probably not understood as a portrait of the historical Jesus. These images bear some resemblance to depictions of kouroi figures in Greco-Roman art.



Figure 6.4.1:Good shepherd by Leinad-Z~commonswiki is licensed under Public Domain



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The almost total absence from Christian paintings during the persecution period of the cross, except in the disguised form of the anchor, is notable. The cross, symbolizing Jesus's crucifixion, was not represented explicitly for several centuries, possibly because crucifixion was a punishment meted out to common criminals, but also because literary sources noted that it was a symbol recognized as specifically Christian, as the sign of the cross was made by Christians from the earliest days of the religion. (83)

House Church at Dura-Europos

The house church at Dura-Europos is the oldest known house church. One of the walls within the structure was inscribed with a date that was interpreted as 231. It was preserved when it was filled with earth to strengthen the city's fortifications against an attack by the Sassanians in 256 CE. Despite the larger atmosphere of persecution, the artifacts found in the house church provide evidence of localized Roman tolerance for a Christian presence. This location housed frescos of biblical scenes including a figure of Jesus healing the sick.

When Christianity emerged in the Late Antique world, Christian ceremony and worship were secretive. Before Christianity was legalized in the fourth century, Christians suffered intermittent periods of persecution at the hands of the Romans. Therefore, Christian worship was purposefully kept as inconspicuous as possible. Rather than building prominent new structures for express religious use, Christians in the Late Antique world took advantage of pre-existing, private structures — houses.



Figure 6.4.1: House Church at Dura-Europos by Heretiq (assumed) is licensed under CC BY-SA 2.5

The house church in general was known as the domus ecclesiae, Latin for house and assembly. Domi ecclesiae emerged in third-century Rome and are closely tied to domestic Roman architecture of this period, specifically to the peristyle house in which the rooms were arranged around a central courtyard. These rooms were often adjoined to create a larger gathering space that could accommodate small crowds of around fifty people.

Other rooms were used for different religious and ceremonial purpose, including education, the celebration of the Eucharist, the baptism of Christian converts, storage of charitable items, and private prayer and mass. The plan of the house church at Dura-Europos illustrates how house churches elsewhere were designed.

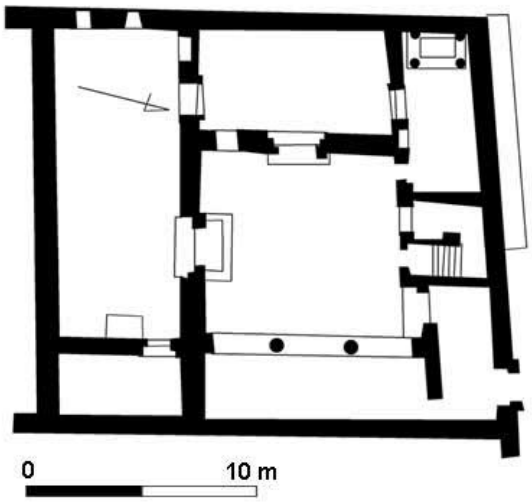


Figure 6.4.1: Plan of the house with church of Dura Europos by Udimu is licensed under CC BY-SA 3.0

When Christianity was legalized in the fourth century, Christians were no longer forced to use pre-existing homes for their churches and meeting houses. Instead, they began to build churches of their own. Even then, Christian churches often purposefully featured unassuming—even plain—exteriors. They tended to be much larger as the rise in the popularity of the

Christian faith meant that churches needed to accommodate an increasing volume of people. [83]

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7: ISLAM AND BYZANTINE CULTURE

7.1: About This Module
7.2: The Byzantine Empire
7.3: Islamic Civilization

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7.1: About This Module

Topics Covered:

- Byzantine and Muslim Civilizations to Include
  - Byzantine and Muslim Architecture such as the Hagia Sophia
  - Aniconism and Iconoclasm
  - Constantinople
  - Justinian
  - Muhammad and Islam

This module introduces students to Byzantine and Muslim artistic, political, and religious expressions that developed between late antiquity and the Late Middle Ages. Students will determine what cultural artifacts such as the Hagia Sophia and the Qur'an tell us about the historical context of the Byzantine and Muslim civilizations. Students will demonstrate understanding of cultural expressions by noting how the role that icons played in Byzantine and Muslim culture. Students will recognize the contribution that Byzantines and Muslims made to the world, particularly in the fields of Law and Medicine. Finally, students will also demonstrate proficiency in critical thought by comparing the role that religion played in the governance of the Byzantine Empire and early Muslim states. [1]

Learning Outcomes Related to this Module

1. Demonstrate proficiency in critical thinking
2. Recognize the relationships between cultural expressions and their contexts
3. Understand cultural expressions
4. Interpret and evaluate cultural artifacts and/or their contexts for significance
5. Recognize the important contributions of the classical world; understand and analyze specific primary texts from the classical world

Objectives

Upon completion of this module, the student will be able to:

- Sort events in historical order from the Byzantine and Islamic civilizations.
- Identify the cultural contributions of the Byzantine and Islamic civilizations.
- Identify the historical developments that led to the rise and fall of the Byzantine Empire.
- Identify religious developments within the Greek Orthodox Church during the Middle Ages.
- Identify key elements of Islamic belief and practice.
- Identify the historical developments that led to the development of Islam in the Middle East and the rise of the early caliphates.
- Identify artistic and architectural achievements of Byzantine and Muslim culture.
- Identify major Byzantine and Islamic figures and their achievements. [1]

Assigned Readings

- Learning Unit – Byzantine and Muslim Culture

Assignments | Learning Activities

- Review Learning Unit
- Participate in Discussion 7
- Complete Timeline Assignment 7

- Complete Assessment Module 7

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7.2: The Byzantine Empire

The Beginnings of the Byzantine Empire

The Byzantine Empire was the continuation of the Roman Empire in the Greek-speaking, eastern part of the Mediterranean. Christian in nature, it was perennially at war with the Muslims, Flourishing during the reign of the Macedonian emperors, its demise was the consequence of attacks by Seljuk Turks, Crusaders, and Ottoman Turks.

Byzantium was the name of a small, but important town at the Bosphorus, the strait which connects the Sea of Marmara and the Aegean to the Black Sea, and separates the continents of Europe and Asia. In Greek times the town was at the frontier between the Greek and the Persian world. In the fourth century BCE, Alexander the Great made both worlds part of his Hellenistic universe, and later Byzantium became a town of growing importance within the Roman Empire.

By the third century CE, the Romans had many thousands of miles of border to defend. Growing pressure caused a crisis, especially in the Danube/Balkan area, where the Goths violated the borders. In the East, the Sasanian Persians transgressed the frontiers along the Euphrates and Tigris. The emperor Constantine the Great (reign 306–337 CE) was one of the first to realize the impossibility of managing the empire's problems from distant Rome. (86)



Figure 7.2.1: Map of Constantinople by Cristoforo Buondelmonti is licensed under Public Domain

In 330 CE, Constantine decided to make Byzantium, which he had established a couple of years before and named after himself, his new residence. Constantinople lay halfway between the Balkan and the Euphrates, and not too far from the immense wealth and manpower of Asia Minor, the vital part of the empire.

"Byzantium" was to become the name for the East-Roman Empire. After the death of Constantine, in an attempt to overcome the growing military and administrative problem, the Roman Empire was divided into an eastern and a western part. The western part is considered as definitely finished by the year 476 CE, when its last ruler was dethroned and a military leader, Odoacer, took power. (86)

Byzantine Culture

Since the age of the great historian Edward Gibbon, the Byzantine Empire has a reputation of stagnation, great luxury and corruption. Most surely the emperors in Constantinople held an eastern court. That means court life was ruled by a very formal hierarchy. There were all kinds of political intrigues between factions. However, the image of a luxury-addicted, conspiring, decadent court with treacherous empresses and an inert state system is historically inaccurate. On the contrary: for its age, the

Byzantine Empire was quite modern. Its tax system and administration were so efficient that the empire survived more than a thousand years.

The culture of Byzantium was rich and affluent, while science and technology also flourished. Very important for us, nowadays, was the Byzantine tradition of rhetoric and public debate. Philosophical and theological discourses were important in public life, even emperors taking part in them. The debates kept knowledge and admiration for the Greek philosophical and scientific heritage alive. Byzantine intellectuals quoted their classical predecessors with great respect, even though they had not been Christians. And although it was the Byzantine emperor Justinian who closed Plato's famous Academy of Athens in 529 CE, the Byzantines are also responsible for much of the passing on of the Greek legacy to the Muslims, who later helped Europe to explore this knowledge again and so stood at the beginning of European Renaissance. (86)

Byzantine Religion

In the course of the fourth century, the Roman world became increasingly Christian, and the Byzantine Empire was certainly a Christian state. It was the first empire in the world to be founded not only on worldly power, but also on the authority of the Church. Paganism, however, stayed an important source of inspiration for many people during the first centuries of the Byzantine Empire.

When Christianity became organized, the Church was led by five patriarchs, who resided in Alexandria, Jerusalem, Antioch, Constantinople, and Rome. The Council of Chalcedon (451 CE) decided that the patriarch of Constantinople was to be the second in the ecclesiastical hierarchy. Only the pope in Rome was his superior. After the Great Schism of 1054 CE the eastern (Orthodox) church separated from the western (Roman Catholic) church. The center of influence of the orthodox churches later shifted to Moscow. (86)

Byzantine Iconography

Icon painting, as distinct from other forms of painting, emerged in the Early Byzantine period as an aid to religious devotion. In contrast, earlier Christian art had relied more on allegory and symbolism. For example, earlier art might have featured a lamb or a fish rather than Christ in human form. Before long, religious figures were being depicted in their human form to emphasize their humanity as well as their spirituality. While this issue would be debated and challenged during the later Iconoclastic period, for a time, images of the saints in icon paintings flourished.

After the adoption of Christianity as the only permissible Roman state religion under Theodosius I, Christian art began to change not only in quality and sophistication but also in nature. Paintings of martyrs and their feats began to appear, and early writers commented on their lifelike effect. Statues in the round were avoided as being too close to the principal artistic focus of pagan cult practices, as they have continued to be (with some small-scale exceptions) throughout the history of Eastern Christianity.

Icons were more religious than aesthetic in nature. They were understood to manifest the unique "presence" of the figure depicted by means of a "likeness" to that figure maintained through carefully maintained canons of representation. Therefore, very little room is made for artistic license. Almost every aspect of the subject matter has a symbolic aspect. Christ, the saints, and the angels all have halos. Angels, as well as some depictions of the Holy Trinity, have wings because they are messengers. Figures have consistent facial appearances, hold attributes personal to them, and use a few conventional poses.

Color plays an important role, as well. Gold represents the radiance of Heaven. Red signifies divine life, while blue is the color of human life. White is the Uncreated Light of God, only used for scenes depicting the resurrection and transfiguration of Christ. In icons of Jesus and Mary, Jesus wears a red undergarment with a blue outer garment (God as Human), and Mary wears a blue undergarment with a red outer garment (humanity granted divine gifts). Thus, the doctrine of deification is conveyed by icons. Most icons incorporate some calligraphic text naming the person or event depicted. Because letters also carry symbolic significance, writing is often presented in a stylized manner. (87)

Justinian



Figure 7.2.1: Justinian I sponsored by a Greek banker, Julius Argentarius is licensed under CC BY-NC-SA 3.0

Byzantine history goes from the founding of Constantinople as imperial residence on 11 May 330 CE until Tuesday 29 May 1453 CE, when the Ottoman sultan Memhet II conquered the city. Most times the history of the Empire is divided in three periods.

The first of these, from 330 till 867 CE, saw the creation and survival of a powerful empire. During the reign of Justinian (527–565 CE), a last attempt was made to reunite the whole Roman Empire under one ruler, the one in Constantinople. This plan largely succeeded: the wealthy provinces in Italy and Africa were reconquered, Libya was rejuvenated, and money bought sufficient diplomatic influence in the realms of the Frankish rulers in Gaul and the Visigothic dynasty in Spain. The rediscovered unity was celebrated with the construction of the church of Holy Wisdom, Hagia Sophia, in Constantinople. The price for the reunion, however, was high. Justinian had to pay off the Sasanian Persians, and had to deal with firm resistance, for instance in Italy.

Under Justinian, the lawyer Tribonian (500–547 CE) created the famous Corpus Iuris. The Code of Justinian, a compilation of all the imperial laws, was published in 529 CE; soon the Institutions (a handbook) and the Digests (fifty books of jurisprudence), were added. The project was completed with some additional laws, the Novellae. The achievement becomes even more impressive when we realize that Tribonian was temporarily relieved of his function during the Nika riots of 532 CE, which in the end weakened the position of patricians and senators in the government, and strengthened the position of the emperor and his wife. (86)

Justinian I devoted much of his reign (527–565 CE) to reconquering Italy, North Africa, and Spain. During his reign, he sought to revive the empire's greatness and reconquer the lost western half of the historical Roman Empire. This attempt at restoration included an ambitious building program in Constantinople and elsewhere in the empire, by far the most substantial architectural achievement by one person in history.

One notable structure for which Justinian was responsible was the Hagia Sophia, or Church of Holy Wisdom, built by Isidorus of Miletus and Anthemius of Tralles, both of whom would oversee most building projects that Justinian ordered within Constantinople. (88)

The Hagia Sophia

Translated as "Holy Wisdom," the Hagia Sophia was originally built and dedicated in the fourth century and served as the cathedral, or bishop's seat, for Constantinople. From its dedication in 360 CE to the Nika Revolt of 532 CE, which proved to be the most violent week of rioting in city's history, the Hagia Sophia was destroyed twice and rebuilt once, reflecting the symbolic power this religious structure held in its relation not only to Christianity but also to the city of Constantinople.



Figure 7.2.1: Hagia Sophia by Arild Vågen is licensed under CC BY-SA 3.0

One of Justinian I's first building campaigns following the Nika Revolt was to rebuild this cathedral. He turned to scholars Anthemius of Tralles and Isidorus of Miletus to design a revolutionary new church, one that adopted a central plan with extensions to the west and east by half dome apses. The dramatically raised, soaring central dome seems to magically float on light, creating a visually spectacular interior that originally had vibrant mosaic work.

Unfortunately, much of the original mosaic work has been destroyed.

Earthquakes in the sixth and ninth centuries, and the period of Byzantine Iconoclasm beginning around 726 CE, significantly damaged the structure and decoration of the Hagia Sophia. In its conversion to a mosque in 1453, when the Ottoman Empire overtook Constantinople, the religious work experienced more degradation, as mosque workers were known to sell individual mosaic tesserae as good luck charms for those who visited the space. (89)



Figure 7.2.1: The Christ Pantocrator of the Deesis mosaic in Hagia Sophia by Myrabella is licensed under Public Domain

Justinian's Law

Byzantine Emperor Justinian I achieved lasting fame through his judicial reforms, particularly through the complete revision of all Roman law, something that had not previously been attempted. There existed three codices of imperial laws and other individual laws, many of which conflicted or were out of date. The total of Justinian's legislature is known today as the *Corpus juris civilis* . It was not in general use during the Early Middle Ages. After the Early Middle Ages, interest in it revived. It was "received" or imitated as private law, and its public law content was quarried for arguments by both secular and ecclesiastical authorities. The revived Roman law, in turn, became the foundation of law in all civil law jurisdictions.

The provisions of the *Corpus Juris Civilis* also influenced the canon law of the Roman Catholic Church; it was said that *ecclesia vivit lege romana* — the church lives by Roman law. Its influence on common law legal systems has been much smaller, although some basic concepts from the *Corpus* have survived through Norman law — such as the contrast, especially in the Institutes, between "law" (statute) and custom. The *Corpus* continues to have a major influence on public international law. Its four parts thus constitute the foundation documents of the western legal tradition. (90)

Iconoclast Controversy



Figure 7.2.1: Byzantine iconoclasm by Chludov 9th century is licensed under Public Domain

Around 726 CE, a period of iconoclasm brought the majority of Byzantine artistic production to a halt. Literally translated as "image breaking," iconoclasm involved the destruction or desecration of religious imagery for the sake of preventing idolatry, as illustrated in a ninth-century drawing from the Chudlov Psalter. This moment was spurred by ongoing religious debate regarding the function and appropriateness of religious imagery. Those who argued against the use of images feared that worshipers would became too engrossed in the image itself, worshiping the image as an idol rather than focusing on the religious narrative or figures it represents. This controversial issue came to a head under Emperor Leo III, who prohibited the creation of new religious imagery and called for the removal and destruction of extant imagery. During this period, the only acceptable imagery to be included in church interiors was the cross. Following this iconoclastic outbreak, the Middle Byzantine Period (843–1204 CE) began when Empress Theodora reinstated the practice of venerating icons, thereby ushering in a new generation of artistic and architectural production.

The return of the splendor of Byzantine interior decoration can be seen in the Saint Mark's Cathedral, Venice. Expanding the footprint of the Hagia Sophia to take on a Greek cross shape, Saint Mark's Cathedral includes five monumental domes, each replete with golden mosaic work (on which work continued until the seventeenth century). While the imagery is no less lavish than earlier examples, imagery has been simplified (e.g., the removal of many superfluous details) since at this point, artists sought to emphasize the primacy of the religious narrative or figure being portrayed.

This is illustrated in a relatively contemporaneous version of Christ Pantocrator in the Church of the Dormition, Daphni, Greece (c. 1080–1100 CE). Located in the central dome of the church, this Christ Pantocrator looms large over worshipers. Holding the

New Testament in his left arm and assuming a gesture of blessing with his right, Christ here assumes the traditional posture as Pantocrator, or “ruler of all,” a conventional representation of Christ that became popular during this era. (89)

The Collapse of the Byzantine Empire

After Justinian, contraction largely defines Byzantine history. The first onset of the Bubonic plague in Europe was one factor that contributed to a weakening of the Byzantine Empire in political and economic ways. As the disease spread throughout the Mediterranean world, the empire’s ability to resist its enemies weakened. By 568 CE, the Lombards successfully invaded northern Italy and defeated the small Byzantine garrison, leading to the fracturing of the Italian peninsula, which remained divided and split until re-unification in the 19 th century CE. In the Roman provinces of North Africa and the Near East, the empire was unable to stem the encroachment of Arabs. The decreased size, and the inability of the Byzantine army to resist outside forces, was largely due to its inability to recruit and train new volunteers due to the spread of illness and death. The decrease in the population not only impacted the military and the empire’s defenses, but the economic and administrative structures of the empire began to collapse or disappear.

Decay became inevitable after the Battle of Manzikert in 1071 CE after the Byzantine army was bested by the Seljuk Turks in combat. After the battle, the Byzantine Empire lost Antioch, Aleppo, and Manzikert, and within years, the whole of Asia Minor was overrun by the Seljuk Kingdom. The loss of territory and personnel left a power vacuum that western Europeans proved more than willing to fill. The Byzantine Emperor sent a request for help to pope Urban II, who responded by summoning the western world for the Crusades. The western warriors swore loyalty to the emperor, reconquered parts of Anatolia, but kept Antioch, Edessa, and the Holy Land for themselves. For more than half a century, the empire was ruled by monarchs from the West. The Byzantine Empire continued to lose territory, however, until finally the Ottoman Empire under Mehmet II conquered Constantinople in 1453 CE and took over government. (91)(86)

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7.3: Islamic Civilization

The Rise of Muhammad

A man meditating alone in a cave near Mecca received a religious vision. This vision laid the foundations for a new religion. The year was 610 and the man's name was Muhammad. And the belief system that arose from Muhammad's ideas became the basis of one of the world's most widely practiced religions: Islam.

Muhammad was born around 570 in the city of Mecca, located on the Arabian Peninsula. Both of his parents died before Muhammad was six and he was raised by his grandfather and uncle. His family belonged to a poor clan that was active in Mecca politics.

Following the traditions of wealthy families, he spent part of his childhood living with a Bedouin family. Bedouins led fairly isolated lives as nomadic herders in the harsh Arabian desert. Muhammad's experiences among these people most likely had a strong influence on the development of Islam.

In his twenties, Muhammad began working as a merchant and soon married his employer, a rich woman named Khadijah. Over the next 20 years he became a wealthy and respected trader, traveling throughout the Middle East. He and his wife had six children — two boys (who did not live into adulthood) and four girls. By the time he was 40, he began having religious visions that would change his life.

While meditating in a cave on Mount Hira, Muhammad had a revelation. He came to believe that he was called on by God to be a prophet and teacher of a new faith, Islam, which means literally "submission."

This new faith incorporated aspects of Judaism and Christianity. It respected the holy books of these religions and its great leaders and prophets — Abraham, Moses, Jesus, and others. Muhammad called Abraham "Khalil" ("God's friend") and identified him as Islam's ancient patriarch. Islam traces its heritage through Abraham's son Ishmael.

Muhammad believed that he himself was God's final prophet.

Central to Islamic beliefs are the Five Pillars of Faith, which all followers of Islam — called Muslims — must follow:

- Profession that there is only one universal God: Allah.
- Followers of Islam (Muslims) are expected to pray five times each day while facing Mecca.
- All Muslims are expected to pay a yearly tax that is mostly intended to help the poor and needy.
- For the entire month of Ramadan, Muslims must not eat, smoke, drink, or have sexual relations from sunrise to sunset
- All able Muslims must make a pilgrimage (hajj) to Mecca at least once in their lifetimes.

Muhammad's message was especially well received by the poor and slaves. But many people were opposed to his message. This opposition only seemed to make him more determined. After years of publicly promoting his ideas, he became so disliked that some began plotting his murder.

In 622, fearing for his life, Muhammad fled to the town of Medina. This flight from Mecca to Medina became known as the Hegira, Arabic for "flight." The Muslim calendar begins on this year.

In Medina, the local people welcomed Muhammad and his followers. There, Muhammad built the first mosque, or Islamic temple, and began to work to separate Islam from Judaism and Christianity, which had originally influenced him.

Whereas his followers had originally prayed while facing toward Jerusalem, he now had them face toward Mecca. Muhammad continued to have revelations from Allah. The ideas from these revelations formed the basis of a poetic text called the Koran, which contains the fundamental ideas of Islam.

Muhammad fought a number of battles against the people of Mecca. In 629, Muhammad returned to Mecca with an army of 1500 converts to Islam and entered the city unopposed and without bloodshed. Before his death two years later, he forcefully converted most of the Arabian Peninsula to his new faith and built a small empire. [92]

Succession after Muhammad's Death

With Muhammad's death in 632 CE, disagreement broke out among his followers over deciding his successor. Muhammad's prominent companion Umar ibn al-Khattab nominated Abu Bakr, Muhammad's friend and collaborator. To retain the cohesion of the Islamic state, Abu Bakr divided his Muslim army to force the Arabian tribes into submission. After a series of successful campaigns, Abu Bakr's general Khalid ibn Walid defeated a competing prophet and the Arabian peninsula was united under the caliphate in Medina. Once the rebellions had been quelled, Abu Bakr began a war of conquest. In just a few short decades, his campaigns led to one of the largest empires in history. Muslim armies conquered most of Arabia by 633, followed by north Africa, Mesopotamia, and Persia, significantly shaping the history of the world through the spread of Islam.

Abu Bakr nominated Umar as his successor on his deathbed. Umar ibn Khattab, the second caliph, was killed by a Persian named Piruz Nahavandi. Umar's successor, Uthman Ibn Affan, was elected by a council of electors (Majlis). Uthman was killed by members of a disaffected group. Ali then took control, but was not universally accepted as caliph by the governors of Egypt, and later by some of his own guard. He faced two major rebellions and was assassinated by Abdl-alRahman, a Kharijite. Ali's tumultuous rule lasted only five years. The followers of Ali later became the Shi'a minority sect of Islam, which rejects the legitimacy of the first three caliphs. The followers of all four Rashidun caliphs (Abu Bakr, Umar, Uthman, and Ali) became the majority Sunni sect. [93]

The Islamic Caliphates

The Umayyad family had first come to power under the third caliph, Uthman ibn Affan (r. 644–656), but the Umayyad regime was founded by Muawiya ibn Abi Sufyan, long-time governor of Syria, after the end of the First Muslim Civil War in 661 CE. Syria remained the Umayyads' main power base thereafter, and Damascus was their capital.

The Umayyad caliphate was marked both by territorial expansion and by the administrative and cultural problems that such expansion created. Despite some notable exceptions, the Umayyads tended to favor the rights of the old Arab families, and in particular their own, over those of newly converted Muslims (mawali). Therefore, they held to a less universalist conception of Islam than did many of their rivals.

During the period of the Umayyads, Arabic became the administrative language, in which state documents and currency were issued. Mass conversions brought a large influx of Muslims to the caliphate. The Umayyads also constructed famous buildings such as the Dome of the Rock at Jerusalem and the Umayyad Mosque at Damascus.

According to one common view, the Umayyads transformed the caliphate from a religious institution (during the Rashidun) to a dynastic one. However, the Umayyad caliphs do seem to have understood themselves as the representatives of God on Earth.

Many Muslims criticized the Umayyads for having too many non-Muslim, former Roman administrators in their government. St. John of Damascus was also a high administrator in the Umayyad administration. As the Muslims took over cities, they left the people's political representatives and the Roman tax collectors and administrators. The people's political representatives calculated and negotiated taxes. The central government and the local governments got paid respectively for the services they provided. Many Christian cities used some of the taxes to maintain their churches and run their own organizations. Later, the Umayyads were criticized by some Muslims for not reducing the taxes of the people who converted to Islam.

The Umayyad dynasty was overthrown by another family of Meccan origin, the Abbasids, in 750 CE. The Abbasids distinguished themselves from the Umayyads by attacking their moral character and administration. In particular, they appealed to non-Arab Muslims, known as mawali, who remained outside the kinship-based society of the Arabs and were perceived as a lower class within the Umayyad empire. The Abbasid dynasty descended from Muhammad's youngest uncle, Abbas ibn Abd al-Muttalib (566–653 CE), from whom the dynasty takes its name.

The Abbasids, who ruled from Baghdad, had an unbroken line of caliphs for over three centuries, consolidating Islamic rule and cultivating great intellectual and cultural developments in the Middle East in the Golden Age of Islam. By 940 CE, however, the power of the caliphate under the Abbasids began waning as non-Arabs gained influence and the various subordinate sultans and emirs became increasingly independent. The political power of the Abbasids largely ended with the rise of the Buyids and the Seljuq Turks in 1258 CE. Though lacking in political power, the dynasty continued to claim authority in religious matters until after the Ottoman conquest of Egypt in 1517. [93][94][95]

Islamic Golden Age

From the 8 th century to the 13 th century, during which much of the historically Islamic world was ruled by various caliphates, science, economic development, and cultural works flourished. This period is traditionally understood to have begun during the reign of the Abbasid caliph Harun al-Rashid (786–809) with the inauguration of the House of Wisdom in Baghdad, where scholars from various parts of the world with different cultural backgrounds were mandated to gather and translate all of the world's classical knowledge into the Arabic language. (11)

Islamic Literature

With the introduction of paper, information was democratized and it became possible to make a living from simply writing and selling books. The use of paper spread from China into Muslim regions in the 8 th century, and then to Spain (and then the rest of Europe) in the 10 th century. Paper was easier to manufacture than parchment and less likely to crack than papyrus, and could absorb ink, making it difficult to erase and ideal for keeping records. Islamic paper makers devised assembly-line methods of hand-copying manuscripts to turn out editions far larger than any available in Europe for centuries. The best known fiction from the Islamic world is *The Book of One Thousand and One Nights* , which took form in the 10 th century and reached its final form by the 14 th century, although the number and type of tales vary.

The Arabs assimilated the scientific knowledge of the civilizations they had conquered, including the ancient Greek, Roman, Persian, Chinese, Indian, Egyptian, and Phoenician civilizations. Scientists recovered the Alexandrian mathematical, geometric, and astronomical knowledge, such as that of Euclid and Claudius Ptolemy.(96)

Islamic Scholarship

Persian scientist Muhammad ibn Musa al-Khwarizmi significantly developed algebra in in his landmark text, *Kitab al-Jabr wa-l-Muqabala* , from which the term "algebra" is derived. The term "algorithm" is derived from the name of the scholar al-Khwarizmi, who was also responsible for introducing the Arabic numerals and Hindu-Arabic numeral system beyond the Indian subcontinent. In calculus, the scholar Alhazen discovered the sum formula for the fourth power, using a method readily generalizable to determine the sum for any integral power. He used this to find the volume of a paraboloid.

Medicine was a central part of medieval Islamic culture. Responding to circumstances of time and place, Islamic physicians and scholars developed a large and complex medical literature exploring and synthesizing the theory and practice of medicine. Islamic medicine was built on tradition, chiefly the theoretical and practical knowledge developed in India, Greece, Persia, and Rome. Islamic scholars translated their writings from Syriac, Greek, and Sanskrit into Arabic and then produced new medical knowledge based on those texts. In order to make the Greek tradition more accessible, understandable, and teachable, Islamic scholars organized the Greco-Roman medical knowledge into encyclopedias. (96)

Islamic Art

Ceramics, glass, metalwork, textiles, illuminated manuscripts, and woodwork flourished during the Islamic Golden Age. Manuscript illumination became an important and greatly respected art, and portrait miniature painting flourished in Persia. Calligraphy, an essential aspect of written Arabic, developed in manuscripts and architectural decoration.

Islamic art is not restricted to religious art, but instead includes all of the art of the rich and varied cultures of Islamic societies. It frequently includes secular elements and elements that are forbidden by some Islamic theologians. Islamic religious art differs greatly from Christian religious art traditions. Because figural representations are generally considered to be forbidden in Islam, the word takes on religious meaning in art as seen in the tradition of calligraphic inscriptions. Calligraphy and the decoration of manuscript Qu'rans is an important aspect of Islamic art as the word takes on religious and artistic significance. Islamic architecture, such as mosques and palatial gardens of paradise, are also embedded with religious significance.

While examples of Islamic figurative painting do exist, and may cover religious scenes, these examples are typically from secular contexts, such as the walls of palaces or illuminated books of poetry. Other religious art, such as glass mosque lamps, Girih tiles, woodwork, and carpets usually demonstrate the same style and motifs as contemporary secular art, although they exhibit more prominent religious inscriptions.

Islamic art was influenced by Greek, Roman, early Christian, and Byzantine art styles, as well as the Sassanian art of pre-Islamic Persia. Central Asian styles were brought in with various nomadic incursions; and Chinese influences had a formative effect on Islamic painting, pottery, and textiles. [96][97]

Themes of Islamic Art

There are repeating elements in Islamic art, such as the use of stylized, geometrical floral or vegetal designs in a repetition known as the arabesque. The arabesque in Islamic art is often used to symbolize the transcendent, indivisible and infinite nature of God. Some scholars believe that mistakes in repetitions may be intentionally introduced as a show of humility by artists who believe only God can produce perfection.



Figure 7.3.1: A doorway at the Mughal Agra Fort, India by Hans A. Rosbach is licensed under CC BY-SA 3.0

Typically, though not entirely, Islamic art has focused on the depiction of patterns and Arabic calligraphy, rather than human or animal figures, because it is believed by many Muslims that the depiction of the human form is idolatry and thereby a sin against God, forbidden in the Qur'an. However, depictions of the human form and animals can be found in all eras of Islamic secular art. Depictions of the human form in art intended for the purpose of worship is considered idolatry and is forbidden in Islamic law, known as Sharia law. [97]

Islamic Calligraphy

In a religion where figural representations are considered to be an act of idolatry, it is no surprise that the word and its artistic representation have become an important aspect in Islamic art. The most important religious text in Islam is the Qur'an, which is believed to be the word of God. There are many examples of calligraphy and calligraphic inscriptions pertaining to verses from the Qur'an in Islamic arts.



Figure 7.3.1: A section of the Koran by unknown artist is licensed under Public Domain

The earliest form of Arabic calligraphy is kufic script, which is noted for is angular form. Arabic is read from right to left and only the consonants are written. The black ink in the image above from a 9 th century Qur'an marks the consonants for the reader. The red dots that are visible on the page note the vowels.

However, calligraphic design is not limited to the book in Islamic art. Calligraphy is found in several different types of art, such as architecture. The interior of the Hagia Sophia, for example, features calligraphic inscriptions within its six interior roundels as well its uppermost dome.

As in Europe in the Middle Ages, religious exhortations such as Qur'anic verses may be also included in secular objects, especially coins, tiles, and metalwork. Calligraphic inscriptions were not exclusive to the Qur'an, but also included verses of poetry or recorded ownership or donation. Calligraphers were highly regarded in Islam, reinforcing the importance on the word and its religious and artistic significance. (98)



Figure 7.3.1: Example of zoomorphic arabic calligraphy by YassineMrabet is licensed under Public Domain

Islamic Architecture

Islamic architecture encompasses a wide range of both secular and religious styles. The principal Islamic architectural example is the Mosque. Specifically recognizable Islamic architectural style emerged soon after Muhammad's time, and incorporated Roman building traditions with the addition of localized adaptations of the former Sassanid and Byzantine models.

The Islamic mosque has historically been both a place of prayer and a community meeting space. The early mosques are believed to be inspired by Muhammad's home in Medina, which had served as the first mosque. The Great Mosque of Kairouan (in Tunisia) is one of the best preserved and most significant examples of early great mosques. Founded in 670, it contains all of the architectural features that distinguish early mosques: a minaret, a large courtyard surrounded by porticos, and a hypostyle prayer hall. [99]

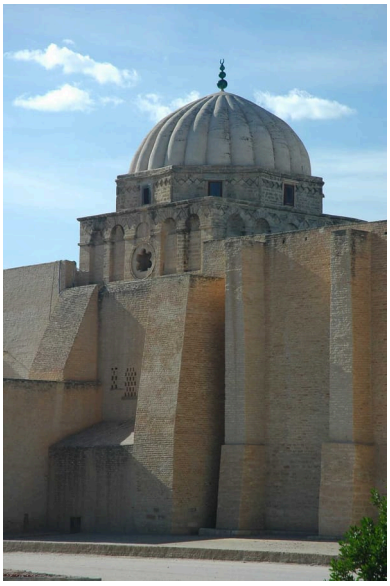


Figure 7.3.1: Dome of the mihrab by GIRAUD Patrick is licensed under CC BY-SA 2.5

After the Ottoman Conquest, many of the Christian mosaics within the Hagia Sophia were covered over with Islamic calligraphy and only rediscovered in the 20 th century CE after the secularization of Turkey (Hagia Sophia became a museum in 1935 CE). This includes the mosaic on the main dome which was probably a Christ Pantocrator (All-Powerful) which spanned the whole ceiling and is now covered by remarkable gold calligraphy. On the floor of the nave there is the Omphalion (navel of the earth), a large circular marble slab which is where the Roman and Byzantine Emperors were coronated. One of the final additions the Ottoman Sultans made to finalize the transition from Christian basilica to Islamic mosque was the inclusion of eight massive medallions hung on columns in the nave which have Arabic calligraphy inscribed upon them with the names of Allah, the Prophet, the first four Caliphs, and the Prophet's two grandsons. The Ottomans also added a mihrab, a minbar, and four enormous minarets in order to complete the transition to a mosque.



Figure 7.3.1: Hagia Sophia, Istanbul by Magnus Manske is licensed under CC BY-SA 3.0

Additionally, after the fall of Constantinople in 1453 CE, the genius of Hagia Sophia's architects continued to dominate the conquering Ottomans who made use of the designs for their mosques. The Ottomans conquered the city, but the artistic culture of the Byzantines, in a way, conquered the Ottomans. Hagia Sophia, under orders from Mehmed the Conqueror, was converted into a mosque within days of the conquest preserving the Byzantine architectural legacy in a new form and era.

Later Ottoman mosques were equally influenced by Hagia Sophia. The Blue Mosque, for example, preserves a layout inspired by Hagia Sophia that builds upon its innovations of pendentives and semi-domes to create internal space. Additionally, Islam's use of geometric shapes and patterns, as opposed to Orthodox Christianity's use of icons, also finds continuity in Greco-Roman-Byzantine's use of geometry in sacred architecture as mentioned previously. In fact, the very same Sinan who built the Suleymaniye also worked to repair the millennium-old Hagia Sophia during the reign of Selim II. [100]



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8: MEDIEVAL EUROPE

8.1: About This Module
8.2: Early Middle Ages and Western Society
8.3: The Rise of Islam, Carolingian Europe, New Kingdoms, and a Revived Byzantium
8.4: Art, Architecture, and Military and Technological Developments
8.5: High Middle Ages
8.6: The Late Middle Ages and Collapse of Byzantium

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8.1: About This Module

Topics Covered:

- Latin West Civilization to Include
  - Bubonic Plague
  - Carolingian Culture
  - Christianity during the Middle Ages
  - Crusades
  - Latin West Artistic styles such as Romanesque and Gothic
  - Latin West Architecture styles such as Westwork
  - Ottonian Culture
  - The Crusades
  - The Feudal System and its Collapse

This module introduces students to Western European civilization during the Middle Ages. Students will determine what cultural artifacts what architecture from the Carolingian, Gothic and Romanesque eras tell us about their historical contexts. Students will demonstrate understanding of cultural expressions by noting how the art produced by Western Europeans during the Middle Ages compared with their Byzantine neighbors. Students will recognize the contributions made by Western Europeans during the Middle Ages with respect to the reintroduction the democratic ideals in the West and the birth of the nation-state. Students demonstrate critical thinking by assessing the extent to which it is appropriate to refer to the Middle Ages as the 'Dark Ages.' [1]

Learning Outcomes Related to this Module

1. Demonstrate proficiency in critical thinking
2. Recognize the relationships between cultural expressions and their contexts
3. Understand cultural expressions
4. Interpret and evaluate cultural artifacts and/or their contexts for significance
5. Recognize the important contributions of the medieval world; understand and analyze specific primary texts from the medieval world

Objectives

Upon completion of this module, the student will be able to:

- Sort events in historical order from Middle Age Western European civilization.
- Identify the historical developments that resulted from the collapse of the Roman Empire in Western Europe.
- Identify economic, political, and religious continuities and changes that transpired in Western Europe over the course of the Middle Ages.
- Identify artistic and architectural during the Middle Ages, to include the Carolingian, Ottonian, Romanesque and Gothic eras.
- Compare Western European and Byzantine civilizations during the Middle Ages. [1]

Assigned Readings

- Learning Unit – Western European Civilization During the Middle Ages

Assignments

- Review Learning Unit
- Participate in Discussion 8
- Complete Timeline Assignment 8

- Complete Assessment Module 8
- Complete and submit Final Exam
- Submit Capstone Project | Final Paper

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8.2: Early Middle Ages and Western Society

The Middle Ages: An Overview

The Middle Ages or Medieval period is a stretch of European history that lasted from the 5 th until the 15 th centuries. It began with the collapse of the Western Roman Empire, and was followed by the Renaissance and the Age of Discovery. The Middle Ages is the middle period of the traditional division of Western history into Classical, Medieval, and Modern periods. The period is subdivided into the Early Middle Ages, the High Middle Ages, and the Late Middle Ages.

In the Early Middle Ages, depopulation, deurbanization, and barbarian invasions, which began in Late Antiquity, continued. The barbarian invaders formed new kingdoms in the remains of the Western Roman Empire. In the 7 th century North Africa and the Middle East, once part of the Eastern Roman Empire (the Byzantine Empire), became an Islamic Empire after conquest by Muhammad's successors. Although there were substantial changes in society and political structures, the break with Antiquity was not complete. The still sizable Byzantine Empire survived and remained a major power. The empire's law code, the Code of Justinian, was widely admired. In the West, most kingdoms incorporated extant Roman institutions, while monasteries were founded as Christianity expanded in western Europe. The Franks, under the Carolingian dynasty, established an empire covering much of western Europe; the Carolingian Empire endured until the 9 th century, when it succumbed to the pressures of invasion — the Vikings from the north; the Magyars from the east, and the Saracens from the south.

During the High Middle Ages, which began after AD 1000, the population of Europe increased greatly as technological and agricultural innovations allowed trade to flourish and crop yields to increase. Manorialism — the organization of peasants into villages that owed rent and labor services to the nobles; and feudalism — the political structure whereby knights and lower-status nobles owed military service to their overlords, in return for the right to rent from lands and manors – were two of the ways society was organized in the High Middle Ages. The Crusades, first preached in 1095, were military attempts, by western European Christians, to regain control of the Middle Eastern Holy Land from the Muslims. Kings became the heads of centralized nation states, reducing crime and violence but making the ideal of a unified Christendom more distant. Intellectual life was marked by scholasticism, a philosophy which emphasized joining faith to reason, and by the founding of universities. The philosophy of Thomas Aquinas, the paintings of Giotto, the poetry of Dante and Chaucer, the travels of Marco Polo, and the architecture of Gothic cathedrals such as Chartres are among the outstanding achievements of this period.

The Late Middle Ages were marked by difficulties and calamities, such as famine, plague, and war, which much diminished the population of western Europe; in the four years from 1347 through 1350, the Black Death killed approximately a third of the European population. Controversy, heresy, and schism within the Church paralleled the warfare between states, the civil war, and peasant revolts occurring in the kingdoms. Cultural and technological developments transformed European society, concluding the Late Middle Ages and beginning the Early Modern period. (101)

Early Middle Ages

Although the political structure in western Europe had changed, the divide is not as extensive as some historians have claimed. Although the activity of the barbarians is usually described as "invasions", they were not just military expeditions but were migrations of entire peoples into the Empire. Such movements were aided by the refusal of the western Roman elites to either support the army or pay the taxes that would have allowed the military to suppress the migration.

The emperors of the 5 th century were often controlled by military strongmen such as Stilicho (d. 408), Aspar (d. 471), Ricimer (d. 472), or Gundobad (d. 516), and when the line of western emperors ceased, many of the kings who replaced them were from the same background as those military strongmen. Intermarriage between the new kings and the Roman elites was common.



Figure 8.2.1: Great Ludovisi sarcophagus by unknown artist from Wikimedia is licensed under Public Domain

This led to a fusion of the Roman culture with the customs of the invading tribes, including the popular assemblies which allowed free male tribal members more say in political matters. Material artifacts left by the Romans and the invaders are often similar, with tribal items often being obviously modeled on Roman objects. Similarly, much of the intellectual culture of the new kingdoms was directly based on Roman intellectual traditions.

An important difference was the gradual loss of tax revenue by the new polities. Many of the new political entities no longer provided their armies with tax revenues, instead allocating land or rents. This meant there was less need for large tax revenues and so the taxation systems decayed. Warfare was common between and within the kingdoms. Slavery declined as the supply declined, and society became more rural.

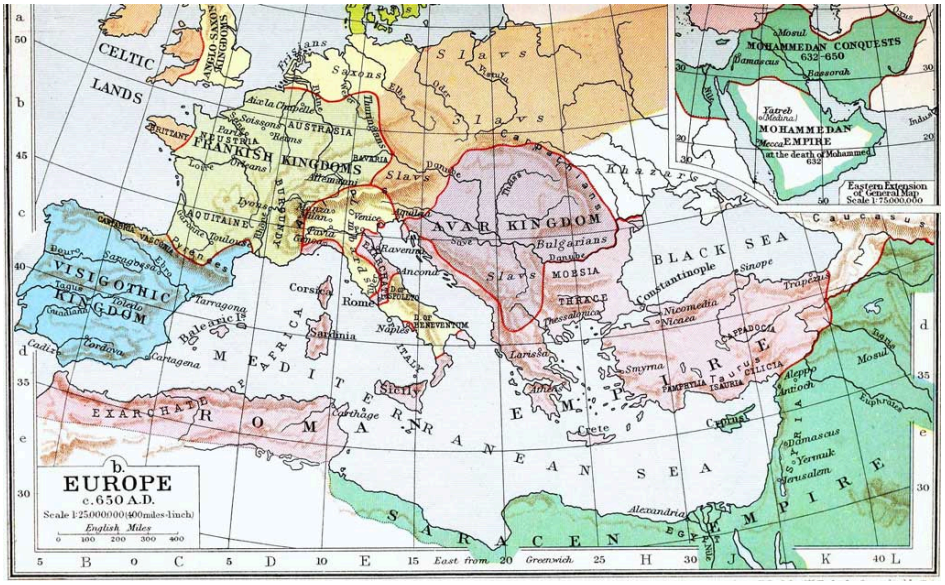


Figure 8.2.1: Europe around 650 by Ramsey Muir is licensed under Public Domain

Between the 5 th and 8 th centuries, new peoples and powerful individuals filled the political void left by Roman centralized government. The Ostrogoths settled in Italy in the late 5 th century under Theodoric (d. 526) and set up a kingdom marked by its cooperation between the Italians and the Ostrogoths, at least until the last years of Theodoric's reign. The Burgundians settled in Gaul, and after an earlier kingdom was destroyed by the Huns in 436, formed a new kingdom in the 440s between today's Geneva

and Lyon. This grew to be a powerful kingdom in the late 5 th and early 6 th centuries. In northern Gaul, the Franks and Britons set up small kingdoms. The Frankish kingdom was centered in northeastern Gaul and the first king of whom much is known is Childeric (d. 481).

Under Childeric's son Clovis (r. 509-511), the Frankish kingdom expanded and converted to Christianity. The Britons, related to the natives of Britannia — modern-day Great Britain, settled in what is now Brittany. Other kingdoms were established by the Visigoths in Spain, the Suevi in northwestern Spain, and the Vandals in North Africa. In the 6 th century, the Lombards settled in northern Italy, replacing the Ostrogothic kingdom with a grouping of duchies that occasionally selected a king to rule over all of them. By the late 6 th century this arrangement had been replaced by a permanent monarchy.

With the invasions came new ethnic groups into parts of Europe, but the settlement was uneven, with some regions such as Spain having a larger settlement of new peoples than other places. Gaul's settlement was uneven, with the barbarians settling much heavier in the northeast than in the southwest. Slavonic peoples settled in central and eastern Europe and into the Balkan Peninsula. The settlement of peoples was accompanied by changes in languages. The Latin of the Western Roman Empire was gradually replaced by languages based on but distinct from Latin, which are collectively known as romance languages. These changes from Latin to the new languages took many centuries and went through a number of stages. Greek remained the language of the Byzantine Empire, but the migrations of the Slavs added Slavonic languages to Eastern Europe. (101)

Western Society

Society in western Europe changed with the new rulers. Some of the Roman elite families died out while others became more involved with Church than secular affairs. The older values of Latin scholarship and education mostly disappeared, and while literacy remained important, it became a practical skill rather than a sign of elite status. In the 4 th century, Jerome dreamed that God rebuked him for spending more time reading Cicero than the Bible.

By the 6 th century, Gregory of Tours had a similar dream, but instead of being chastised for reading Cicero, he was chastised for learning shorthand. By the late 6 th century, the principal means of religious instruction in the Church ceased to be the book and was replaced with music and art. Most intellectual efforts went towards imitating classical scholarship, but some original works were created, along with now-lost oral compositions. The writings of Sidonius Apollinaris, Cassiodorus, and Boethius were typical of the age.

With laymen, a similar change took place, with the aristocratic culture focusing on great feasts held in halls. Clothing for the elites was richly embellished with jewels and gold. Lords and kings supported entourages of fighters who formed the backbone of the military forces of the time. Family ties within the elites were important, as were the virtues of loyalty, courage, and honour. These ties led to the prevalence of the feud in aristocratic society, examples of which included those related by Gregory of Tours that took place in Merovingian Gaul.

Most feuds seem to have ended quickly with the payment of some sort of compensation usually ending the feud. Women took part in aristocratic society mainly in terms of their functions as wives or mothers of men, with the role of mother of a ruler being especially prominent in Merovingian Gaul. In Anglo-Saxon society, the lack of many child rulers meant less role for women as queen mothers but this was compensated for by the increased role played by abbesses of monasteries. Only in Italy does it appear that women were considered as always under the protection and control of some male relative.

Peasant society is much less documented than the nobility. Most of the surviving information available to historians comes from archaeology; few detailed written records documenting peasant life remain from before the 9 th century. Most the descriptions of the lower classes come from either law codes or writers from the upper classes. Landholding patterns in the West were not uniform, with some areas having greatly fragmented landholding patterns and other areas with a pattern of large, contiguous blocks of land being the norm. These differences allowed for a wide variety of peasant societies with some being dominated by aristocratic landholders and others having a great deal of autonomy.



Figure 8.2.1: Medieval illustration of men harvesting wheat with reaping-hooks by Ann Scott is licensed under Public Domain

Land settlement also varied greatly. Some peasants lived in large settlements that numbered as many as 700 inhabitants. Others lived in small groups of a few families and still others lived on isolated farms spread over the countryside. There were also areas where the pattern was a mix of two or more of those systems. Unlike in the late Roman period, there was no sharp break between the legal status of the free peasant and the aristocrat, and it was possible for a free peasant's family to rise into the aristocracy over a number of generations through military service to a powerful lord.

Roman city life and culture changed greatly in the early Middle Ages. Although Italian cities remained inhabited places, they contracted greatly in size. Rome shrank from a population of hundreds of thousands to around 30,000 by the end of the 6 th century. Roman temples were converted into Christian churches and the city walls remained in use. In Northern Europe, cities also shrank, while the public monuments and other public buildings were raided for building materials. The establishment of new kingdoms often meant some growth for the towns chosen as capitals. [101]

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8.3: The Rise of Islam, Carolingian Europe, New Kingdoms, and a Revived Byzantium

The Rise of Islam and Early Contact with Western Europe

Religious beliefs in the Eastern Empire and Persia were in flux during the late 6 th and early 7 th centuries. Judaism was an active proselytising faith, and at least one Arab political leader converted to Judaism. Christianity had active missions competing with the Persian's Zoroastrianism in seeking converts, especially among residents of the Arabian Peninsula. All strands came together with emergence of Islam in Arabia during the lifetime of Muhammad. After Muhammad's death in 632, Islamic forces went on to conquer much of the Eastern Empire as well as Persia, starting with Syria in 634-635 and later as far as Egypt in 640-641, Persia between 637 and 642, North Africa in the later 7 th century and the Iberian Peninsula in 711. By 714, Islamic forces controlled much of the peninsula, a region they called Al-Andalus.

The Islamic conquests only slowed in the middle of the 8 th century. The first check was the defeat of Muslim forces at the Battle of Poitiers in 732, which led to the reconquest of southern France by the Franks. But the main reason for the ebbing of Islamic conquests in Europe was the overthrow of the Umayyad dynasty and its replacement by the Abbasid dynasty. The Abbasids moved their capital to Baghdad and their interests were more concerned with the Middle East than Europe. The Abbasids lost control of sections of the Muslim lands — with Umayyad descendants taking over the Iberian Peninsula along with the Aghlabids controlling North Africa and the Tulunids ruling Egypt. By the middle of the 8 th century, new trading patterns were emerging in the Mediterranean, with trade between the Franks and the Arabs replacing the old Roman patterns of trade. Franks traded timber, furs, swords and slaves to the Arabs in return for silks and other fabrics, spices, and precious metals. (101)

Trade and Economy

The barbarian invasions of the 4 th and 5 th centuries caused disruption in trade networks around the Mediterranean. African trade goods disappear from the archeological record slowly, first disappearing from the interior of Europe and by the 7 th century they are usually only found in a few cities such as Rome or Naples. By the end of the 7 th century, under the impact of the Muslim conquests, African products are no longer found in Western Europe, and have been mostly replaced by local products. The replacement of trade goods with local products was a trend throughout the old Roman lands that happened in the Early Middle Ages. This was especially marked in the lands that did not lie on the Mediterranean, such as northern Gaul or Britain. What non-local goods that appear in the archeological record are usually luxury goods. In the northern parts of Europe, not only were the trade networks local, but those goods that were produced were simple, with little use of pottery or other complex products. Around the Mediterranean Sea, however, pottery remained prevalent and appears to have been traded over medium range networks and not just produced locally. (101)

Church and Monasticism

Christianity was a major unifying factor between Eastern and western Europe before the Arab conquests, but the conquest of North Africa sundered maritime connections between those areas. Increasingly the Byzantine Church, which became the Orthodox Church, differed in language, practices, and liturgy from the western Church, which became the Catholic Church. The Eastern Church used Greek instead of the western Latin. Theological and political differences emerged, and by the early and middle 8 th century issues such as iconoclasm, clerical marriage, and state control of the church had widened enough that the cultural and religious differences were greater than the similarities. The formal break came in 1054, when the papacy and the patriarchy of Constantinople clashed over papal supremacy and mutually excommunicated each other, which led to the division of Christianity into two churches — the Roman Catholic Church and the Eastern Orthodox Church.

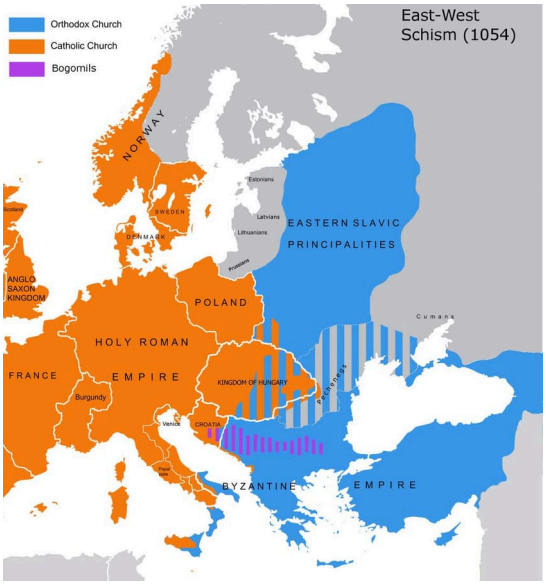


Figure 8.3.1: The map of the eastern/western allegiances in 1054 with the former country borders by from Wikimedia is licensed under Public Domain

The ecclesiastical structure of the Roman Empire survived the barbarian invasions in the west mostly intact, but the papacy was little regarded, with few of the western bishops looking to the bishop of Rome for religious or political leadership. Many of the popes prior to 750 were in any case more concerned with Byzantine affairs and eastern theological concerns.

The Early Middle Ages witnessed the rise of monasticism in the West. The shape of European monasticism was determined by traditions and ideas that originated in the deserts of Egypt and Syria. Most European monasteries were of the type that focuses on community experience of the spiritual life, called cenobitism, which was pioneered by Pachomius (d. 348) in the 4 th century. Monastic ideals spread from Egypt to western Europe in the 5 th and 6 th centuries through hagiographical literature such as the Life of Anthony. Benedict of Nursia (d. 547) wrote the Benedictine Rule for Western monasticism during the 6 th century, detailing the administrative and spiritual responsibilities of a community of monks led by an abbot. Monks and monasteries had a deep effect on the religious and political life of the Early Middle Ages, in various cases acting as land trusts for powerful families, centres of propaganda and royal support in newly conquered regions, and bases for mission and proselytization.

In addition, they were the main and sometimes only outposts of education and literacy in a region. Many of the surviving manuscripts of the Roman classics were copied in monasteries in the early Middle Ages. Monks were also the authors of new works, including history, theology, and other subjects, which were written by authors such as Bede (d. 735), a native of northern England who wrote in the late 7 th and early 8 th century. [101]

Carolingian Europe



Figure 8.3.1: Bataille de Poitiers by Charles de Steuben is licensed under Public Domain

The Frankish kingdom in northern Gaul split into kingdoms called Austrasia, Neustria, and Burgundy during the 6th and 7 th centuries, under the Merovingians who were descended from Clovis. The 7 th century was a tumultuous period of civil wars between Austrasia and Neustria. Such warfare was exploited by Pippin, the Mayor of the Palace for Austrasia who became the power behind the throne. Later members of his family line inherited the office, acting as advisors and regents. One of his descendants, Charles Martel (d. 741), won the Battle of Poitiers in 732, halting the advance of Muslim armies across the Pyrenees.

Across the English Channel in the British Isles, the island of Britain was divided into small states dominated by the kingdoms of Northumbria, Mercia, Wessex, and East Anglia, which were descended from the Anglo-Saxon invaders. Smaller kingdoms in present-day Wales and Scotland were still under the control of the original native Britons and Picts. Ireland was divided into even smaller political units, usually known as tribal kingdoms, which were under the control of kings. There were perhaps as many as 150 local kings in Ireland, of varying importance.



Figure 8.3.1: The Coronation of Charlemagne by Raphael is licensed under Public Domain

The coronation of Charlemagne as emperor on Christmas Day 800 is regarded as a turning-point in medieval history, marking a return of the Western Roman Empire, since the new emperor ruled over much of the area previously controlled by the western emperors. It also marks a change in Charlemagne's relationship with the Byzantine Empire, as the assumption of the imperial title by the Carolingians asserted their equivalency to the Byzantine state. There were a number of differences between the newly established Carolingian Empire and both the older Western Roman Empire and the concurrent Byzantine Empire.

The Frankish lands were rural in character, with only a few small cities. Most of the people were peasants settled on small farms. Little trade existed and much of that was with the British Isles and Scandinavia, in contrast to the older Roman Empire which had its trading networks centered on the Mediterranean. The administration of the empire was from an itinerant court that traveled with the emperor as well as through approximately 300 imperial officials called counts, who administered the counties which the empire had been divided into. Clergy and local bishops served as officials, as well as the imperial officials called missi dominici, who served as roving inspectors and troubleshooters. (101)

Carolingian Renaissance

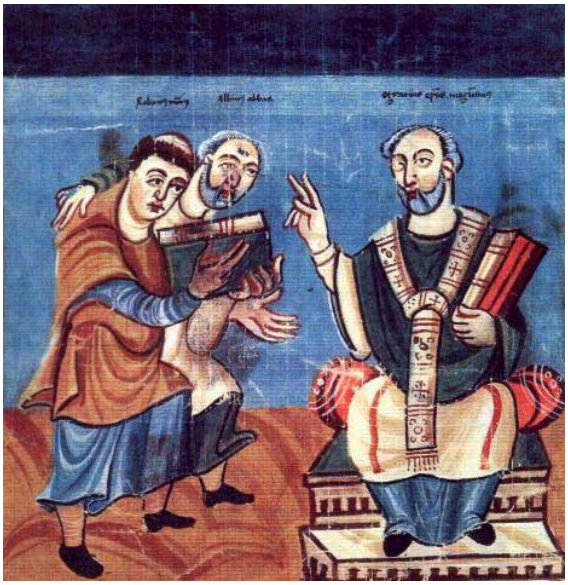


Figure 8.3.1: Raban Maur (left), supported by Alcuin (middle), dedicates his work to Archbishop Otgar of Mainz (Right) by Fulda is licensed under Public Domain

Charlemagne's court in Aachen was the center of the cultural revival sometimes referred to as the "Carolingian Renaissance". The period saw an increase in literacy, developments in the arts, architecture and jurisprudence, as well as liturgical and scriptural studies. The English monk Alcuin (d. 804) was invited to Aachen and brought the education available in the monasteries of Northumbria. Charlemagne's chancery — or writing office — made use of a new script today known as Carolingian minuscule, allowing a common writing style that advanced communication across much of Europe. Charlemagne sponsored changes in church liturgy, imposing the Roman form of church service on his domains, as well as the Gregorian chant form of liturgical music in the churches.

An important activity for scholars during this period was the copying, correcting, and dissemination of basic works on religious and secular topics, with the aim of encourage learning. New works on religious topics and schoolbooks were also produced. Grammarians of the period modified the Latin language, changing it from the Classical Latin of the Roman Empire into a more flexible form to fit the needs of the church and government. By the reign of Charlemagne, the language had become enough different from the classical that it came to be called Medieval Latin. (101)

Breakup of the Carolingian Empire

The breakup of the Carolingian Empire was accompanied by invasions, migrations, and raids of external foes. The Atlantic and northern shores were harassed by the Vikings, who also raided the British Isles and settled in both Britain and Ireland as well

as the distant island of Iceland. A further settlement of Vikings was made in France in 911 under the chieftain Rollo (d. around 931), who received permission from the Frankish king Charles the Simple (r. 898- 922) to settle in what became Normandy. The eastern parts of the Frankish kingdoms, especially Germany and Italy, were under constant Magyar assault until their great defeat at the Battle of the Lechfeld in 955. The breakup of the Abbasid dynasty meant that the Islamic world fragmented into a number of smaller political states, some of which began expanding into Italy and Sicily, as well as over the Pyrenees into the southern parts of the Frankish kingdoms. (101)

New Kingdoms and a Revived Byzantium

Efforts by local kings to fight back the invaders led to the formation of new political entities. In Anglo-Saxon England, King Alfred the Great (r. 871-899) in the late 9 th century came to a settlement with the Viking invaders, with Danish settlements in Northumbria, Mercia, and parts of East Anglia. By the middle of the 10 thcentury, Alfred's successors had conquered Northumbria, and restored English control over most of the southern part of the island of Great Britain. In northern Britain, Kenneth mac Alpin (d. c. 860) united the Picts and the Scots into the Kingdom of Alba. In the early 10 th century, the Ottonian dynasty had established itself in Germany, and the Ottonians were engaged in driving back the Magyar. Their efforts culminated in the coronation in 962 of Otto I (r. 936-973) as emperor.

In 972, Otto secured the recognition of his title by the Byzantine Empire, and sealed the recognition with the marriage of his son Otto II to Theophanu, a daughter of an earlier Byzantine Emperor Romanos II (r. 959- 963). Italy was drawn into the Ottonian sphere by the late 10 th century, after a period of instability, with Otto III spending much of his later reign in Italy. The western Frankish kingdom was more fragmented, and although a nominal king remained theoretically in charge, much of the political power had devolved to the local lords.

Missionary efforts to Scandinavia during the 9 th and 10 th centuries helped strengthen the growth of kingdoms there. Swedish, Danish, and Norwegian kingdoms gained power and territory in the course of the 9 th and 10 thcenturies, and some of the kings converted to Christianity, although the process was not complete by 1000. Scandinavians also expanded and colonized throughout Europe. Besides the settlements in Ireland, England, and Normandy, further settlement took place in what became Russia as well as in Iceland. Swedish traders and raiders ranged down the rivers of the Russian steppe, and even attempted to seize Constantinople in 860 and in 907. Christian Spain, initially driven into a small section of the peninsula in the north, expanded slowly south during the 9 th and 10 th centuries, establishing the kingdoms of Asturias and LeÃ³n in the process. (101)



Figure 8.3.1: Illustration of the brothers Cyril and Methodius bringing Christianity to the Slavic peoples from Wikimedia is licensed under Public Domain

The frescoes at Saint Benedikt at Mals, Italy are contemporary with those at neighboring Saint John at Mustair. They belong to

a limited set of surviving frescoes of the Carolingian period. The frescoes are mostly distributed in three niches in the altar wall, showing Jesus Christ flanked by pope Gregory the Great and Saint Stephen. On the walls separating the niches are donor portraits below a troop of 12 angels, and scenes showing Gregory writing his *Dialogi* and disputing with Paulus Diaconus (Paul the Deacon) alongside scenes showing Paul of Tarsus and a fragment of a scene from the life of Saint Benedict. (102)



Figure 8.3.1: Scenes of saints' lives by James Steakley is licensed under Public Domain

Mosaics were created by assembling small pieces of colored glass, stone, pigments, and other materials. The mosaics were created in Charlemagne's Palatine Chapel at Aachen, whose interior remains adorned with arch-to-dome mosaics. Like the Byzantine mosaics that influenced their design, those that adorn Charlemagne's chapel feature floral motifs and classicized figures in various poses against largely gold backgrounds. (102)

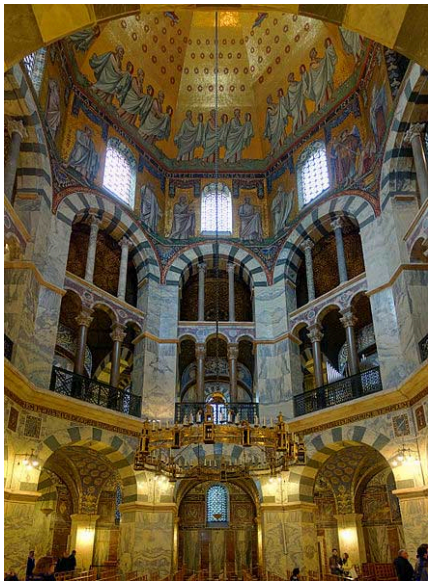


Figure 8.3.1: Interior picture of the Palatine Chapel at Aachen by Velvet is licensed under CC BY-SA 3.0

The most famous mosaic in Charlemagne's chapel showed an enthroned Christ worshiped by the Evangelist's symbols and the 24 elders of the Apocalypse. This mosaic no longer survives, but a restored one remains in the apse of the oratory at Germigny-des-

Pres (806), discovered in 1820 under a coat of plaster and depicting the Ark of the Covenant adored by angels. [102]



Figure 8.3.1: Mosaic of the Ark of the Covenant by Manfred Heyde is licensed under CC BY-SA 3.0

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8.4: Art, Architecture, and Military and Technological Developments

Art and Architecture

Art

Surviving examples of painting from this era consist mainly of frescoes and mosaics produced in present-day France, Germany, Switzerland, Austria, northern Italy, and the Low Countries. These sites have allowed art historians to theoretically conceptualize Carolingian paintings. Paintings show an attempt to conform to Charlemagne's desire to revive the Roman Empire under a Christian banner. The figures in the frescoes, although relatively flat and posed in a stylized manner, display a degree of modeling and an acknowledgement of the body beneath the clothing. Their facial expressions and body language imply a sense of interaction, although few stand in profile and none turn their backs to the viewer .

Surviving frescoes show a greater degree of modeling, a variety of poses, and a relatively naturalistic rendering of draperies and acknowledgement of the bodies beneath. Outside the elite circle that produced these works, however, the quality of visual art was much lower. [102]

Architecture

Carolingian architecture is the style of northern European pre-Romanesque architecture belonging to the Carolingian Renaissance . During the eighth and ninth centuries, the Carolingian dynasty (named for Charlemagne) dominated western Europe politically, culturally, and economically.

Carolingian architecture is characterized by its conscious attempts to emulate Roman classicism and Late Antique architecture. The Carolingians thus borrowed heavily from early Christian and Byzantine architectural styles, although they added their own innovations and aesthetic style. The result was a fusion of divergent cultural aesthetic qualities.

The gatehouse of Lorsch Abbey, built around 800 CE in Germany, exemplifies classical inspiration for Carolingian architecture, built as a triple-arched hall dominating the gateway, with the arcaded façade interspersed with engaged Corinthian columns and pilasters above. In addition to the engaged columns and arcades , the apse-like structures on either side of the gatehouse recall the ancient Roman basilicas , which were the sites of important government events. [103]



Figure 8.4.1: Carolingian gatehouse of Lorsch Abbey by Matthias Holländer Heyde is licensed under CC BY-SA 3.0

By contrast , the Palatine Chapel in Aachen (Aix-la-Chapelle), with its sixteen-sided ambulatory and overhead gallery, was inspired by the Byzantine-style octagonal church of San Vitale in Ravenna. The chapel makes use of ancient spolia , conceivably from Ravenna, as well as newly carved materials. The bronze decoration is of extraordinarily high quality, especially the doors with lion heads and the interior railings with Corinthian order columns and acanthus scrolls. Like San Vitale, the Palatine Chapel is a centrally-planned church whose dome serves as its focal point. However, at Aachen, the barrel and groin vaults and octagonal cloister vault in the dome reflect late Roman practices rather than the Byzantine techniques employed at San Vitale. Its round arches and massive supporting piers draw from Western Roman influence. A multicolored marble veneer creates a sumptuous interior. A monumental western entrance complex called the westwork is also drawn from Byzantine architecture.

Carolingian churches are generally basilican like the Early Christian churches of Rome, and commonly incorporated westworks, arguably the precedent for the western façades of later medieval cathedrals . A westwork (German: *westwerk*) is a monumental west-facing entrance section of a medieval church. This exterior consists of multiple stories between two towers, while the interior includes an entrance vestibule, a chapel, and a series of galleries overlooking the nave. The westwork first originated in the ancient churches of Syria.

The westwork of Corvey Abbey (873–885), Germany, is the oldest surviving example. Like the gate house from Lorsch Abbey, the westwork of Corvey consists of a symmetrical arcade of three round arches at the base . This arcaded pattern repeats in the windows on the second and third stories. The heavy masonry throughout the façade recalls the massive appearance of the interior of the Palatine Chapel. On the upper stories of the center and towers of the westwork, a range of modified classical columns divide and accent the windows, also round arches. [103]



Figure 8.4.1: A stone walkway leading up to the entrance way of Corvey Abbey by Aeggy is licensed under CC BY-SA 3.0

The Ottonians adopted the Carolingian double-ended variation on the Roman basilica, featuring apses at the east and west ends of the church rather than just the east. Most Ottonian churches make generous use of the round arch, have flat ceilings, and insert massive rectangular piers between columns in regular patterns, as seen in St. Cyriakus at Gernrode and St. Michael's at Hildesheim. [103]

One of the finest surviving examples of Ottonian architecture is St. Cyriakus Church (960-965) in Gernrode, Germany. The central body of the church has a nave with two aisles flanked by two towers, characteristic of Carolingian architecture. However, it also displays novelties anticipating Romanesque architecture, including the alternation of pillars and columns (a common feature in later Saxon churches), semi-blind arcades in galleries on the nave, and column capitals decorated with stylized acanthus leaves and human heads. [104]

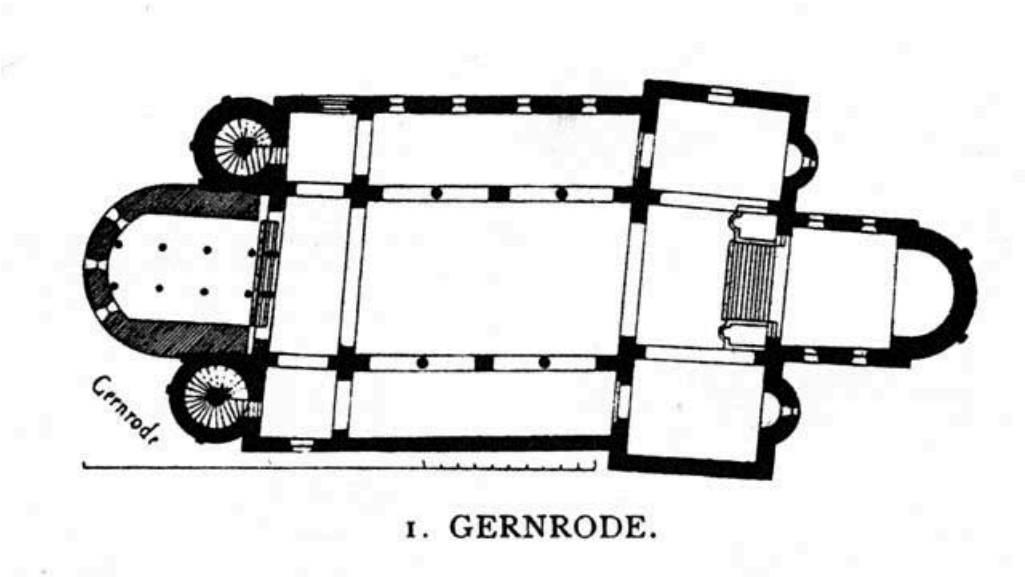


Figure 8.4.1: P
Floor plan of St. Cyriakus at Gernrode by Georg Dehio/Gustav von Bezold is licensed under Public Domain



Figure 8.4.1: Exterior of St. Cyriakus, Gernrode by Hejkal is licensed under CC BY 2.0 Germany



Figure 8.4.1: St. Cyriakus from the interior by RomkeHoekstra is licensed under CC BY-SA 3.0

Metalworking

Carolingian-era metalworkers primarily worked with gold, gems, ivory, and other precious materials. For instance, luxury Carolingian manuscripts were given treasure bindings and elaborately ornate covers in precious metals set with jewels around central carved ivory panels. Metalwork subjects were often narrative religious scenes in vertical sections, largely derived from Late Antique paintings and carvings. Those with more hieratic images, such as the front and back covers of the Lorsch Gospels, were derived from consular diptychs and other imperial art.

Charles the Bald's Palace School Workshop

Important Carolingian examples of metalwork came out of Charles the Bald's Palace School workshop, and include the cover of the Lindau Gospels, the cover of the *Codex Aureus of St. Emmeram* , and the *Arnulf Ciborium* . All three of these works feature fine relief figures in repoussÃ© gold. Another work associated with the Palace School is the frame of an antique serpentine dish, now located in the Louvre.

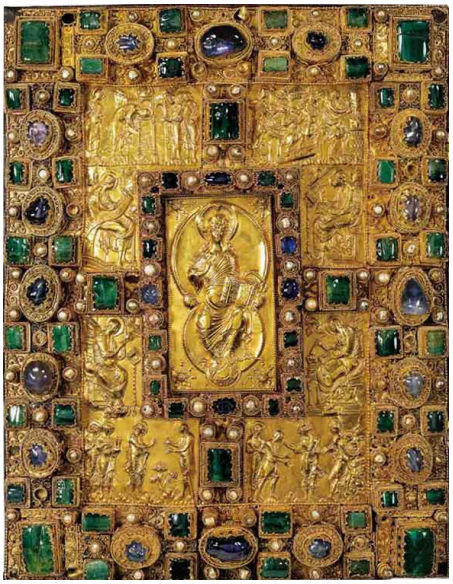


Figure 8.4.1: Cover of the Codex Aureus of St. Emmeram by the Bayerische Staatsbibliothek München is licensed under Public Domain

Under Charlemagne, there was a revival of large-scale bronze casting in imitation of Roman designs, although metalwork in gold continued to develop. For example, the Aachen chapel's figure of Christ in gold (now lost) was the first-known work of this type and became a crucial inspiring feature of northern European medieval art. Another one of the finest examples of Carolingian metalwork is the *Golden Altar* (824–859), also known as the *Paliotto* , in the Basilica of Sant'Ambrogio in Milan (since damaged by World War II bombings). The altar's four sides are decorated with images in gold and silver repoussé framed by borders of filigree, precious stones, and enamel . (105)

An Imperial Portrait

Charlemagne's personal appearance is known from a good description by a personal associate Einhard, whose biography of the emperor describes him as tall and well-built with a round head and wide eyes. This written portrait is confirmed by contemporary depictions of the emperor, his exhumed body, and sculptures believed to depict his likeness. One possibility is a bronze equestrian statuette once housed in Aachen Cathedral. Typical of sculpture in the round produced during the Carolingian period, the statuette is small, approximately eight inches high.

The rider is depicted with a mustache, an open crown on his head, and a riding cloak fastened with a fibula. Like the architecture and painting of the time, this sculpture reflects Charlemagne's desire to recreate the Roman Empire, as it bears similarities with a large-scale bronze equestrian portrait of Marcus Aurelius from the second century. Similar to the ancient Roman emperor, the mounted Carolingian ruler wears a calm expression as he rides without holding the reins. Rather, he holds a sword (now lost) in his right hand and an imperial orb in his left. Unlike its ancient predecessor, the horse does not pounce on a missing enemy but calmly prances, reflecting the stateliness of the rider. (105)

Several gold reliquaries, including one in the form of a portrait bust of Charlemagne, were produced under later dynasties, especially after his canonization in the 12 th century. (105)



Figure 8.4.1: Statue of Charlemagne mounted on a horse holding a sword, on marble base by Charles Marville is licensed under Public Domain

The Ottonians were also renowned for their metalwork, producing bejeweled book covers and massive bronze church doors with relief carvings depicting biblical scenes, a process so complex that it would not be repeated until the Renaissance. Fine, small-scale metal sculpture flourished and exquisite book covers made of ivory and embellished with gems, enamels, crystals, and cameos were produced during this period. [106]

The Cross of Lothair

Many of the finest examples of the *crux gemmata* (jeweled cross) date from Ottonian rule. These wooden crosses were encased in carved gold and silver and encrusted with jewels and engraved gems. Arguably the finest of these Ottonian jeweled crosses is the *Cross of Lothair* , dating from around 1,000 and housed in the Aachen Cathedral . The cross takes its name from the large engraved green rock crystal seal near its base , which bears the portrait and name of the Carolingian ruler Lothair II, King of Lotharingia (835–869).



Figure 8.4.1: Cross of Lothair by CEphoto, Uwe Aranas is licensed under CC BY-SA 3.0

The cross was actually commissioned over a century later for Otto III, the Holy Roman Emperor. The cross bears a cameo of the great Roman emperor Augustus Caesar on one side and an engraving of the crucifixion of Jesus on the other. The cross thus represents both church and state in keeping with the Ottonian agenda, and connects the Ottonian emperors to the original Roman emperors.

The cross also depicts the Hand of God holding a wreath containing a dove representing the Holy Spirit uction of the entire Trinity into the crucifixion, iconography that has been repeated for centuries.

Ottonian relief figures from treasure bindings and cast sculptures are often more stylized yet more dramatic than their restrained Carolingian counterparts. The cover of the *Codex Aureus of Echternach* (1030-1050) dates from about 50 years before the manuscript. The metalwork is attributed to the Trier workshop set up by Egbert, Archbishop of Trier. It centers on an ivory plaque showing the Crucifixion. Surrounding the ivory plaque are panels with figures in repoussé gold relief. The style of the metal reliefs differ significantly from the central plaque. These panels are set in a framework with larger elements made up of alternating units of gold filigree set with gems and cloisonné enamel with stylized plant motifs. Thinner gold bands set with small pearls run along the diagonal axes, further separating the relief images into compartments and creating an “X” that may stand for “Christ.” The figures are produced in an elegant elongated style that contrasts strongly with the forceful and slightly squat figures of the ivory. (106)

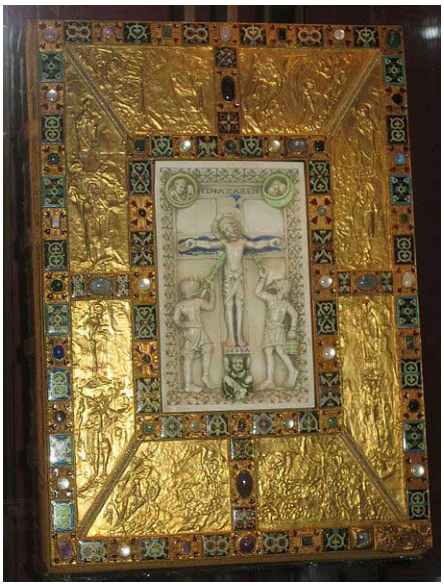


Figure 8.4.1: Codex Aureus of Echternach by Zinneke at Luxembourgish Wikipedia is licensed under CC BY-SA 3.0

Bronze Sculptures in Hildesheim

Ottonian metalwork also includes objects produced from non-precious metals. The most famous of these is the pair of church doors, the Bernward Doors, commissioned by Bishop Bernward of Hildesheim. They contain biblical scenes from the Gospels and the Book of Genesis in bronze relief, each cast in a single piece. These powerfully simple compositions convey their meanings by emphatic gestures, a hallmark of the Ottonian style. (106)

The figures on the Bernward Doors feature a progressive style of relief, leaning out from the background instead of extending a uniform distance. A particularly apt example of this is the figure of Mary with the baby Jesus in the depiction of the Adoration of the Magi. While her lower body is still in low relief, her upper body and Christ project out further and her head and shoulders are cast in the round. This unusual style was used for artistic reasons, not because of technical limitations. (106)



Figure 8.4.1: Bernward Doors by Bischöfliche Pressestelle Hildesheim (bph) is licensed under Public Domain

Military and Technological Developments

During the later Roman Empire, the principal military developments had to do with attempts to create an effective cavalry force as well as the continued development of highly specialized types of troops. The creation of cataphract-type soldiers was an important feature of 5 th century Roman military developments. The various invading tribes had differing emphasis on types of soldiers — ranging from the primarily infantry Anglo-Saxon invaders of Britain to the Vandals and Visigoths which had a high percentage of cavalry in their armies.



Figure 8.4.1: The Skylitzes manuscript in Madrid by unknown artist is licensed under Public Domain

During the early invasion period, the stirrup had not been introduced into warfare, which limited the usefulness of cavalry as shock troops, but not to the extent that has generally been proclaimed. It was still possible for cavalry to use shock tactics in battle, especially when the saddle was built up in front and back to allow greater support to the rider. The greatest changes in military

affairs during the invasion was the adoption of the Hunnic composite bow in place of the earlier, and weaker, Scythian composite bow. Another development of the invasion period was the increasing use of longswords and the decrease in the use of scale armor and the increasing use of mail amour and lamellar armor.

During the early Carolingian period, a decline in the importance of infantry and light cavalry began, with a corresponding dominance of military events by the elite. The use of militia-type levies of the free population declined over the Carolingian period. Although much of the Carolingian armies were mounted, a large proportion during the early period appear to have been mounted infantry, rather than true cavalry. One exception was Anglo-Saxon England, where the armies were still composed of local levies, known as the fyrd, which were led by the local elites. In military technology, one of the main change was the return of the crossbow, which had previously been known in Roman times, but reappeared as a military weapon during the last part of the Early Middle Ages. Another great change was the introduction of the stirrup, which allowed the more effective use of cavalry as shock troops. One final technological change that had implications beyond the military was the horseshoe, which allowed horses to be used in rocky terrain. [101]

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8.5: High Middle Ages

Society and Life



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The High Middle Ages saw an expansion of population with rough estimates of the increase from the year 1000 until 1347 indicating that the population of Europe grew from 35 to 80 million. The exact cause or causes of the growth remain unclear; improved agricultural techniques, the decline of slaveholding, a more clement climate and the lack of invasion have all been put forward.

As much as 90 percent of the European population remained rural peasants. Many of them were no longer settled in isolated farms but had gathered into small communities, usually known as manors or villages. These peasants were often subject to noble overlords and owed them rents and other services, in a system known as manorialism. There remained a few free peasants throughout this period and beyond.

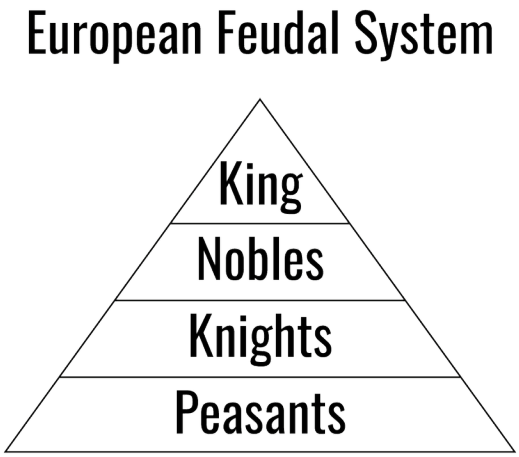


Figure 8.5.1: European Feudal System by FSCJ is licensed under CC BY-SA 4.0

Other sections of society included the nobility, clergy and townsmen. Nobles, both the titled and simple knights, were the exploiters of the manors and the peasants, although they did not own lands outright, rather they were granted rights to the income from a manor or other lands by an overlord through the system of feudalism. During the 11th and 12th centuries, these lands, or fiefs, came to be considered hereditary and in most areas they were no longer divisible between all the heirs as had been the case in the early medieval period.

Instead, most fiefs and lands went to the eldest son. The dominance of the nobility was built upon its control of the land, its military service as heavy cavalry, control of castles, and various immunities from taxes or other impositions. Stone castles began to be constructed in the 9th and 10th centuries in response to the disorders of the time, and allowed inhabitants to take refuge from invaders. Control of castles allowed the nobles to defy kings or other overlords.

The clergy was divided into two types — the secular clergy who lived in the world, and the regular clergy, or those who lived under a religious rule and were usually monks. Most of the regular clergy were drawn from the ranks of the nobility, the same social class that served as the recruiting ground for the upper levels of the secular clergy. The local parish priests were often drawn from the peasant class. Townsmen were in a somewhat unusual position, as they did not fit into the traditional three-fold division of society into nobles, clergy, and peasants. During the 12th and 13th centuries, the ranks of the townsmen expanded greatly as existing towns grew and new population centers were founded.

In Central and Northern Italy and in Flanders, the rise of towns that were, to a degree, self-governing, stimulated economic growth and created an environment for new types of trade associations. Commercial cities on the shores of the Baltic entered into agreements known as the Hanseatic League, and Italian city-states such as Venice, Genoa, and Pisa expanded their trade throughout the Mediterranean. Besides new trading opportunities, agricultural and technological improvements enabled the increase in crop yields, which in turn allowed the trade networks to expand. Rising trade brought new methods of dealing with money, and gold coinage was again minted in Europe, at first in Italy and later in France and other countries. New forms of commercial contracts emerged, allowing risk to be shared among merchants. Accounting methods improved, partly through the use of double-entry bookkeeping; letters of credit also emerged, to allow easy transmission of money through the trading networks. [101]

Political States

The High Middle Ages is the formative period in the history of the Western state. Kings in France, England and Spain consolidated their power, and set up lasting governing institutions. Also new kingdoms like Hungary and Poland, after their conversion to Christianity, became Central-European powers. The Papal Monarchy reached its apogee in the early 13th century under the pontificate of Innocent III (pope 1198–1216). Northern Crusades and the advance of Christian kingdoms and military orders into previously pagan regions in the Baltic and Finnic northeast brought the forced assimilation of numerous native peoples into

European culture.

During the early High Middle Ages, Germany was ruled by the Saxon dynasty, which struggled to control the powerful dukes ruling over territorial duchies tracing back to the Migration period. In 1024, the ruling dynasty changed to the Salian dynasty, who famously clashed with the papacy under Emperor Henry IV (r. 1084–1105) over church appointments. His successors continued to struggle against the papacy as well as the German nobility.

France under the Capetian dynasty, began to slowly expand its power over the nobility, managing to expand out of the Ile de France to exert control over more of the country as the 11th and 12th centuries. They faced a powerful rival in the Dukes of Normandy, who in 1066 under William the Conqueror (duke 1035–1087), conquered England (r. 1066–1087) and created a cross-channel empire that would last, in various forms, throughout the rest of the Middle Ages. Normans not only expanded into England, but also settled in Sicily and southern Italy, when Robert Guiscard (d. 1085) landed there in 1059 and established a duchy that later became a kingdom. Under the Angevin dynasty of King Henry II (r. 1154–1189) and his son King Richard I, the kings of England ruled over England and large sections of France, brought to the family by Henry II's marriage to Eleanor of Aquitaine, heiress to much of southern France.

However, Richard's younger brother King John (r. 1199–1216) lost Normandy and the rest of the northern French possessions in 1204 to the French king Philip II Augustus. This led to dissension among the English nobility, while John's financial exactions to pay for his unsuccessful attempts to regain Normandy led in 1215 to Magna Carta, a charter that confirmed the rights and privileges of free men in England. Under Henry III (r. 1216–1272), John's son, further concessions were made to the nobility, and royal power was diminished. The French monarchy continued to make gains against the nobility during the late 12th and 13th centuries, bringing more territories within the kingdom under their personal rule and centralizing the royal administration. Under King Louis IX, royal prestige rose to new heights as Louis served as a mediator for most of Europe. [101]

Crusades



Figure 8.5.1: A battle of the Second Crusade by anonymus is licensed under Public Domain

In the 11th century, the Seljuk Turks took over much of the Middle East, taking Persia during the 1040s, Armenia in the 1060s, and capturing Jerusalem in 1070. In 1071, the Turkish army defeated the Byzantine army at the Battle of Manzikert and captured the Byzantine Emperor Romanus IV (r. 1068–1071). This allowed the Turks to invade Asia Minor, which dealt a dangerous blow to the Byzantine Empire by seizing a large part of the empire's population and its economic heartland. Although the Byzantines managed to regroup and recover somewhat, they never regained Asia Minor and were often on the defensive afterwards. The Turks also ran into difficulties, losing control of Jerusalem to the Fatimids of Egypt and suffering from a series of internal civil wars.

The Crusades were intended to seize Jerusalem from Muslim control. The first Crusade was proclaimed by Pope Urban II (pope 1088–1099) at the Council of Clermont in 1095 in response to a request from the Byzantine Emperor Alexios I Komnenos (r.

1081–1118) for aid against further Muslim advances. Urban promised indulgence to anyone who took part. Tens of thousands of people from all levels of society mobilized across Europe, and captured Jerusalem in 1099 during the First Crusade. The crusaders consolidated their conquests in a number of crusader states. During the 12th century and 13th century, there were a series of conflicts between these states and the surrounding Islamic states. Further crusades were called to aid the crusaders, or such as the Third Crusade, called to try to regain Jerusalem, which was captured by Saladin in 1187. In 1203, the Fourth Crusade was diverted from the Holy Land to Constantinople, and captured that city in 1204, setting up a Latin Empire of Constantinople and greatly weakening the Byzantine Empire, which finally recaptured Constantinople in 1261, but the Byzantines never regained their former strength. By 1291 all the crusader states had been either captured or forced from the mainland, with a titular Kingdom of Jerusalem surviving on the island of Cyprus for a number of years after 1291.

Popes called for crusades to take place other than in the Holy Land, with crusades being proclaimed in Spain, southern France, and along the Baltic. The Spanish crusades became fused with the Reconquista, or reconquest, of Spain from the Muslims. Although the Templars and Hospitallers took part in the Spanish crusades, Spanish military religious orders were also founded similar to the Templars and Hospitallers, with most of them becoming part of the two main orders of Calatrava and Santiago by the beginning of the 12th century. Northern Europe also remained outside Christian influence until the 11th century or later; these areas also became crusading venues as part of the Northern Crusades of the 12th through the 14th centuries. These crusades also spawned a military order, the Order of the Sword Brothers. Another order, the Teutonic Knights, although originally founded in the Crusader states, focused much of its activity in the Baltic after 1225, and in 1309 moved its headquarters to Marienburg in Prussia. [101]

Intellectual life

During the 11th century, developments in philosophy and theology led to increased intellectual activity. There was debate between the realists and the nominalists over the concept of " universals". Philosophical discourse was stimulated by the rediscovery of Aristotle and his emphasis on empiricism and rationalism. Scholars such as Peter Abelard (d. 1142) and Peter Lombard (d. 1164) introduced Aristotelian logic into theology. The late 11th and early 12th century also saw the rise of cathedral schools throughout western Europe, signaling the shift of learning from monasteries to cathedrals and towns. Cathedral schools were then in turn replaced in the late 11th century by the universities established in major European cities.

Philosophy and theology fused in scholasticism, an attempt by 12th and 13th -century scholars to reconcile Christian theology with itself, which eventually resulted in a system of thought that tried to employ a systemic approach to truth and reason. This culminated in the thought of Thomas Aquinas (d. 1274), who wrote the Summa Theologica, or Summary of Theology.



Figure 8.5.1: St. Thomas Aquinas sitting between Aristotle and Plato by DIRECTMEDIA Publishing GmbH is licensed under Public Domain

Besides the universities, royal and noble courts saw the development of chivalry and the ethos of courtly love. This culture was

expressed in the vernacular languages rather than Latin, and comprised poems, stories, legends and popular songs spread by troubadors, or wandering minstrels. Often the stories were written down in the chansons de geste, or “songs of great deeds”, such as The Song of Roland or The Song of Hildebrand.

Besides these products of chivalry, other writers composed histories, both secular and religious. Geoffrey of Monmouth (d. around 1155) composed his Historia Regum Britanniae, which was a collection of stories and legends about Arthur. Other works were more clearly history, such as Otto von Freising’s (d. 1158) Gesta Friderici Imperatoris detailing the deeds of Emperor Frederick I or William of Malmesbury’s (d. around 1143) Gesta Regum on the kings of England.

Legal studies also advanced during the 12th century. Both secular law and canon law, or ecclesiastical law, were studied in the High Middle Ages. Secular law, or Roman law, was advanced greatly by the discovery of the corpus iuris civilis in the 11th century, and by 1100 Roman law was being taught at Bologna. This led to the recording and standardization of legal codes throughout western Europe. Canon law was also studied, and around 1140 a monk named Gratian (flourished 12th century), a teacher at Bologna, wrote what became the standard text of canon law — the Decretum.

Among the results of the Greek and Islamic influence on this period in European history was the replacement of Roman numerals with the decimal positional number system and the invention of algebra, which allowed more advanced mathematics. Astronomy also advanced, with the translation of Ptolemy’s Almagest from Greek into Latin in the late 12th century. Medicine was also studied, especially in southern Italy, where Islamic medicine influenced the school at Salerno. [101]

Technology and military

In the 12th and 13th centuries, Europe saw a number of innovations in methods of production and economic growth. Major technological advances included the invention of the windmill, the first mechanical clocks, the first investigations of optics and the creation of crude lenses, the manufacture of distilled spirits and the use of the astrolabe. Glassmaking advanced with the development of a process that allowed the creation of transparent glass in the early 13th century. Transparent glass made possible the science of optics by Roger Bacon (d. 1294), who is credited with the invention of eyeglasses.

A major agricultural innovation was the development of a 3-field rotation system for planting crops. The development of the heavy plow allowed heavier soils to be farmed more efficiently, an advance that was helped along by the spread of the horse collar, which led to the use of draught horses in place of oxen. Horses are faster than oxen and require less pasture, factors which aided the utilization of the 3-field system.

The development of cathedrals and castles advanced building technology, leading to the development of large stone buildings. Ancillary structures included new town halls, houses, bridges, and tithe barns. Shipbuilding also improved, with the use of the rib and plank method rather than the old Roman system of mortice and tenon. Other improvements to ships included the use of lateen sails and the stern-post rudder, both of which increased the speed at which ships could be sailed.

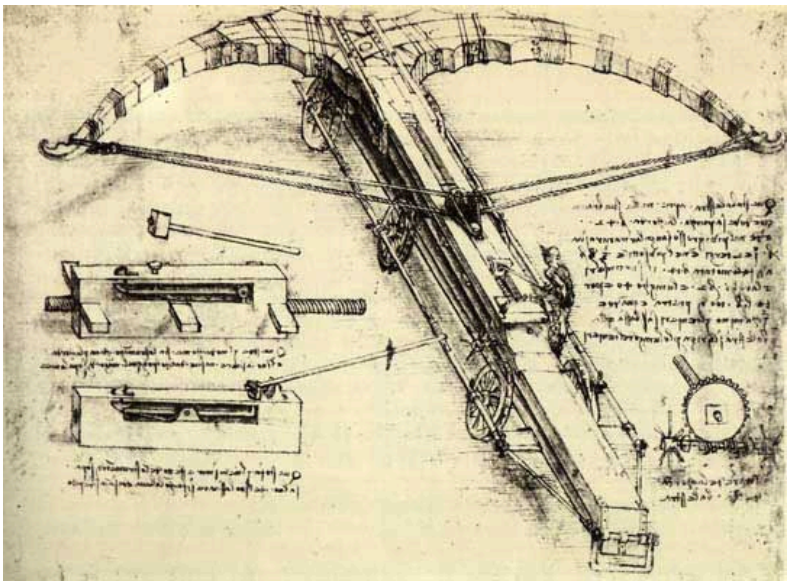


Figure 8.5.1: DaVinci Crossbow by Leonardo da Vinci is licensed under Public Domain

Crossbows, which had been known in Late Antiquity, increased in use, partly because of the increase in siege warfare in the 10th and 11th centuries. Military affairs saw an increase in the use of infantry with specialized roles during this period. Besides the still dominant heavy cavalry, armies often included both mounted and infantry crossbowmen, as well as sappers and engineers. The increasing use of crossbows during the 12th and 13thcenturies led to the use of closed-face helmets, heavy body armor, as well as horse armor. Gunpowder was known in Europe by the mid-13th century with a recorded use in European warfare by the English against the Scots in 1304, although it was merely used as an explosive and not as a weapon. Cannon were being used for sieges in the 1320s, and hand held guns were known and in use by the 1360s. (101)

Architecture and Art

The High Middle Ages gave rise to two new art traditions in the West: The Romanesque and Gothic styles of art.Romanesque art refers to the art of Europe from the late 10th century to the rise of the Gothic style in the 13thcentury or later, depending on region. The term “Romanesque” was invented by 19th century art historians to refer specifically to architecture of the time period, which retained many basic features of Roman architectural style — most notably semi-circular arches — but retained distinctive regional characteristics.

In Southern France, Spain, and Italy, there was architectural continuity with the Late Antique period, but the Romanesque style was the first style to spread across the whole of Catholic Europe and thus the first pan-European style since Imperial Roman Architecture. Romanesque art was also influenced by Byzantine art, especially in painting, and by the anti-classical energy of the decoration of the Insular art of the British Isles. From these elements was forged a highly innovative and coherent style. (107)

Romanesque Art and Architecture

Combining features of Roman and Byzantine buildings along with other local traditions, Romanesque architecture is distinguished by massive quality, thick walls, round arches, sturdy piers, groin vaults, large towers, and decorative arcades. Each building has clearly defined forms and a symmetrical plan, resulting in a much simpler appearance than the Gothic buildings that would follow. The style can be identified across Europe, despite regional characteristics and materials. (107)



Figure 8.5.1: Maria Laach Abbey by Goldi64 is licensed under CC BY-SA 3.0

Painting

Aside from architecture, the art of the period was characterized by a vigorous style in both painting and sculpture. In churches, painting continued to follow Byzantine iconographic models. Christ in Majesty, the Last Judgement and scenes from the Life of Christ remained among the most common depictions. In illuminated manuscripts , the most lavishly decorated examples of the period included bibles or psalters . As new scenes were depicted, more originality developed. They used intensely saturated primary colors , which now exist in their original brightness only in stained glass and well-preserved manuscripts. Stained glass first came to wide use during this period, although there are few surviving examples.

Pictorial compositions usually had little depth as they were limited to the narrow spaces of historiated initials,column capitals , and church tympanums. The tension between a tight frame and a composition that sometimes escapes its designated space is a recurrent theme in Romanesque art. Figures often varied in size in relation to their importance, and landscape backgrounds were absent or closer to abstract decorations than realism, as in the trees in the “Morgan Leaf.” Human forms were often elongated and contorted to fit the shape provided and at times appeared to be floating in space. These figures focused on linear details with emphasis on drapery folds and hair.[107]



Figure 8.5.1: The Morgan Leaf by an unknown author is licensed under Public Domain

Sculpture

Sculpture also exhibited a vigorous style, evident in the carved capitals of columns, which often depicted complete scenes consisting of several figures. Precious objects sculpted in metal, enamel, and ivory , such as reliquaries , also had high status in this period. While the large wooden crucifix and statues of the enthroned Madonna were German innovations at the start of the period, the high relief carvings of architectural elements are most evocative of this style.

In a significant innovation, the tympanums of important church portals were carved with monumental schemes, again depicting Christ in Majesty or the Last Judgement but treated with more freedom than in painted versions. These portal sculptures were meant to both intimidate and educate the viewer. As there were no equivalent Byzantine models, Romanesque sculptors felt free to expand in their treatment of tympanums.(107)

Gothic Art and Architecture

Gothic art developed after the Romanesque , in the 12th century. The style continued to be used well into the 16th century in some parts of Europe, while giving way to the Renaissance style earlier in other regions. The style was developed in Northern France due to socioeconomic, political, and theological reasons.

After the fall of the Roman Empire, people fled cities as they were no longer safe. The Romanesque era saw many people living in the countryside of France while cities remained largely abandoned. During this time period, the French monarchy was weak and feudal landowners exerted a large amount of regional power. In the 12th century, the French royalty strengthened their power, their titles, and their landholdings, which led to more centralized government. Additionally, due to advancements in agriculture, population and trade increased. These changes brought people back to the cities, which is where we find the most expressive medium for the Gothic style — cathedrals. (108)

Gothic Architecture

Gothic architecture is unique in that we can pinpoint the exact place, the exact moment, and the exact person who developed it. Around 1137, Abbot Suger began re-building the Abbey Church of St. Denis. In his re-designs, which he wrote about extensively, we can see elements of what would become Gothic architecture, including the use of symmetry in design and ratios.

Ratios became essential to French Gothic cathedrals because they expressed the perfection of the universe created by God. This is where we also see stained glass emerge in Gothic architecture. Abbot Suger adopted the idea that light equates to God. He wrote that he placed pictures in the glass to replace wall paintings and talked about them as educational devices. A form of visual

media for the uneducated masses, the windows were instructional in theology during the Gothic era, and the light itself was a metaphor for the presence of God.

Cathedrals served as religious centers and they were important for local economies. Pilgrims would travel throughout Europe to see relics , which would bring an influx of travelers and money to cities with Cathedrals. (108)

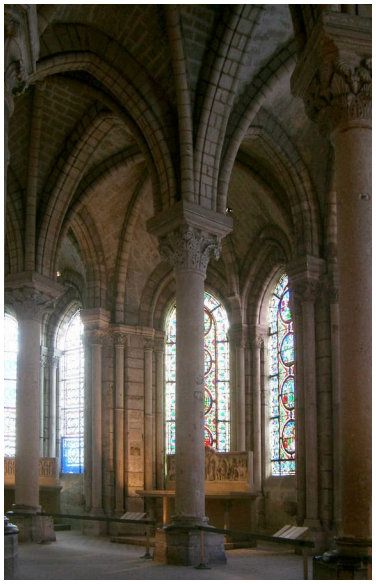


Figure 8.5.1: St Denis Chorumgang by Beckstet is licensed under CC BY-SA 3.0

While the Gothic style was developed in Northern France, it spread throughout Europe where different regional styles were adopted. In England, for example, cathedrals became longer than they were tall and architects in Italy typically did not incorporate stained glass windows in the manner that the French did.

Boundless. “Gothic Art. Boundless Art History Boundless, 20 Nov. 2016. Retrieved 16 Dec. 2016 from boundless Website

Gothic Painting

Illuminated manuscripts provide excellent examples of Gothic painting. A prayer book, known as the book of hours, became increasingly popular during the Gothic age and was treated as a luxury item. The Hours of Mary of Burgundy, produced in Flanders c. 1477, contains a miniature showing Mary of Burgundy in devotion with a wonderful depiction of a French Gothic Cathedral behind her.



Figure 8.5.1: Painting of a woman reading a book, sitting in front of a miniature depiction of Mary with the child Jesus on her lap by die beiden Künstler Nicolas Spierinc und Liétard van Lathem is licensed under Public Domain

Sculpture & Metalwork

Sculpture during the Gothic era really sheds light on the knowledge of artists working during this time period. Some historians believed that artists and artisans during the Gothic era had "forgotten" how to create realistic works of art, or art influenced by the classical age. However, a viewer only needs to look at the work of Nicolas of Verdun to see that artists could and did work in a classical style during the Gothic era. Additionally, sculpture produced in Germany during the Gothic era is especially noted for its lifelikeness.



Figure 8.5.1: Shrine of the Three Kings by Arminia is licensed under CC BY-SA 3.0

Church Life

Monastic reform became an important issue during the 11 th century, as elites began to worry that monks were not adhering to the rules binding them to a strictly religious life. Cluny Abbey, founded in the Mâcon region of France in 909, was established as part

of the Cluniac Reforms, a larger movement of monastic reform in response to this fear. Cluny quickly established a reputation for austerity and rigor and sought to maintain a high quality of spiritual life by electing its own abbot without interference from laymen, thus maintaining economic and political independence from local lords and placing itself under the protection of the papacy.

Monastic reform inspired change in the secular church. The ideals that it was based upon were brought to the papacy by Pope Leo IX (pope 1049–1054), and provided the ideology of the clerical independence that led to the Investiture Controversy in the late 11 th century. This involved Pope Gregory VII (pope 1073–1085) and Emperor Henry IV, who initially clashed over episcopal appointments, a dispute that turned into a battle over the ideas of investiture, clerical marriage, and simony. The emperor saw the protection of the Church as one of his responsibilities as well as wanting to preserve the right to appoint his own choices as bishops within his lands, but the papacy insisted on the Church's independence from secular lords. These issues themselves remained unresolved after the compromise of 1122 known as the Concordat of Worms. The conflict represents a significant stage in the creation of a papal monarchy separate from and equal to lay authorities. It also had the permanent consequence of empowering German princes at the expense of the German emperors.



Figure 8.5.1: Vision of St. Bernard with St. Benedict and John the Evangelist by Web Gallery of Art is licensed under Public Domain

The High Middle Ages was a period of great religious movements. Besides the Crusades and monastic reforms, people sought to participate in new forms of religious life. New monastic orders were founded, including the Carthusians and the Cistercians. The Cistercians, especially, expanded rapidly in their early years under the guidance of Bernard of Clairvaux. These new orders were formed in response to the feeling of the laity that Benedictine monasticism no longer met the needs of the laymen. Laymen and those wishing to enter the religious life wanted to return to the simpler hermetical monasticism of early Christianity or to live an Apostolic life. Besides new monastic orders, religious pilgrimages were encouraged, with old pilgrimage sites such as Rome, Jerusalem, and Compostela seeing renewed visitation and new sites such as Monte Gargano and Bari rising to prominence.

In the 13 th century, mendicant orders — the Franciscans and the Dominicans — who swore vows of poverty and earned their living by begging, were approved by the papacy. Besides the recognized orders, other religious groups such as the Waldensians and the Humiliati attempted to return to the life of early Christianity in the middle 12 thand early 13 th centuries, but they were condemned as heretical by the papacy. Others joined the Cathars, another heretical movement condemned by the papacy. In 1209, a crusade was preached against the Cathars, the Albigensian Crusade, which in combination with the medieval Inquisition, finally eliminated them. (101)

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8.6: The Late Middle Ages and Collapse of Byzantium

Late Middle Ages

War, Famine, and Plague



Figure 8.6.1: Omne Bonum or plague victims blessed by priest by James le Palmer is licensed under Public Domain

The first years of the 14 th century were marked by a number of famines, culminating in the Great Famine of 1315–1317. The causes of the Great Famine were not just related to the ongoing climatic change that was taking place, a slow transition from the Medieval Warm Period to the Little Ice Age, but also had causes in overspecialization in single crops, which left the population vulnerable when bad weather caused crop failures. Other troubles included an economic downturn and the aforementioned climate change — which resulted in the average annual temperature for Europe declining during the 14 th century. But knowledge of Asia and the trade routes to China expanded during the period, through the invasions of the Mongols and the travels of Marco Polo.

These troubles were followed in 1347 by the Black Death, a disease that spread throughout Europe in the years 1348, 1349, and 1350. The death toll was probably about 35 million people in total in Europe, about one-third of the population. Towns were especially hard-hit because of the crowded conditions. Large areas of land were left sparsely inhabited, and in some places fields were left unworked. Because of the sudden decline in available laborers, the price of wages rose as landlords sought to entice workers to their fields, but the lower rents were balanced out by the lower demand for food, which cut into agricultural income.

Urban workers also felt that they had a right to greater earnings, and popular uprisings broke out across Europe. Among the uprisings were the jacquerie in France, the Peasants' Revolt in England, and revolts in the cities of Florence in Italy and Ghent and Bruges in Flanders. The trauma of the plague led to an increased piety throughout Europe, which manifested itself in the foundation of new charities, the extreme self-mortification of the flagellants, and the scapegoating of the Jews. Conditions were further unsettled by the return of the plague throughout the rest of the 14 th century. It continued to strike Europe throughout the rest of the Middle Ages. [1][2]

State Resurgence

The Late Middle Ages also witnessed the rise of strong, royalty-based nation-states throughout Europe, particularly in England, France, and the Christian kingdoms of the Iberian Peninsula — Aragon, Castile, and Portugal. The long conflicts of the later Middle

Ages strengthened royal control over the kingdoms, even though they were extremely hard on the peasantry. Kings profited from warfare by gaining land and extended royal legislation throughout their kingdoms. Paying for the wars required that the methods of taxation become more efficient and the rate of taxation often increased. The requirement to obtain the consent of those taxed meant that representative bodies such as the English Parliament or the French Estates General gained some power and new authority.

Throughout the 14 th century, French kings sought to expand their influence throughout the kingdom at the expense of the territorial holdings of the nobility. This ran into difficulties when they attempted to confiscate the holdings of the English kings in southern France, leading to the Hundred Years' War, which lasted until 1453. At first, the English under King Edward III and his son Edward, the Black Prince, won the battles of CrÃ©cy and Poitiers, captured the city of Calais and won control of much of France. The stresses of this war almost caused the disintegration of the French kingdom during the early years of the war. In the early 15 th century, France once more teetered on the brink of dissolving, but in the late 1420s military successes led by Joan of Arc (d. 1431) led to the eventual victory of the French kings over the English with the capture of the last of the English possessions in southern France in 1453. The price was high, as the population of France at the end of the Wars was likely half what it had been prior to the start of the conflict.

Conversely, the Wars had a positive effect on English national identity, doing much to fuse the various local identities into a national English ideal. The conflict with the French also helped create a national culture in England that was separate from French culture, which had been the dominant cultural influence in England prior to the outbreak of the Hundred Years' War. The early Hundred Years' War also saw the dominance of the English longbow, and the appearance of cannon on the battlefield at CrÃ©cy in 1346.

In modern-day Germany, the Empire continued, but the elective nature of the imperial crown meant that there was no strong dynasty around which a strong state could form. Further east, the kingdoms of Poland, Hungary, and Bohemia grew into powerful kingdoms. The Iberian Peninsula kingdoms continued to gain land from the Muslim kingdoms of the peninsula, with Portugal concentrating on expanding overseas during the 15 th century while the other kingdoms were riven by difficulties over the royal succession and other concerns throughout the 15 th century.

England, after losing the Hundred Years' War, went on to suffer a long civil war known as the Wars of the Roses, which lasted into the 1490s, after Henry Tudor consolidated his hold on England from his victory over King Richard III at Bosworth in 1485. Scandinavia went through a period of union under the Union of Kalmar in the late 14 th and early 15 th century, but dissolved once more after the death of Queen Margaret I of Denmark (r. in Denmark 1353–1412), who had united Norway, Denmark, and Sweden. The major power around the Baltic Sea was the city states of the Hanseatic League, a commercial confederation which traded from western Europe to Russia. Scotland emerged from English domination under King Robert the Bruce (r. 1306–1329), who secured papal recognition of his kingship in 1328. (101)

Collapse of Byzantium

Although the Palaeologi emperors managed to recapture Constantinople from the western Europeans in 1261, they were never able to regain control of much of the former imperial lands. They usually controlled only a small section of the Balkan Peninsula near Constantinople, the city itself, and some coastal lands on the Black Sea and around the Aegean Sea. The former Byzantine lands in the Balkans were divided between the new kingdoms of Serbia and Bulgaria and the city-state of Venice. The power of the Byzantine emperors was threatened by a new Turkish tribe, the Ottomans, who established themselves in Anatolia in the 13th century and steadily expanded throughout the 14th century. The Ottomans expanded into Europe, reducing Bulgaria to a vassal state by 1366 and taking over Serbia after the Serbian defeat at the Battle of Kosovo in 1389. Western Europeans rallied to the plight of the Christians in the Balkans and declared a new Crusade in 1396, and a great army was sent to the Balkans which met defeat at the Battle of Nicopolis. Constantinople finally was captured by the Ottomans in 1453. (101)

Controversy within the Church

The troubled 14th century saw both the Avignon Papacy of 1305–1378, also called the "Babylonian Captivity of the Papacy" (a reference to the Babylonian Captivity of the Jews), and then the Great Schism that lasted from 1378 to 1418, when there were two, then later three, rival popes, each supported by a number of states. In the early years of the 15th century, after a century of turmoil, ecclesiastical officials convened in Constance in 1414, and in 1415 the council deposed one of the rival popes, leaving

only two claimants. Further depositions followed, and in November 1417 the council elected Martin V (pope 1417–1431) as pope.

Besides the schism, the western church was riven by theological controversies, some of which turned into heresies. John Wyclif (d. 1384), an English theologian, was condemned as a heretic in 1415 for teaching that the laity should have access to the text of the Bible as well as holding views on the Eucharist that were contrary to church doctrine.

Wyclif's teachings influenced two of the major heretical movements of the later Middle Ages — Lollardry in England and Hussitism in Bohemia. The Bohemians were also influenced by the teaching of Jan Hus, who was eventually burned at the stake in 1415 after being condemned as a heretic by the Council of Constance. The Hussite church, although subject to a crusade being called against it, survived past the end of the Middle Ages.

The papacy refined the concept of transubstantiation further in the Late Middle Ages, stating that the clergy alone was allowed to partake of the wine in the Eucharist. This further distanced the secular laity from the clergy. The laity continued the practices of pilgrimages, veneration of relics, and the belief in power of the Devil. Mystics such as Meister Eckhart (d. 1327) or Thomas Ã Kempis (d. 1471) wrote works that taught the laity to focus on their inner spiritual life, something that contributed to the Protestant Reformation. Besides mysticism, belief in witches and witchcraft became widespread, and by the late 15th century the Church had begun to lend credence to populist fears of witchcraft with its condemnation of witches in 1484 and the publication of the Malleus Maleficarum, the most popular handbook for witchhunters, in 1486. (101)

Scholars, Intellectuals, and Exploration

The Later Middle Ages saw a reaction against scholasticism led by John Duns Scotus (d. 1308) and William of Ockham (d. around 1348), both of whom objected to the application of reason to faith. Their efforts, along with others, led to an undermining of the prevailing Platonic idea of "universals". Ockham's insistence that reason operates independently of faith allowed science to be separated from theology and philosophy. Legal studies were marked by the steady advance of Roman law into areas of jurisprudence previously governed by customary law. The one exception to this trend was England, where the common law remained pre-eminent. Countries also codified their laws, with legal codes being promulgated in countries as far apart as Castile, Poland, and Lithuania.



Figure 8.6.1: A university class room from the Middle Ages by Laurentius de Voltolina is licensed under Public Domain

Education remained mostly focused on the training of future clergy. The basic learning of the letters and numbers remained the province of the family or a village priest, but the secondary subjects of the trivium – grammar, rhetoric, logic — were studied in either cathedral schools or in schools provided by cities. Commercial secondary schools spread also, with some towns in Italy having more than one such enterprise. Universities also spread throughout Europe in the 14th and 15th centuries.

The rise of vernacular literature increased in pace, with Dante, Petrarch and Giovanni Boccaccio in 14th century Italy, Geoffrey

Chaucer and William Langland in England, and François Villon and Christine de Pizan in France. Much literature remained religious in character, but although much of this continued to be written in Latin, a new demand developed for saints' lives and other devotional tracts in the vernacular languages. This was fed by the growth of the devotio moderna movement, most prominently in the formation of the Brethren of the Common Life, but also in the works of German mystics such as Meister Eckhart and Johannes Tauler. Theatre also developed in the guise of miracle plays put on by the Church. At the end of the period, the development of the printing press around 1450 led to the establishment of publishing houses throughout Europe by 1500.

Beginning in the early 15th century, the countries of the Iberian peninsula began sponsoring exploration past the boundaries of Europe. Prince Henry the Navigator of Portugal (d. 1460), sent expeditions that discovered the Canary Islands, the Azores, and Cape Verde during his lifetime. After his death, exploration continued, with Bartholomew Diaz (d. 1500) going around the Cape of Good Hope in 1486 and Vasco de Gama (d. 1524) sailing around Africa to India in 1498. The combined Spanish monarchies of Castile and Aragon sponsored Christopher Columbus' (d. 1506) voyage of exploration in 1492 that discovered the Americas. The English crown under King Henry VII (r. 1485–1509) sponsored the voyage of John Cabot (d. 1498) in 1497, which landed on Cape Breton Island. (101)

Technological and Military Developments



Figure 8.6.1: Battle of crecy froissart by Jean Froissart is licensed under Public Domain

One of the major developments in the military sphere during the Late Middle Ages was the increasing use of infantry and light cavalry. The English also employed longbowmen, but other countries were unable to create similar forces that enjoyed the same military success. Armor continued to advance, spurred on by the increasing power of crossbows, and plate armor was developed to help protect against the threat from crossbows as well as the hand-held guns that were developed. Pole-arms reached new prominence with the development of the Flemish and Swiss infantry armed with pikes and other long spears. (101)

Late Medieval Art and Architecture

The Late Middle Ages in Europe as a whole correspond to the Trecento and Early Renaissance in Italy, while Northern Europe and Spain continued to use Gothic styles, increasingly elaborate in the 15th century, until almost the end of the period. International Gothic was a courtly style that reached much of Europe in the decades around 1400, producing masterpieces such as the Très Riches Heures du Duc de Berry. All over Europe secular art continued to increase in quantity and quality, and in the 15th century the mercantile classes of Italy and Flanders became important patrons, commissioning small portraits of themselves in oils as well as a growing range of luxury items such as jewellery, ivory caskets, cassone chests and maiolica pottery. These objects also included the Hispano-Moresque ware produced by mostly Mudéjar potters in Spain. Although royalty owned huge collections of plate, little survives except for the Royal Gold Cup. Italian silk manufacture developed, so that Western churches and elites no longer needed to rely on imports from Byzantium or the Islamic world. In France and Flanders tapestry weaving of sets like The

Lady and the Unicorn became a major luxury industry.

The large external sculptural schemes of Early Gothic churches gave way to more sculpture inside the building, as tombs became more elaborate and other features such as pulpits were sometimes lavishly carved, as in the Pulpit by Giovanni Pisano in Sant'Andrea. Painted or carved wooden relief altarpieces became common, especially as churches created many side-chapels. Early Netherlandish painting with artists such as Jan van Eyck (d. 1441) and Rogier van der Weyden (d. 1464) rivalled that of Italy, as did northern illuminated manuscripts, which in the 15th century began to be collected on a large scale by secular elites, who also commissioned secular books, especially histories. From about 1450 printed books rapidly became popular, though still expensive, and there were around 30,000 different editions of incunabula printed by 1500, and by then illuminated manuscripts were only commissioned by royalty and a few others. Very small woodcuts, nearly all religious, were affordable even by peasants in parts of Northern Europe from the middle of the 15th century, with more expensive engravings supplying a wealthier market with a variety of images. (101)

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9: THE RENAISSANCE

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9.1: The Renaissance

Introduction to the Renaissance

The Renaissance was a cultural movement that began in Italy in the 14th century, and spread to the rest of Europe during the 15th and 16th centuries.

LEARNING OBJECTIVES

- Describe the influences of the Renaissance and historical perspectives by modern-day writers

KEY TAKEAWAYS

Key Points

- There is a consensus that the Renaissance began in Florence, Italy, in the 14th century, most likely due to the political structure and the civil and social nature of the city. The Renaissance encompassed the flowering of Latin languages, a change in artistic style, and gradual, widespread educational reform.
- The development of conventions of diplomacy and an increased reliance on observation in science were also markers of the Renaissance.
- The Renaissance is probably best known for its artistic developments and for the development of " Humanism," a movement that emphasized the importance of creating citizens who were able to engage in the civil life of their community.
- Some historians debate the 19th-century glorification of the Renaissance and individual culture heroes as "Renaissance men."
- Some have called into question whether the Renaissance was a cultural "advance" from the Middle Ages, instead seeing it as a period of pessimism and nostalgia for classical antiquity.

Key Terms

- **Medici**: The last name of a powerful and influential aristocratic Florentine family from the 13th to the 17th century.
- **studia humanitatis**: Specifically, a cultural and intellectual movement in 14th–16th century Europe characterized by attention to classical culture and a promotion of vernacular texts, notably during the Renaissance.
- **Renaissance**: A cultural movement from the 14th to the 17th century, beginning in Italy and later spreading to the rest of Europe.
- **Petrarch**: An Italian scholar and poet in Renaissance Italy, and one of the earliest humanists.

Overview

The Renaissance was a period in Europe, from the 14th to the 17th century, regarded as the cultural bridge between the Middle Ages and modern history. It started as a cultural movement in Italy, specifically in Florence, in the late medieval period and later spread to the rest of Europe, marking the beginning of the early modern age.

The intellectual basis of the Renaissance was its own invented version of humanism, derived from the rediscovery of classical Greek philosophy, such as that of Protagoras, who said that "Man is the measure of all things." This new thinking became manifest in art, architecture, politics, science, and literature. Early examples were the development of perspective in oil painting and the recycled knowledge of how to make concrete. Though availability of paper and the invention of metal movable type sped the dissemination of ideas from the later 15th century, the changes of the Renaissance were not uniformly experienced across Europe.

Cultural, Political, and Intellectual Influences

As a cultural movement, the Renaissance encompassed the innovative flowering of Latin and vernacular literatures, beginning with

the 14th-century resurgence of learning based on classical sources, which contemporaries credited to Petrarch; the development of linear perspective and other techniques of rendering a more natural reality in painting; and gradual but widespread educational reform.

In politics, the Renaissance contributed the development of the conventions of diplomacy, and in science an increased reliance on observation. Although the Renaissance saw revolutions in many intellectual pursuits, as well as social and political upheaval, it is perhaps best known for its artistic developments and the contributions of such polymaths as Leonardo da Vinci and Michelangelo, who inspired the term “Renaissance man.”

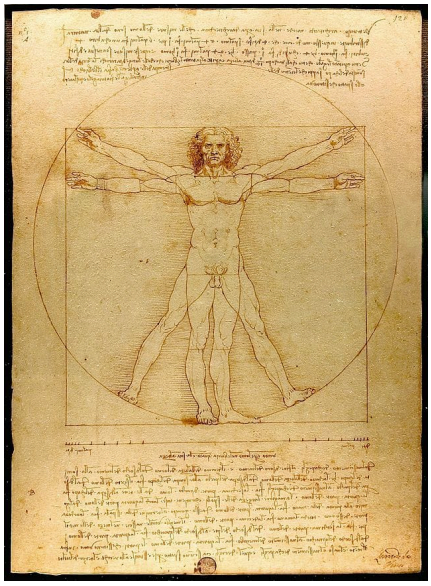


Figure 9.1.1: **Leonardo da Vinci’s Vitruvian Man:** Leonardo da Vinci’s Vitruvian Man shows clearly the effect writers of Antiquity had on Renaissance thinkers. Based on the specifications in Vitruvius’ De architectura (1st century BCE), Leonardo tried to draw the perfectly proportioned man.

Beginnings

Various theories have been proposed to account for the origins and characteristics of the Renaissance, focusing on a variety of factors, including the social and civic peculiarities of Florence at the time; its political structure; the patronage of its dominant family, the Medici; and the migration of Greek scholars and texts to Italy following the Fall of Constantinople at the hands of the Ottoman Turks.

Many argue that the ideas characterizing the Renaissance had their origin in late 13th-century Florence, in particular in the writings of Dante Alighieri (1265–1321) and Petrarch (1304–1374), as well as the paintings of Giotto di Bondone (1267–1337). Some writers date the Renaissance quite precisely; one proposed starting point is 1401, when the rival geniuses Lorenzo Ghiberti and Filippo Brunelleschi competed for the contract to build the bronze doors for the Baptistery of the Florence Cathedral (Ghiberti won). Others see more general competition between artists and polymaths such as Brunelleschi, Ghiberti, Donatello, and Masaccio for artistic commissions as sparking the creativity of the Renaissance. Yet it remains much debated why the Renaissance began in Italy, and why it began when it did. Accordingly, several theories have been put forward to explain its origins.

Historical Perspectives on the Renaissance

The Renaissance has a long and complex historiography, and in line with general skepticism of discrete periodizations there has been much debate among historians reacting to the 19th-century glorification of the Renaissance and individual culture heroes as “Renaissance men,” questioning the usefulness of “Renaissance” as a term and as a historical delineation.

Some observers have called into question whether the Renaissance was a cultural advance from the Middle Ages, seeing it instead as a period of pessimism and nostalgia for classical antiquity, while social and economic historians, especially of the longue durée (long-term) have focused on the continuity between the two eras, which are linked, as Panofsky observed, “by a thousand ties.”

The word “Renaissance,” whose literal translation from French into English is “Rebirth,” appears in English writing from the 1830s. The word occurs in Jules Michelet’s 1855 work, *Histoire de France*. The word “Renaissance” has also been extended to other historical and cultural movements, such as the Carolingian Renaissance and the Renaissance of the 12th century.

Video Title

The Renaissance: Was it a Thing? – Crash Course World History #22: European learning changed the world in the 15th and 16th centuries, but was it a cultural revolution, or an evolution? We’d argue that any cultural shift that occurs over a couple of hundred years isn’t too overwhelming to the people who live through it. In retrospect though, the cultural bloom in Europe during this time was pretty impressive.

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9.2: Key Characteristics of Art- Renaissance through Baroque

Identify and describe key characteristics and defining events that shaped art from the Renaissance through Baroque periods

Learning Activities

The learning activities for this section include:

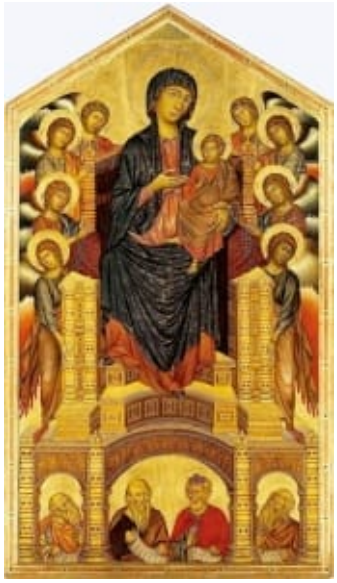
- Reading: Florence in the Trecento (1300s)
- Reading: Florence in the Early Renaissance
- Video: Linear Perspective: Brunelleschi's Experiment
- Video: How One-Point Linear Perspective Works
- Video: Rogier van der Weyden, Deposition, c. 1435
- Reading: Toward the High Renaissance
- Reading: 1500–1600 End of the Renaissance and the Reformation
- Reading: The Baroque: Art, Politics, and Religion in Seventeenth-Century Europe

Take time to review and reflect on each of these activities in order to improve your performance on the assessment for this section.

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9.3: Florence in the Trecento (1300s)



Cimabue, Santa Trinita Madonna (Madonna and Child Enthroned), 1280-90, tempera on panel (Galleria degli Uffizi, Florence)

A New Style Emerges

During the late thirteenth century, artists in a handful of Italian cities began to move away from the Italo-Byzantine style. The Roman artist Pietro Cavallini created frescoes and mosaics featuring solid, monumentalizing figures; the sculptor Nicola Pisano studied ancient Roman sculpture; Sienese artists seem to have broken new ground in exploring perspective.

Meanwhile, back in Florence, Cimabue's paintings showed more interest in depicting space and modeling figures with gradations of light and shade. These ideas spread as artists travelled throughout Italy and southern France in search of work, creating a network of artistic centers that all exerted influence on one another.



Figure 9.3.1: Giotto di Bondone, The Ognissanti Madonna, 1306-10, tempera on panel, 128 x 80 1/4″ or 325 x 204 cm (Galleria degli Uffizi, Florence)

Giotto

As the new century opened, the painter Giotto di Bondone observed many of these currents and forged them into something distinctively Florentine and enormously influential.

Where earlier works of art engage us with the embellished splendor of the heavenly, Giotto's paintings capture our attention by representing holy figures and stories as if in a majestic but earthly realm. Bold modeling of draperies and the bodies beneath them gives his figures greater volume and a sense of sculptural relief. Clever kinds of perspective create the illusion that a space is opening up in front of the viewer, as if we might be peering onto a stage.



Giotto, Meeting at the Golden Gate, Arena (Scrovegni) Chapel, Padua, c. 1305.

Perhaps just as importantly, Giotto was a master of visual storytelling – a skill evident in his most important surviving project, the frescoes in the Arena Chapel in Padua (c. 1305). Here the monumentality of the figures, the quiet dignity of their movements, and the way architectural and landscape settings seem to echo the action all conjure up a solemn aura of the sacred. Like many of the narrative paintings attributed to Giotto, the scenes use closely observed human gestures and careful composition to enhance the drama and emotion of the moment depicted.



Maso di Banco, Pope Sylvester's Miracle, c. 1340 (Bardi Chape, Santa Croce, Florence)

Art After Giotto

Giotto had an enormous workshop full of students and assistants, making it hard to tell which works he painted and which were by his pupils. Even more confusingly, his style was so immediately influential that it is still difficult to say who his formal students were. What we do know is that, in the years immediately after his death, the artists who were the most “Giottesque” received the lion’s share of the important commissions for new projects. The success of artists like Bernardo Daddi, Maso di Banco, and Taddeo Gaddi demonstrates that wealthy patrons were on board with Giotto’s new vision for art.

Sometime around mid-century, though, certain artists began to drift from the clear, spare art of Giotto’s school. Many experimented with visually crowded compositions or with complex subjects represented through elaborate symbols and schemes. Some even seem to have purposefully echoed the ornamental, formal art of the Italo-Byzantine period. This has led art historians to wonder whether these changes in style were caused by Florence’s collective despair after the outbreak of the bubonic plague—a sickness that wiped out over half the city’s population in one year alone (1348).



Andrea Bonaiuti, Triumph of St Thomas Aquinas, c. 1365-67, Guidalotti Chapel (Spanish Chapel) (Santa Maria Novella, Florence)

Most scholars now think the situation was more mixed than this theory might lead us to believe. In fact, late fourteenth-century art is hard to generalize. This is partly because no single workshop dominated the art of Florence as much as Giotto and his school had in previous decades. But it is also because artists of the time were skilled at adapting their own style to the specific tastes of each patron and to the context and function of each image.

Overall, however, Florentine art from 1348 to 1400 did not experience the same kind of major stylistic shift that characterized Giotto’s years on the scene. Rather, the fundamental influence of Giotto continued into the early 1400s. In the end, the long fourteenth century was Giotto’s century.

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9.4: Florence in the Early Renaissance

Introduction

The Renaissance really gets going in the early years of fifteenth-century in Florence. In this period, which we call the Early Renaissance, Florence is not a city in the unified country of Italy, as it is now. Instead, Italy was divided into many city-states (Florence, Milan, Venice etc.), each with their own form of government.



Figure 9.4.1: Map of Italy, 1494

Now, we normally think of a Republic as a government where everyone votes for representatives who will represent their interests to the government (remember the pledge of allegiance: “and to the republic for which it stands…”). However, Florence was a Republic in the sense that there was a constitution which limited the power of the nobility (as well as laborers) and ensured that no one person or group could have complete political control (so it was far from our ideal of everyone voting, in fact a very small percentage of the population had the vote). Political power resided in the hands of middle-class merchants, a few wealthy families (such as the Medici, important art patrons who would later rule Florence) and the powerful guilds.

Rebirth of the Renaissance

So, why did the extraordinary rebirth of the Renaissance begin in Florence?

There are several answers to that question: Extraordinary wealth accumulated in Florence during this period among a growing middle and upper class of merchants and bankers. With the accumulation of wealth often comes a desire to use it to enjoy the pleasures of life—and not an exclusive focus on the hereafter.
Florence saw itself as the ideal city state, a place where the freedom of the individual was guaranteed, and where many citizens had the right to participate in the government (this must have been very different than living in the Duchy of Milan, for example, which was ruled by a succession of Dukes with absolute power) In 1400 Florence was engaged in a struggle with the Duke of Milan. The Florentine people feared the loss of liberty and respect for individuals that was the pride of their Republic.

Luckily for Florence, the Duke of Milan caught the plague and died in 1402. Then, between 1408 and 1414 Florence was threatened once again, this time by the King of Naples, who also died before he could successfully conquer Florence. And in 1423 the Florentine people prepared for war against the son of the Duke of Milan who had threatened them earlier. Again, luckily for Florence, the Duke was defeated in 1425. The Florentine citizens interpreted these military “victories” as signs of God’s favor and protection. They imagined themselves as the “New Rome”—in other words, as the heirs to the Ancient Roman Republic, prepared to sacrifice for the cause of freedom and liberty.

Important! The Florentine people were very proud of their form of government in the early 15th century (as we are of our democracy). A republic is, after all, a place that respects the opinions of individuals, and we know that individualism was a very important part of the Humanism that thrived in Florence in the fifteenth century.

Video Title

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9.5: Toward the High Renaissance

The High Renaissance is just that—the height of the Renaissance! When you think of the Renaissance, the names that come to mind are probably the artists of this period: Leonardo and Michelangelo, for instance. When many people think of the greatest work of art in the Western world, they think of Michelangelo's *Sistine Ceiling*. This is a period of big, ambitious projects.



Fra Filippo Lippi, Madonna and Child with Two Angels, tempera on wood, ca. 1455–1466 (Galleria degli Uffizi, Florence)

What exactly is the High Renaissance, and how is it different from the Early Renaissance?

As the humanism of the Early Renaissance grows, a problem begins to develop. Have a look again at Fra Filippo Lippi's *Madonna and Child with Angels*. We see in this painting an image of the Madonna and Christ Child that has become so real, the figures so human, that we can hardly tell that these are spiritual figures (except for the faint shadow of a halo). On the other hand, as we have seen in the Middle Ages, if you want to make your figure spiritual then you sacrifice its realism.

It's almost as if there is this feeling in the Early Renaissance that if you want to be spiritual, then your painting can't look real, and if you want it to be real, then it loses some spirituality. It has to be one or the other. Well, Leonardo da Vinci comes along, and basically says—you don't have to make that choice. It's not either/or. Leonardo is able to create figures that are physical and real—just as real as Lippi's or Masaccio's figures and yet they have an undeniable and intense spirituality at the same time. So we can say that Leonardo unites the real and spiritual, or soul and substance.

The best way to see this is in this painting by Verrocchio, to whom Leonardo was apprenticed when he was young.



Andrea del Verrocchio (with Leonardo), Baptism of Christ, 1470-75, oil and tempera on panel, 70 3/4 x 59 3/4 inches or 180 x 152 cm (Galleria degli Uffizi, Florence)

Verocchio asked Leonardo to paint one of the angels in his painting of the *Baptism of Christ*, which we see here. Can you tell which angel is Leonardo's?

One angel should look more like a boy—that's the Early Renaissance angel (the one painted by Verrocchio) and the other angel should look like a High Renaissance angel, like a spiritual figure—truly like an angel sent by God from heaven (that's Leonardo's angel).

Can you tell which one is by Leonardo? Take a minute and look closely.



Detail. Andrea del Verrocchio (with Leonardo), Baptism of Christ, 1470-75, oil and tempera on panel, 70 3/4 x 59 3/4 inches or 180 x 152 cm (Galleria degli Uffizi, Florence)

(Answer: the angel on the left)

Leonardo's angel is ideally beautiful and moves in a graceful and complex way, twisting to the left but raising her head up and to

the right. Figures that are elegant and ideally beautiful are a key characteristic of the High Renaissance.

Leonardo da Vinci

Leonardo's Early Life and Training

Leonardo was born illegitimate to a prominent Tuscan family of potters and notaries. He may have traveled from Vinci to Florence where his father worked for several powerful families including the Medici. At age seventeen, Leonardo reportedly apprenticed with the Florentine artist Verrocchio. Here, Leonardo gained an appreciation for the achievements of Giotto and Masaccio and in 1472 he joined the artists' guild, Compagnia di San Luca. Because of his family's ties, Leonardo benefited when Lorenzo de' Medici (the Magnificent) ruled Florence. By 1478 Leonardo was completely independent of Verrocchio and may have then met the exiled Ludovico Sforza, the future Duke of Milan, who would later commission the Last Supper.

Leonardo in Milan

Four years later, Leonardo arrived in Milan bearing a silver lyre (which he may have been able to play), a gift for the regent Ludovico from the Florentine ruler, Lorenzo the Magnificent. Ludovico sought to transform Milan into a center of humanist learning to rival Florence.

Leonardo flourished in this intellectual environment. He opened a studio, received numerous commissions, instructed students, and began to systematically record his scientific and artistic investigations in a series of notebooks. The archetypal "renaissance man," Leonardo was an unrivaled painter, an accomplished architect, an engineer, cartographer, and scientist (he was particularly interested in biology and physics). He was influenced by a variety of ancient texts including Plato's Timaeus, Ptolemy's Cosmography, and Vitruvius's On Architecture. Leonardo is credited with having assisted Luca Pacioli with his treatise, Divina Proportione (1509). Joining the practical and the theoretical, Leonardo designed numerous mechanical devices for battle, including a submarine, and even experimented with designs for flight.

In a now famous letter, Leonardo listed his talents to the Duke, focusing mostly on his abilities as a military engineer. The letter begins:

Having until now sufficiently studied and examined the experiments of all those who claim to be experts and inventors of war machines, and having found that their machines do not differ in the least from those ordinarily in use, I shall make so bold, without wanting to cause harm to anyone, as to address myself to Your Excellency to divulge my secrets to him, and offer to demonstrate to him, at his pleasure, all the things briefly enumerated below.

In ten short paragraphs, Leonardo enumerated the service he could perform for the Duke — he said (among other things) that he could build bridges, tunnels, fortresses, and "make siege guns, mortars and other machines, of beautiful and practical shape, completely different from what is generally in use."

What might seem amazing to us is that it is not until the very last paragraph that Leonardo mentions art, and he mentions it so modestly! Here is what he wrote:

In time of peace, I believe I am capable of giving you as much satisfaction as anyone, whether it be in architecture, for the construction of public or private buildings, or in bringing water from one place to another. Item, I can sculpt in marble, bronze or terracotta; while in painting, my work is the equal of anyone's.

Return to Florence, Then France

In 1489, Leonardo secured a long awaited contract with Ludovico and was honored with the title, "The Florentine Apelles," a reference to an ancient Greek painter revered for his great naturalism. Leonardo returned to Florence when Ludovico was deposed by the French King, Charles VII. While there, Leonardo would meet the Niccolò Machiavelli, author of The Prince and his future patron, François I. In 1516, after numerous invitations, Leonardo traveled to France and joined the royal court. Leonardo died on May 2, 1519 in the king's chateau at Cloux.

Leonardo's Death and the Changing Status of the Artist

Finally, having grown old, he remained ill many months, and, feeling himself near to death, asked to have himself diligently informed of the teaching of the Catholic faith, and of the good way and holy Christian religion; and then, with many moans, he confessed and was penitent; and although he could not raise himself well on his feet, supporting himself on the arms of his friends and servants, he was pleased to take devoutly the most holy Sacrament, out of his bed. The King, who was wont often and lovingly to visit him, then came into the room; wherefore he, out of reverence, having raised himself to sit upon the bed, giving him an account of his sickness and the circumstances of it, showed withal how much he had offended God and mankind in not having worked at his art as he should have done. Thereupon he was seized by a paroxysm, the messenger of death; for which reason the King having risen and having taken his head, in order to assist him and show him favour, to then end that he might alleviate his pain, his spirit, which was divine, knowing that it could not have any greater honour, expired in the arms of the King. (Vasari)

This story is a good indication of the changing status of the artist. Leonardo, who spent the last years of his life in France working for King Francis I, was often visited by the King! Remember that the artist was considered only a skilled artisan in the Middle Ages and for much of the Early Renaissance.

In the High Renaissance, beginning with Leonardo, we find that artists are considered intellectuals, and that they keep company with the highest levels of society. Quite a change! All of this has to do with Humanism in the Renaissance of course, and the growing recognition of the achievement of great individuals (something virtually unheard of in the Middle Ages!). Artists in the Early Renaissance insisted that they should in fact be considered intellectuals because they worked with their brains as well as with their hands. They defended this position by pointing to the scientific tools that they used to make their work more naturalistic (scientific naturalism): the study of human anatomy, of mathematics and geometry, of linear perspective. These were clearly all intellectual pursuits!



Leonardo da Vinci, Self-Portrait

Look closely at this self-portrait. Isn't it clear that Leonardo thought of himself as a thinker, a philosopher, an intellectual?

Leonardo's Naturalism

Ancient Greek physicians dissected cadavers. The early church's rejection of the science of the classical world, along with the possibility of bodily resurrection led to prohibitions against dissection. Both Leonardo and Michelangelo performed them — probably exclusively on the bodies of executed criminals. According to his own count, Leonardo dissected 30 corpses during his lifetime.



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9.6: 1500–1600 End of the Renaissance and the Reformation



Frans Hogenberg, Iconoclasm 1566, 1566-70

A Challenge to the Church in Rome

In art history, the sixteenth century sees the styles we call the High Renaissance followed by Mannerism, and—at the end of the century—the emergence of the Baroque style. Naturally, these styles are all shaped by historical forces, the most significant being the Protestant Reformation's successful challenge to the spiritual and political power of the Church in Rome. For the history of art this has particular significance since the use (and abuse) of images was the topic of debate. In fact, many images were attacked destroyed during this period, a phenomenon called iconoclasm.

The Protestant Reformation

Today there many types of Protestant Churches. For example, Baptist is currently the largest denomination in the United States but there are many dozens more. How did this happen? Where did they all begin? To understand the Protestant Reform movement, we need to go back in history to the early 16th century when there was only one church in Western Europe—what we would now call the Roman Catholic Church—under the leadership of the Pope in Rome. Today, we call this "Roman Catholic" because there are so many other types of churches (ie Methodist, Baptist, Lutheran, Calvinist, Anglican—you get the idea).

The Church and the State

So, if we go back to the year 1500, the Church (what we now call the Roman Catholic Church) was very powerful (politically and spiritually) in Western Europe (and in fact ruled over significant territory in Italy called the Papal States). But there were other political forces at work too. There was the Holy Roman Empire (largely made up of German speaking regions ruled by princes, dukes and electors), the Italian city-states, England, as well as the increasingly unified nation states of France and Spain (among others). The power of the rulers of these areas had increased in the previous century and many were anxious to take the opportunity offered by the Reformation to weaken the power of the papacy (the office of the Pope) and increase their own power in relation to the Church in Rome and other rulers.

Keep in mind too, that for some time the church had been seen as an institution plagued by internal power struggles (at one point in the late 1300s and 1400s church was ruled by three Popes simultaneously). Popes and Cardinals often lived more like Kings than spiritual leaders. Popes claimed temporal (political) as well as spiritual power. They commanded armies, made political alliances and enemies, and, sometimes, even waged war. Simony (the selling of church offices) and nepotism (favoritism based

on family relationships) were rampant. Clearly, if the Pope was concentrating on these worldly issues, there wasn't as much time left for caring for the souls of the faithful. The corruption of the Church was well known, and several attempts had been made to reform the Church (notably by John Wyclif and Jan Hus), but none of these efforts was successfully challenged Church practice until Martin Luther's actions in the early 1500s.



Lucas Cranach the Elder, Martin Luther, Bust in Three-Quarter View, 1520 (The Museum of Fine Arts, Houston)

Martin Luther

Martin Luther was a German monk and Professor of Theology at the University of Wittenberg. Luther sparked the Reformation in 1517 by posting, at least according to tradition, his "95 Theses" on the door of the Castle Church in Wittenberg, Germany—these theses were a list of statements that expressed Luther's concerns about certain Church practices—largely the sale of indulgences, but they were based on Luther's deeper concerns with church doctrine. Before we go on, notice that Protestant contains the word "protest" and that reformation contains the word "reform" —this was an effort, at least at first, to protest some practices of the Catholic Church and to reform that Church.

Indulgences

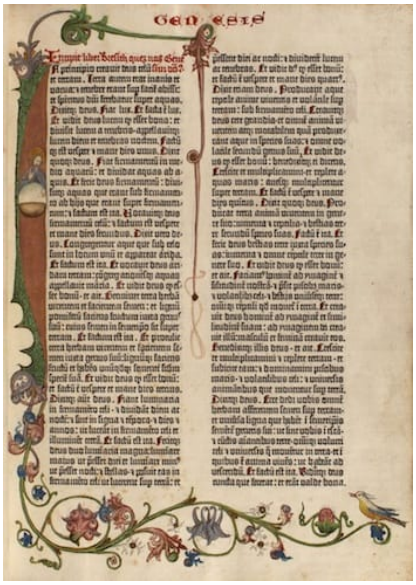
The sale of indulgences was a practice where the church acknowledged a donation or other charitable work with a piece of paper (an indulgence), that certified that your soul would enter heaven more quickly by reducing your time in purgatory. If you committed no serious sins that guaranteed your place in hell, and you died before repenting and atoning for all of your sins, then your soul went to Purgatory—a kind of way-station where you finished atoning for your sins before being allowed to enter heaven.

Pope Leo X had granted indulgences to raise money for the rebuilding of St. Peter's Basilica in Rome. These indulgences were being sold by Johann Tetzel not far from Wittenberg, where Luther was Professor of Theology. Luther was gravely concerned about the way in which getting into heaven was connected with a financial transaction. But the sale of indulgences was not Luther's only disagreement with the institution of the Church.

Faith Alone

Martin ⟐Luther was very devout and had experienced a spiritual crisis. He concluded that no matter how "good" he tried to be, no matter how he tried to stay away from sin, he still found himself having sinful thoughts. He was fearful that no matter how many good works he did, he could never do enough to earn his place in heaven (remember that, according to the Catholic Church, doing good works, for example commissioning works of art for the Church, helped one gain entrance to heaven). This was a profound recognition of the inescapable sinfulness of the human condition. After all, no matter how kind and good we try to be, we all find ourselves having thoughts which are unkind and sometimes much worse. Luther found a way out of this problem when he read St. Paul, who wrote "The just shall live by faith" (Romans 1:17). Luther understood this to mean that those who go to heaven (the just)

will get there by faith alone—not by doing good works. In other words, God's grace is something freely given to human beings, not something we can earn. For the Catholic Church on the other hand, human beings, through good works, had some agency in their salvation.



Gutenberg Bible (British Museum)

Scripture Alone

Luther (and other reformers) turned to the Bible as the only reliable source of instruction (as opposed to the teachings of the Church).

The invention of the printing press in the middle of the 15th century (by Gutenberg in Mainz, Germany) together with the translation of the Bible into the vernacular (the common languages of French, Italian, German, English, etc.) meant that it was possible for those that could read to learn directly from Bible without having to rely on a priest or other church officials. Before this time, the Bible was available in Latin, the ancient language of Rome spoken chiefly by the clergy. Before the printing press, books were handmade and extremely expensive. The invention of the printing press and the translation of the bible into the vernacular meant that for the first time in history, the Bible was available to those outside of the Church. And now, a direct relationship to God, unmediated by the institution of the Catholic Church, was possible.

When Luther and other reformers looked to the words of the Bible (and there were efforts at improving the accuracy of these new translations based on early Greek manuscripts), they found that many of the practices and teachings of the Church about how we achieve salvation didn't match Christ's teaching. This included many of the Sacraments, including Holy Communion (also known as the Eucharist). According to the Catholic Church, the miracle of Communion is ⟐transubstantiation—when the priest administers the bread and wine, they change (the prefix "trans" means to change) their substance into the body and blood of Christ. Luther denied that anything changed during Holy Communion. Luther thereby challenged one of the central sacraments of the Catholic Church, one of its central miracles, and thereby one of the ways that human beings can achieve grace with God, or salvation.

The Counter-Reformation

The Church initially ignored Martin Luther, but Luther's ideas (and variations of them, including Calvinism) quickly spread throughout Europe. He was asked to recant (to disavow) his writings at the Diet of Worms (an unfortunate name for a council held by the Holy Roman Emperor in the German city of Worms). When Luther refused, he was excommunicated (in other words, expelled from the church). The Church's response to the threat from Luther and others during this period is called the Counter-Reformation ("counter" meaning against).

The Council of Trent

In 1545 the Church opened the Council of Trent to deal with the issues raised by Luther. The Council of Trent was an assembly of high officials in the Church who met (on and off for eighteen years) principally in the Northern Italian town of Trent for 25 sessions.

Selected Outcomes of the Council of Trent:

1. The Council denied the Lutheran idea of justification by faith. They affirmed, in other words, their Doctrine of Merit, which allows human beings to redeem themselves through Good Works, and through the sacraments.
2. They affirmed the existence of Purgatory and the usefulness of prayer and indulgences in shortening a person's stay in purgatory.
3. They reaffirmed the belief in transubstantiation and the importance of all seven sacraments
4. They reaffirmed the authority of both scripture the teachings and traditions of the Church
5. They reaffirmed the necessity and correctness of religious art (see below)



Session of the Council of Trent in Matthias Burglechner, "Tyrolischer Adler," vol.IX

The Council of Trent on Religious Art

At the Council of Trent, the Church also reaffirmed the usefulness of images—but indicated that church officials should be careful to promote the correct use of images and guard against the possibility of idolatry. The council decreed that images are useful "because the honour which is shown them is referred to the prototypes which those images represent" (in other words, through the images we honor the holy figures depicted). And they listed another reason images were useful, "because the miracles which God has performed by means of the saints, and their salutary examples, are set before the eyes of the faithful; that so they may give God thanks for those things; may order their own lives and manners in imitation of the saints; and may be excited to adore and love God, and to cultivate piety."

Violence

The Reformation was a very violent period in Europe, even family members were often pitted against one another in the wars of religion. Each side, both Catholics and Protestants, were often absolutely certain that they were in the right and that the other side was doing the devil's work.

The artists of this period—Michelangelo in Rome, Titian in Venice, Durer in Nuremberg, Cranach in Saxony—were impacted by these changes since the Church had been the single largest patron for artists. And now art was now being scrutinized in an entirely new way. The Catholic Church was looking to see if art communicated the stories of the Bible effectively and clearly (see

Veronese's Feast in the House of Levi for more on this). Protestants on the other hand, for the most part lost the patronage of the Church and religious images (sculptures, paintings, stained glass windows etc) were destroyed in iconoclastic riots.

Other Developments

It is also during this period that the Scientific Revolution gained momentum and observation of the natural world replaced religious doctrine as the source of our understanding of the universe and our place in it. Copernicus up-ended the ancient Greek model of the heavens by suggesting that the sun was at the center of the solar system and that the planets orbited around it.

At the same time, exploration, colonization and (the often forced) Christianization of what Europe called the "new world" continued. By the end of the century, the world of the Europeans was a lot bigger and opinions about that world were more varied and more uncertain than they had been for centuries.

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9.7: Video- Linear Perspective- Brunelleschi's Experiement

Video Title

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9.8: Video- How One-Point Linear Perspective Works

Video Title

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9.9: Video- Rogier van der Weyden, Deposition, c. 1435

Video Title

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9.10: Humanist Thought

Petrarch

Petrarch is often called the “Father of Humanism,” both for his discovery of important classical texts and his personal commitment to the way of life found in ancient literature and philosophy.

LEARNING OBJECTIVES

- Explain Petrarch’s contributions to the Renaissance

KEY TAKEAWAYS

Key Points

- Petrarch is traditionally called the “Father of Humanism,” both for his influential philosophical attitudes, found in his numerous personal letters, and his discovery and compilation of classical texts.
- Petrarch was born in the Tuscan city of Arezzo in 1304, and spent his early childhood near Florence, but his family moved to Avignon to follow Pope Clement V, who moved there in 1309 to begin the Avignon Papacy.
- He traveled widely in Europe and, during his travels, collected crumbling Latin manuscripts, whose discovery, especially Cicero ‘s letters, helped spark the Renaissance.
- A highly introspective man, he shaped the nascent Humanist movement a great deal because many of the internal conflicts and musings expressed in his writings were seized upon by Renaissance Humanist philosophers and argued continually for the next 200 years.

Key Terms

- **Dark Ages**: An imprecise term of historical periodization that was once used to refer to the Middle Ages but is latterly most commonly used in relation to the early medieval period, i.e., the centuries following the collapse of the Western Roman Empire; the term was coined by Petrarch.
- **Humanism**: The study of classical antiquity, at first in Italy and then spreading across Western Europe in the 14th, 15th, and 16th centuries.
- **Avignon Papacy**: The period from 1309 to 1377, during which seven successive popes resided in Avignon, France.

Overview

Francesco Petrarca (July 20, 1304–July 19, 1374), commonly anglicized as Petrarch, was an Italian scholar and poet in Renaissance Italy, and one of the earliest Humanists. Petrarch’s rediscovery of Cicero’s letters is often credited for initiating the 14th-century Renaissance. Petrarch is often considered the founder of Humanism. Petrarch’s sonnets were admired and imitated throughout Europe during the Renaissance and became a model for lyrical poetry. In the 16th century, Pietro Bembo created the model for the modern Italian language based on Petrarch’s works.

Petrarch was born in the Tuscan city of Arezzo in 1304. Petrarch spent his early childhood in the village of Incisa, near Florence. He spent much of his early life at Avignon and nearby Carpentras, where his family moved to follow Pope Clement V, who moved there in 1309 to begin the Avignon Papacy. Petrarch studied law at the University of Montpellier (1316–1320) and the University of Bologna (1320–23); because his father was in the profession of law he insisted that Petrarch and his brother study law also. Petrarch, however, was primarily interested in writing and Latin literature, and considered these seven years wasted.

He traveled widely in Europe, served as an ambassador, and has been called “the first tourist” because he traveled just for pleasure. During his travels, he collected crumbling Latin manuscripts and was a prime mover in the recovery of knowledge from writers of Rome and Greece. He encouraged and advised Leontius Pilatus’s translation of Homer from a manuscript purchased by Boccaccio, although he was severely critical of the result. In 1345 he personally discovered a collection of Cicero’s letters not

previously known to have existed, the collection *ad Atticum*.

Disdaining what he believed to be the ignorance of the centuries preceding the era in which he lived, Petrarch is credited or charged with creating the concept of a historical "Dark Ages."



Francesco Petrarca: Statue of Petrarch on the Uffizi Palace, in Florence.

Father of Humanism

Petrarch is traditionally called the "Father of Humanism," and considered by many to more generally be the "Father of the Renaissance." This honorific is so given both for his influential philosophical attitudes, found in his numerous personal letters, and his discovery and compilation of classical texts.

In his work *Secretum meum* he points out that secular achievements did not necessarily preclude an authentic relationship with God. Petrarch argued instead that God had given humans their vast intellectual and creative potential to be used to their fullest. He inspired Humanist philosophy, which led to the intellectual flowering of the Renaissance. He believed in the immense moral and practical value of the study of ancient history and literature—that is, the study of human thought and action. Petrarch was a devout Catholic and did not see a conflict between realizing humanity's potential and having religious faith.

A highly introspective man, he shaped the nascent Humanist movement a great deal, because many of the internal conflicts and musings expressed in his writings were seized upon by Renaissance Humanist philosophers and argued continually for the next 200 years. For example, Petrarch struggled with the proper relation between the active and contemplative life, and tended to emphasize the importance of solitude and study. In a clear disagreement with Dante, in 1346 Petrarch argued in his *De vita solitaria* that Pope Celestine V's refusal of the papacy in 1294 was a virtuous example of solitary life. Later, the politician and thinker Leonardo Bruni argued for the active life, or "civic humanism." As a result, a number of political, military, and religious leaders during the Renaissance were inculcated with the notion that their pursuit of personal fulfillment should be grounded in classical example and philosophical contemplation.

Humanism

Humanism was an intellectual movement embraced by scholars, writers, and civic leaders in 14th century Italy.

LEARNING OBJECTIVES

- Assess how Humanism gave rise to the art of the Renasissance

KEY TAKEAWAYS

Key Points

- Humanists reacted against the utilitarian approach to education, seeking to create a citizenry who were able to speak and write with eloquence and thus able to engage the civic life of their communities.
- The movement was largely founded on the ideals of Italian scholar and poet Francesco Petrarca, which were often centered around humanity's potential for achievement.
- While Humanism initially began as a predominantly literary movement, its influence quickly pervaded the general culture of the time, reintroducing classical Greek and Roman art forms and leading to the Renaissance.
- Donatello became renowned as the greatest sculptor of the Early Renaissance, known especially for his Humanist, and unusually erotic, statue of David.
- While medieval society viewed artists as servants and craftspeople, Renaissance artists were trained intellectuals, and their art reflected this newfound point of view.
- In humanist painting, the treatment of the elements of perspective and depiction of light became of particular concern.

Key Terms

- **High Renaissance**: The period in art history denoting the apogee of the visual arts in the Italian Renaissance. The High Renaissance period is traditionally thought to have begun in the 1490s—with Leonardo's fresco of The Last Supper in Milan and the death of Lorenzo de' Medici in Florence—and to have ended in 1527, with the Sack of Rome by the troops of Charles V.

Overview

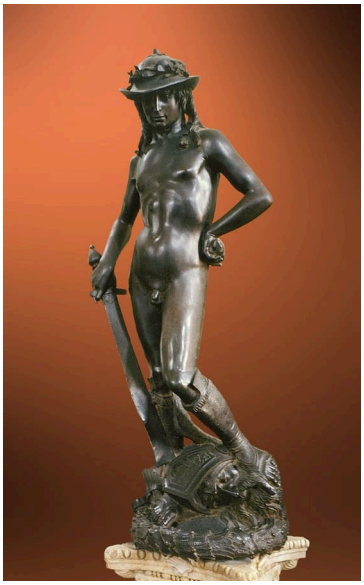
Humanism, also known as Renaissance Humanism, was an intellectual movement embraced by scholars, writers, and civic leaders in 14th- and early-15th-century Italy. The movement developed in response to the medieval scholastic conventions in education at the time, which emphasized practical, pre-professional, and scientific studies engaged in solely for job preparation, and typically by men alone. Humanists reacted against this utilitarian approach, seeking to create a citizenry who were able to speak and write with eloquence and thus able to engage the civic life of their communities. This was to be accomplished through the study of the "*studia humanitatis*," known today as the humanities: grammar, rhetoric, history, poetry, and moral philosophy. Humanism introduced a program to revive the cultural—and particularly the literary—legacy and moral philosophy of classical antiquity. The movement was largely founded on the ideals of Italian scholar and poet Francesco Petrarca, which were often centered around humanity's potential for achievement.

While Humanism initially began as a predominantly literary movement, its influence quickly pervaded the general culture of the time, re-introducing classical Greek and Roman art forms and contributing to the development of the Renaissance. Humanists considered the ancient world to be the pinnacle of human achievement, and thought its accomplishments should serve as the model for contemporary Europe. There were important centers of Humanism in Florence, Naples, Rome, Venice, Genoa, Mantua, Ferrara, and Urbino.

Humanism was an optimistic philosophy that saw man as a rational and sentient being, with the ability to decide and think for himself. It saw man as inherently good by nature, which was in tension with the Christian view of man as the original sinner needing redemption. It provoked fresh insight into the nature of reality, questioning beyond God and spirituality, and provided knowledge about history beyond Christian history.

Humanist Art

Renaissance Humanists saw no conflict between their study of the Ancients and Christianity. The lack of perceived conflict allowed Early Renaissance artists to combine classical forms, classical themes, and Christian theology freely. Early Renaissance sculpture is a great vehicle to explore the emerging Renaissance style. The leading artists of this medium were Donatello, Filippo Brunelleschi, and Lorenzo Ghiberti. Donatello became renowned as the greatest sculptor of the Early Renaissance, known especially for his classical, and unusually erotic, statue of David, which became one of the icons of the Florentine republic.



Donatello's David: Donatello's David is regarded as an iconic Humanist work of art.

Humanism affected the artistic community and how artists were perceived. While medieval society viewed artists as servants and craftspeople, Renaissance artists were trained intellectuals, and their art reflected this newfound point of view. Patronage of the arts became an important activity, and commissions included secular subject matter as well as religious. Important patrons, such as Cosimo de' Medici, emerged and contributed largely to the expanding artistic production of the time.

In painting, the treatment of the elements of perspective and light became of particular concern. Paolo Uccello, for example, who is best known for "The Battle of San Romano," was obsessed by his interest in perspective, and would stay up all night in his study trying to grasp the exact vanishing point. He used perspective in order to create a feeling of depth in his paintings. In addition, the use of oil paint had its beginnings in the early part of the 16th century, and its use continued to be explored extensively throughout the High Renaissance.



"The Battle of San Romano" by Paolo Uccello: Italian Humanist paintings were largely concerned with the depiction of perspective and light.

Origins

Some of the first Humanists were great collectors of antique manuscripts, including Petrarch, Giovanni Boccaccio, Coluccio Salutati, and Poggio Bracciolini. Of the three, Petrarch was dubbed the "Father of Humanism" because of his devotion to Greek and Roman scrolls. Many worked for the organized church and were in holy orders (like Petrarch), while others were lawyers and

chancellors of Italian cities (such as Petrarch's disciple Salutati, the Chancellor of Florence) and thus had access to book-copying workshops.

In Italy, the Humanist educational program won rapid acceptance and, by the mid-15th century, many of the upper classes had received Humanist educations, possibly in addition to traditional scholastic ones. Some of the highest officials of the church were Humanists with the resources to amass important libraries. Such was Cardinal Basilios Bessarion, a convert to the Latin church from Greek Orthodoxy, who was considered for the papacy and was one of the most learned scholars of his time.

Following the Crusader sacking of Constantinople and the end of the Byzantine Empire in 1453, the migration of Byzantine Greek scholars and émigrés, who had greater familiarity with ancient languages and works, furthered the revival of Greek and Roman literature and science.

Education and Humanism

Humanism played a major role in education during the Renaissance, with the goal of cultivating the moral and intellectual character of citizens.

LEARNING OBJECTIVES

- Define Humanism and its goals as a movement in education

KEY TAKEAWAYS

Key Points

- The Humanists of the Renaissance created schools to teach their ideas and wrote books all about education.
- One of the most profound and important schools was established and created by Vittorino da Feltre in 1423 in Mantua to provide the children of the ruler of Mantua with a Humanist education.
- Humanists sought to create a citizenry able to speak and write with eloquence and clarity, thus capable of engaging in the civic life of their communities and persuading others to virtuous and prudent actions.
- Humanist schools combined Christianity and classical texts to produce a model of education for all of Europe.

Key Terms

- **Humanism**: A cultural and intellectual movement in 14th–16th century Europe characterized by attention to Classical culture and a promotion of vernacular texts, notably during the Renaissance.
- **Vittorino da Feltre**: An Italian humanist and teacher who started an important humanist school in Mantua.
- **Liberal arts**: Those areas of learning that require and cultivate general intellectual ability rather than technical skills; the humanities.
- **Cicero**: A Roman philosopher, politician, lawyer, orator, political theorist, consul, and constitutionalist who lived from 106–43 BCE.

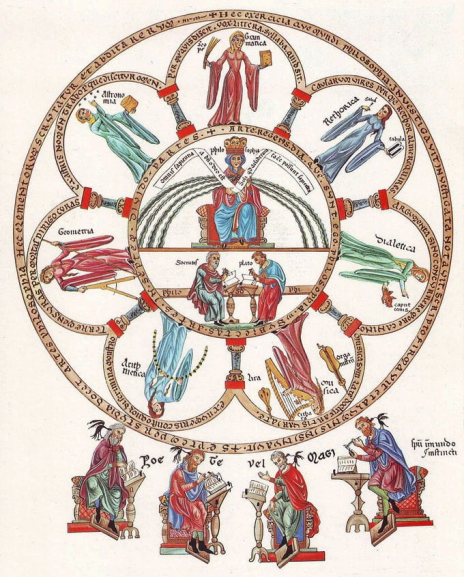
Overview

During the Renaissance, Humanism played a major role in education. Humanists —proponents or practitioners of Humanism during the Renaissance—believed that human beings could be dramatically changed by education. The Humanists of the Renaissance created schools to teach their ideas and wrote books all about education. Humanists sought to create a citizenry able to speak and write with eloquence and clarity, thus capable of engaging in the civic life of their communities and persuading others to virtuous and prudent actions. This was to be accomplished through the study of the humanities: grammar, rhetoric, history, poetry, and moral philosophy.

The Humanists believed that it was important to transcend to the afterlife with a perfect mind and body, which could be attained with education. The purpose of Humanism was to create a universal man whose person combined intellectual and physical excellence and who was capable of functioning honorably in virtually any situation. This ideology was referred to as the *uomo universale*, an ancient Greco-Roman ideal. Education during the Renaissance was mainly composed of ancient literature and

history, as it was thought that the classics provided moral instruction and an intensive understanding of human behavior.

The educational curriculum of Humanism spread throughout Europe during the 16th century and became the educational foundation for the schooling of European elites, the functionaries of political administration, the clergy of the various legally recognized churches, and the learned professionals of law and medicine.



Philosophia et septem artes liberales

A painting symbolizing the liberal arts, depicting individuals representing the seven areas of liberal arts study, all circling around Plato and Socrates.

Humanist Schools

One of the most important Humanist schools was established by Vittorino da Feltre in 1423. The school was in Mantua, which is a small Italian state. The ruler of Mantua had always wanted to provide a Humanist education for his children, and the school was a way to help him.

Most of Feltre's ideas were based on those of previous classical authors, such as Cicero and Quintilian. The main foundation of the school was liberal studies. Liberal arts were viewed as the key to freedom, which allowed humans to achieve their goals and reach their full potential. Liberal studies included philosophy, history, rhetoric, letters, mathematics, poetry, music, and astronomy. Based on the Greek idea of a "sound mind," the school in Mantua offered physical education as well. This included archery, dance, hunting, and swimming.

The children that attended the schools were generally from upper-class families, though some seats were reserved for poor but talented students. Females were not usually allowed to attend, but were encouraged to know history, learn dance, and appreciate poetry. Some important females that were educated during the Renaissance were Isotta Nogarola, Cassandra Fedele of Venice, and Laura Cereta.

Overall, Humanist education was thought at the time to be an important factor in the preparation of life. Its main goal was to improve the lives of citizens and help their communities. Humanist schools combined Christianity and the classics to produce a model of education for all of Europe.



Laura Cereta: Laura Cereta (1469–1499) was a Renaissance Humanist and feminist. Most of her writing was in the form of letters to other intellectuals.

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9.11: Art in the Renaissance

The Italian Renaissance

LEARNING OBJECTIVES

- The art of the Italian Renaissance was influential throughout Europe for centuries.

KEY TAKEAWAYS

Key Points

- The Florence school of painting became the dominant style during the Renaissance. Renaissance artworks depicted more secular subject matter than previous artistic movements.
- Michelangelo, da Vinci, and Rafael are among the best known painters of the High Renaissance.
- The High Renaissance was followed by the Mannerist movement, known for elongated figures.

Key Terms

- **fresco**: A type of wall painting in which color pigments are mixed with water and applied to wet plaster. As the plaster and pigments dry, they fuse together and the painting becomes a part of the wall itself.
- **Mannerism**: A style of art developed at the end of the High Renaissance, characterized by the deliberate distortion and exaggeration of perspective, especially the elongation of figures.

The Renaissance began during the 14th century and remained the dominate style in Italy, and in much of Europe, until the 16th century. The term “renaissance” was developed during the 19th century in order to describe this period of time and its accompanying artistic style. However, people who were living during the Renaissance did see themselves as different from their Medieval predecessors. Through a variety of texts that survive, we know that people living during the Renaissance saw themselves as different largely because they were deliberately trying to imitate the Ancients in art and architecture.

Florence and the Renaissance

When you hear the term “Renaissance” and picture a style of art, you are probably picturing the Renaissance style that was developed in Florence, which became the dominate style of art during the Renaissance. During the Middle Ages and the Renaissance, Italy was divided into a number of different city states. Each city state had its own government, culture, economy, and artistic style. There were many different styles of art and architecture that were developed in Italy during the Renaissance. Siena, which was a political ally of France, for example, retained a Gothic element to its art for much of the Renaissance.

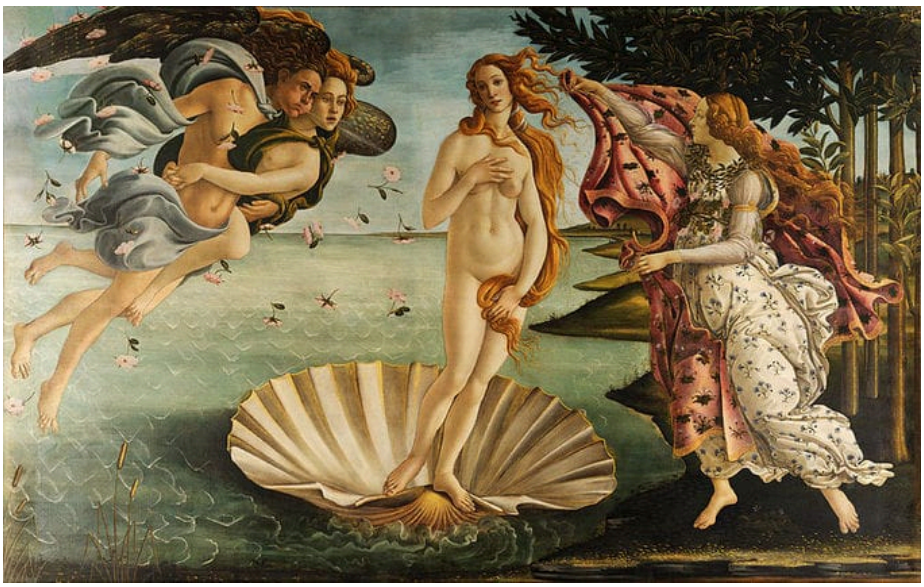
Certain conditions aided the development of the Renaissance style in Florence during this time period. In the 15th century, Florence became a major mercantile center. The production of cloth drove their economy and a merchant class emerged. Humanism, which had developed during the 14th century, remained an important intellectual movement that impacted art production as well.

Early Renaissance

During the Early Renaissance, artists began to reject the Byzantine style of religious painting and strove to create realism in their depiction of the human form and space. This aim toward realism began with Cimabue and Giotto, and reached its peak in the art of the “Perfect” artists, such as Andrea Mantegna and Paolo Uccello, who created works that employed one point perspective and played with perspective for their educated, art knowledgeable viewer.

During the Early Renaissance we also see important developments in subject matter, in addition to style. While religion was

an important element in the daily life of people living during the Renaissance, and remained a driving factor behind artistic production, we also see a new avenue open to panting—mythological subject matter. Many scholars point to Botticelli's *Birth of Venus* as the very first panel painting of a mythological scene. While the tradition itself likely arose from cassone painting, which typically featured scenes from mythology and romantic texts, the development of mythological panel painting would open a world for artistic patronage, production, and themes.



Birth of Venus: Botticelli's Birth of Venus was among the most important works of the early Renaissance.

High Renaissance

The period known as the High Renaissance represents the culmination of the goals of the Early Renaissance, namely the realistic representation of figures in space rendered with credible motion and in an appropriately decorous style. The most well known artists from this phase are Leonardo da Vinci, Raphael, Titian, and Michelangelo. Their paintings and frescoes are among the most widely known works of art in the world. Da Vinci's *Last Supper*, Raphael's *The School of Athens* and Michelangelo's Sistine Chapel Ceiling paintings are the masterpieces of this period and embody the elements of the High Renaissance.



Marriage of the Virgin, by Raphael: The painting depicts a marriage ceremony between Mary and Joseph.

Mannerism

High Renaissance painting evolved into Mannerism in Florence. Mannerist artists, who consciously rebelled against the principles of High Renaissance, tended to represent elongated figures in illogical spaces. Modern scholarship has recognized the capacity of Mannerist art to convey strong, often religious, emotion where the High Renaissance failed to do so. Some of the main artists of this period are Pontormo, Bronzino, Rosso Fiorentino, Parmigianino and Raphael's pupil, Giulio Romano.

Art and Patronage

The Medici family used their vast fortune to control the Florentine political system and sponsor a series of artistic accomplishments.

LEARNING OBJECTIVES

- Discuss the relationship between art, patronage, and politics during the Renaissance

KEY TAKEAWAYS

Key Points

- Although the Renaissance was underway before the Medici family came to power in Florence, their patronage and political support of the arts helped catalyze the Renaissance into a fully fledged cultural movement.
- The Medici wealth and influence initially derived from the textile trade guided by the guild of the Arte della Lana; through financial superiority, the Medici dominated their city's government.
- Medici patronage was responsible for the majority of Florentine art during their reign, as artists generally only made their works when they received commissions in advance.
- Although none of the Medici themselves were scientists, the family is well known to have been the patrons of the famous Galileo Galilei, who tutored multiple generations of Medici children.

Key Terms

- **Lorenzo de' Medici**: An Italian statesman and de facto ruler of the Florentine Republic, who was one of the most powerful and enthusiastic patrons of the Renaissance.
- **patronage**: The support, encouragement, privilege, or financial aid that an organization or individual bestows on another, especially in the arts.

Overview

It has long been a matter of debate why the Renaissance began in Florence, and not elsewhere in Italy. Scholars have noted several features unique to Florentine cultural life that may have caused such a cultural movement. Many have emphasized the role played by the Medici, a banking family and later ducal ruling house, in patronizing and stimulating the arts. Lorenzo de' Medici (1449–1492) was the catalyst for an enormous amount of arts patronage, encouraging his countrymen to commission works from the leading artists of Florence, including Leonardo da Vinci, Sandro Botticelli, and Michelangelo Buonarroti. Works by Neri di Bicci, Botticelli, da Vinci, and Filippino Lippi had been commissioned additionally by the convent di San Donato agli Scopeti of the Augustinians order in Florence.

The Medici House Patronage

The House of Medici was an Italian banking family, political dynasty, and later royal house that first began to gather prominence under Cosimo de' Medici in the Republic of Florence during the first half of the 15th century. Their wealth and influence initially derived from the textile trade guided by the guild of the Arte della Lana. Like other signore families, they dominated their city's government, they were able to bring Florence under their family's power, and they created an environment where art and Humanism could flourish. They, along with other families of Italy, such as the Visconti and Sforza of Milan, the Este of Ferrara, and the Gonzaga of Mantua, fostered and inspired the birth of the Italian Renaissance.

The biggest accomplishments of the Medici were in the sponsorship of art and architecture, mainly early and High Renaissance art and architecture. The Medici were responsible for the majority of Florentine art during their reign. Their money was significant because during this period, artists generally only made their works when they received commissions in advance. Giovanni di Bicci de' Medici, the first patron of the arts in the family, aided Masaccio and commissioned Brunelleschi for the reconstruction of the Basilica of San Lorenzo, Florence, in 1419. Cosimo the Elder's notable artistic associates were Donatello and Fra Angelico. The most significant addition to the list over the years was Michelangelo Buonarroti (1475–1564), who produced work for a number of Medici, beginning with Lorenzo the Magnificent, who was said to be extremely fond of the young Michelangelo, inviting him to study the family collection of antique sculpture. Lorenzo also served as patron of Leonardo da Vinci (1452–1519) for seven years. Indeed, Lorenzo was an artist in his own right, and an author of poetry and song; his support of the arts and letters is seen as a high point in Medici patronage.



The Medici House: Medici family members placed allegorically in the entourage of a king from the Three Wise Men in the Tuscan countryside in a Benozzo Gozzoli fresco, c. 1459.

In architecture, the Medici are responsible for some notable features of Florence, including the Uffizi Gallery, the Boboli Gardens, the Belvedere, the Medici Chapel, and the Palazzo Medici. Later, in Rome, the Medici Popes continued in the family tradition by patronizing artists in Rome. Pope Leo X would chiefly commission works from Raphael. Pope Clement VII commissioned Michelangelo to paint the altar wall of the Sistine Chapel just before the pontiff's death in 1534. Eleanor of Toledo, princess of Spain and wife of Cosimo I the Great, purchased the Pitti Palace from Buonaccorso Pitti in 1550. Cosimo in turn patronized Vasari, who erected the Uffizi Gallery in 1560 and founded the Accademia delle Arti del Disegno ("Academy of the Arts of Drawing") in 1563. Marie de' Medici, widow of Henry IV of France and mother of Louis XIII, is the subject of a commissioned cycle of paintings known as the Marie de' Medici cycle, painted for the Luxembourg Palace by court painter Peter Paul Rubens in 1622–1623.

Although none of the Medici themselves were scientists, the family is well known to have been the patrons of the famous Galileo Galilei, who tutored multiple generations of Medici children and was an important figurehead for his patron's quest for power. Galileo's patronage was eventually abandoned by Ferdinando II when the Inquisition accused Galileo of heresy. However, the Medici family did afford the scientist a safe haven for many years. Galileo named the four largest moons of Jupiter after four Medici children he tutored, although the names Galileo used are not the names currently used.

Leonardo da Vinci

While Leonardo da Vinci is admired as a scientist, an academic, and an inventor, he is most famous for his achievements as the painter of several Renaissance masterpieces.

LEARNING OBJECTIVES

- Describe the works of Leonardo da Vinci that demonstrate his most innovative techniques as an artist

KEY TAKEAWAYS

Key Points

- Among the qualities that make da Vinci's work unique are the innovative techniques that he used in laying on the paint, his detailed knowledge of anatomy, his innovative use of the human form in figurative composition, and his use of sfumato.
- Among the most famous works created by da Vinci is the small portrait titled the *Mona Lisa*, known for the elusive smile on the woman's face, brought about by the fact that da Vinci subtly shadowed the corners of the mouth and eyes so that the exact nature of the smile cannot be determined.
- Despite his famous paintings, da Vinci was not a prolific painter; he was a prolific draftsman, keeping journals full of small sketches and detailed drawings recording all manner of things that interested him.

Key Terms

- **sfumato**: In painting, the application of subtle layers of translucent paint so that there is no visible transition between colors, tones, and often objects.

While Leonardo da Vinci is greatly admired as a scientist, an academic, and an inventor, he is most famous for his achievements as the painter of several Renaissance masterpieces. His paintings were groundbreaking for a variety of reasons and his works have been imitated by students and discussed at great length by connoisseurs and critics.

Among the qualities that make da Vinci's work unique are the innovative techniques that he used in laying on the paint, his detailed knowledge of anatomy, his use of the human form in figurative composition, and his use of sfumato. All of these qualities are present in his most celebrated works, the *Mona Lisa*, *The Last Supper*, and the *Virgin of the Rocks*.



The Virgin of the Rocks, Leonardo da Vinci, 1483–1486: This painting shows the Madonna and Child Jesus with the infant John the Baptist and an angel, in a rocky setting.

The Last Supper

Da Vinci's most celebrated painting of the 1490s is *The Last Supper*, which was painted for the refectory of the Convent of Santa Maria della Grazie in Milan. The painting depicts the last meal shared by Jesus and the 12 Apostles where he announces that one of the them will betray him. When finished, the painting was acclaimed as a masterpiece of design. This work demonstrates something that da Vinci did very well: taking a very traditional subject matter, such as the Last Supper, and completely re-inventing it.

Prior to this moment in art history, every representation of the Last Supper followed the same visual tradition: Jesus and the Apostles seated at a table. Judas is placed on the opposite side of the table of everyone else and is effortlessly identified by the

viewer. When da Vinci painted The Last Supper he placed Judas on the same side of the table as Christ and the Apostles, who are shown reacting to Jesus as he announces that one of them will betray him. They are depicted as alarmed, upset, and trying to determine who will commit the act. The viewer also has to determine which figure is Judas, who will betray Christ. By depicting the scene in this manner, da Vinci has infused psychology into the work.

Unfortunately, this masterpiece of the Renaissance began to deteriorate immediately after da Vinci finished painting, due largely to the painting technique that he had chosen. Instead of using the technique of fresco, da Vinci had used tempera over a ground that was mainly gesso in an attempt to bring the subtle effects of oil paint to fresco. His new technique was not successful, and resulted in a surface that was subject to mold and flaking.

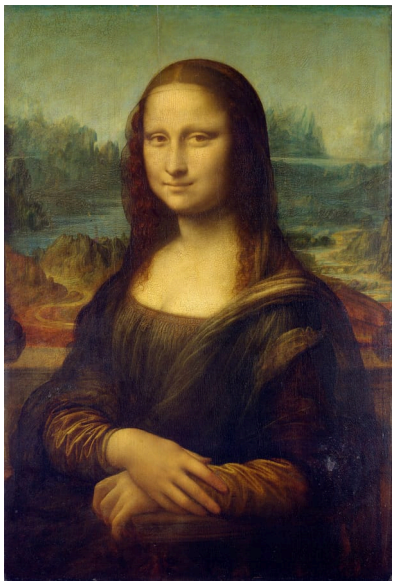


The Last Supper: Leonardo da Vinci's Last Supper, although much deteriorated, demonstrates the painter's mastery of the human form in figurative composition.

Mona Lisa

Among the works created by da Vinci in the 16th century is the small portrait known as the *Mona Lisa,* or *La Gioconda*, "the laughing one." In the present era it is arguably the most famous painting in the world. Its fame rests, in particular, on the elusive smile on the woman's face—its mysterious quality brought about perhaps by the fact that the artist has subtly shadowed the corners of the mouth and eyes so that the exact nature of the smile cannot be determined.

The shadowy quality for which the work is renowned came to be called sfumato, the application of subtle layers of translucent paint so that there is no visible transition between colors, tones, and often objects. Other characteristics found in this work are the unadorned dress, in which the eyes and hands have no competition from other details; the dramatic landscape background, in which the world seems to be in a state of flux; the subdued coloring; and the extremely smooth nature of the painterly technique, employing oils, but applied much like tempera and blended on the surface so that the brushstrokes are indistinguishable. And again, da Vinci is innovating upon a type of painting here. Portraits were very common in the Renaissance. However, portraits of women were always in profile, which was seen as proper and modest. Here, da Vinci present a portrait of a woman who not only faces the viewer but follows them with her eyes.



Mona Lisa: In the Mona Lisa, da Vinci incorporates his sfumato technique to create a shadowy quality.

Virgin and Child with St. Anne

In the painting *Virgin and Child with St. Anne*, da Vinci's composition again picks up the theme of figures in a landscape. What makes this painting unusual is that there are two obliquely set figures superimposed. Mary is seated on the knee of her mother, St. Anne. She leans forward to restrain the Christ Child as he plays roughly with a lamb, the sign of his own impending sacrifice. This painting influenced many contemporaries, including Michelangelo, Raphael, and Andrea del Sarto. The trends in its composition were adopted in particular by the Venetian painters Tintoretto and Veronese.



Virgin and Child with Saint Anne: Virgin and Child with St. Anne (c. 1510) by Leonardo da Vinci, Louvre Museum.

Michelangelo

Michelangelo was a 16th century Florentine artist renowned for his masterpieces in sculpture, painting, and architectural design.

LEARNING OBJECTIVES

- Discuss Michelangelo's achievements in sculpture, painting, and architecture

KEY TAKEAWAYS

Key Points

- Michelangelo created his colossal marble statue, the David, out of a single block of marble, which established his prominence as a sculptor of extraordinary technical skill and strength of symbolic imagination.
- In painting, Michelangelo is renowned for the ceiling and *The Last Judgement* of the Sistine Chapel, where he depicted a complex scheme representing Creation, the Downfall of Man, the Salvation of Man, and the Genealogy of Christ.
- Michelangelo's chief contribution to Saint Peter's Basilica was the use of a Greek Cross form and an external masonry of massive proportions, with every corner filled in by a stairwell or small vestry. The effect is a continuous wall-surface that appears fractured or folded at different angles.

Key Terms

- **contrapposto**: The standing position of a human figure where most of the weight is placed on one foot, and the other leg is relaxed. The effect of contrapposto in art makes figures look very naturalistic.
- **Sistine Chapel**: The best-known chapel in the Apostolic Palace.

Michelangelo was a 16th century Florentine artist renowned for his masterpieces in sculpture, painting, and architectural design. His most well known works are the *David*, the *Last Judgment*, and the *Basilica of Saint Peter's* in the Vatican.

Sculpture: *David*

In 1504, Michelangelo was commissioned to create a colossal marble statue portraying David as a symbol of Florentine freedom. The subsequent masterpiece, *David*, established the artist's prominence as a sculptor of extraordinary technical skill and strength of symbolic imagination. *David* was created out of a single marble block, and stands larger than life, as it was originally intended to adorn the Florence Cathedral. The work differs from previous representations in that the Biblical hero is not depicted with the head of the slain Goliath, as he is in Donatello's and Verrocchio's statues; both had represented the hero standing victorious over the head of Goliath. No earlier Florentine artist had omitted the giant altogether. Instead of appearing victorious over a foe, David's face looks tense and ready for combat. The tendons in his neck stand out tautly, his brow is furrowed, and his eyes seem to focus intently on something in the distance. Veins bulge out of his lowered right hand, but his body is in a relaxed *contrapposto* pose, and he carries his sling casually thrown over his left shoulder. In the Renaissance, *contrapposto* poses were thought of as a distinctive feature of antique sculpture.



The David by Michelangelo, 1504: Michelangelo's David stands in contrapposto pose.

The sculpture was intended to be placed on the exterior of the Duomo, and has become one of the most recognized works of Renaissance sculpture.

Painting: *The Last Judgement*

In painting, Michelangelo is renowned for his work in the Sistine Chapel. He was originally commissioned to paint tromp-l'oeil coffers after the original ceiling developed a crack. Michelangelo lobbied for a different and more complex scheme, representing Creation, the Downfall of Man, the Promise of Salvation through the prophets, and the Genealogy of Christ. The work is part of a larger scheme of decoration within the chapel that represents much of the doctrine of the Catholic Church.

The composition eventually contained over 300 figures, and had at its center nine episodes from the Book of Genesis, divided into three groups: God's Creation of the Earth, God's Creation of Humankind, and their fall from God's grace, and lastly, the state of Humanity as represented by Noah and his family. Twelve men and women who prophesied the coming of the Jesus are painted on the pendentives supporting the ceiling. Among the most famous paintings on the ceiling are The Creation of Adam, Adam and Eve in the Garden of Eden, the Great Flood, the Prophet Isaiah and the Cumaean Sibyl. The ancestors of Christ are painted around the windows.

The fresco of *The Last Judgment* on the altar wall of the Sistine Chapel was commissioned by Pope Clement VII, and Michelangelo labored on the project from 1536–1541. The work is located on the altar wall of the Sistine Chapel, which is not a traditional placement for the subject. Typically, last judgement scenes were placed on the exit wall of churches as a way to remind the viewer of eternal punishments as they left worship. *The Last Judgment* is a depiction of the second coming of Christ and the apocalypse; where the souls of humanity rise and are assigned to their various fates, as judged by Christ, surrounded by the Saints. In contrast to the earlier figures Michelangelo painted on the ceiling, the figures in *The Last Judgement* are heavily muscled and are in much more artificial poses, demonstrating how this work is in the Mannerist style.

In this work Michelangelo has rejected the orderly depiction of the last judgement as established by Medieval tradition in favor of a swirling scene of chaos as each soul is judged. When the painting was revealed it was heavily criticized for its inclusion of classical imagery as well as for the amount of nude figures in somewhat suggestive poses. The ill reception that the work received may be tied to the Counter Reformation and the Council of Trent, which lead to a preference for more conservative religious art devoid of classical references. Although a number of figures were made more modest with the addition of drapery, the changes were not made until after the death of Michelangelo, demonstrating the respect and admiration that was afforded to him during his lifetime.



The **Last Judgement:** The fresco of The Last Judgment on the altar wall of the Sistine Chapel was commissioned by Pope Clement VII. Michelangelo worked on the project from 1534–1541.

Architecture: St. Peter's Basilica

Finally, although other architects were involved, Michelangelo is given credit for designing St. Peter's Basilica. Michelangelo's chief contribution was the use of a symmetrical plan of a Greek Cross form and an external masonry of massive proportions, with every corner filled in by a stairwell or small vestry. The effect is of a continuous wall surface that is folded or fractured at different angles, lacking the right angles that usually define change of direction at the corners of a building. This exterior is surrounded by a giant order of Corinthian pilasters all set at slightly different angles to each other, in keeping with the ever-changing angles of the wall's surface. Above them the huge cornice ripples in a continuous band, giving the appearance of keeping the whole building in a state of compression.



St. Peter's Basillica: Michelangelo designed the dome of St. Peter's Basilica on or before 1564, although it was unfinished when he died.

Mannerism

Mannerist artists began to reject the harmony and ideal proportions of the Renaissance in favor of irrational settings, artificial colors, unclear subject matters, and elongated forms.

LEARNING OBJECTIVES

Describe the Mannerist style, how it differs from the Renaissance, and reasons why it emerged.

KEY TAKEAWAYS

Key Points

- Mannerism came after the High Renaissance and before the Baroque.
- The artists who came a generation after Raphael and Michelangelo had a dilemma. They could not surpass the great works that had already been created by Leonardo da Vinci, Raphael, and Michelangelo. This is when we start to see Mannerism emerge.
- Jacopo da Pontormo (1494–1557) represents the shift from the Renaissance to the Mannerist style.

Key Terms

- **Mannerism**: Style of art in Europe from c. 1520–1600. Mannerism came after the High Renaissance and before the Baroque. Not every artist painting during this period is considered a Mannerist artist.

Mannerism is the name given to a style of art in Europe from c. 1520–1600. Mannerism came after the High Renaissance and before the Baroque. Not every artist painting during this period is considered a Mannerist artist, however, and there is much debate among scholars over whether Mannerism should be considered a separate movement from the High Renaissance, or a stylistic phase of the High Renaissance. Mannerism will be treated as a separate art movement here as there are many differences between the High Renaissance and the Mannerist styles.

Style

What makes a work of art Mannerist? First we must understand the ideals and goals of the Renaissance. During the Renaissance artists were engaging with classical antiquity in a new way. In addition, they developed theories on perspective, and in all ways strived to create works of art that were perfect, harmonious, and showed ideal depictions of the natural world. Leonardo da Vinci, Raphael, and Michelangelo are considered the artists who reached the greatest achievements in art during the Renaissance.

The Renaissance stressed harmony and beauty and no one could create more beautiful works than the great three artists listed above. The artists who came a generation after had a dilemma; they could not surpass the great works that had already been created by da Vinci, Raphael, and Michelangelo. This is when we start to see Mannerism emerge. Younger artists trying to do something new and different began to reject harmony and ideal proportions in favor of irrational settings, artificial colors, unclear subject matters, and elongated forms.

Jacopo da Pontormo

Jacopo da Pontormo (1494–1557) represents the shift from the Renaissance to the Mannerist style. Take for example his *Deposition from the Cross*, an altarpiece that was painted for a chapel in the Church of Santa Felicita, Florence. The figures of Mary and Jesus appear to be a direct reference to Michelangelo's *Pieta*. Although the work is called a "*Deposition,"* there is no cross. Scholars also refer to this work as the "Entombment" but there is no tomb. This lack of clarity on subject matter is a hallmark of Mannerist painting. In addition, the setting is irrational, almost as if it is not in this world, and the colors are far from naturalistic. This work could not have been produced by a Renaissance artist. The Mannerist movement stresses different goals and this work of art by Pontormo demonstrates this new, and different style.



Pontormo, Deposition from the Cross, 1525-1528, Church of Santa Felicita, Florence: This work of art by Pontormo demonstrates the hallmarks of the Mannerist style: unclear subject matter, irrational setting, and artificial colors.

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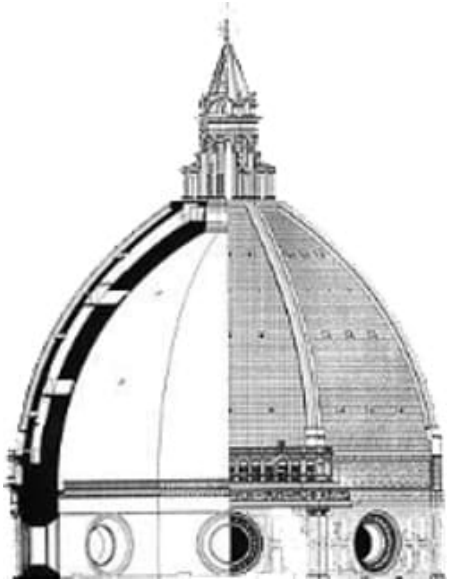
9.12: Renaissance Artists

Filippo Brunelleschi (1377-1446) was born in France and became one of the most well-known architects of the time. Architecture at the beginning of the Renaissance was a revival of classicism, moving away from the traditional gothic style of design and construction. The main church in Florence, Italy, the Cattedrale di Santa Maria del Fiore (Cathedral of Saint Mary of the Flower) (8.3), began in 1296 based on the Gothic style. The building design included an immense octagonal dome, and the church was theoretically to be the largest constructed in the world. The only problem - for 200 years, no one could produce a viable plan to construct the dome - so the dome left uncovered and open to the elements. From the concepts of antiquity, Filippo Brunelleschi revived the linear perspective construction techniques adopted by the Greeks and Romans and designed a dome to fit the opening.



8.3 Dome of the cathedral

In 1418, after convincing the city fathers of his radical design to build two domes, one inside of the other, Brunelleschi was awarded the contract to build the dome. The double-walled (fig. 8.4) system from lightweight bricks, allowed the dome to rise higher and more substantial than ever before. The dome was built 43.2 meters high, and Brunelleschi invented a herringbone brick design (8.5) spiraling upwards, adding support while the weight was shifted outwards to the dome supports. Brunelleschi had to design, create, and use numerous hoisting machines to lift the materials to the workers. The dome was a mathematical and architectural wonder, and visitors can still climb to the lantern for magnificent views of Florence.



8.4 Brunelleschi dome plan



8.5 Brunelleschi dome exterior

Originally, Brunelleschi wanted the interior of the dome covered in gold to reflect the light, however, he died, and the dome was simply whitewashed. Later, the Duke of Florence commissioned artists to paint the inside of the dome with stories (8.6) representing The Last Judgement from the bible.



8.6 Inside of the dome

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READING: Brunelleschi's Dome: Construction and Structure

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Donato di Niccolo di Betto (aka Donatello) (1386-1466), born in Florence, the center of the new movement, was one of the original Renaissance artists. Cosimo De Medici—the first Medici dynasty leader—sponsored Donatello, and in 1430, Donatello created the first freestanding nude sculpture of David (8.7). Donatello studied Greek and Roman art along with Brunelleschi before designing the statue.



Figure 9.12.1: Paste Caption Here



8.7 David 8.8 David close up

The traditional stance of a freestanding sculpture was one of the first since the Greek and Roman statues of the ancient past, making this statue revolutionary and exciting to view. The tall, lithe body of the young David is resting on one leg and his sword, leaving the other leg to bend forward over the head of Goliath. David has an enchanting (8.8) smile; his hands are by his side against smooth polished skin and his long curly locks flow from underneath his helmet.

The provocative statue stood on a column in the middle of the Medici Palazzo courtyard instead of the town square, indicating it may have been controversial to display a nude male figure at this time in the 15th century. Donatello was undoubtedly ahead of his time as an artist, leading the Renaissance revolution of acceptance and humanistic qualities in art.

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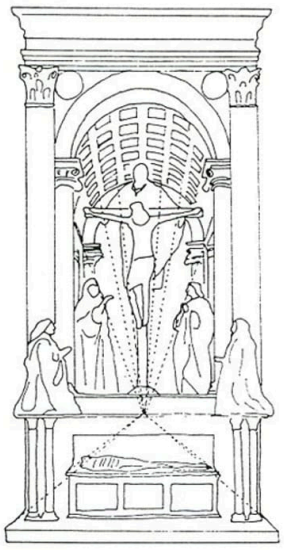
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Tommaso di Ser Giovanni di Simone (aka Masaccio) (1401-1428) was one of the best painters of the quattrocento period of the renaissance. During his short tenure as a painter, he had a profound influence on other artists and their methods of using perspective, changing Western painting forever. Unfortunately, he died at the young age of twenty-six.

Quattrocento – the 15th century as a period of Italian art or architecture

Moving away from the traditional, flatter Gothic style, Masaccio used perspective (Latin to "see-through") in his painting, a departure from standard painting methods. His use of a linear one-point perspective changed painting and drawing forever. The vanishing point (8.9) begins as a set of parallel lines like a train track, vanishing into the other side of the picture. His magnificent painting, the Trinity (8.10), located in the church, Santa Maria Novella in Florence, is a large fresco above a tomb.



8.9 Perspective of Trinity



8.10 Trinity

The Roman triumphal arches in the Roman Forum may have been the inspiration for Masaccio. His barrel vaults are drawn to the exact perspective shown by the coffered ceiling receding into the background. The realistic illusion of space creates depth with the use of the columns and ceiling. Christ on the cross is the center of the painting, the body painted in a muscular form looking down on Mary. The entire painting is located on top of an open tomb with the inscription: “As I am now, so you shall be. As you are now, so once was I”. The incredible cavernous space shows the perspective point as right below the bottom of the cross. The significant advancements Masaccio used in this painting went on to influence the great artists of the Renaissance.

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In 1436, **Johannes Gensfleisch Zur Laden zum Gutenberg** (1398-1468) invented the movable type printing (8.11) press in Europe. An inventor, craftsman, blacksmith, and publisher, he was well educated and from a wealthy family. Books during the 14th century Europe were each unique, monks in monasteries copying each one by hand. Gutenberg saw an opportunity when libraries were first opened, and scholars wanted access to many copies of the same books. Gutenberg started experimenting with text, cutting it up into individual letters, gluing them to small blocks of wood to use as stamps, each block inked individually. Then he invented metal text and a letter block mold, so all text was equal in size, giving typesetters the ability to form lines or pages of print. The form was inked and pressed by hand on paper. Gutenberg used a design similar to wine or apple presses with a screw design for pressure.



8.11 Model of the printing press

For two years, Gutenberg and his staff worked on printing the bible in black text, illuminated by hand with colored inks. The first edition of 180 identical books was highly successful and began the printing revolution. Two years after Gutenberg invented the press, book production increased, and illiteracy fell. Although a printing press was invented in China and Korea a few centuries earlier, the technology had not migrated to Europe. Gutenberg's printing press is regarded as one of the most critical inventions in European history.

Andrea Mantegna (1431-1506) was an Italian painter who was a student of Roman archeology and informed by antiquities, an influence showing up in the backgrounds of most of Mantegna's artwork. He was a master of optical illusion and practiced drawing the perspectives before beginning a painting. St. Sebastian, (8.12) painted in 1480, depicts the saint tied to a Greek column, impaled with arrows. The pale, agonizing figure of St. Sebastian is contradicted with the blue sky and puffy white clouds between a town and the column to which he is tied. The Greek architectural influence frames the pale skin and white robe of the saint with the gray-white marble of the columns.



8.12 St. Sebastian

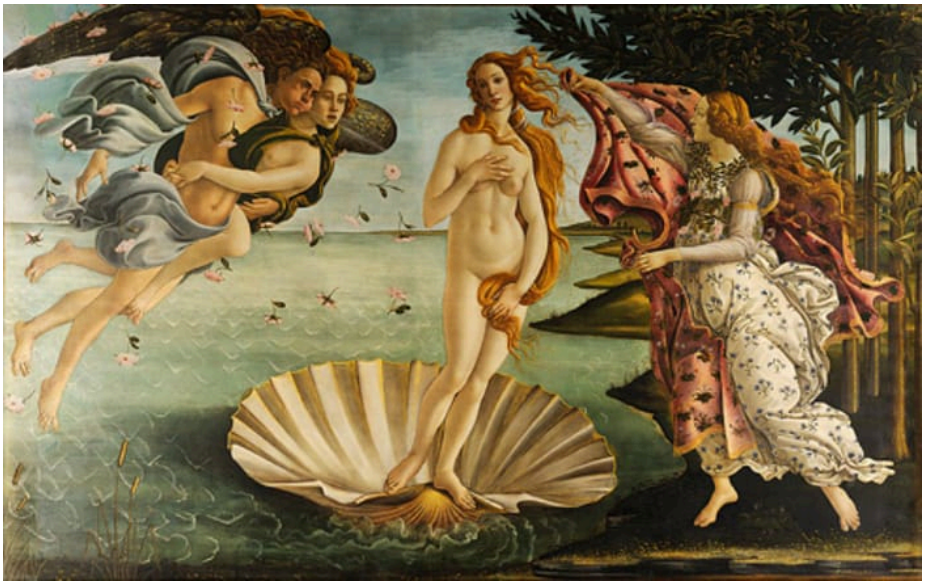


8.13 Christ as the Suffering Redeemer

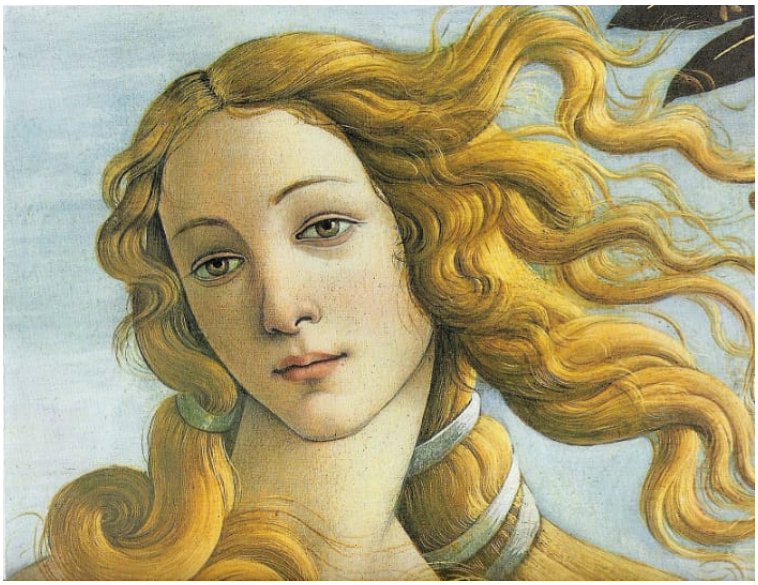
Another beautiful painting by Mantegna is Christ as the Suffering Redeemer (8.13). The painting was completed fifteen to twenty years after St. Sebastian and represents the growth in Mantegna's skill as an artist. Christ is wrapped in a white drape, flanked by two angels. In the background is the tomb, the recently buried and now resurrected Christ just emerged from, making the painting a complete story, while maintaining the focus on Christ in the center.

Alessandro di Mariano di Vanni Filpepi (aka Sandro Botticelli) (1445-1510) was an early Renaissance painter who attended the school of Florentine under the sponsorship of Lorenzo de Medici. Botticelli apprenticed at the age of fourteen to Fra Filippo Lippi and found himself in the middle of the golden age of Renaissance art.

In 1485, Botticelli painted one of the most iconic paintings of the Renaissance, The Birth of Venus, (8.14), based on an ancient goddess of love, and a Greek statue de Medici had in his collection. Standing on a seashell after being born from the sea, Venus is floating gracefully towards the shore. The god of wind Zephyer blows her gently to the shore, where an attendant greets her with a red flowing robe.



8.14 The Birth of Venus



8.15 Close up of Venus

The background is unrealistic and does not have the depth seen in the Maccacio painting, and an exciting illusion, the bodies not grounded on land, appearing to be floating, uncharacteristic for Renaissance artists. The sensual body and face (8.15) of the Venus, painted in soft pastel colors, lack depth, her face melancholy, her hair moved by the wind, all unusual thematic painting by Renaissance standards.

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Jheronimus van Aken (aka Hieronymus Bosch) (1450-1516) was an early Netherlands painter and well known for the eccentric landscapes and detailed imagery depicting moral and religious chronicles. Bosch's most famous work is the Garden of Earthly Delights, painted in 1490. The triptych, painted on oak wood panels, are hinged with black and white painting on the outside cover, and a colorful depiction of heaven, earth, and hell with the panels opened. The cover of the painting is in black and white (8.16) depicting the earth as a globe, yet a flat landscape with clouds gathering at the top resembling the atmosphere. When the panels close, the beautiful colorful curiosities painted inside are unexpected.





8.16 Garden of Earthly Delights exterior 8.17 Garden of Earthly Delights panel



8.18 Garden of Earthly Delights

Opening the wings reveals a radiating picture of the earth (8.17), inhabited with numerous nude people in all states of humorous yet sinister poses. The Renaissance allowed freedom for religious imagery, and Bosch took the idea and rendered an inventive and playful painting so far ahead of its time, could have been painted today.

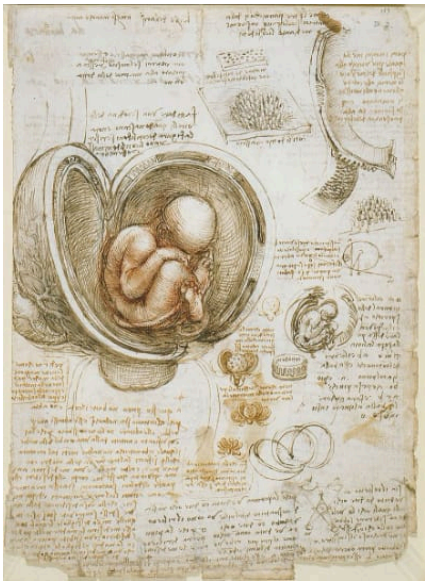
When the triptych is open, the eye moves around the images, emotions on high alert as though living in a dream. One part of the panel (8.18) portrays people eating giant fruit, oversized birds flying, horses racing, all with repulsive and beautiful images next to each other. The painting is a composite of a dream-like world, a world where no one grows up or has responsibilities. In a science-fiction quality of painting, the viewer is led through an imaginary world between heaven and hell. Hieronymus Bosch was a man ahead of his time; unfortunately, he did not leave any written word about his ideas, paintings, or drawings. Bosch has left the viewer to wander and explore on their own, the Garden of Earthly Delights.

Leonardo di ser Piero da Vinci (aka Leonardo da Vinci) (1452-1519) is one of the Renaissance's most famous painters, architect, scientist, mathematician, astronomer, botanist, writer, engineer, inventor, musician, and sculptor. Leonardo Da Vinci was born into a prominent Tuscan family and moved to Florence at the age of seventeen to begin his art career. Leonardo joined the artist guild and soon flourished in the intellectual atmosphere. Da Vinci bounced around from patron to patron, painting, drawing,

and designing. He drew anatomy from stolen corpses, learning how the (8.19) body and brain worked and drawing elaborately detailed pictures of the elements of the human body, including a fetus in the womb (8.20). Leonardo had an insatiable curiosity for knowledge, which led to thousands of drawings in the sciences.

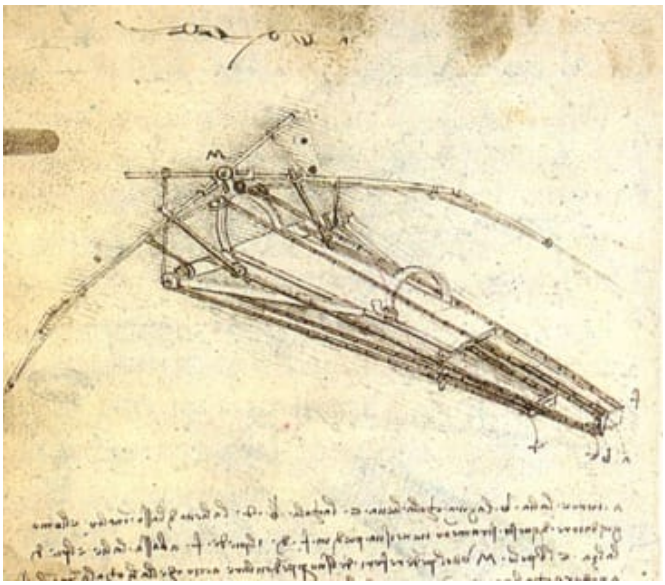


8.19 Brain physiology



8.20 Fetus in the womb

Leonardo Da Vinci left a large body of drawings of his scientific concepts for us to study. One can imagine Leonardo observing the natural world, looking at every detail, and thinking about every line. Before he even lifted a paintbrush, Leonardo completed a series of drawings, setting the stage for the actual painting. Leonardo only painted nineteen pictures in his lifetime; however, he was a prolific illustrator and writer. His Italian script was written backward and can be easily read in front of a mirror.



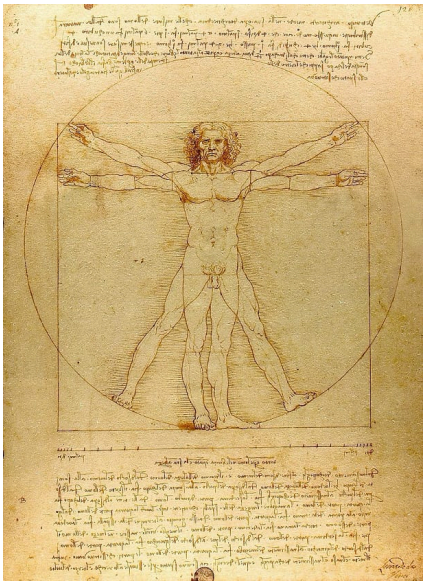
8.21 Flying Machine

Leonardo designed and engineered a wide variety of tools, machines, and other conceptual inventions. One of the most iconic drawings is the (8.22) Vitruvian Man, drawn in 1492, with ink on paper, the man surrounded by a circle based on ideal human proportions. In Leonardo's journals, page after page describes drawings of flying machines, musical instruments, pumps, cannons, and many others. The central framework of the human-powered ornithopter (8.21) shows a lightweight structure designed to enable a person to fly. Mechanical wings give the ornithopter its power for lift.

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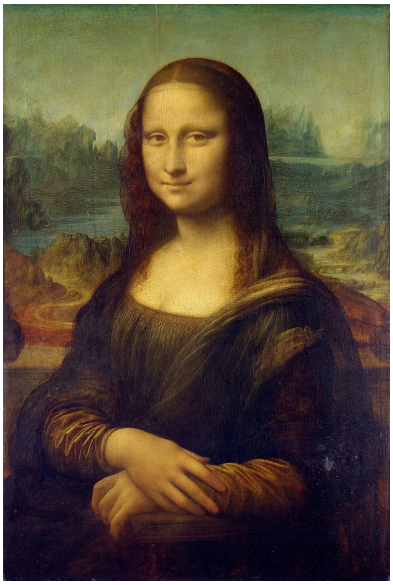
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8.22 Vitruvian Man

READING: Drawings of Leonardo da Vinci

Leonardo's work still guides and inspires artists, philosophers, and scientists centuries after his death. The genius of Da Vinci's work and drive for knowledge places him at the top of the list of great artists of all time. The enigma of the Mona Lisa (8.23) remains one of Leonardo's mysteries. Everyone wants to know who she was, is it a disguised self-portrait, are there numbers painted in her eyes, are among the many theories about the painting? It was supposed to be a portrait of a cloth merchant's wife, a portrait Leonardo did not give to the merchant. The image is painted in half-length as she sits on a chair, dressed in unremarkable clothing. There is an appearance of a window behind her as she displays the emblematic smile. The complete wonder of the painting is what draws us into the painting.



8.23 Mona Lisa

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Albrecht Durer (1452-1519) was a German woodcarver, painter, and printmaker, establishing a reputation across Europe when he was in his twenties. Durer created a vast body of work with classical motifs, and religious portraits, one of his most famous engravings is Melencolia I, (8.24), an allegorical composition with many iconic subjects. The engraving was completed in 1514 and included tools of a carpenter, a magic square, an hourglass showing time running out, a scale, compass, and the despondent winged figure in the foreground with her head resting on her hand. Melencolia 1 is linked to astrology, theology, and philosophy, suggesting it is a self-portrait of the artist himself, perhaps an idea of the limitations of the earthbound realm and the inability to imagine advanced states of conceptual contemplation.

Durer always believed he could achieve perfect proportions and measurements in his figures and created Adam and Eve (8.25) in idealized positions, surrounded by animals, reflecting perfection. Durer used thousands of fine lines to develop the image and then added his name on the sign above Adam's shoulder. He did not make the print as a final piece of artwork, rather a print to be reproduced and distributed advertising his ability, a Renaissance ad.



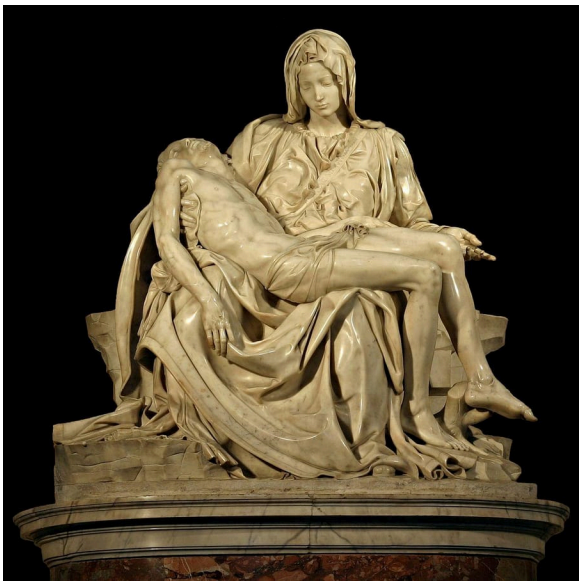

8.24 Melencolia I 8.25 Adam and Eve

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Michelangelo di Lodovico Buonarroti Simoni (aka Michelangelo) (1475-1564) was born during the high Renaissance, one of the most famous artists as a sculptor, painter, architect, engineer, and poet. His unparalleled genius and artistic abilities and his organic style brought marble to life, reflected in all the statues he created. One of his first major commissions was a statue of the Pieta (8.26) for one of the side altars in the church of Saint Peter's in Rome. The writer of the time stated, "No sculptor...could ever reach this level of design and grace, nor could he, even with handwork, ever finish, polish, and cut the marble as skillfully as Michelangelo did here, for in this statue all of the worth and power of sculpture is revealed." The folds of her dress appear to cradle the lifeless body of Christ, a body sculpted in exquisite and sublime detail, his face gentle in death.



8.26 *Pieta*

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8.27 *David*



8.28 Leg and hand



8.29 Head

David (8.27), one of the most breathtaking masterpieces made of lustrous white Carrera marble, was Michelangelo's most massive sculpture, measuring 4.10 meters, and exhibiting a perfect young man, muscular, contemplative, and ready for the fight. Generally, most artists portray David after the battle with Goliath, whose head lies on the ground. However, Michelangelo's David is caught in the tense pre-battle position. The details Michelangelo carved (8.28) were far more advanced than other sculptors, on his hands, the tendons are visible under the skin, the veins running down his arm. The look on David's face (8.29) is deep in thought of the upcoming battle, summoning the courage for the yet expressing the soft veil of fear.

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Michelangelo was also a great painter even though he thought painting should be left to others; however, he knew he had to paint the Sistine Chapel (8.30) ceiling or face the wrath of the pope. The ceiling is over 20 meters high, and Michelangelo designed scaffolding so he could stand up under the curved ceiling and paint. He began the work in 1508, drawing figures and preparing the ceiling for the frescos.



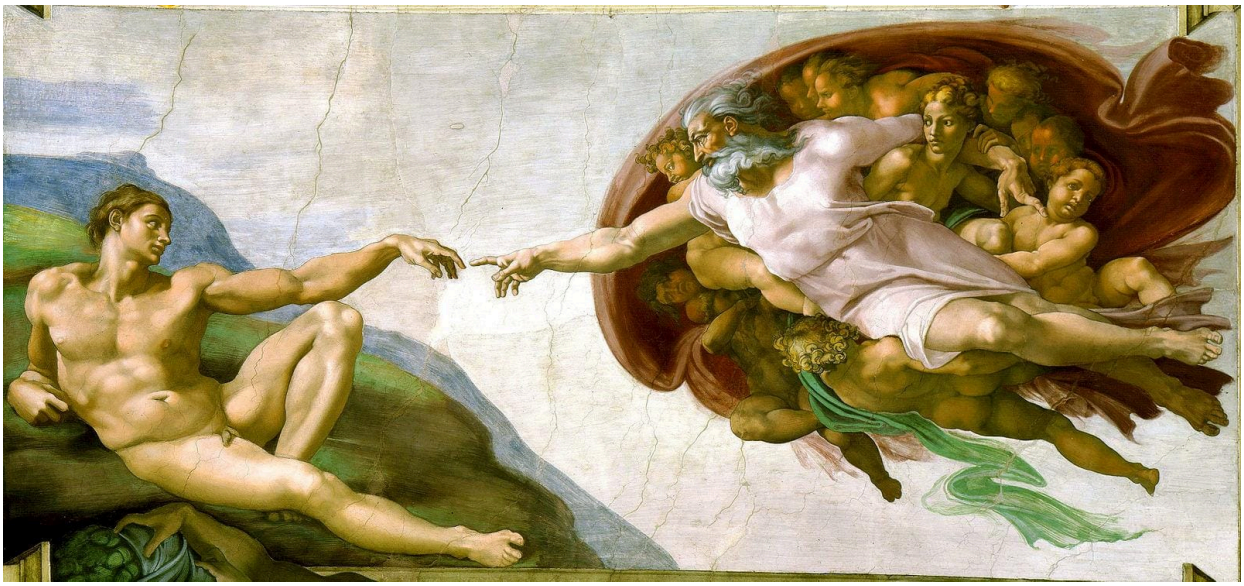
8.30 Sistine Chapel

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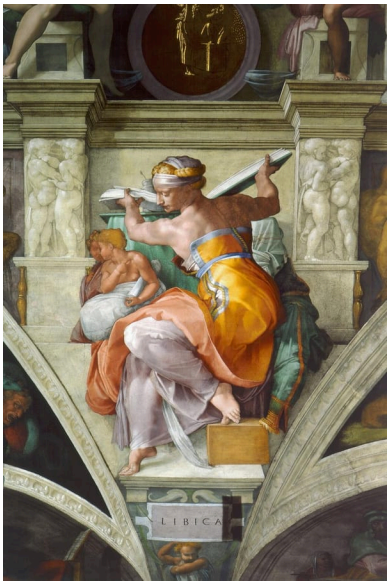
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The central ceiling consists of nine panels from the Book of Genesis, starting from the story of creation to Noah and the flood. The very center panel is the iconic outstretched hand of God (8.31), giving life to Adam, whose finger extended to God, but not quite touching, creating the magnetism between man and God. The Libyan Sibyl (8.32) with her Hellenistic features is one of the most profound figures on the ceiling. Painted in her regal orange dress, she is lifting a large book off the shelf. The powerful arms and back are twisting the body, causing her clothes to fold as they flow around her legs, creating an illusion of tension.



8.31 Creation of Adam



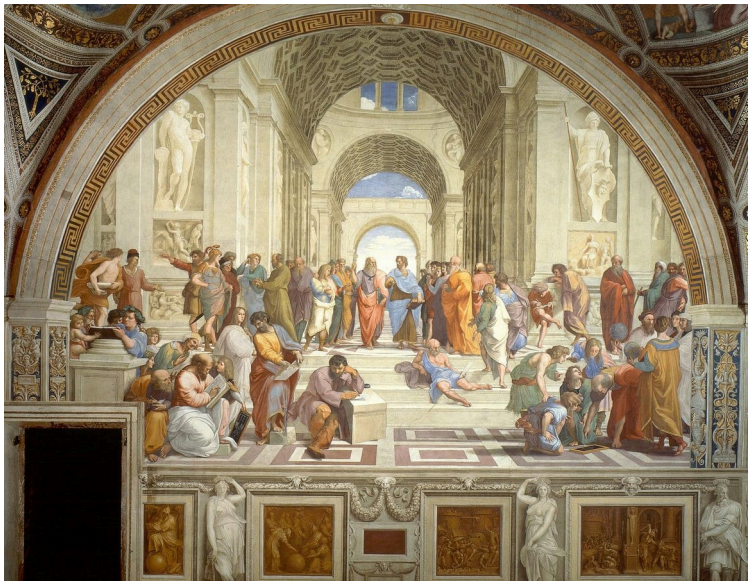
8.32 Libyan Sibyl

To paint the fresco style, Michelangelo covered a small section of the ceiling in plaster and then painted it into the wet plaster, which dried in a few days, revealing the final image. Over and over again, Michelangelo painted as he moved slowly down the ceiling, four long years on the scaffolding, with his neck craned upward until he completed the most iconic ceiling fresco in the world.

In 1979, restoration began in the Sistine Chapel to clean and repair the ceiling frescos and to recondition them to their previous glory as first unveiled by Michelangelo. The restoration process started in 1980 to clean the soot and dirt of 500 years and repair cracks in the plaster, a long-involved process not completed until 1994. The image (8.33) of Daniel on the left side is how the image appeared after 500 years of dirt, and on the right is the result of the restoration process to reestablish the original beauty. The legacy of Michelangelo continues well past the Renaissance, and he has continued to be remembered as one of the greatest artists of all time.

Raffaello Sanzio da Urbino (aka Raphael) (1483-1520) was an Italian painter living in Florence, a contemporary of Leonardo and Michelangelo. Although he died at the early age of thirty-seven, he left a sizeable body of work. Raphael commissioned to paint the walls of the Vatican library, a building right next door to the Sistine Chapel, where Michelangelo was simultaneously painting the chapel's ceiling. The library was a small room, and Raphael painted a different allegorical fresco on each wall representing the four branches of human knowledge; philosophy, theology, poetry, and justice, one on each wall.

The first painting on the east wall, Raphael, painted the famous School of Athens (8.34), portraying knowledge of the future. In the center of the painting, Aristotle in blue and brown and Plato in red and purple, holding their books appear to be walking forward. In the left lower corner, Pythagoras is demonstrating the importance of mathematics. There are statues of ancient Greek gods on either side of the great-coffered ceilings linking antiquity with the Renaissance. The second painting on the west wall, The Dispute (8.35), represents theology divided horizontally into earthly life and heavenly life. In the top half, Christ is depicted on a bench of clouds, surrounded by saints. The spiritual figures in the bottom half represent popes, priests, and leaders of the church, bringing together celestial knowledge through the divine host.



8.34 School of Athens



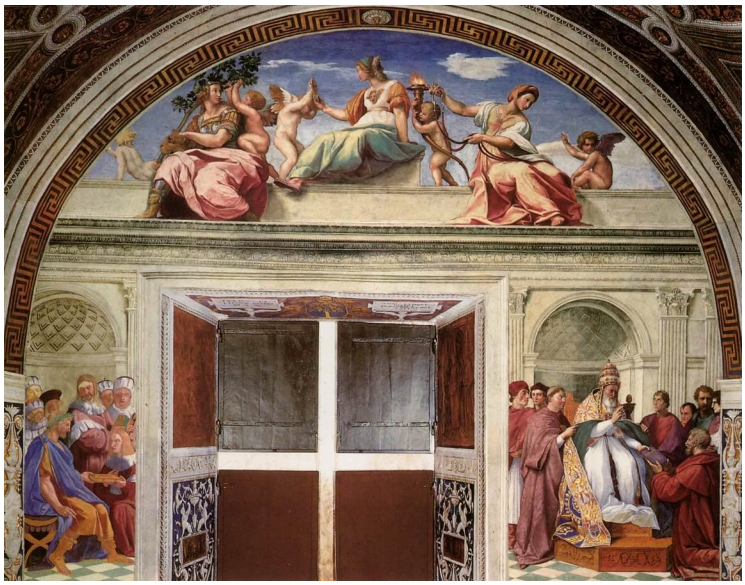
8.35 The Dispute

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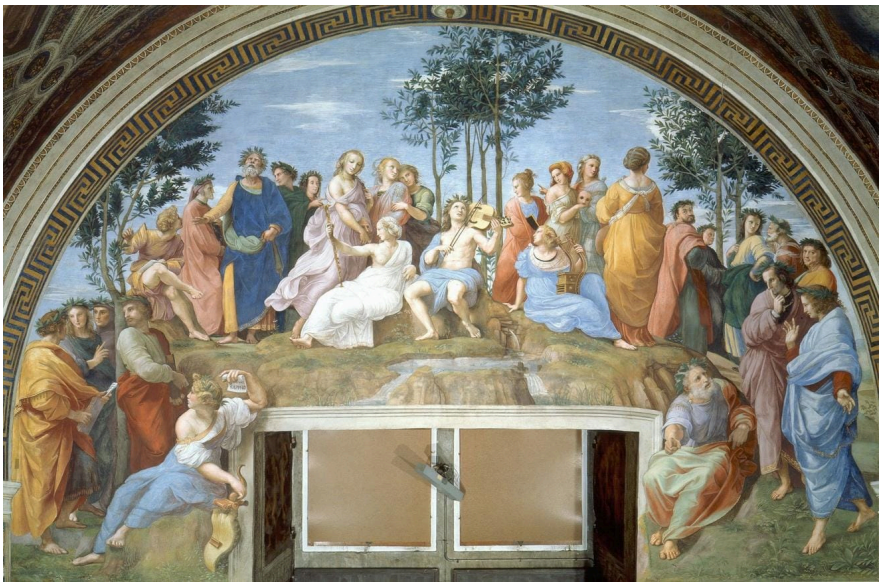
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The third painting on the south wall, The Cardinal and Theological Virtues (8.36), illustrates the cardinal qualities as personified by three women: Fortitude, Prudence, and Temperance. Fortitude is holding a branch from an oak tree shaken by the cupid, Charity. Prudence is looking into a mirror showing two faces with the cupid Hope holding a torch, and Temperance is guarding the cupid Faith. The fourth painting on the north wall, The Parnassus (8.37), illustrates the Mountain Parnassus where Apollo resides. Twenty-seven people from Greece flank Apollo, who is in the center under a laurel tree, playing a musical instrument. The nine muses who portray art, nine poets from antiquity, and nine contemporary poets all flank Apollo.



8.36 The Cardinal and Theological Virtues



8.37 The Parnassus

All four paintings together tell a story of the journey to the Renaissance period. The compositional harmony is apparent in all the frescos, and the visual counterpoint of the different groups of people creates a superior set of frescos. These frescos all demonstrate Raphael's unique and illustrative approach to painting.

Properzia de Rossi (1490-1530) was an Italian sculptor whose talent emerged at an early age. Because it was difficult for young girls to find any training except in managing a household, de Rossi learned to carve peach and apricot pits, an unusual material to use for anyone. The small sculptures generally based on religious themes, and after carving her intricate scene of the crucifixion on a peach pit, her talent acknowledged, she received training in marble at the university. She acquired a commission for a bas-relief panel and sculpted Joseph and Potiphar's Wife (8.38) displaying her talent to carve marble, a talent not well received by other artists who frequently discredited her.



8.38 Joseph and Potiphar's Wife

Sofonisba Anguissola (1532-1625) was fortunate to be in a family of the nobility who believed in training for the arts. During this period, most women could not become an apprentice to a master artist and had to learn from a family member. However, her father was able to find an artist who trained her in painting and the importance of design. A letter written by her father described how fortunate she was to meet, and perhaps studied, with Michelangelo. She painted over twelve self-portraits, a striking image for an artist of this period. In an early self-portrait (8.39), she depicts herself painting the Madonna and child, although stopped in mid-stroke and looking as though she was interrupted. Her later self-portrait (8.40) was painted when she was seventy-eight, still a master of portraits.



8.39 Self-portrait 1556



8.40 Self-portrait 1610

As a female artist, Anguissola did not have access to male models and frequently used her family members to paint group portraits. She painted her other siblings in The Chess Game (8.41), one sister looking outward, the subtle smile on her face seems to say, I won the game. Anguissola's attention to detail involved changing textures of the brocade clothing, delicate laces, and perfectly braided hair. These family portraits and her self-portraits, the attention to elegance painted of the clothing and her perfection seen on faces, helped Anguissola build her reputation. When she was only twenty-six, she was invited to become a painter in the Spanish Court, spending several years creating official court paintings of royalty and other dignitaries. Using muted, darker colors, the official portrait for Phillip II of Spain (8.42) displays the delicate lace around his neck and perfect buttons on his gown, an indication of her successful career.

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8.41 The Chess Game (Lucia, Minerva, Elena)



8.42 Phillip II of Spain

Lucia Anguissola (1536 or 1538 – 1565 to 1568) was the younger sister of Sofonisba Anguissola, both of them received education in the humanities and arts and became painters. Unfortunately, Lucia died at the early age of thirty and did not have the opportunity to establish an extensive portfolio. The man in the painting is Portrait of Pietro Manna (8.x), believed to be a relative of the Anguissola family. He was painted with a limited palette with hues of brown and grey, a sense of personality on his face demonstrating Anguissola's capability as an artist.



8.43 Self Portrait

Tiziano Vecelli (aka Titian) (1490-1576) was an Italian painter and part of the Venetian art school. Titian is well known for his dynamic use of color, rendering beautiful, realistic fabric in his paintings. The Assumption of the Virgin (8.44) is 23 feet tall and is one of Titian's largest altarpieces. Assisted by angels, Mary is moving from the earthly world into the heavenly world. The over-sized figures on the bottom of the painting have outstretched hands as though trying to assist Mary on her ascent into heaven. The foreshortening of Mary is rendered exquisitely, and looking up to the clouds, and she is surrounded by a halo of luminous golden light.



8.44 Assumption of the Virgin

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A Venetian painter, **Jacopo Robusti (aka Tintoretto)** (1518-1594), was one of the great Italian Mannerist painters of the Renaissance. Tintoretto attended the Venetian school of art and was influenced by Michelangelo, Vasari, and Giorgione when he painted (8.45) Finding of the Body of St Mark. One of Tintoretto's early paintings and showed a mastery of drawing and painting with the use of one-point perspective.



8.45 Finding the Body of St. Mark

Looking at the art, it appears the viewer could walk into the painting and down the long hall. The exquisite use of light illuminating the body, drawing the eye to the left corner, then traveling upward to see a noble figure is pointing at people to stop them from raiding tombs anymore. In the back of the picture are two figures opening the tomb, finding the body of Saint Mark, and dragging him out. Through collapsing time and space, viewers see Saint Mark lying on the ground in the foreground; and Saint Mark also the noble figure standing in the front left, gesturing to the people to stop raiding the tombs. The long hallway of the tomb is dark; however, the architectural details are lit with the faintest of light, giving it extreme depth and the dramatic effects of perspective. The painting was completed in 1566 and is one part of a cycle of paintings for the patron Saint Mark of Venice.

The age of the Renaissance was one of the most important periods for the development of human awareness, individualism, and self-awareness, a bold contrast to the Middle Ages dominating Europe for centuries. The Renaissance started the conversation about science, art, mathematics, engineering, and cultural advancement. It was a period of the rejuvenation of antiquity, a time when innovation steered the art movement.

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10: THE AGE OF REASON AND REVOLUTION

10.1: The Enlightenment

10.2: Enlightenment Thinkers

10.3: The Age of Discovery

10.4: The Scientific Revolution

10.5: Protestantism

10.6: The Baroque- Art, Politics, and Religion in Seventeenth-Century Europe

10.7: Music in the Baroque Era

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10.10: Overview of Classical Opera

10.11: Art, Architecture, and Theater in the Baroque Era

10.12: Neo-Classicism

10.13: David's Death of Marat

10.14: Romanticism in France Delacroix's Liberty Leading the People

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10.1: The Enlightenment

Introduction to the Enlightenment

The Enlightenment, a philosophical movement that dominated in Europe during the 18th century, was centered around the idea that reason is the primary source of authority and legitimacy, and advocated such ideals as liberty, progress, tolerance, fraternity, constitutional government, and separation of church and state.

LEARNING OBJECTIVES

Explain the main ideas of the Age of Enlightenment

KEY TAKEAWAYS

Key Points

- The Enlightenment was a philosophical movement that dominated in Europe during the 18th century. It was centered around the idea that reason is the primary source of authority and legitimacy, and it advocated such ideals as liberty, progress, tolerance, fraternity, constitutional government, and separation of church and state. However, historians of race, gender, and class note that Enlightenment ideals were not originally envisioned as universal in today's sense of the word.
- The Philosophic Movement advocated for a society based upon reason rather than faith and Catholic doctrine, for a new civil order based on natural law, and for science based on experiments and observation.
- There were two distinct lines of Enlightenment thought: the radical enlightenment, advocating democracy, individual liberty, freedom of expression, and eradication of religious authority. A second, more moderate variety sought accommodation between reform and the traditional systems of power and faith.
- While the Enlightenment cannot be pigeonholed into a specific doctrine or set of dogmas, science came to play a leading role in Enlightenment discourse and thought.
- The Enlightenment brought political modernization to the west, in terms of focusing on democratic values and institutions and the creation of modern, liberal democracies.
- Enlightenment thinkers sought to curtail the political power of organized religion, and thereby prevent another age of intolerant religious war. The radical Enlightenment promoted the concept of separating church and state.

Key Terms

- **scientific method**: A body of techniques for investigating phenomena, acquiring new knowledge, or correcting and integrating previous knowledge based on empirical or measurable evidence subject to specific principles of reasoning. The Oxford Dictionaries Online define it as "a method or procedure that has characterized natural science since the 17th century, consisting in systematic observation, measurement, and experiment, and the formulation, testing, and modification of hypotheses."
- **empiricism**: A theory that states that knowledge comes only or primarily from sensory experience. One of several views of epistemology, the study of human knowledge, along with rationalism and skepticism, it emphasizes the role of experience and evidence (especially sensory experience), in the formation of ideas, over the notion of innate ideas or traditions.
- **Encyclopédie**: A general encyclopedia published in France between 1751 and 1772, with later supplements, revised editions, and translations. It had many writers and was edited by Denis Diderot, and, until 1759, co-edited by Jean le Rond d'Alembert. It is the most famous for representing the thought of the Enlightenment.
- **Newtonianism**: A doctrine that involves following the principles and using the methods of natural philosopher Isaac Newton. Newton's broad conception of the universe as being governed by rational and understandable laws laid the foundation for many strands of Enlightenment thought.
- **reductionism**: The term that refers to several related but distinct philosophical positions regarding the connections between phenomena, or theories, "reducing" one to another, usually considered "simpler" or more "basic." The Oxford Companion to Philosophy suggests a three part division: ontological (a belief that the whole of reality consists of a minimal number of parts); methodological (the scientific attempt to provide explanation in terms of ever smaller entities); and theory (the

suggestion that a newer theory does not replace or absorb the old, but reduces it to more basic terms).

Introduction

The Enlightenment, also known as the Age of Enlightenment, was a philosophical movement that dominated the world of ideas in Europe in the 18th century. It was centered around the idea that reason is the primary source of authority and legitimacy, and it advocated such ideals as liberty, progress, tolerance, fraternity, constitutional government, and separation of church and state. The Enlightenment was marked by an emphasis on the scientific method and reductionism, along with increased questioning of religious orthodoxy. The ideas of the Enlightenment undermined the authority of the monarchy and the church, and paved the way for the political revolutions of the 18th and 19th centuries. French historians traditionally place the Enlightenment between 1715, the year that Louis XIV died, and 1789, the beginning of the French Revolution. Some recent historians begin the period in the 1620s, with the start of the scientific revolution. However, different national varieties of the movement flourished between the first decades of the 18th century and the first decades of the 19th century.

The ideas of the Enlightenment played a major role in inspiring the French Revolution, which began in 1789 and emphasized the rights of the common men, as opposed to the exclusive rights of the elites. However, historians of race, gender, and class note that Enlightenment ideals were not originally envisioned as universal in the today's sense of the word. Although they did eventually inspire the struggle for rights of people of color, women, or the working masses, most Enlightenment thinkers did not advocate equality for all, regardless of race, gender, or class, but rather insisted that rights and freedoms were not hereditary. This perspective directly attacked the traditionally exclusive position of the European aristocracy, but was still largely limited to expanding the political and individual rights of white males of particular social standing.

Philosophy

In the mid-18th century, Europe witnessed an explosion of philosophic and scientific activity that challenged traditional doctrines and dogmas. The philosophic movement was led by Voltaire and Jean-Jacques Rousseau, who argued for a society based upon reason rather than faith and Catholic doctrine, for a new civil order based on natural law, and for science based on experiments and observation. The political philosopher Montesquieu introduced the idea of a separation of powers in a government, a concept which was enthusiastically adopted by the authors of the United States Constitution. While the philosophers of the French Enlightenment were not revolutionaries, and many were members of the nobility, their ideas played an important part in undermining the legitimacy of the Old Regime and shaping the French Revolution.

There were two distinct lines of Enlightenment thought: the radical enlightenment, inspired by the philosophy of Spinoza, advocating democracy, individual liberty, freedom of expression, and eradication of religious authority. A second, more moderate variety, supported by René Descartes, John Locke, Christian Wolff, Isaac Newton and others, sought accommodation between reform and the traditional systems of power and faith.

Much of what is incorporated in the scientific method (the nature of knowledge, evidence, experience, and causation), and some modern attitudes towards the relationship between science and religion, were developed by David Hume and Adam Smith. Hume became a major figure in the skeptical philosophical and empiricist traditions of philosophy. Immanuel Kant tried to reconcile rationalism and religious belief, individual freedom and political authority, as well as map out a view of the public sphere through private and public reason. Kant's work continued to shape German thought, and indeed all of European philosophy, well into the 20th century. Mary Wollstonecraft was one of England's earliest feminist philosophers. She argued for a society based on reason, and that women, as well as men, should be treated as rational beings.



Encyclopedie's frontispiece, full version; engraving by Benoît Louis Prévost.

"If there is something you know, communicate it. If there is something you don't know, search for it." An engraving from the 1772 edition of the Encyclopédie. Truth, in the top center, is surrounded by light and unveiled by the figures to the right, Philosophy and Reason.

Science

While the Enlightenment cannot be pigeonholed into a specific doctrine or set of dogmas, science came to play a leading role in Enlightenment discourse and thought. Many Enlightenment writers and thinkers had backgrounds in the sciences, and associated scientific advancement with the overthrow of religion and traditional authority in favor of the development of free speech and thought. Broadly speaking, Enlightenment science greatly valued empiricism and rational thought, and was embedded with the Enlightenment ideal of advancement and progress. As with most Enlightenment views, the benefits of science were not seen universally.

Science during the Enlightenment was dominated by scientific societies and academies, which had largely replaced universities as centers of scientific research and development. Societies and academies were also the backbone of the maturation of the scientific profession. Another important development was the popularization of science among an increasingly literate population. Many scientific theories reached the wide public, notably through the *Encyclopédie (*a general encyclopedia published in France between 1751 and 1772) and the popularization of Newtonianism.
The 18th century saw significant advancements in the practice of medicine, mathematics, and physics; the development of biological taxonomy; a new understanding of magnetism and electricity; and the maturation of chemistry as a discipline, which established the foundations of modern chemistry.

Modern Western Government

The Enlightenment has long been hailed as the foundation of modern western political and intellectual culture. It brought political modernization to the west, in terms of focusing on democratic values and institutions, and the creation of modern, liberal democracies.

The English philosopher Thomas Hobbes ushered in a new debate on government with his work *Leviathan* in 1651. Hobbes also developed some of the fundamentals of European liberal thought: the right of the individual; the natural equality of all men; the artificial character of the political order (which led to the later distinction between civil society and the state); the view that all legitimate political power must be "representative" and based on the consent of the people; and a liberal interpretation of law which leaves people free to do whatever the law does not explicitly forbid.

John Locke and Rousseau also developed social contract theories. While differing in details, Locke, Hobbes, and Rousseau agreed that a social contract, in which the government's authority lies in the consent of the governed, is necessary for man to live in civil society. Locke is particularly known for his statement that individuals have a right to "Life, Liberty and Property," and his

belief that the natural right to property is derived from labor. His theory of natural rights has influenced many political documents, including the United States Declaration of Independence and the French National Constituent Assembly's Declaration of the Rights of Man and of the Citizen. Though much of Enlightenment's political thought was dominated by social contract theorists, some Scottish philosophers, most notably David Hume and Adam Ferguson, criticized this camp. Theirs was the assumption that governments derived from a ruler's authority and force (Hume) and polities grew out of social development rather than social contract (Ferguson).

Religion

Enlightenment era religious commentary was a response to the preceding century of religious conflict in Europe. Enlightenment thinkers sought to curtail the political power of organized religion, and thereby prevent another age of intolerant religious war. A number of novel ideas developed, including Deism (belief in God the Creator, with no reference to the Bible or any other source) and atheism. The latter was much discussed but there were few proponents. Many, like Voltaire, held that without belief in a God who punishes evil, the moral order of society was undermined.

The radical Enlightenment promoted the concept of separating church and state, an idea often credited to Locke. According to Locke's principle of the social contract, the government lacked authority in the realm of individual conscience, as this was something rational people could not cede to the government for it or others to control. For Locke, this created a natural right in the liberty of conscience, which he said must therefore remain protected from any government authority. These views on religious tolerance and the importance of individual conscience, along with the social contract, became particularly influential in the American colonies and the drafting of the United States Constitution.



Mary Wollstonecraft by John Opie (c. 1797), National Portrait Gallery, London.

While the philosophy of the Enlightenment was dominated by men, the question of women's rights appeared as one of the most controversial ideas. Mary Wollstonecraft, one of few female thinkers of the time, was an English writer, philosopher, and advocate of women's rights. She is best known for *A Vindication of the Rights of Woman* (1792), in which she argues that women are not naturally inferior to men, but appear to be only because they lack education. She suggests that both men and women should be treated as rational beings and imagines a social order founded on reason.

Rationalism

Rationalism, or a belief that we come to knowledge through the use of logic, and thus independently of sensory experience, was critical to the debates of the Enlightenment period, when most philosophers lauded the power of reason but insisted that knowledge comes from experience.

LEARNING OBJECTIVES

- Define rationalism and its role in the ideas of the Enlightenment

KEY TAKEAWAYS

Key Points

- Rationalism —as an appeal to human reason as a way of obtaining knowledge—has a philosophical history dating from antiquity. While rationalism did not dominate the Enlightenment, it laid critical basis for the debates that developed over the course of the 18th century.
- René Descartes (1596-1650), the first of the modern rationalists, laid the groundwork for debates developed during the Enlightenment. He thought that the knowledge of eternal truths could be attained by reason alone (no experience was necessary).
- Since the Enlightenment, rationalism is usually associated with the introduction of mathematical methods into philosophy as seen in the works of Descartes, Leibniz, and Spinoza. This is commonly called continental rationalism, because it was predominant in the continental schools of Europe, whereas in Britain empiricism dominated.
- Both Spinoza and Leibniz asserted that, in principle, all knowledge, including scientific knowledge, could be gained through the use of reason alone, though they both observed that this was not possible in practice for human beings, except in specific areas, such as mathematics.
- While empiricism (a theory that knowledge comes only or primarily from a sensory experience) dominated the Enlightenment, Immanuel Kant, attempted to combine the principles of empiricism and rationalism. He concluded that both reason and experience are necessary for human knowledge.
- Since the Enlightenment, rationalism in politics historically emphasized a "politics of reason" centered upon rational choice, utilitarianism, and secularism.

Key Terms

- **metaphysics**: A traditional branch of philosophy concerned with explaining the fundamental nature of being and the world that encompasses it, although the term is not easily defined. Traditionally, it attempts to answer two basic questions in the broadest possible terms: "Ultimately, what is there?" and "What is it like?"
- **empiricism**: A theory that states that knowledge comes only, or primarily, from sensory experience. One of several views of epistemology, the study of human knowledge, along with rationalism and skepticism, it emphasizes the role of experience and evidence, especially sensory experience, in the formation of ideas over the notion of innate ideas or traditions.
- **cogito ergo sum**: A Latin philosophical proposition by René Descartes, the first modern rationalist, usually translated into English as "I think, therefore I am." This proposition became a fundamental element of western philosophy, as it purported to form a secure foundation for knowledge in the face of radical doubt. Descartes asserted that the very act of doubting one's own existence served, at minimum, as proof of the reality of one's own mind.

Introduction

Rationalism—as an appeal to human reason as a way of obtaining knowledge—has a philosophical history dating from antiquity. While rationalism, as the view that reason is the main source of knowledge, did not dominate the Enlightenment, it laid critical basis for the debates that developed over the course of the 18th century. As the Enlightenment centered on reason as the primary source of authority and legitimacy, many philosophers of the period drew from earlier philosophical contributions, most notably those of René Descartes (1596-1650), a French philosopher, mathematician, and scientist. Descartes was the first of the modern rationalists. He thought that only knowledge of eternal truths (including the truths of mathematics and the foundations of the sciences) could be attained by reason alone, while the knowledge of physics required experience of the world, aided by the scientific method. He argued that reason alone determined knowledge, and that this could be done independently of the senses. For instance, his famous dictum, *cogito ergo sum* , or "I think, therefore I am," is a conclusion reached *a priori* (i.e., prior to any kind of experience on the matter). The simple meaning is that doubting one's existence, in and of itself, proves that an "I" exists to do the thinking.



René Descartes, after Frans Hals, 2nd half of the 17th century.

Descartes laid the foundation for 17th-century continental rationalism, later advocated by Baruch Spinoza and Gottfried Leibniz, and opposed by the empiricist school of thought consisting of Hobbes, Locke, Berkeley, and Hume. Leibniz, Spinoza, and Descartes were all well-versed in mathematics, as well as philosophy, and Descartes and Leibniz contributed greatly to science as well.

Rationalism v. Empiricism

Since the Enlightenment, rationalism is usually associated with the introduction of mathematical methods into philosophy, as seen in the works of Descartes, Leibniz, and Spinoza. This is commonly called continental rationalism, because it was predominant in the continental schools of Europe, whereas in Britain, empiricism, or a theory that knowledge comes only or primarily from a sensory experience, dominated. Although rationalism and empiricism are traditionally seen as opposing each other, the distinction between rationalists and empiricists was drawn at a later period, and would not have been recognized by philosophers involved in Enlightenment debates. Furthermore, the distinction between the two philosophies is not as clear-cut as is sometimes suggested. For example, Descartes and John Locke, one of the most important Enlightenment thinkers, have similar views about the nature of human ideas.

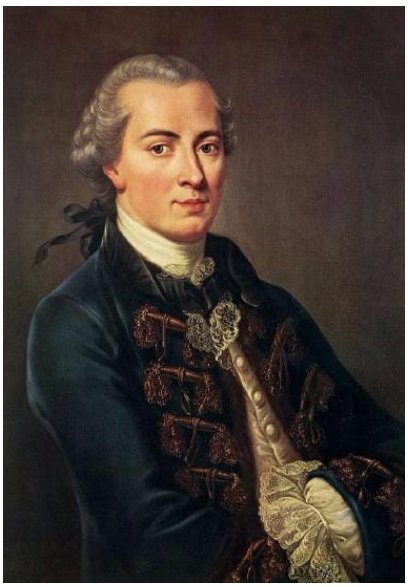
Proponents of some varieties of rationalism argue that, starting with foundational basic principles, like the axioms of geometry, one could deductively derive the rest of all possible knowledge. The philosophers who held this view most clearly were Baruch Spinoza and Gottfried Leibniz, whose attempts to grapple with the epistemological and metaphysical problems raised by Descartes led to a development of the fundamental approach of rationalism. Both Spinoza and Leibniz asserted that, *in principle*, all knowledge, including scientific knowledge, could be gained through the use of reason alone, though they both observed that this was not possible *in practice* for human beings, except in specific areas, such as mathematics. On the other hand, Leibniz admitted in his book, *Monadology,* that “we are all mere Empirics in three fourths of our actions.”

Immanuel Kant

Descartes, Spinoza, and Leibniz are usually credited for laying the groundwork for the 18th-century Enlightenment. During the mature Enlightenment period, Immanuel Kant attempted to explain the relationship between reason and human experience, and to move beyond the failures of traditional philosophy and metaphysics. He wanted to put an end to an era of futile and speculative theories of human experience, and regarded himself as ending and showing the way beyond the impasse between rationalists and empiricists. He is widely held to have synthesized these two early modern traditions in his thought.

Kant named his brand of epistemology (theory of knowledge) “transcendental idealism,” and he first laid out these views in his famous work, *The Critique of Pure Reason*. In it, he argued that there were fundamental problems with both rationalist and empiricist dogma. To the rationalists he argued, broadly, that pure reason is flawed when it goes beyond its limits and claims to know those things that are necessarily beyond the realm of all possible experience (e.g., the existence of God, free will, or the

immortality of the human soul). To the empiricist, he argued that while it is correct that experience is fundamentally necessary for human knowledge, reason is necessary for processing that experience into coherent thought. He therefore concluded that both reason and experience are necessary for human knowledge. In the same way, Kant also argued that it was wrong to regard thought as mere analysis. In his views, *a priori* concepts do exist, but if they are to lead to the amplification of knowledge, they must be brought into relation with empirical data.



Immanuel Kant, author unknown: Immanuel Kant (1724-1804) rejected the dogmas of both rationalism and empiricism, and tried to reconcile rationalism and religious belief, and individual freedom and political authority, as well as map out a view of the public sphere through private and public reason. His work continued to shape German thought, and indeed all of European philosophy, well into the 20th century.

Politics

Since the Enlightenment, rationalism in politics historically emphasized a "politics of reason" centered upon rational choice, utilitarianism, and secularism (later, relationship between rationalism and religion was ameliorated by the adoption of pluralistic rationalist methods practicable regardless of religious or irreligious ideology). Some philosophers today, most notably John Cottingham, note that rationalism, a methodology, became socially conflated with atheism, a worldview. Cottingham writes,

> *In the past, particularly in the 17th and 18th centuries, the term 'rationalist' was often used to refer to free thinkers of an anti-clerical and anti-religious outlook, and for a time the word acquired a distinctly pejorative force (...). The use of the label 'rationalist' to characterize a world outlook which has no place for the supernatural is becoming less popular today; terms like ' humanist ' or 'materialist' seem largely to have taken its place. But the old usage still survives.*

Natural Rights

Natural rights, understood as those that are not dependent on the laws, customs, or beliefs of any particular culture or government,(and therefore, universal and inalienable) were central to the debates during the Enlightenment on the relationship between the individual and the government.

LEARNING OBJECTIVES

- Identify natural rights and why they were important to the philosophers of the Enlightenment.

KEY TAKEAWAYS

Key Points

- Natural rights are those that are not dependent on the laws, customs, or beliefs of any particular culture or government, and are therefore universal and inalienable (i.e., rights that cannot be repealed or restrained by human laws). They are usually defined in opposition to legal rights, or those bestowed onto a person by a given legal system.
- Although natural rights have been discussed since antiquity, it was the philosophers of the Age of Enlightenment that developed the modern concept of natural rights, which has been critical to the modern republican government and civil society.
- During the Enlightenment, natural rights developed as part of the social contract theory. The theory addressed the questions of the origin of society and the legitimacy of the authority of the state over the individual.
- Thomas Hobbes' conception of natural rights extended from his conception of man in a " state of nature." He objected to the attempt to derive rights from " natural law," arguing that law ("lex") and right ("jus") though often confused, signify opposites, with law referring to obligations, while rights refers to the absence of obligations.
- The most famous natural right formulation comes from John Locke, who argued that the natural rights include perfect equality and freedom, and the right to preserve life and property. Other Enlightenment and post-Enlightenment philosophers that developed and complicated the concept of natural rights were John Lilburne, Francis Hutcheson, Georg Hegel, and Thomas Paine.
- The modern European anti-slavery movement drew heavily from the concept of natural rights that became central to the efforts of European abolitionists.

Key Terms

- **Legal rights**: The rights bestowed onto a person by a given legal system (i.e., rights that can be modified, repealed, and restrained by human laws).
- **Natural rights**: The rights that are not dependent on the laws, customs, or beliefs of any particular culture or government, and are therefore universal and inalienable (i.e., rights that cannot be repealed or restrained by human laws). Some, yet not all, see them as synonymous with human rights.
- **natural law**: A philosophy that certain rights or values are inherent by virtue of human nature, and can be universally understood through human reason. Historically, it refers to the use of reason to analyze both social and personal human nature in order to deduce binding rules of moral behavior. The law of nature, like nature itself, is universal.
- **social contract theory**: In moral and political philosophy, a theory or model originating during the Age of Enlightenment that typically addresses the questions of the origin of society and the legitimacy of the authority of the state over the individual. It typically posits that individuals have consented, either explicitly or tacitly, to surrender some of their freedoms and submit to the authority of the ruler or magistrate (or to the decision of a majority), in exchange for protection of their remaining rights.

Natural Rights and Natural Law

Natural rights are usually juxtaposed with the concept of legal rights. Legal rights are those bestowed onto a person by a given legal system (i.e., rights that can be modified, repealed, and restrained by human laws). Natural rights are those that are not dependent on the laws, customs, or beliefs of any particular culture or government, and are therefore universal and inalienable (i.e., rights that cannot be repealed or restrained by human laws). Natural rights are closely related to the concept of natural law (or laws). During the Enlightenment, the concept of natural laws was used to challenge the divine right of kings, and became an alternative justification for the establishment of a social contract, positive law, and government (and thus, legal rights) in the form of classical republicanism (built around concepts such as civil society, civic virtue, and mixed government). Conversely, the concept of natural rights is used by others to challenge the legitimacy of all such establishments.

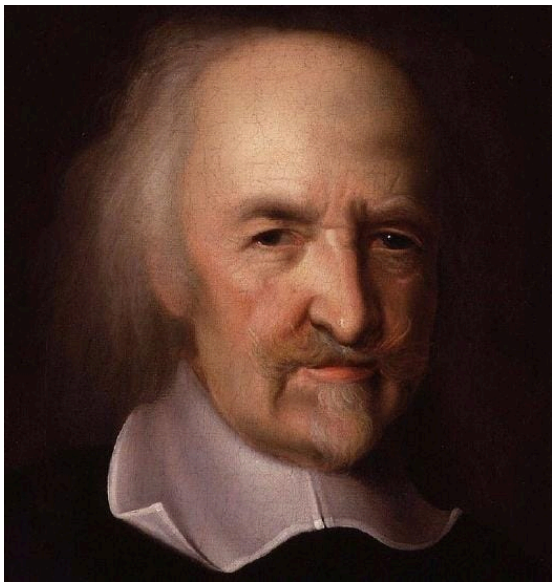
The idea of natural rights is also closely related to that of human rights; some acknowledge no difference between the two, while others choose to keep the terms separate to eliminate association with some features traditionally associated with natural rights. Natural rights, in particular, are considered beyond the authority of any government or international body to dismiss.

Natural Rights and Social Contract

Although natural rights have been discussed since antiquity, it was the philosophers of the Age of Enlightenment that developed the modern concept of natural rights, which has been critical to the modern republican government and civil society.

At the time, natural rights developed as part of the social contract theory, which addressed the questions of the origin of society and the legitimacy of the authority of the state over the individual. Social contract arguments typically posit that individuals have consented, either explicitly or tacitly, to surrender some of their freedoms and submit to the authority of the ruler or magistrate (or to the decision of a majority), in exchange for protection of their remaining rights. The question of the relation between natural and legal rights, therefore, is often an aspect of social contract theory.

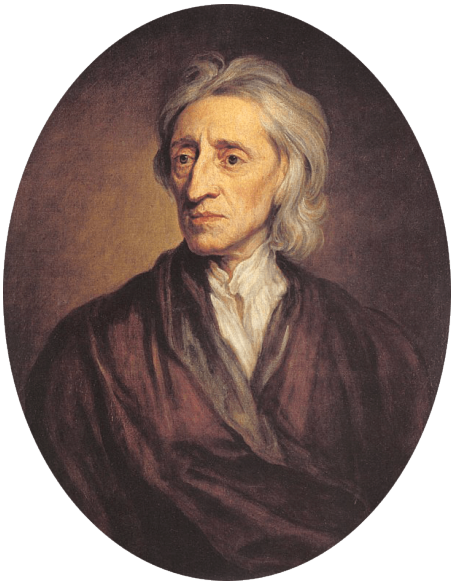
Thomas Hobbes' conception of natural rights extended from his conception of man in a "state of nature." He argued that the essential natural (human) right was "to use his own power, as he will himself, for the preservation of his own Nature; that is to say, of his own Life." Hobbes sharply distinguished this natural "liberty" from natural "laws." In his natural state, according to Hobbes, man's life consisted entirely of liberties, and not at all of laws. He objected to the attempt to derive rights from "natural law," arguing that law ("lex") and right ("jus") though often confused, signify opposites, with law referring to obligations, while rights refer to the absence of obligations. Since by our (human) nature, we seek to maximize our well being, rights are prior to law, natural or institutional, and people will not follow the laws of nature without first being subjected to a sovereign power, without which all ideas of right and wrong are meaningless.



Portrait of Thomas Hobbes by John Michael Wright, National Portrait Gallery, London: Thomas Hobbes' 1651 book Leviathan established social contract theory, the foundation of most later western political philosophy. Though on rational grounds a champion of absolutism for the sovereign, Hobbes also developed some of the fundamentals of European liberal thought: the right of the individual; the natural equality of all men; the artificial character of the political order (which led to the later distinction between civil society and the state); the view that all legitimate political power must be "representative" and based on the consent of the people; and a liberal interpretation of law that leaves people free to do whatever the law does not explicitly forbid.

The most famous natural right formulation comes from John Locke in his *Second Treatise*, when he introduces the state of nature. For Locke, the law of nature is grounded on mutual security, or the idea that one cannot infringe on another's natural rights, as every man is equal and has the same inalienable rights. These natural rights include perfect equality and freedom and the right to preserve life and property. Such fundamental rights could not be surrendered in the social contract. Another 17th-century Englishman, John Lilburne (known as Freeborn John) argued for level human rights that he called "*freeborn rights,*" which he defined as being rights that every human being is born with, as opposed to rights bestowed by government or by human law. The distinction between alienable and unalienable rights was introduced by Francis Hutcheson, who argued that "Unalienable Rights are essential Limitations in all Governments." In the German Enlightenment, Georg Hegel gave a highly developed treatment of the inalienability argument. Like Hutcheson, he based the theory of inalienable rights on the *de facto* inalienability of those aspects of personhood that distinguish persons from things. A thing, like a piece of property, can in fact be transferred from one person to another. According to Hegel, the same would not apply to those aspects that make one a person. Consequently, the question of whether property is an aspect of natural rights remains a matter of debate.

Thomas Paine further elaborated on natural rights in his influential work *Rights of Man* (1791), emphasizing that rights cannot be granted by any charter because this would legally imply they can also be revoked, and under such circumstances, they would be reduced to privileges.



Portrait of John Locke, by Sir Godfrey Kneller, Britain, 1697, State Hermitage Museum, St. Petersburg, Russia

The most famous natural right formulation comes from John Locke in his *Second Treatise*. For Locke, the natural rights include perfect equality and freedom, and the right to preserve life and property.

Natural Rights, Slavery, and Abolitionism

In discussion of social contract theory, "inalienable rights" were those rights that could not be surrendered by citizens to the sovereign. Such rights were thought to be natural rights, independent of positive law. Some social contract theorists reasoned, however, that in the natural state only the strongest could benefit from their rights. Thus, people form an implicit social contract, ceding their natural rights to the authority to protect the people from abuse, and living henceforth under the legal rights of that authority.

Many historical apologies for slavery and illiberal government were based on explicit or implicit voluntary contracts to alienate any natural rights to freedom and self-determination. Locke argued against slavery on the basis that enslaving yourself goes against the law of nature; you cannot surrender your own rights, your freedom is absolute and no one can take it from you. Additionally, Locke argues that one person cannot enslave another because it is morally reprehensible, although he introduces a caveat by saying that enslavement of a lawful captive in time of war would not go against one's natural rights. The *de facto* inalienability arguments of Hutcheson and his predecessors provided the basis for the anti-slavery movement to argue not simply against involuntary slavery but against any explicit or implied contractual forms of slavery. Any contract that tried to legally alienate such a right would be inherently invalid. Similarly, the argument was used by the democratic movement to argue against any explicit or implied social contracts of subjection by which a people would supposedly alienate their right of self-government to a sovereign.

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10.2: Enlightenment Thinkers

Thomas Hobbes

Thomas Hobbes, an English philosopher and scientist, was one of the key figures in the political debates of the Enlightenment period. He introduced a social contract theory based on the relation between the absolute sovereign and the civil society.

LEARNING OBJECTIVES

- Describe Thomas Hobbes' beliefs on the relationship between government and the people

KEY TAKEAWAYS

Key Points

- Thomas Hobbes, an English philosopher and scientist, was one of the key figures in the political debates of the Enlightenment period. Despite advocating the idea of absolutism of the sovereign, he developed some of the fundamentals of European liberal thought.
- Hobbes was the first modern philosopher to articulate a detailed social contract theory that appeared in his 1651 work *Leviathan*. In it, Hobbes set out his doctrine of the foundation of states and legitimate governments and creating an objective science of morality.
- Hobbes argued that in order to avoid chaos, which he associated with the state of nature, people accede to a social contract and establish a civil society.
- One of the most influential tensions in Hobbes' argument is a relation between the absolute sovereign and the society. According to Hobbes, society is a population beneath a sovereign authority, to whom all individuals in that society cede some rights for the sake of protection. Any power exercised by this authority cannot be resisted because the protector's sovereign power derives from individuals' surrendering their own sovereign power for protection.
- Hobbes also included a discussion of natural rights in his moral and political philosophy. While he recognized the inalienable rights of the human, he argued that if humans wished to live peacefully, they had to give up most of their natural rights and create moral obligations, in order to establish political and civil society.

Key Terms

- **natural rights**: The rights that are not dependent on the laws, customs, or beliefs of any particular culture or government, and are therefore universal and inalienable (i.e., rights that cannot be repealed or restrained by human laws).
- **English Civil War**: A series of armed conflicts and political machinations between Parliamentarians ("Roundheads") and Royalists ("Cavaliers") over, principally, the manner of England's government. The first (1642-1646) and second (1648-1649) conflicts pitted the supporters of King Charles I against the supporters of the Long Parliament, while the third (1649-1651) saw fighting between supporters of King Charles II and supporters of the Rump Parliament.
- **social contract theory**: A theory or a model that typically posits that individuals have consented, either explicitly or tacitly, to surrender some of their freedoms and submit to the authority of the ruler or magistrate (or to the decision of a majority), in exchange for protection of their remaining rights.
- **Leviathan**: A book written by Thomas Hobbes (1588-1679) and published in 1651. The work concerns the structure of society and legitimate government, and is regarded as one of the earliest and most influential examples of social contract theory. It argues for a social contract and rule by an absolute sovereign.

Background: The Age of Enlightenment

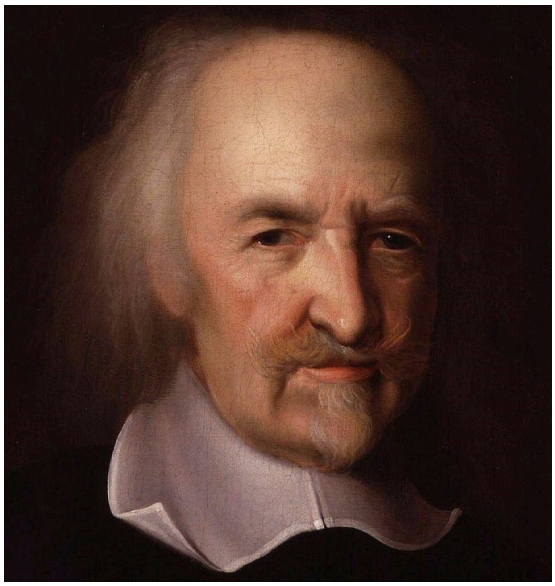
The Enlightenment was a philosophical movement that dominated the world of ideas in Europe in the 18th century. It included a range of ideas centered on reason as the primary source of authority and legitimacy, and came to advance ideals, such as liberty, progress, tolerance, fraternity, constitutional government, and separation of church and state. The Enlightenment has also been hailed as the foundation of modern western political and intellectual culture. It brought political modernization to the

west by introducing democratic values and institutions and the creation of modern, liberal democracies. Thomas Hobbes, an English philosopher and scientist, was one of the key figures in the political debates of the period. Despite advocating the idea of absolutism of the sovereign, Hobbes developed some of the fundamentals of European liberal thought: the right of the individual; the natural equality of all men; the artificial character of the political order (which led to the later distinction between civil society and the state); the view that all legitimate political power must be "representative" and based on the consent of the people; and a liberal interpretation of law that leaves people free to do whatever the law does not explicitly forbid.

Leviathan: Social Contract

Hobbes was the first modern philosopher to articulate a detailed social contract theory that appeared in his 1651 work *Leviathan*. In it, Hobbes set out his doctrine of the foundation of states and legitimate governments and creating an objective science of morality. As *Leviathan* was written during the English Civil War, much of the book is occupied with demonstrating the necessity of a strong central authority to avoid the evil of discord and civil war.

Beginning from a mechanistic understanding of human beings and the passions, Hobbes postulates what life would be like without government, a condition which he calls the state of nature. In that state, each person would have a right, or license, to everything in the world. This, Hobbes argues, would lead to a "war of all against all." In such a state, people fear death and lack both the things necessary to commodious living and the hope of being able to toil to obtain them. So, in order to avoid it, people accede to a social contract and establish a civil society. According to Hobbes, society is a population beneath a sovereign authority, to whom all individuals in that society cede some rights for the sake of protection. Any power exercised by this authority cannot be resisted because the protector's sovereign power derives from individuals' surrendering their own sovereign power for protection. The individuals are thereby the authors of all decisions made by the sovereign. There is no doctrine of separation of powers in Hobbes's discussion. According to Hobbes, the sovereign must control civil, military, judicial, and ecclesiastical powers.



Thomas Hobbes by John Michael Wright, circa 1669-1670, National Portrait Gallery, London

Hobbes was one of the founders of modern political philosophy and political science. He also contributed to a diverse array of other fields, including history, geometry, the physics of gases, theology, ethics, and general philosophy.

Natural Rights

Hobbes also included a discussion of natural rights in his moral and political philosophy. His' conception of natural rights extended from his conception of man in a "state of nature." He argued that the essential natural (human) right was "to use his own power, as he will himself, for the preservation of his own Nature; that is to say, of his own Life (...)." Hobbes sharply distinguished this natural "liberty" from natural "laws." In his natural state, man's life consisted entirely of liberties and not at all of laws, which leads to the world of chaos created by unlimited rights. Consequently, if humans wish to live peacefully, they must give up most of their natural rights and create moral obligations in order to establish political and civil society.

Hobbes objected to the attempt to derive rights from " natural law," arguing that law ("lex") and right ("jus") though often confused,

signify opposites, with law referring to obligations, while rights refer to the absence of obligations. Since by our (human) nature, we seek to maximize our well being, rights are prior to law, natural or institutional, and people will not follow the laws of nature without first being subjected to a sovereign power, without which all ideas of right and wrong are meaningless. This marked an important departure from medieval natural law theories which gave precedence to obligations over rights.

John Locke

John Locke, an English philosopher and physician, is regarded as one of the most influential Enlightenment thinkers, whose work greatly contributed to the development of the notions of social contract and natural rights.

LEARNING OBJECTIVES

- Explain Locke's conception of the social contract

KEY TAKEAWAYS

Key Points

- John Locke was an English philosopher and physician, widely regarded as one of the most influential of Enlightenment thinkers, and commonly known as the "Father of Liberalism." His writings were immensely influential for the development of social contract theory.
- *Two Treatises of Government*, Locke's most important work on political theory, is divided into the First Treatise and the Second Treatise. The First Treatise is focused on the refutation of Sir Robert Filmer, in particular his Patriarcha, which argued that civil society was founded on a divinely sanctioned patriarchalism. The Second Treatise outlines a theory of civil society.
- Locke's political theory was founded on social contract theory. He believed that human nature is characterized by reason and tolerance, but he assumed that the sole right to defend in the state of nature was not enough, so people established a civil society to resolve conflicts in a civil way with help from government in a state of society.
- Locke's conception of natural rights is captured in his best known statement that individuals have a right to protect their "life, health, liberty, or possessions" and in his belief that the natural right to property is derived from labor.
- The debate continues among scholars over the disparities between Locke's philosophical arguments and his personal involvement in the slave trade and slavery in North American colonies, and over whether his writings provide, in fact, justification of slavery.

Key Terms

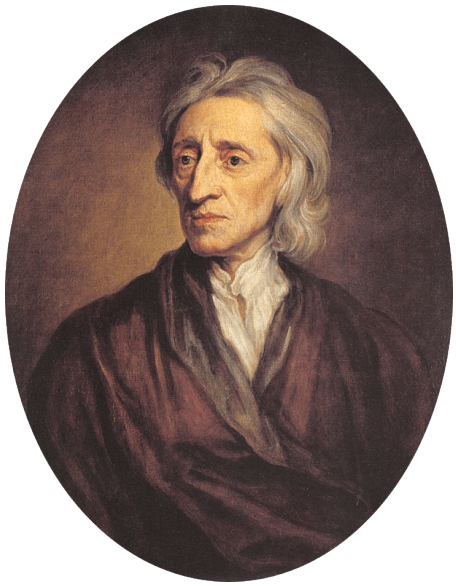
- **Rye House Plot**: A 1683 plan to assassinate King Charles II of England and his brother (and heir to the throne) James, Duke of York. Historians vary in their assessment of the degree to which details of the conspiracy were finalized.
- **empiricism**: A theory that states that knowledge comes only or primarily from sensory experience. It is a fundamental part of the scientific method that all hypotheses and theories must be tested against observations of the natural world, rather than resting solely on a priori reasoning, intuition, or revelation.
- **Two Treatises of Government**: A work of political philosophy published anonymously in 1689 by John Locke. The first section attacks patriarchalism in the form of sentence-by-sentence refutation of Robert Filmer's Patriarcha, while the second outlines Locke's ideas for a more civilized society based on natural rights and contract theory.
- **natural rights**: The rights that are not dependent on the laws, customs, or beliefs of any particular culture or government, and are therefore universal and inalienable (i.e., rights that cannot be repealed or restrained by human laws).
- **social contract theory**: A theory or a model that typically posits that individuals have consented, either explicitly or tacitly, to surrender some of their freedoms and submit to the authority of the ruler or magistrate (or to the decision of a majority), in exchange for protection of their remaining rights.

John Locke: Introduction

John Locke was an English philosopher and physician, widely regarded as one of the most influential of Enlightenment thinkers and commonly known as the "Father of Liberalism." Considered one of the first of the British empiricists, he is equally important to social contract theory. His work greatly affected the development of epistemology and political philosophy. His writings influenced

Voltaire and Rousseau, many Scottish enlightenment thinkers, as well as the American revolutionaries. His contributions to classical republicanism and liberal theory are reflected in the United States Declaration of Independence.

Locke was born in 1632 in Wrington, Somerset, about 12 miles from Bristol, and grew up in the nearby town of Pensford. In 1647, he was sent to the prestigious Westminster School in London, and after completing studies there, he was admitted to Christ Church, Oxford in 1652. Although a capable student, Locke was irritated by the undergraduate curriculum of the time. He found the works of modern philosophers, such as René Descartes, more interesting than the classical material taught at the university. Through a friend, Locke was introduced to medicine and the experimental philosophy being pursued at other universities and in the Royal Society, of which he eventually became a member. In 1667, he moved to London to serve as a personal physician, and to resume his medical studies. He also served as Secretary of the Board of Trade and Plantations and Secretary to the Lords Proprietor of Carolina, which helped to shape his ideas on international trade and economics. Locke fled to the Netherlands in 1683, under strong suspicion of involvement in the Rye House Plot, although there is little evidence to suggest that he was directly involved in the scheme. In the Netherlands, he had time to return to his writing, although the bulk of Locke's publishing took place upon his return from exile in 1688. He died in 1704. Locke never married nor had children.



Portrait of John Locke, by Sir Godfrey Kneller,1697, State Hermitage Museum, St. Petersburg, Russia

Locke's theory of mind has been as influential as his political theory, and is often cited as the origin of modern conceptions of identity and the self. Locke was the first to define the self through a continuity of *consciousness*. He postulated that, at birth, the mind was a blank slate or *tabula rasa*. Contrary to Cartesian philosophy based on pre-existing concepts, he maintained that we are born without innate ideas, and that knowledge is instead determined only by experience derived from sense perceptions.

Two Treatises of Government

Two Treatises of Government, Locke's most important and influential work on political theory, was first published anonymously in 1689. It is divided into the *First Treatise* and the *Second Treatise*. The *First Treatise* is focused on the refutation of Sir Robert Filmer, in particular his *Patriarcha*, which argued that civil society was founded on a divinely sanctioned patriarchalism. Locke proceeds through Filmer's arguments, contesting his proofs from Scripture and ridiculing them as senseless, until concluding that no government can be justified by an appeal to the divine right of kings. The *Second Treatise* outlines a theory of civil society. Locke begins by describing the state of nature, a picture much more stable than Thomas Hobbes' state of "war of every man against every man," and argues that all men are created equal in the state of nature by God. He goes on to explain the hypothetical rise of property and civilization, in the process explaining that the only legitimate governments are those that have the consent of the people. Therefore, any government that rules without the consent of the people can, in theory, be overthrown.

Locke's political theory was founded on social contract theory. Unlike Hobbes, Locke believed that human nature is characterized by reason and tolerance. Similarly to Hobbes, he assumed that the sole right to defend in the state of nature was not enough, so people established a civil society to resolve conflicts in a civil way with help from government in a state of society. However, Locke never refers to Hobbes by name and may instead have been responding to other writers of the day. He also advocated governmental separation of powers, and believed that revolution is not only a right but an obligation in some circumstances.

These ideas would come to have profound influence on the Declaration of Independence and the Constitution of the United States. However, Locke did not demand a republic. Rather, he believed a legitimate contract could easily exist between citizens and a monarchy, an oligarchy, or in some mixed form.

Natural Rights

Locke's conception of natural rights is captured in his best known statement that individuals have a right to protect their "life, health, liberty, or possessions" and in his belief that the natural right to property is derived from labor. He defines the state of nature as a condition, in which humans are rational and follow natural law, and in which all men are born equal with the right to life, liberty and property. However, when one citizen breaks the Law of Nature, both the transgressor and the victim enter into a state of war, from which it is virtually impossible to break free. Therefore, Locke argued that individuals enter into civil society to protect their natural rights via an "unbiased judge" or common authority, such as courts.

Constitution of Carolina and Views on Slavery

Locke's writings have often been tied to liberalism, democracy, and the foundation of the United States as the first modern democratic republic. However, historians also note that Locke was a major investor in the English slave-trade through the Royal African Company. In addition, he participated in drafting the *Fundamental Constitutions of Carolina*, which established a feudal aristocracy and gave a master absolute power over his slaves. Because of his opposition to aristocracy and slavery in his major writings, some historians accuse Locke of hypocrisy and racism, and point out that his idea of liberty is reserved to Europeans or even the European capitalist class only. The debate continues among scholars over the disparities between Locke's philosophical arguments and his personal involvement in the slave trade and slavery in North American colonies, and over whether his writings provide, in fact, justification of slavery.

Baron de Montesquieu

Montesquieu was a French political philosopher of the Enlightenment period, whose articulation of the theory of separation of powers is implemented in many constitutions throughout the world.

LEARNING OBJECTIVES

- Describe Montesquieu's solution for keeping power from falling into the hands of any one individual

KEY TAKEAWAYS

Key Points

- Montesquieu was a French lawyer, man of letters, and one of the most influential political philosophers of the Age of Enlightenment. His political theory work, particularly the idea of separation of powers, shaped the modern democratic government.
- *The Spirit of the Laws* is a treatise on political theory that was first published anonymously by Montesquieu in 1748. Montesquieu covered many topics, including the law, social life, and the study of anthropology, and provided more than 3,000 commendations.
- In this political treatise, Montesquieu pleaded in favor of a constitutional system of government and the separation of powers, the ending of slavery, the preservation of civil liberties and the law, and the idea that political institutions should reflect the social and geographical aspects of each community.
- Montesquieu defines three main political systems: republican, monarchical, and despotic. As he defines them, republican political systems vary depending on how broadly they extend citizenship rights.
- Another major theme in *The Spirit of Laws* concerns political liberty and the best means of preserving it. Establishing political liberty requires two things: the separation of the powers of government, and the appropriate framing of civil and criminal laws so as to ensure personal security.
- Montesquieu argues that the executive, legislative, and judicial functions of government (the so-called tripartite system) should be assigned to different bodies, so that attempts by one branch of government to infringe on political liberty might be restrained by the other branches (checks and balances). He also argues against slavery and for the freedom of thought,

speech, and assembly.

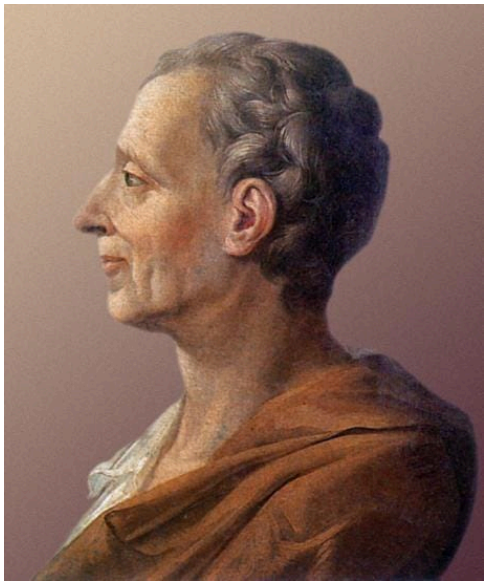
Key Terms

- **Index Librorum Prohibitorum**: A list of publications deemed heretical, anti-clerical, or lascivious, and therefore banned by the Catholic Church.
- **Glorious Revolution**: The overthrow of King James II of England (James VII of Scotland and James II of Ireland) by a union of English Parliamentarians with the Dutch stadtholder William III of Orange-Nassau (William of Orange). William's successful invasion of England with a Dutch fleet and army led to his ascending of the English throne as William III of England jointly with his wife Mary II of England, in conjunction with the documentation of the Bill of Rights 1689.
- **separation of powers**: A model for the governance of a state (or who controls the state), first proposed in ancient Greece and developed and modernized by the French political philosopher Montesquieu. Under this model, the state is divided into branches, each with separate and independent powers and areas of responsibility so that the powers of one branch are not in conflict with the powers associated with the other branches. The typical division of branches is legislature, executive, and judiciary.
- **The Spirit of the Laws**: A treatise on political theory first published anonymously by Montesquieu in 1748. In it, Montesquieu pleaded in favor of a constitutional system of government and the separation of powers, the ending of slavery, the preservation of civil liberties and the law, and the idea that political institutions ought to reflect the social and geographical aspects of each community.

Introduction: Montesquieu

Baron de Montesquieu, usually referred to as simply Montesquieu, was a French lawyer, man of letters, and one of the most influential political philosophers of the Age of Enlightenment. He was born in France in 1689. After losing both parents at an early age, he became a ward of his uncle, the Baron de Montesquieu. He became a counselor of the Bordeaux Parliament in 1714. A year later, he married Jeanne de Lartigue, a Protestant, who bore him three children. Montesquieu's early life occurred at a time of significant governmental change. England had declared itself a constitutional monarchy in the wake of its Glorious Revolution (1688-89), and had joined with Scotland in the Union of 1707 to form the Kingdom of Great Britain. In France, the long-reigning Louis XIV died in 1715, and was succeeded by five year-old Louis XV. These national transformations had a great impact on Montesquieu, who would refer to them repeatedly in his work. Montesquieu withdrew from the practice of law to devote himself to study and writing.

Besides writing works on society and politics, Montesquieu traveled for a number of years through Europe, including Austria and Hungary, spending a year in Italy and 18 months in England, where he became a freemason before resettling in France. He was troubled by poor eyesight and was completely blind by the time he died from a high fever in 1755.



Montesquieu, portrait by an unknown artist, c. 1727: Montesquieu is famous for his articulation of the theory of separation of powers, which is implemented in many constitutions throughout the world. He is also known for doing more than any other author to secure the place of the word "despotism" in the political lexicon.

The Spirit of Laws

The Spirit of the Laws is a treatise on political theory first published anonymously by Montesquieu in 1748. The book was originally published anonymously partly because Montesquieu's works were subject to censorship, but its influence outside France grew with rapid translation into other languages. In 1750, Thomas Nugent published the first English translation. In 1751, the Catholic Church added it to its *Index Librorum Prohibitorum* (list of prohibited books). Yet Montesquieu's political treatise had an enormous influence on the work of many others, most notably the founding fathers of the United States Constitution, and Alexis de Tocqueville, who applied Montesquieu's methods to a study of American society in *Democracy in America*.

Montesquieu spent around 21 years researching and writing *The Spirit of the Laws*, covering many things, including the law, social life, and the study of anthropology, and providing more than 3,000 commendations. In this political treatise, Montesquieu pleaded in favor of a constitutional system of government and the separation of powers, the ending of slavery, the preservation of civil liberties and the law, and the idea that political institutions should reflect the social and geographical aspects of each community.

Montesquieu defines three main political systems: republican, monarchical, and despotic. As he defines them, republican political systems vary depending on how broadly they extend citizenship rights—those that extend citizenship relatively broadly are termed democratic republics, while those that restrict citizenship more narrowly are termed aristocratic republics. The distinction between monarchy and despotism hinges on whether or not a fixed set of laws exists that can restrain the authority of the ruler. If so, the regime counts as a monarchy. If not, it counts as despotism.

A second major theme in *The Spirit of Laws* concerns political liberty and the best means of preserving it. Montesquieu's political liberty is what we might call today personal security, especially insofar as this is provided for through a system of dependable and moderate laws. He distinguishes this view of liberty from two other, misleading views of political liberty. The first is the view that liberty consists in collective self-government (i.e., that liberty and democracy are the same). The second is the view that liberty consists of being able to do whatever one wants without constraint. Political liberty is not possible in a despotic political system, but it is possible, though not guaranteed, in republics and monarchies. Generally speaking, establishing political liberty requires two things: the separation of the powers of government, and the appropriate framing of civil and criminal laws so as to ensure personal security.

Separation of Powers and Appropriate Laws

Building on and revising a discussion in John Locke's *Second Treatise of Government*, Montesquieu argues that the executive, legislative, and judicial functions of government (the so-called tripartite system) should be assigned to different bodies, so that attempts by one branch of government to infringe on political liberty might be restrained by the other branches (checks and balances). Montesquieu based this model on the Constitution of the Roman Republic and the British constitutional system. He took the view that the Roman Republic had powers separated so that no one could usurp complete power. In the British constitutional system, Montesquieu discerned a separation of powers among the monarch, Parliament, and the courts of law. He also notes that liberty cannot be secure where there is no separation of powers, even in a republic. Montesquieu also intends what modern legal scholars might call the rights to "robust procedural due process," including the right to a fair trial, the presumption of innocence, and the proportionality in the severity of punishment. Pursuant to this requirement to frame civil and criminal laws appropriately to ensure political liberty, Montesquieu also argues against slavery and for the freedom of thought, speech, and assembly.

Voltaire

Voltaire was a French Enlightenment writer, historian, and philosopher, who attacked the Catholic Church and advocated freedom of religion, freedom of expression, and separation of church and state.

LEARNING OBJECTIVES

- Discuss Voltaire's thoughts on the masses and government

KEY TAKEAWAYS

Key Points

- Voltaire was a French Enlightenment writer, historian, and philosopher famous for his wit, his attacks on the established Catholic Church, and his advocacy of freedom of religion, freedom of expression, and separation of church and state.
- Voltaire's political and philosophical views can be found in nearly all of his prose writings. Most of his prose was written as polemics, with the goal of conveying radical political and philosophical messages.
- Voltaire's works frequently contain the word "l'infâme" and the expression "écrasez l'infâme," or "crush the infamous." The phrase refers to abuses of the people by royalty and the clergy, and the superstition and intolerance that the clergy bred within the people. His two most famous works elaborating the concept are *The Treatise on Tolerance* and *The Philosophical Dictionary*.
- Voltaire had an enormous influence on the development of historiography through his demonstration of fresh new ways to look at the past. His best-known works are *The Age of Louis XIV* and T*he Essay on the Customs and the Spirit of the Nations*.
- In his criticism of the French society and existing social structures, Voltaire hardly spared anyone. He perceived the French bourgeoisie to be too small and ineffective, the aristocracy to be parasitic and corrupt, the commoners as ignorant and superstitious, and the church as a static and oppressive force.
- Voltaire distrusted democracy, which he saw as propagating the idiocy of the masses. He long thought only an enlightened monarch could bring about change, and that it was in the king's rational interest to improve the education and welfare of his subjects.

Key Terms

- **deism**: A theological/philosophical position that combines the rejection of revelation and authority as a source of religious knowledge, with the conclusion that reason and observation of the natural world are sufficient to determine the existence of a single creator of the universe.
- **The Philosophical Dictionary**: An encyclopedic dictionary published by Voltaire in 1764. The alphabetically arranged articles often criticize the Roman Catholic Church and other institutions. It represents the culmination of Voltaire's views on Christianity, God, morality, and other subjects.
- **The Treatise on Tolerance**: A work by French philosopher Voltaire, published in 1763, in which he calls for tolerance between religions, and targets religious fanaticism, especially that of the Jesuits (under whom Voltaire received his early education), indicting all superstitions surrounding religions.
- **Ancien Régime**: The monarchic-aristocratic, social, and political system established in the Kingdom of France from approximately the 15th century until the latter part of the 18th century ("early modern France"), under the late Valois and Bourbon Dynasties. The term is occasionally used to refer to the similar feudal social and political order of the time elsewhere in Europe.

Introduction: Voltaire

François-Marie Arouet, known by his literary pseudonym Voltaire, was a French Enlightenment writer, historian, and philosopher famous for his wit, his attacks on the established Catholic Church, and his advocacy of freedom of religion, freedom of expression, and separation of church and state.

He was born in Paris in 1694 and educated by the Jesuits at the Collège Louis-le-Grand (1704-1711). By the time he left school, Voltaire had decided he wanted to be a writer, against the wishes of his father, who wanted him to become a lawyer. Under his father's pressure, he studied law but he continued to write, producing essays and historical studies. In 1713, his father obtained a job for him as a secretary to a French ambassador in the Netherlands, but Voltaire was forced to return to France after a scandalous affair. From early on, he had trouble with the authorities over his critiques of the government. These activities were to result in two imprisonments and a temporary exile to England. One satirical verse, in which Voltaire accused Philippe II, Duke of Orléans, of incest with his own daughter, led to an eleven-month imprisonment in the Bastille (after which he adopted the name Voltaire). He mainly argued for religious tolerance and freedom of thought. He campaigned to eradicate priestly and aristocratic-monarchical authority, and supported a constitutional monarchy that protects people's rights.



Voltaire, portrait by Nicolas de Largillière, c. 1724

Voltaire was a versatile writer, producing works in almost every literary form, including plays, poems, novels, essays, and historical and scientific works. He wrote more than 20,000 letters and more than 2,000 books and pamphlets. He was an outspoken advocate of several liberties, despite the risk this placed him in under the strict censorship laws of the time. As a satirical polemicist, he frequently made use of his works to criticize intolerance, religious dogma, and the French institutions of his day.

Political and Philosophical Views

Voltaire's political and philosophical views can be found in nearly all of his prose writings, even in what would be typically categorized as fiction. Most of his prose, including such genres as romance, drama, or satire, was written as polemics with the goal of conveying radical political and philosophical messages. His works, especially private letters, frequently contain the word *"l'infâme"* and the expression *"écrasez l'infâme,"* or "crush the infamous." The phrase refers to abuses of the people by royalty and the clergy that Voltaire saw around him, and the superstition and intolerance that the clergy bred within the people. Voltaire's first major philosophical work in his battle against *"l'infâme"* was *The Treatise on Tolerance* (1763), in which he calls for tolerance between religions and targets religious fanaticism, especially that of the Jesuits, indicting all superstitions surrounding religions. The book was quickly banned. Only a year later, he published *The Philosophical Dictionary*— an encyclopedic dictionary with alphabetically arranged articles that criticize the Roman Catholic Church and other institutions. In it, Voltaire is concerned with the injustices of the Catholic Church, which he sees as intolerant and fanatical. At the same time, he espouses deism, tolerance, and freedom of the press. *The Dictionary* was Voltaire's lifelong project, modified and expanded with each edition. It represents the culmination of his views on Christianity, God, morality, and other subjects.

Voltaire as Historian

Voltaire had an enormous influence on the development of historiography through his demonstration of fresh new ways to look at the past. His best-known historiography works are *The Age of Louis XIV* (1751) and *The Essay on the Customs and the Spirit of the Nations* (1756). Voltaire broke from the tradition of narrating diplomatic and military events, and emphasized customs, social history, and achievements in the arts and sciences. *The Essay* traced the progress of world civilization in a universal context, thereby rejecting both nationalism and the traditional Christian frame of reference. Voltaire was also the first scholar to make a serious attempt to write the history of the world, eliminating theological frameworks and emphasizing economics, culture, and political history. He treated Europe as a whole, rather than a collection of nations. He was the first to emphasize the debt of medieval culture to Middle Eastern civilization, and consistently exposed the intolerance and frauds of the church over the ages.

Views on the Society

In his criticism of the French society and existing social structures, Voltaire hardly spared anyone. He perceived the French bourgeoisie to be too small and ineffective, the aristocracy to be parasitic and corrupt, the commoners as ignorant and superstitious, and the church as a static and oppressive force useful only on occasion as a counterbalance to the rapacity of

kings, although all too often, even more rapacious itself. Voltaire distrusted democracy, which he saw as propagating the idiocy of the masses. He long thought only an enlightened monarch could bring about change, given the social structures of the time and the extremely high rates of illiteracy, and that it was in the king's rational interest to improve the education and welfare of his subjects. But his disappointments and disillusions with Frederick the Great changed his philosophy and soon gave birth to one of his most enduring works, his novella *Candide, or Optimism* (1759), which ends with a new conclusion: "It is up to us to cultivate our garden."

He is remembered and honored in France as a courageous polemicist who indefatigably fought for civil rights (as the right to a fair trial and freedom of religion), and who denounced the hypocrisies and injustices of the *Ancien Régime*. The *Ancien Régime* involved an unfair balance of power and taxes between the three Estates: clergy and nobles on one side, the commoners and middle class, who were burdened with most of the taxes, on the other.

Jean-Jacques Rousseau

Jean-Jacques Rousseau was a Francophone Genevan philosopher and writer, whose conceptualization of social contract, the theory of natural human, and works on education greatly influenced the political, philosophical, and social western tradition.

LEARNING OBJECTIVES

- Identify the components of Rousseau's philosophy, particularly the idea of the General Will

KEY TAKEAWAYS

Key Points

- Jean-Jacques Rousseau was a Francophone Genevan philosopher, writer, and composer. His political philosophy influenced the Enlightenment in France and across Europe. It was also important to the French Revolution and the overall development of modern political and educational thought.
- In common with other philosophers of the day, Rousseau looked to a hypothetical state of nature as a normative guide. In *The Discourse on the Origins of Inequality Among Men*, he maintained that the stage of human development associated with what he called "savages" was the best or optimal in human development.
- In his *Discourse on the Moral Effects of the Arts and Sciences*, Rousseau argued, in opposition to the dominant stand of Enlightenment thinkers, that the arts and sciences corrupt human morality.
- *The Social Contract* outlines the basis for a legitimate political order within a framework of classical republicanism. Published in 1762, it became one of the most influential works of political philosophy in the western tradition.
- Rousseau's philosophy of education concerns itself with developing the students' character and moral sense, so that they may learn to practice self-mastery and remain virtuous even in the unnatural and imperfect society in which they will have to live.
- Rousseau was a believer in the moral superiority of the patriarchal family on the antique Roman model. To him, ideal woman is educated to be governed by her husband, while ideal man is educated to be self-governing.

Key Terms

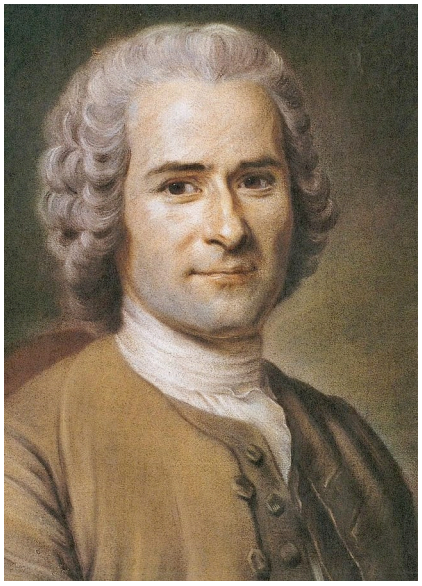
- **"noble savage"**: A literary stock character who embodies the concept of an idealized indigene, outsider, or "other" who has not been "corrupted" by civilization, and therefore symbolizes humanity's innate goodness. In English, the phrase first appeared in the 17th century in John Dryden's heroic play The Conquest of Granada (1672).
- **The Discourse on the Origins of Inequality Among Men**: A work by philosopher Jean-Jacques Rousseau that first exposes his conception of a human state of nature and of human perfectibility, an early idea of progress. In it, Rousseau explains how, according to him, people may have established civil society, which leads him to present private property as the original source and basis of all inequality.
- **state of nature**: A concept used in moral and political philosophy, religion, social contract theories, and international law to denote the hypothetical conditions of what the lives of people might have been like before societies came into existence. In some versions of social contract theory, there are no rights in the state of nature, only freedoms, and it is the contract that creates rights and obligations. In other versions the opposite occurs— the contract imposes restrictions upon individuals that curtail their natural rights.

- **Discourse on the Moral Effects of the Arts and Sciences**: A 1750 treatise by Jean-Jacques Rousseau, which argued that the arts and sciences corrupt human morality. It was Rousseau's first expression of his influential views about nature vs. society, to which he would dedicate most of his intellectual life.
- **The Social Contract**: A 1762 treatise by Jean-Jacques Rousseau, in which he theorized the best way to establish a political community in the face of the problems of commercial society. The work helped inspire political reforms and revolutions in Europe. It argued against the idea that monarchs were divinely empowered to legislate. Rousseau asserts that only the people, who are sovereign, have that all-powerful right.
- **general will**: A philosophical and political concept, developed and popularized in the 18th century, that denoted the will of the people as a whole. It served to designate the common interest embodied in legal tradition, as distinct from, and transcending, people's private and particular interests at any particular time.

Introduction: Jean-Jacques Rousseau

Jean-Jacques Rousseau was a Francophone Genevan philosopher, writer, and composer. His political philosophy influenced the Enlightenment in France and across Europe. It was also important to the French Revolution and the overall development of modern political and educational thought.

Rousseau was born in 1712 in Geneva, which was at the time a city-state and a Protestant associate of the Swiss Confederacy. His mother died several days after he was born, and after his father remarried a few years later, Jean-Jacques was left with his maternal uncle, who packed him away, along with his own son, to board for two years with a Calvinist minister in a hamlet outside Geneva. Here, the boys picked up the elements of mathematics and drawing. After his father and uncle had more or less disowned him, the teenage Rousseau supported himself for a time as a servant, secretary, and tutor, wandering in Italy and France. He had been an indifferent student, but during his 20s, which were marked by long bouts of hypochondria, he applied himself to the study of philosophy, mathematics, and music. Rousseau spent his adulthood holding numerous administrative positions and moving across Europe, often to escape a controversy caused by his radical writings. His relationships with various women had important impacts on his life choices (e.g., temporary conversion to Catholicism) and inspired many of his writings. His decision to place his five children (born from a long-term domestic partnership with Thérèse Levasseur) in a shelter for abandoned children was widely criticized by his contemporaries and generations to come, particularly in light of his progressive works on education. Rousseau died in 1778.



Jean-Jacques Rousseau, portrait by Maurice Quentin de La Tour, c. 1753: During the period of the French Revolution, Rousseau was the most popular of the philosophers among members of the Jacobin Club. Rousseau was interred as a national hero in the Panthéon in Paris, in 1794, 16 years after his death

The Theory of Natural Human

In common with other philosophers of the day, Rousseau looked to a hypothetical state of nature as a normative guide. Contrary to Thomas Hobbes' views, Rousseau holds that "uncorrupted morals" prevail in the "state of nature." In *The Discourse on the Origins of Inequality Among Men* (1754), Rousseau maintained that man in a state of nature had been a solitary, ape-like creature,

who was not *méchant* (bad), as Hobbes had maintained, but (like some other animals) had an "innate repugnance to see others of his kind suffer." He asserted that the stage of human development associated with what he called "savages" was the best or optimal in human development, between the less-than-optimal extreme of brute animals on the one hand, and the extreme of decadent civilization on the other. Espousing the belief that all degenerates in men's hands, Rousseau taught that men would be free, wise, and good in the state of nature, and that instinct and emotion, when not distorted by the unnatural limitations of civilization, are nature's voices and instructions to the good life. Rousseau's "noble savage" stands in direct opposition to the man of culture (however, while Rousseau discusses the concept, he never uses the phrase that appears in other authors' writings of the period). In his *Discourse on the Moral Effects of the Arts and Sciences* (1750), Rousseau argued, in opposition to the dominant stand of Enlightenment thinkers, that the arts and sciences corrupt human morality.

The Social Contract

The Social Contract outlines the basis for a legitimate political order within a framework of classical republicanism. Published in 1762, it became one of the most influential works of political philosophy in the western tradition. Rousseau claimed that the state of nature was a primitive condition without law or morality, which human beings left for the benefits and necessity of cooperation. As society developed, division of labor and private property required the human race to adopt institutions of law. According to Rousseau, by joining together into civil society through the social contract, and abandoning their claims of natural right, individuals can both preserve themselves and remain free. This is because submission to the authority of the general will of the people as a whole guarantees individuals against being subordinated to the wills of others, and also ensures that they obey themselves because they are, collectively, the authors of the law. The idea of general will denoted the will of the people as a whole. It served to designate the common interest embodied in legal tradition, as distinct from, and transcending, people's private and particular interests at any particular time.

Although Rousseau argues that sovereignty (or the power to make the laws) should be in the hands of the people, he also makes a sharp distinction between the sovereign and the government. He posits that the political aspects of a society should be divided into two parts. First, there must be a sovereign consisting of the whole population, women included, that represents the general will and is the legislative power within the state. The second division is that of the government, being distinct from the sovereign. This division is necessary because the sovereign cannot deal with particular matters like applications of the law. Doing so would undermine its generality, and therefore damage its legitimacy. Thus, government must remain a separate institution from the sovereign body. When the government exceeds the boundaries set in place by the people, it is the mission of the people to abolish such government, and begin anew.

Education Theory

Rousseau's philosophy of education, elaborated in his 1762 treatise *Emile, or On Education,* concerns itself with developing the students' character and moral sense, so that they may learn to practice self-mastery and remain virtuous even in the unnatural and imperfect society in which they will have to live. The hypothetical boy, Émile, is to be raised in the countryside, which, Rousseau believes, is a more natural and healthy environment than the city, under the guardianship of a tutor, who will guide him through various learning experiences arranged by the tutor. Rousseau felt that children learn right and wrong through experiencing the consequences of their acts, rather than through physical punishment. The tutor will make sure that no harm results to Émile through his learning experiences. Rousseau became an early advocate of developmentally appropriate education.

Although many of Rousseau's ideas foreshadowed modern ones in many ways, in one way they do not; Rousseau was a believer in the moral superiority of the patriarchal family on the antique Roman model. Sophie, the young woman Émile is destined to marry, as a representative of ideal womanhood, is educated to be governed by her husband, while Émile, as representative of the ideal man, is educated to be self-governing. This is an essential feature of Rousseau's educational and political philosophy, and particularly important to the distinction between private, personal relations and the public world of political relations. The private sphere as Rousseau imagines it depends on the subordination of women, in order for both it and the public political sphere (upon which it depends) to function as Rousseau imagines it could and should. Rousseau anticipated the modern idea of the bourgeois nuclear family, with the mother at home taking responsibility for the household, childcare, and early education.

Marquis de Condorcet

Although Marquis de Condorcet's ideas are considered to embody the ideals of the Age of Enlightenment, his support of liberal economy, free and equal public instruction, constitutionalism, and equal rights for women and people of all races distinguish him from most of his contemporaries.

LEARNING OBJECTIVES

- Compare and contrast the Marquis de Condorcet's thoughts on popular rule with the other Enlightenment thinkers

KEY TAKEAWAYS

Key Points

- Marquis de Condorcet, was a French philosopher, mathematician, and early political scientist. Unlike many of his contemporaries, he advocated a liberal economy, free and equal public instruction, constitutionalism, and equal rights for women and people of all races.
- He launched a career as a mathematician, soon reaching international fame. However, his political ideas, particularly that of radical democracy and opposition to slavery, were criticized heavily in the English-speaking world.
- Condorcet took a leading role when the French Revolution swept France in 1789. He hoped for a rationalist reconstruction of society, and championed many liberal causes, including women's suffrage.
- Condorcet's *Sketch for a Historical Picture of the Progress of the Human Spirit* is perhaps the most influential formulation of the Idea of Progress ever written. It narrates the history of civilization as one of progress in the sciences, and shows the intimate connection between scientific progress and the development of human rights and justice.
- According to Condorcet, for republicanism to exist the nation needed enlightened citizens, and education needed democracy to become truly public. In order to educate citizens, he proposed a system of free public education.

Key Terms

- **rationalism**: In epistemology, the view that regards reason as the chief source and test of knowledge, or any view appealing to reason as a source of knowledge or justification. More formally, it is defined as a methodology, or a theory, in which the criterion of the truth is not a result of experience but of intellect and deduction.
- **Idea of Progress**: In intellectual history, the idea that advances in technology, science, and social organization can produce an improvement in the human condition. That is, people can become better, in terms of quality of life (social progress), through economic development (modernization), and the application of science and technology (scientific progress). The assumption is that the process will happen once people apply their reason and skills, for it is not divinely foreordained.

Marquis de Condorcet: The Radical of the Enlightenment

Nicolas de Condorcet, known also as Marquis de Condorcet, was a French philosopher, mathematician, and early political scientist. Unlike many of his contemporaries, he advocated a liberal economy, free and equal public instruction, constitutionalism, and equal rights for women and people of all races. Although his ideas and writings are considered to embody the ideals of the Age of Enlightenment and rationalism, they were much more radical that those of most of his contemporaries, even those who were also seen as radicals.

Condorcet was born in 1743 and raised by a devoutly religious mother. He was educated at the Jesuit College in Reims and at the *Collège de Navarre* in Paris, where he quickly showed his intellectual ability and gained his first public distinctions in mathematics. From 1765 to 1774, he focused on science. In 1765, he published his first work on mathematics, launching his career as a mathematician. In 1769, he was elected to the French Royal Academy of Sciences. Condorcet worked with Leonhard Euler and Benjamin Franklin. He soon became an honorary member of many foreign academies and philosophic societies, but his political ideas, particularly that of radical democracy, were criticized heavily in the English-speaking world, most notably by John Adams. In 1781, Condorcet wrote a pamphlet, *Reflections on Negro Slavery*, in which he denounced slavery.



Portrait of Marquis de Condorcet (1743-1794) by Jean-Baptiste Greuze, date unknown

Condorcet's political views, including suffrage of women, opposition of slavery, equal rights regardless of race, or free public education, were unique even in the context of many radical ideas proposed during the Enlightenment period, He was also one of the first to systematically apply mathematics in the social sciences.

Role in the French Revolution

Condorcet took a leading role when the French Revolution swept France in 1789. He hoped for a rationalist reconstruction of society, and championed many liberal causes. In 1792, he presented a project for the reformation of the education system, aiming to create a hierarchical structure, under the authority of experts who would work as the guardians of the Enlightenment and who, independent of power, would be the guarantors of public liberties. The project was judged to be contrary to the republican and egalitarian virtues. Condorcet also advocated women's suffrage for the new government, publishing "For the Admission to the Rights of Citizenship For Women" in 1790. This view went much further than the views of other major Enlightenment thinkers, including the champions of women's rights. Even Mary Wollstonecraft, a British writer and philosopher who attacked gender oppression, pressed for equal educational opportunities, and demanded "justice" and "rights to humanity" for all, did not go as far as to demand equal political rights for women.

At the time of the Trial of Louis XVI, Condorcet, who opposed the death penalty but still supported the trial itself, spoke out against the execution of the King during the public vote at the Convention. He proposed to send the king to the galleys. Changing forces and shifts in power among different revolutionary groups eventually positioned largely independent Condorcet in the role of the critic of predominant ideas. His political opponents branded him a traitor, and in 1793, a warrant was issued for Condorcet's arrest. After a period of hiding, he was captured and in 1794 he mysteriously died in prison.

The Idea of Progress

Condorcet's *Sketch for a Historical Picture of the Progress of the Human Spirit* (1795) was perhaps the most influential formulation of the Idea of Progress ever written. It narrates the history of civilization as one of progress in the sciences, shows the intimate connection between scientific progress and the development of human rights and justice, and outlines the features of a future rational society entirely shaped by scientific knowledge. It also made the notion of progress a central concern of Enlightenment thought. Condorcet argued that expanding knowledge in the natural and social sciences would lead to an ever more just world of individual freedom, material affluence, and moral compassion. He believed that through the use of our senses and communication with others, knowledge could be compared and contrasted as a way of analyzing our systems of belief and understanding. None of Condorcet's writings refer to a belief in a religion or a god who intervenes in human affairs. Instead, he frequently wrote of his faith in humanity itself and its ability to progress with the help of philosophers. He envisioned man as continually progressing toward a perfectly utopian society. However, he stressed that for this to be a possibility, man must unify regardless of race, religion, culture, or gender.

Education and Rights

According to Condorcet, for republicanism to exist the nation needed enlightened citizens, and education needed democracy to become truly public. Democracy implied free citizens and ignorance was the source of servitude. Citizens had to be provided with the necessary knowledge to exercise their freedom and understand the rights and laws that guaranteed their enjoyment. Although education could not eliminate disparities in talent, all citizens, including women, had the right to free education. In opposition to those who relied on revolutionary enthusiasm to form the new citizens, Condorcet maintained that revolution was not made to last, and that revolutionary institutions were not intended to prolong the revolutionary experience but to establish political rules and legal mechanisms that would insure future changes without revolution. In a democratic city there would be no Bastille to be seized. Public education would form free and responsible citizens, not revolutionaries.

Mary Wollstonecraft

Mary Wollstonecraft was an English writer, philosopher, and advocate of women's rights, whose focus on women's rights, and particularly women's access to education, distinguished her from most of male Enlightenment thinkers.

LEARNING OBJECTIVES

- Summarize the ways in which Wollstonecraft's philosophy differed from the other Enlightenment thinkers

KEY TAKEAWAYS

Key Points

- Mary Wollstonecraft (1759-1797) was an English writer, philosopher, and advocate of women's rights. She was the major female voice of the Enlightenment. Until the late 20th century, however, Wollstonecraft's life, received more attention than her writing.
- The majority of Wollstonecraft's early works focus on education. She advocates educating children into the emerging middle-class ethos: self-discipline, honesty, frugality, and social contentment. She also advocates the education of women, a controversial topic at the time and one which she would return to throughout her career.
- In response to Edmund Burke's Reflections on the Revolution in France (1790), which was a defense of constitutional monarchy, aristocracy, and the Church of England, Wollstonecraft's *A Vindication of the Rights of Men* (1790) attacks aristocracy and advocates republicanism.
- A Vindic*ation of the Rights of Woman* (1792) is one of the earliest works of feminist philosophy. In it, Wollstonecraft argues that women ought to have an education commensurate with their position in society, and claims that women are essential to the nation because they educate its children and because they could be "companions" to their husbands, rather than just wives.
- Scholars of feminism still debate to what extent Wollstonecraft was, indeed, a feminist; while she does call for equality between the sexes in particular areas of life, such as morality, she does not explicitly state that men and women are equal.
- Wollstonecraft addresses her writings to the middle class, and represents a class bias by her condescending treatment of the poor.

Key Terms

- **A Vindication of the Rights of Men**: A 1790 political pamphlet written by the 18th-century British feminist Mary Wollstonecraft, which attacks aristocracy and advocates republicanism. It was the first response in a pamphlet war sparked by the publication of Edmund Burke's Reflections on the Revolution in France (1790), a defense of constitutional monarchy, aristocracy, and the Church of England.
- **Reflections on the Revolution in France**: A political pamphlet written by the Irish statesman Edmund Burke and published in 1790. One of the best-known intellectual attacks against the French Revolution, it is a defining tract of modern conservatism as well as an important contribution to international theory.
- **A Vindication of the Rights of Woman**: A 1792 work by the 18th-century British feminist Mary Wollstonecraft that is one of the earliest works of feminist philosophy. In it, Wollstonecraft argues that women should have an education commensurate with their position in society, claiming that women are essential to the nation because they educate its children and because they could be "companions" to their husbands, rather than just wives.

Woman's Voice at the Age of Enlightenment

Mary Wollstonecraft (1759-1797) was an English writer, philosopher, and advocate of women's rights. During her brief career, she wrote novels, treatises, a travel narrative, a history of the French Revolution, a conduct book, and a children's book. Until the late 20th century, Wollstonecraft's life, which encompassed an illegitimate child, passionate love affairs, and suicide attempts, received more attention than her writing. After two ill-fated affairs, with Henry Fuseli and Gilbert Imlay (by whom she had a daughter, Fanny Imlay), Wollstonecraft married the philosopher William Godwin, one of the forefathers of the anarchist movement. She died at the age of 38, eleven days after giving birth to her second daughter, leaving behind several unfinished manuscripts. The second daughter, Mary Wollstonecraft Godwin, became an accomplished writer herself as Mary Shelley, the author of *Frankenstein*.

After Wollstonecraft's death, her widower published a memoir (1798) of her life, revealing her unorthodox lifestyle, which inadvertently destroyed her reputation for almost a century. However, with the emergence of the feminist movement at the turn of the twentieth century, Wollstonecraft's advocacy of women's equality and critiques of conventional femininity became increasingly important. Today, Wollstonecraft is regarded as one of the founding feminist philosophers, and feminists often cite both her life and work as important influences.



Mary Wollstonecraft by John Opie (c. 1797), National Portrait Gallery, London

Despite the controversial topic, the *Rights of Woman* received favorable reviews and was a great success. It was almost immediately released in a second edition in 1792, several American editions appeared, and it was translated into French. It was only the later revelations of her personal life that resulted in negative views towards Wollstonecraft, which persisted for over a century.

Education Theory

The majority of Wollstonecraft's early works focus on education. She assembled an anthology of literary extracts "for the improvement of young women" entitled *The Female Reader*. In both her conduct book *Thoughts on the Education of Daughters (1787) a*nd her children's book *Original Stories from Real Life* (1788), Wollstonecraft advocates educating children into the emerging middle-class ethos of self-discipline, honesty, frugality, and social contentment. Both books also emphasize the importance of teaching children to reason, revealing Wollstonecraft's intellectual debt to the important 17th-century educational philosopher John Locke. Both texts also advocate the education of women, a controversial topic at the time, and one which she would return to throughout her career. Wollstonecraft argues that well-educated women will be good wives and mothers, and ultimately contribute positively to the nation.

A Vindication of the Rights of Man

Published in response to Edmund Burke's Reflections on the Revolution in France (1790), which was a defense of constitutional

monarchy, aristocracy, and the Church of England, and an attack on Wollstonecraft's friend, Richard Price, Wollstonecraft's *A Vindication of the Rights of Man* (1790) attacks aristocracy and advocates republicanism. Wollstonecraft attacked not only monarchy and hereditary privilege, but also the gendered language that Burke used to defend and elevate it. Burke associated the beautiful with weakness and femininity, and the sublime with strength and masculinity. Wollstonecraft turns these definitions against him, arguing that his theatrical approach turn Burke's readers—the citizens—into weak women who are swayed by show. In her first unabashedly feminist critique, Wollstonecraft indicts Burke's defense of an unequal society founded on the passivity of women.

In her arguments for republican virtue, Wollstonecraft invokes an emerging middle-class ethos in opposition to what she views as the vice-ridden aristocratic code of manners. Influenced by Enlightenment thinkers, she believed in progress, and derides Burke for relying on tradition and custom. She argues for rationality, pointing out that Burke's system would lead to the continuation of slavery, simply because it had been an ancestral tradition.

A Vindication of the Rights of Woman

A Vindication of the Rights of Woman (1792) is one of the earliest works of feminist philosophy. In it, Wollstonecraft argues that women ought to have an education commensurate with their position in society, and then proceeds to redefine that position, claiming that women are essential to the nation because they educate its children and because they could be "companions" to their husbands rather than just wives. Instead of viewing women as ornaments to society or property to be traded in marriage, Wollstonecraft maintains that they are human beings deserving of the same fundamental rights as men. Large sections of the *Rights of Woman* respond vitriolically to the writers, who wanted to deny women an education.

While Wollstonecraft does call for equality between the sexes in particular areas of life, such as morality, she does not explicitly state that men and women are equal. She claims that men and women are equal in the eyes of God. However, such statements of equality stand in contrast to her statements respecting the superiority of masculine strength and valor. Her ambiguous position regarding the equality of the sexes have since made it difficult to classify Wollstonecraft as a modern feminist. Her focus on the rights of women does distinguish Wollstonecraft from most of her male Enlightenment counterparts. However, some of them, most notably Marquis de Condorcet, expressed a much more explicit position on the equality of men and women. Already in 1790, Condorcet advocated women's suffrage.

Wollstonecraft addresses her text to the middle class, which she describes as the "most natural state," and in many ways the *Rights of Woman* is inflected by a bourgeois view of the world. It encourages modesty and industry in its readers and attacks the uselessness of the aristocracy. But Wollstonecraft is not necessarily a friend to the poor. For example, in her national plan for education, she suggests that, after the age of nine, the poor, except for those who are brilliant, should be separated from the rich and taught in another school.

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10.3: The Age of Discovery

Europe's Early Trade Links

A prelude to the Age of Discovery was a series of European land expeditions across Eurasia in the late Middle Ages. These expeditions were undertaken by a number of explorers, including Marco Polo, who left behind a detailed and inspiring record of his travels across Asia.

LEARNING OBJECTIVES

- Understand the exploration of Eurasia in the Middle Ages by Marco Polo, and why it was a prelude to the advent of the Age of Discovery in the 15th Century

KEY TAKEAWAYS

Key Points

- European medieval knowledge about Asia beyond the reach of Byzantine Empire was sourced in partial reports, often obscured by legends.
- In 1154, Arab geographer Muhammad al-Idrisi created what would be known as the Tabula Rogeriana — a description of the world and world map. It contains maps showing the Eurasian continent in its entirety, but only the northern part of the African continent. It remained the most accurate world map for the next three centuries.
- Indian Ocean trade routes were sailed by Arab traders. Between 1405 and 1421, the Yongle Emperor of Ming China sponsored a series of long range tributary missions. The fleets visited Arabia, East Africa, India, Maritime Southeast Asia, and Thailand.
- A series of European expeditions crossing Eurasia by land in the late Middle Ages marked a prelude to the Age of Discovery. Although the Mongols had threatened Europe with pillage and destruction, Mongol states also unified much of Eurasia and, from 1206 on, the *Pax Mongolica* allowed safe trade routes and communication lines stretching from the Middle East to China.
- Christian embassies were sent as far as Karakorum during the Mongol invasions of Syria. The first of these travelers was Giovanni da Pian del Carpine, who journeyed to Mongolia and back from 1241 to 1247. Others traveled to various regions of Asia between 13th and the third quarter of the 15th centuries; these travelers included Russian Yaroslav of Vladimir and his sons Alexander Nevsky and Andrey II of Vladimir, French André de Longjumeau and Flemish William of Rubruck, Moroccan Ibn Battuta, and Italian Niccolò de' Conti.
- Marco Polo, a Venetian merchant, dictated an account of journeys throughout Asia from 1271 to 1295. Although he was not the first European to reach China, he was the first to leave a detailed chronicle of his experience. The book inspired Christopher Columbus and many other travelers in the following Age of Discovery.

Key Terms

- **Tabula Rogeriana**: A book containing a description of the world and world map created by the Arab geographer, Muhammad al-Idrisi, in 1154. Written in Arabic, it is divided into seven climate zones and contains maps showing the Eurasian continent in its entirety, but only the northern part of the African continent. The map is oriented with the North at the bottom. It remained the most accurate world map for the next three centuries.
- **Pax Mongolica**: A historiographical term, modeled after the original phrase Pax Romana, which describes the stabilizing effects of the conquests of the Mongol Empire on the social, cultural, and economic life of the inhabitants of the vast Eurasian territory that the Mongols conquered in the 13th and 14th centuries. The term is used to describe the eased communication and commerce that the unified administration helped to create, and the period of relative peace that followed the Mongols' vast conquests.
- **Maritime republics**: City-states that flourished in Italy and across the Mediterranean. From the 10th to the 13th centuries, they built fleets of ships both for their own protection and to support extensive trade networks across the Mediterranean, giving them an essential role in the Crusades.

Background

European medieval knowledge about Asia beyond the reach of Byzantine Empire was sourced in partial reports, often obscured by legends, dating back from the time of the conquests of Alexander the Great and his successors. In 1154, Arab geographer Muhammad al-Idrisi created what would be known as the *Tabula Rogeriana* at the court of King Roger II of Sicily. The book, written in Arabic, is a description of the world and world map. It is divided into seven climate zones and contains maps showing the Eurasian continent in its entirety, but only the northern part of the African continent. It remained the most accurate world map for the next three centuries, but it also demonstrated that Africa was only partially known to either Christians, Genoese and Venetians, or the Arab seamen, and its southern extent was unknown. Knowledge about the Atlantic African coast was fragmented, and derived mainly from old Greek and Roman maps based on Carthaginian knowledge, including the time of Roman exploration of Mauritania. The Red Sea was barely known and only trade links with the Maritime republics, the Republic of Venice especially, fostered collection of accurate maritime knowledge.

Indian Ocean trade routes were sailed by Arab traders. Between 1405 and 1421, the Yongle Emperor of Ming China sponsored a series of long-range tributary missions. The fleets visited Arabia, East Africa, India, Maritime Southeast Asia, and Thailand. But the journeys, reported by Ma Huan, a Muslim voyager and translator, were halted abruptly after the emperor's death, and were not followed up, as the Chinese Ming Dynasty retreated in the *haijin*, a policy of isolationism, having limited maritime trade.

Prelude to the Age of Discovery

A series of European expeditions crossing Eurasia by land in the late Middle Ages marked a prelude to the Age of Discovery. Although the Mongols had threatened Europe with pillage and destruction, Mongol states also unified much of Eurasia and, from 1206 on, the *Pax Mongolica* allowed safe trade routes and communication lines stretching from the Middle East to China. A series of Europeans took advantage of these in order to explore eastward. Most were Italians, as trade between Europe and the Middle East was controlled mainly by the Maritime republics.

Christian embassies were sent as far as Karakorum during the Mongol invasions of Syria, from which they gained a greater understanding of the world. The first of these travelers was Giovanni da Pian del Carpine, who journeyed to Mongolia and back from 1241 to 1247. About the same time, Russian prince Yaroslav of Vladimir, and subsequently his sons, Alexander Nevsky and Andrey II of Vladimir, traveled to the Mongolian capital. Though having strong political implications, their journeys left no detailed accounts. Other travelers followed, like French André de Longjumeau and Flemish William of Rubruck, who reached China through Central Asia. From 1325 to 1354, a Moroccan scholar from Tangier, Ibn Battuta, journeyed through North Africa, the Sahara desert, West Africa, Southern Europe, Eastern Europe, the Horn of Africa, the Middle East and Asia, having reached China. In 1439, Niccolò de' Conti published an account of his travels as a Muslim merchant to India and Southeast Asia and, later in 1466-1472, Russian merchant Afanasy Nikitin of Tver travelled to India.

Marco Polo, a Venetian merchant, dictated an account of journeys throughout Asia from 1271 to 1295. His travels are recorded in *Book of the Marvels of the World*, (also known as *The Travels of Marco Polo*, c. 1300),
a book which did much to introduce Europeans to Central Asia and China. Marco Polo was not the first European to reach China, but he was the first to leave a detailed chronicle of his experience. The book inspired Christopher Columbus and many other travelers.



The Travels of Marco Polo: Marco Polo traveling, miniature from the book *The Travels of Marco Polo* (*Il milione*), originally published during Polo's lifetime (c. 1254-January 8, 1324), but frequently reprinted and translated.

The Age of Discovery

The geographical exploration of the late Middle Ages eventually led to what today is known as the Age of Discovery: a loosely defined European historical period, from the 15th century to the 18th century, that witnessed extensive overseas exploration emerge as a powerful factor in European culture and globalization. Many lands previously unknown to Europeans were discovered during this period, though most were already inhabited, and, from the perspective of non-Europeans, the period was not one of discovery, but one of invasion and the arrival of settlers from a previously unknown continent. Global exploration started with the successful Portuguese travels to the Atlantic archipelagos of Madeira and the Azores, the coast of Africa, and the sea route to India in 1498; and, on behalf of the Crown of Castile (Spain), the trans-Atlantic Voyages of Christopher Columbus between 1492 and 1502, as well as the first circumnavigation of the globe in 1519-1522. These discoveries led to numerous naval expeditions across the Atlantic, Indian and Pacific oceans, and land expeditions in the Americas, Asia, Africa, and Australia that continued into the late 19th century, and ended with the exploration of the polar regions in the 20th century.

Portuguese Explorers

During the 15th and 16th centuries, Portuguese explorers were at the forefront of European overseas exploration, which led them to reach India, establish multiple trading posts in Asia and Africa, and settle what would become Brazil, creating one of the most powerful empires.

LEARNING OBJECTIVES

- Compare the Portuguese Atlantic explorations from 1415-1488 with the Indian Exploration, led by Vasco da Gama from 1497-1542

KEY TAKEAWAYS

Key Points

- Portuguese sailors were at the vanguard of European overseas exploration, discovering and mapping the coasts of Africa, Asia, and Brazil. As early as 1317, King Denis made an agreement with Genoese merchant sailor Manuel Pessanha, laying the basis for the Portuguese Navy and the establishment
  of a powerful Genoese merchant community in Portugal.
- In 1415, the city of Ceuta was occupied by the Portuguese in an effort to control navigation of the African coast. Henry the

Navigator, aware of profit possibilities in the Saharan trade routes, invested in sponsoring voyages that, within two decades of exploration, allowed Portuguese ships to bypass the Sahara.
- The Portuguese goal of finding a sea route to Asia was finally achieved in a ground-breaking voyage commanded by Vasco da Gama, who reached Calicut in western India in 1498, becoming the first European to reach India.
- The second voyage to India was dispatched in 1500 under Pedro Álvares Cabral. While following the same south-westerly route as Gama across the Atlantic Ocean, Cabral made landfall on the Brazilian coast— the territory that he recommended Portugal settle.
- Portugal's purpose in the Indian Ocean was to ensure the monopoly of the spice trade. Taking advantage of the rivalries that pitted Hindus against Muslims, the Portuguese established several forts and trading posts between 1500 and 1510.
- Portugal established trading ports at far-flung locations like Goa, Ormuz, Malacca, Kochi, the Maluku Islands, Macau, and Nagasaki. Guarding its trade from both European and Asian competitors, it dominated not only the trade between Asia and Europe, but also much of the trade between different regions of Asia, such as India, Indonesia, China, and Japan.

Key Terms

- **Vasco da Gama**: A Portuguese explorer and one of the most famous and celebrated explorers from the Age of Discovery; the first European to reach India by sea.
- **Cape of Good Hope**: A rocky headland on the Atlantic coast of the Cape Peninsula, South Africa, named because of the great optimism engendered by the opening of a sea route to India and the East.

Introduction

Portuguese sailors were at the vanguard of European overseas exploration, discovering and mapping the coasts of Africa, Asia, and Brazil. As early as 1317, King Denis made an agreement with Genoese merchant sailor Manuel Pessanha (Pesagno), appointing him first Admiral with trade privileges with his homeland, in return for twenty war ships and crews, with the goal of defending the country against Muslim pirate raids. This created the basis for the Portuguese Navy and the establishment of a Genoese merchant community in Portugal.

In the second half of the 14th century, outbreaks of bubonic plague led to severe depopulation; the economy was extremely localized in a few towns, unemployment rose, and migration led to agricultural land abandonment. Only the sea offered alternatives, with most people settling in fishing and trading in coastal areas. Between 1325-1357, Afonso IV of Portugal granted public funding to raise a proper commercial fleet, and ordered the first maritime explorations, with the help of Genoese, under command of admiral Pessanha. In 1341, the Canary Islands, already known to Genoese, were officially explored under the patronage of the Portuguese king, but in 1344, Castile disputed them, further propelling the Portuguese navy efforts.

Atlantic Exploration

In 1415, the city of Ceuta (north coast of Africa) was occupied by the Portuguese aiming to control navigation of the African coast. Young Prince Henry the Navigator was there and became aware of profit possibilities in the Saharan trade routes. He invested in sponsoring voyages down the coast of Mauritania, gathering a group of merchants, shipowners, stakeholders, and participants interested in the sea lanes.

Henry the Navigator took the lead role in encouraging Portuguese maritime exploration, until his death in 1460. At the time, Europeans did not know what lay beyond Cape Bojador on the African coast. In 1419, two of Henry's captains, João Gonçalves Zarco and Tristão Vaz Teixeira, were driven by a storm to Madeira, an uninhabited island off the coast of Africa, which had probably been known to Europeans since the 14th century. In 1420, Zarco and Teixeira returned with Bartolomeu Perestrelo and began Portuguese settlement of the islands. A Portuguese attempt to capture Grand Canary, one of the nearby Canary Islands, which had been partially settled by Spaniards in 1402, was unsuccessful and met with protests from Castile. Around the same time, the Portuguese began to explore the North African coast. Diogo Silves reached the Azores island of Santa Maria in 1427, and in the following years, Portuguese discovered and settled the rest of the Azores. Within two decades of exploration, Portuguese ships bypassed the Sahara.

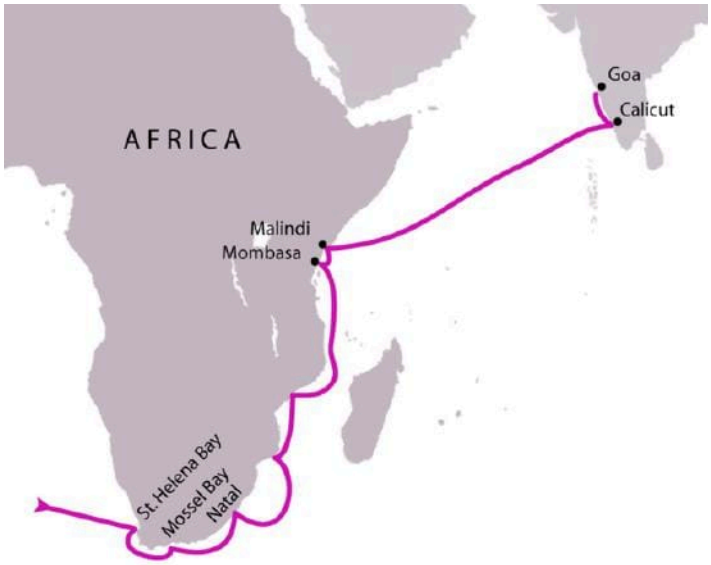
In 1443, Prince Pedro, Henry's brother, granted him the monopoly of navigation, war, and trade in the lands south of Cape Bojador. Later, this monopoly would be enforced by two Papal bulls (1452 and 1455), giving Portugal the trade monopoly for the newly appropriated territories, laying the foundations for the Portuguese empire.

India and Brazil

The long-standing Portuguese goal of finding a sea route to Asia was finally achieved in a ground-breaking voyage commanded by Vasco da Gama. His squadron left Portugal in 1497, rounded the Cape and continued along the coast of East Africa, where a local pilot was brought on board who guided them across the Indian Ocean, reaching Calicut in western India in May 1498. Reaching the legendary Indian spice routes unopposed helped the Portuguese improve their economy that, until Gama, was mainly based on trades along Northern and coastal West Africa. These spices were at first mostly pepper and cinnamon, but soon included other products, all new to Europe. This led to a commercial monopoly for several decades.

The second voyage to India was dispatched in 1500 under Pedro Álvares Cabral. While following the same south-westerly route as Gama across the Atlantic Ocean, Cabral made landfall on the Brazilian coast. This was probably an accident but it has been speculated that the Portuguese knew of Brazil's existence. Cabral recommended to the Portuguese king that the land be settled, and two follow-up voyages were sent in 1501 and 1503. The land was found to be abundant in *pau-brasil*, or brazilwood, from which it later inherited its name, but the failure to find gold or silver meant that for the time being Portuguese efforts were concentrated on India.

Gama's voyage was significant and paved the way for the Portuguese to establish a long-lasting colonial empire in Asia. The route meant that the Portuguese would not need to cross the highly disputed Mediterranean, or the dangerous Arabian Peninsula, and that the entire voyage would be made by sea.



First Voyage of Vasco da Gama: The route followed in Vasco da Gama's first voyage (1497-1499). Gama's squadron left Portugal in 1497, rounded the Cape and continued along the coast of East Africa. They reached Calicut in western India in May 1498.

Indian Ocean and Southeast Asia Explorations

The aim of Portugal in the Indian Ocean was to ensure the monopoly of the spice trade. Taking advantage of the rivalries that pitted Hindus against Muslims, the Portuguese established several forts and trading posts between 1500 and 1510. After the victorious sea Battle of Diu, Turks and Egyptians withdrew their navies from India, setting the Portuguese trade dominance for almost a century, and greatly contributing to the growth of the Portuguese Empire. It also marked the beginning of the European colonial dominance in Asia. A second Battle of Diu in 1538 ended Ottoman ambitions in India, and confirmed Portuguese hegemony in the Indian Ocean.

In 1511, Albuquerque sailed to Malacca in Malaysia, the most important eastern point in the trade network, where Malay met Gujarati, Chinese, Japanese, Javan, Bengali, Persian, and Arabic traders. The port of Malacca became the strategic base for Portuguese trade expansion with China and Southeast Asia. Eventually, the Portuguese Empire expanded into the Persian Gulf as Portugal contested control of the spice trade with the Ottoman Empire. In a shifting series of alliances, the Portuguese dominated much of the southern Persian Gulf for the next hundred years.

A Portuguese explorer funded by the Spanish Crown, Ferdinand Magellan, organized the Castilian (Spanish) expedition to the East

Indies from 1519 to 1522. Selected by King Charles I of Spain to search for a westward route to the Maluku Islands (the "Spice Islands," today's Indonesia), he headed south through the Atlantic Ocean to Patagonia, passing through the Strait of Magellan into a body of water he named the "peaceful sea" (the modern Pacific Ocean). Despite a series of storms and mutinies, the expedition reached the Spice Islands in 1521, and returned home via the Indian Ocean to complete the first circuit of the globe.

In 1525, after Magellan's expedition, Spain, under Charles V, sent an expedition to colonize the Maluku islands. García Jofre de Loaísa reached the islands and the conflict with the Portuguese was inevitable, starting nearly a decade of skirmishes. An agreement was reached only with the Treaty of Zaragoza (1529), attributing the Maluku to Portugal, and the Philippines to Spain.

Portugal established trading ports at far-flung locations like Goa, Ormuz, Malacca, Kochi, the Maluku Islands, Macau, and Nagasaki. Guarding its trade from both European and Asian competitors, it dominated not only the trade between Asia and Europe, but also much of the trade between different regions of Asia, such as India, Indonesia, China, and Japan. Jesuit missionaries followed the Portuguese to spread Roman Catholic Christianity to Asia, with mixed success.

How Portugal became the first global sea power: Pick your adjective for the monster wave McNamara rode in January just off the Portuguese coast near Nazare. The Portuguese explorer, Vasco da Gama, came to Nazare, too, to pray before he set out in 1497—and again after a successful return from his voyage to find a sea route to India with its rich spice trade. He did what Christopher Columbus had tried to do but failed. Casimiro said that as a country, Portugal turns to the sea: "Our backs are turned to the land, and we are always looking at the sea. We have that kind of impulse to see what is after that." Even if it's frightening? "Yeah." Portugal is a country where the sea is and always has been regarded as a living being—to be stared down, confronted.

Spanish Exploration

The voyages of Christopher Columbus initiated the European exploration and colonization of the American continents that eventually turned Spain into the most powerful European empire.

LEARNING OBJECTIVES

- Outline the successes and failures of Christopher Columbus during his four voyages to the Americas

KEY TAKEAWAYS

Key Points

- Only late in the 15th century did an emerging modern Spain become fully committed to the search for new trade routes overseas. In 1492, Christopher Columbus 's expedition was funded in the hope of bypassing
  Portugal's monopoly on west African sea routes, to reach "the Indies."
- On the evening of August 3, 1492, Columbus departed from Palos de la Frontera with three ships. Land was sighted on October 12, 1492 and Columbus called the island (now The Bahamas) San Salvador, in what he thought to be the "West Indies." Following the first American voyage, Columbus made three more.
- A division of influence became necessary to avoid conflict between the Spanish and Portuguese. An agreement was reached in 1494, with the Treaty of Tordesillas dividing the world between the two powers.
- After Columbus, the Spanish colonization of the Americas was led by a series of soldier-explorers, called conquistadors. The Spanish forces, in addition to significant armament and equestrian advantages, exploited the rivalries between competing indigenous peoples, tribes, and nations.
- One of the most accomplished conquistadors was Hernán Cortés, who achieved the Spanish conquest of the Aztec Empire. Of equal importance was the Spanish conquest of the Inca Empire under Francisco Pizarro.
- In 1565, the first permanent Spanish settlement in the Philippines was founded, which added a critical Asian post to the empire. The Manilla Galleons shipped goods from all over Asia, across the Pacific to Acapulco on the coast of Mexico.

Key Terms

- **reconquista**: A period in the history of the Iberian Peninsula, spanning approximately 770 years, between the initial Umayyad conquest of Hispania in the 710s, and the fall of the Emirate of Granada, the last Islamic state on the peninsula, to expanding Christian kingdoms in 1492.

- **Treaty of Zaragoza**: A 1529 peace treaty between the Spanish Crown and Portugal that defined the areas of Castilian (Spanish) and Portuguese influence in Asia to resolve the "Moluccas issue," when both kingdoms claimed the Moluccas islands for themselves, considering it within their exploration area established by the Treaty of Tordesillas in 1494. The conflict sprang in 1520, when the expeditions of both kingdoms reached the Pacific Ocean, since there was not a set limit to the east.
- **Treaty of Tordesillas**: A 1494 treaty that divided the newly discovered lands outside Europe between Portugal and the Crown of Castile, along a meridian 370 leagues west of the Cape Verde islands, off the west coast of Africa. This line of demarcation was about halfway between the Cape Verde islands (already Portuguese) and the islands entered by Christopher Columbus on his first voyage (claimed for Castile and León).
- **Christopher Columbus**: An Italian explorer, navigator, and colonizer who completed four voyages across the Atlantic Ocean under the monarchy of Spain, which led to general European awareness of the American continents.

Introduction

While Portugal led European explorations of non-European territories, its neighboring fellow Iberian rival, Castile, embarked upon its own mission to create an overseas empire. It began to establish its rule over the Canary Islands, located off the West African coast, in 1402, but then became distracted by internal Iberian politics and the repelling of Islamic invasion attempts and raids through most of the 15th century. Only late in the century, following the unification of the crowns of Castile and Aragon and the completion of the *reconquista*, did an emerging modern Spain become fully committed to the search for new trade routes overseas. In 1492, the joint rulers conquered the Moorish kingdom of Granada, which had been providing Castile with African goods through tribute, and decided to fund Christopher Columbus's expedition in the hope of bypassing Portugal's monopoly on west African sea routes, to reach "the Indies" (east and south Asia) by traveling west. Twice before, in 1485 and 1488, Columbus had presented the project to king John II of Portugal, who rejected it.

Columbus's Voyages

On the evening of August 3, 1492, Columbus departed from Palos de la Frontera with three ships: *Santa María*, *Pinta* (*the Painted*) and *Santa Clara*. Columbus first sailed to the Canary Islands, where he restocked for what turned out to be a five-week voyage across the ocean, crossing a section of the Atlantic that became known as the Sargasso Sea. Land was sighted on October 12, 1492, and Columbus called the island (now The Bahamas) *San Salvador*, in what he thought to be the "West Indies." He also explored the northeast coast of Cuba and the northern coast of Hispaniola. Columbus left 39 men behind and founded the settlement of *La Navidad* in what is present-day Haiti.

Following the first American voyage, Columbus made three more. During the second, 1493, voyage, he enslaved 560 native Americans, in spite of the Queen's explicit opposition to the idea. Their transfer to Spain resulted in the death and disease of hundreds of the captives. The object of the third voyage was to verify the existence of a continent that King John II of Portugal claimed was located to the southwest of the Cape Verde Islands. In 1498, Columbus left port with a fleet of six ships. He explored the Gulf of Paria, which separates Trinidad from mainland Venezuela, and then the mainland of South America. Columbus described these new lands as belonging to a previously unknown new continent, but he pictured them hanging from China. Finally, the fourth voyage, nominally in search of a westward passage to the Indian Ocean, left Spain in 1502. Columbus spent two months exploring the coasts of Honduras, Nicaragua, and Costa Rica, before arriving in Almirante Bay, Panama. After his ships sustained serious damage in a storm off the coast of Cuba, Columbus and his men remained stranded on Jamaica for a year. Help finally arrived and Columbus and his men arrived in Castile in November 1504.

The Treaty of Tordesillas

Shortly after Columbus's arrival from the "West Indies," a division of influence became necessary to avoid conflict between the Spanish and Portuguese. An agreement was reached in 1494 with the Treaty of Tordesillas, which divided the world between the two powers. In the treaty, the Portuguese received everything outside Europe east of a line that ran 370 leagues west of the Cape Verde islands (already Portuguese), and the islands reached by Christopher Columbus on his first voyage (claimed for Spain—Cuba, and Hispaniola). This gave them control over Africa, Asia, and eastern South America (Brazil). The Spanish (Castile) received everything west of this line, territory that was still almost completely unknown, and proved to be mostly the western part of the Americas, plus the Pacific Ocean islands.



“The First Voyage”, chromolithograph by L. Prang & Co., published by The Prang Educational Co., Boston, 1893: A scene of Christopher Columbus bidding farewell to the Queen of Spain on his departure for the New World, August 3, 1492.

Further Explorations of the Americas

After Columbus, the Spanish colonization of the Americas was led by a series of soldier-explorers, called conquistadors. The Spanish forces, in addition to significant armament and equestrian advantages, exploited the rivalries between competing indigenous peoples, tribes, and nations, some of which were willing to form alliances with the Spanish in order to defeat their more powerful enemies, such as the Aztecs or Incas—a tactic that would be extensively used by later European colonial powers. The Spanish conquest was also facilitated by the spread of diseases (e.g., smallpox), common in Europe but never present in the New World, which reduced the indigenous populations in the Americas. This caused labor shortages for plantations and public works, and so the colonists initiated the Atlantic slave trade.

One of the most accomplished conquistadors was Hernán Cortés, who led a relatively small Spanish force, but with local translators and the crucial support of thousands of native allies, achieved the Spanish conquest of the Aztec Empire in the campaigns of 1519-1521 (present day Mexico). Of equal importance was the Spanish conquest of the Inca Empire. After years of preliminary exploration and military skirmishes, 168 Spanish soldiers under Francisco Pizarro, and their native allies, captured the Sapa Inca Atahualpa in the 1532 Battle of Cajamarca. It was the first step in a long campaign that took decades of fighting, but ended in Spanish victory in 1572 and colonization of the region as the Viceroyalty of Peru. The conquest of the Inca Empire led to spin-off campaigns into present-day Chile and Colombia, as well as expeditions towards the Amazon Basin.

Further Spanish settlements were progressively established in the New World: New Granada in the 1530s (later in the Viceroyalty of New Granada in 1717 and present day Colombia), Lima in 1535 as the capital of the Viceroyalty of Peru, Buenos Aires in 1536 (later in the Viceroyalty of the Río de la Plata in 1776), and Santiago in 1541. Florida was colonized in 1565 by Pedro Menéndez de Avilés.

The Portuguese Ferdinand Magellan died while in the Philippines commanding a Castilian expedition in 1522, which was the first to circumnavigate the globe. The Basque commander, Juan Sebastián Elcano, would lead the expedition to success. Therefore, Spain sought to enforce their rights in the Moluccan islands, which led a conflict with the Portuguese, but the issue was resolved with the Treaty of Zaragoza (1525). In 1565, the first permanent Spanish settlement in the Philippines was founded by Miguel López de Legazpi, and the service of Manila Galleons was inaugurated. The Manilla Galleons shipped goods from all over Asia across the Pacific to Acapulco on the coast of Mexico. From there, the goods were transshipped across Mexico to the Spanish treasure fleets, for shipment to Spain. The Spanish trading post of Manila was established to facilitate this trade in 1572.

England and the High Seas

Throughout the 17th century, the British established numerous successful American colonies and dominated the Atlantic slave trade, which eventually led to creating the most powerful European empire.

LEARNING OBJECTIVES

- Explain why England was interested in establishing a maritime empire

KEY TAKEAWAYS

Key Points

- In 1496, King Henry VII of England, following the successes of Spain and Portugal in overseas exploration, commissioned John Cabot to lead a voyage to discover a route to Asia via the North Atlantic. Cabot sailed in 1497 and he successfully made landfall on the coast of Newfoundland but did not establish a colony.
- In 1562, the English Crown encouraged the privateers John Hawkins and Francis Drake to engage in slave-raiding attacks against Spanish and Portuguese ships off the coast of West Africa, with the aim of breaking into the Atlantic trade system. Drake carried out the second circumnavigation of the world in a single expedition, from 1577 to 1580.
- In 1578, Elizabeth I granted a patent to Humphrey Gilbert for discovery and overseas exploration. In 1583, he claimed the harbor of Newfoundland for England, but no settlers were left behind. Gilbert did not survive the return journey to England, and was succeeded by his half-brother, Walter Raleigh, who founded the colony of Roanoke, the first but failed British settlement.
- In the first decade of the 17th century, English attention shifted from preying on other nations' colonial infrastructures to the business of establishing its own overseas colonies. The Caribbean initially provided England's most important and lucrative colonies.
- The introduction of the 1951 Navigation Acts led to war with the Dutch Republic, which was the first war fought largely, on the English side, by purpose-built, state-owned warships. After the English monarchy was restored in 1660, Charles II re-established the Navy, but as a national institution known, since then, as "The Royal Navy."
- Throughout the 17th century, the British established numerous successful American colonies, all based largely on slave labor. The colonization of the Americas and the participation in the Atlantic slave trade allowed the British to gradually build the most powerful European empire.

Key Terms

- **Jamestown**: The first permanent English settlement in the Americas, established by the Virginia Company of London as "James Fort" on May 4, 1607, and considered permanent after brief abandonment in 1610. It followed several earlier failed attempts, including the Lost Colony of Roanoke.
- **Plymouth**: An English colonial venture in North America from 1620 to 1691, first surveyed and named by Captain John Smith. The settlement served as the capital of the colony and at its height, it occupied most of the southeastern portion of the modern state of Massachusetts.
- **Roanoke**: Also known as the Lost Colony; a late 16th-century attempt by Queen Elizabeth I to establish a permanent English settlement in the Americas. The colony was founded by Sir Walter Raleigh. The colonists disappeared during the Anglo-Spanish War, three years after the last shipment of supplies from England.
- **Navigation Acts**: A series of English laws that restricted the use of foreign ships for trade between every country except England. They were first enacted in 1651, and were repealed nearly 200 years later in 1849. They reflected the policy of mercantilism, which sought to keep all the benefits of trade inside the empire, and minimize the loss of gold and silver to foreigners.
- **First Anglo-Dutch War**: A 1652-1654 conflict fought entirely at sea between the navies of the Commonwealth of England and the United Provinces of the Netherlands. Caused by disputes over trade, the war began with English attacks on Dutch merchant shipping, but expanded to vast fleet actions. Ultimately, it resulted in the English Navy gaining control of the seas around England, and forced the Dutch to accept an English monopoly on trade with England and her colonies.

Introduction

The foundations of the British Empire were laid when England and Scotland were separate kingdoms. In 1496, King Henry VII of England, following the successes of Spain and Portugal in overseas exploration, commissioned John Cabot (Venetian born as Giovanni Caboto) to lead a voyage to discover a route to Asia via the North Atlantic. Spain put limited efforts into exploring the northern part of the Americas, as its resources were concentrated in Central and South America where more wealth had been found. Cabot sailed in 1497, five years after Europeans reached America, and although he successfully made landfall on the coast of Newfoundland (mistakenly believing, like Christopher Columbus, that he had reached Asia), there was no attempt to found a colony. Cabot led another voyage to the Americas the following year, but nothing was heard of his ships again.

The Early Empire

No further attempts to establish English colonies in the Americas were made until well into the reign of Queen Elizabeth I, during the last decades of the 16th century. In the meantime, the Protestant Reformation had turned England and Catholic Spain into implacable enemies. In 1562, the English Crown encouraged the privateers John Hawkins and Francis Drake to engage in slave-raiding attacks against Spanish and Portuguese ships off the coast of West Africa, with the aim of breaking into the Atlantic trade system. Drake carried out the second circumnavigation of the world in a single expedition, from 1577 to 1580, and was the first to complete the voyage as captain while leading the expedition throughout the entire circumnavigation. With his incursion into the Pacific, he inaugurated an era of privateering and piracy in the western coast of the Americas—an area that had previously been free of piracy.

In 1578, Elizabeth I granted a patent to Humphrey Gilbert for discovery and overseas exploration. That year, Gilbert sailed for the West Indies with the intention of engaging in piracy and establishing a colony in North America, but the expedition was aborted before it had crossed the Atlantic. In 1583, he embarked on a second attempt, on this occasion to the island of Newfoundland whose harbor he formally claimed for England, although no settlers were left behind. Gilbert did not survive the return journey to England, and was succeeded by his half-brother, Walter Raleigh, who was granted his own patent by Elizabeth in 1584. Later that year, Raleigh founded the colony of Roanoke on the coast of present-day North Carolina, but lack of supplies caused the colony to fail.

Empire in the Americas

In 1603, James VI, King of Scots, ascended (as James I) to the English throne, and in 1604 negotiated the Treaty of London, ending hostilities with Spain. Now at peace with its main rival, English attention shifted from preying on other nations' colonial infrastructures, to the business of establishing its own overseas colonies. The Caribbean initially provided England's most important and lucrative colonies. Colonies in Guiana, St Lucia, and Grenada failed but settlements were successfully established in St. Kitts (1624), Barbados (1627), and Nevis (1628). The colonies soon adopted the system of sugar plantations, successfully used by the Portuguese in Brazil, which depended on slave labor, and—at first—Dutch ships, to sell the slaves and buy the sugar. To ensure that the increasingly healthy profits of this trade remained in English hands, Parliament decreed in the 1651 Navigation Acts that only English ships would be able to ply their trade in English colonies. In 1655, England annexed the island of Jamaica from the Spanish, and in 1666 succeeded in colonizing the Bahamas.



African slaves working in 17th-century Virginia (tobacco cultivation), by an unknown artist, 1670

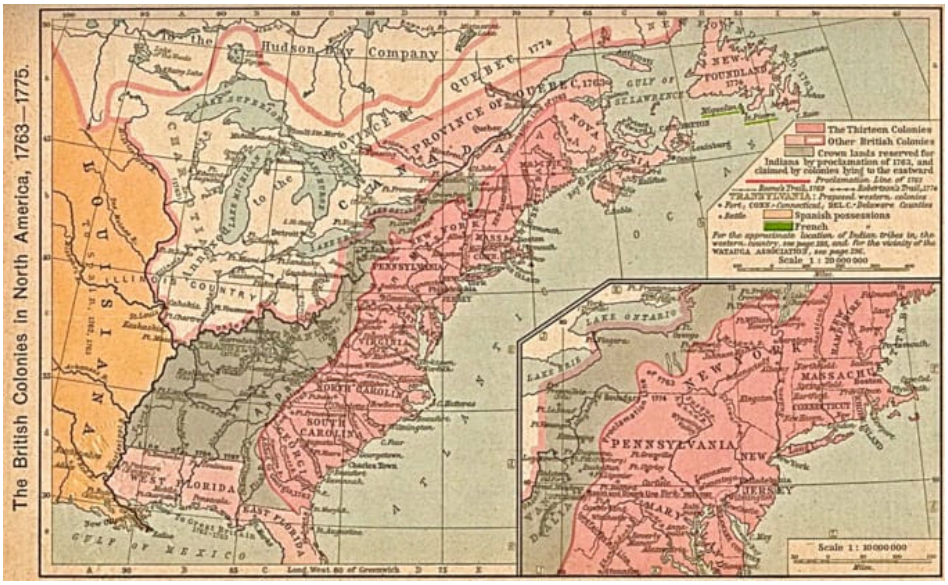
In 1672, the Royal African Company was inaugurated, receiving from King Charles a monopoly of the trade to supply slaves to the British colonies of the Caribbean. From the outset, slavery was the basis of the British Empire in the West Indies and later in North America. Until the abolition of the slave trade in 1807, Britain was responsible for the transportation of 3.5 million African slaves to the Americas, a third of all slaves transported across the Atlantic.

The introduction of the Navigation Acts led to war with the Dutch Republic. In the early stages of this First Anglo-Dutch War

(1652-1654), the superiority of the large, heavily armed English ships was offset by superior Dutch tactical organization. English tactical improvements resulted in a series of crushing victories in 1653, bringing peace on favorable terms. This was the first war fought largely, on the English side, by purpose-built, state-owned warships. After the English monarchy was restored in 1660, Charles II re-established the navy, but from this point on, it ceased to be the personal possession of the reigning monarch, and instead became a national institution, with the title of "The Royal Navy."

England's first permanent settlement in the Americas was founded in 1607 in Jamestown, led by Captain John Smith and managed by the Virginia Company. Bermuda was settled and claimed by England as a result of the 1609 shipwreck there of the Virginia Company's flagship. The Virginia Company's charter was revoked in 1624 and direct control of Virginia was assumed by the crown, thereby founding the Colony of Virginia. In 1620, Plymouth was founded as a haven for puritan religious separatists, later known as the Pilgrims. Fleeing from religious persecution would become the motive of many English would-be colonists to risk the arduous trans-Atlantic voyage; Maryland was founded as a haven for Roman Catholics (1634), Rhode Island (1636) as a colony tolerant of all religions, and Connecticut (1639) for Congregationalists. The Province of Carolina was founded in 1663. With the surrender of Fort Amsterdam in 1664, England gained control of the Dutch colony of New Netherland, renaming it New York. In 1681, the colony of Pennsylvania was founded by William Penn. The American colonies were less financially successful than those of the Caribbean, but had large areas of good agricultural land and attracted far larger numbers of English emigrants who preferred their temperate climates.

From the outset, slavery was the basis of the British Empire in the West Indies. Until the abolition of the slave trade in 1807, Britain was responsible for the transportation of 3.5 million African slaves to the Americas, a third of all slaves transported across the Atlantic. In the British Caribbean, the percentage of the population of African descent rose from 25% in 1650 to around 80% in 1780, and in the 13 Colonies from 10% to 40% over the same period (the majority in the southern colonies). For the slave traders, the trade was extremely profitable, and became a major economic mainstay.



Map of the British colonies in North America, 1763 to 1775. First published in: Shepherd, William Robert (1911) "The British Colonies in North America, 1763–1765" in Historical Atlas, New York, United States: Henry Holt and Company, p. 194.

Although Britain was relatively late in its efforts to explore and colonize the New World, lagging behind Spain and Portugal, it eventually gained significant territories in North America and the Caribbean.

French Explorers

France established colonies in North America, the Caribbean, and India in the 17th century, and while it lost most of its American holdings to Spain and Great Britain before the end of the 18th century, it eventually expanded its Asian and African territories in the 19th century.

LEARNING OBJECTIVES

- Describe some of the discoveries made by French explorers

KEY TAKEAWAYS

Key Points

- Competing with Spain, Portugal, the Dutch Republic, and later Britain, France began to establish colonies in North America, the Caribbean, and India in the 17th century. Major French exploration of North America began under the rule of Francis I of France. In 1524, he sent Italian-born Giovanni da Verrazzano to explore the region between Florida and Newfoundland for a route to the Pacific Ocean.
- In 1534, Francis sent Jacques Cartier on the first of three voyages to explore the coast of Newfoundland and the St. Lawrence River. Cartier founded New France and was the first European to travel inland in North America.
- Cartier attempted to create the first permanent European settlement in North America at Cap-Rouge (Quebec City) in 1541, but the settlement was abandoned the next year. A number of other failed attempts to establish French settlements in North America followed throughout the rest of the 16th century.
- Prior to the establishment of the 1663 Sovereign Council, the territories of New France were developed as mercantile colonies. It was only after 1665 that France gave its American colonies the proper means to develop population colonies comparable to that of the British. By the first decades of the 18th century, the French created and controlled a number of settlement colonies in North America.
- As the French empire in North America grew, the French also began to build a smaller but more profitable empire in the West Indies.
- While the French quite rapidly lost nearly all of its colonial gains in the Americas, their colonial expansion also covered territories in Africa and Asia where France grew to be a major colonial power in the 19th century.

Key Terms

- **Sovereign Council**: A governing body in New France. It acted as both Supreme Court for the colony of New France and as a policy making body, although, its policy role diminished over time. Though officially established in 1663 by King Louis XIV, it was not created whole cloth, but rather evolved from earlier governing bodies.
- **mercantile colonies**: Colonies that sought to derive the maximum material benefit from the colony, for the homeland, with a minimum of imperial investment in the colony itself. The mercantilist ideology at its foundations was embodied in New France through the establishment under Royal Charter of a number of corporate trading monopolies.
- **New France**: The area colonized by France in North America during a period beginning with the exploration of the Saint Lawrence River by Jacques Cartier in 1534, and ending with the cession of New France to Spain and Great Britain in 1763. At its peak in 1712, the territory extended from Newfoundland to the Rocky Mountains, and from Hudson Bay to the Gulf of Mexico, including all the Great Lakes of North America.
- **Carib Expulsion**: The French-led ethnic cleansing that terminated most of the Carib population in 1660 from present-day Martinique. This followed the French invasion in 1635 and its conquest of the people on the Caribbean island, which made it part of the French colonial empire.

The French in the New World: New France

Competing with Spain, Portugal, the United Provinces (the Dutch Republic), and later Britain, France began to establish colonies in North America, the Caribbean, and India in the 17th century. The French first came to the New World as explorers, seeking a route to the Pacific Ocean and wealth. Major French exploration of North America began under the rule of Francis I of France. In 1524, Francis sent Italian-born Giovanni da Verrazzano to explore the region between Florida and Newfoundland for a route to the Pacific Ocean. Verrazzano gave the names *Francesca* and *Nova Gallia* to the land between New Spain and English Newfoundland, thus promoting French interests.

In 1534, Francis sent Jacques Cartier on the first of three voyages to explore the coast of Newfoundland and the St. Lawrence River. Cartier founded New France by planting a cross on the shore of the Gaspé Peninsula. He is believed to have accompanied Verrazzano to Nova Scotia and Brazil, and was the first European to travel inland in North America, describing the Gulf of Saint Lawrence, which he named “The Country of Canadas” after Iroquois names, and claiming what is now Canada for France. He attempted to create the first permanent European settlement in North America at Cap-Rouge (Quebec City) in 1541 with 400

settlers, but the settlement was abandoned the next year. A number of other failed attempts to establish French settlement in North America followed throughout the rest of the 16th century.



Portrait of Jacques Cartier by Théophile Hamel (1844), Library and Archives Canada (there are no known paintings of Cartier that were created during his lifetime): In 1534, Jacques Cartier planted a cross in the Gaspé Peninsula and claimed the land in the name of King Francis I. It was the first province of New France. However, initial French attempts at settling the region met with failure.

Although, through alliances with various Native American tribes, the French were able to exert a loose control over much of the North American continent, areas of French settlement were generally limited to the St. Lawrence River Valley. Prior to the establishment of the 1663 Sovereign Council, the territories of New France were developed as mercantile colonies. It was only after 1665 that France gave its American colonies the proper means to develop population colonies comparable to that of the British. By the first decades of the 18th century, the French created and controlled such colonies as Quebec, *La Baye des Puants* (present-day Green Bay), Ville-Marie (Montreal), *Fort Pontchartrain du Détroit* (modern-day Detroit), or *La Nouvelle Orléans* (New Orleans) and Baton Rouge. However, there was relatively little interest in colonialism in France, which concentrated on dominance within Europe, and for most of its history, New France was far behind the British North American colonies in both population and economic development. Acadia itself was lost to the British in 1713.

In 1699, French territorial claims in North America expanded still further, with the foundation of Louisiana in the basin of the Mississippi River. The extensive trading network throughout the region connected to Canada through the Great Lakes, was maintained through a vast system of fortifications, many of them centered in the Illinois Country and in present-day Arkansas.



Map of North America (1750): France (blue), Britain (pink), and Spain (orange)

New France was the area colonized by France in North America during a period beginning with the exploration of the Saint Lawrence River by Jacques Cartier in 1534, and ending with the cession of New France to Spain and Great Britain in 1763. At its peak in 1712, the territory of New France extended from Newfoundland to the Rocky Mountains, and from Hudson Bay to the Gulf of Mexico, including all the Great Lakes of North America.

The West Indies

As the French empire in North America grew, the French also began to build a smaller but more profitable empire in the West Indies. Settlement along the South American coast in what is today French Guiana began in 1624, and a colony was founded on Saint Kitts in 1625. Colonies in Guadeloupe and Martinique were founded in 1635 and on Saint Lucia in 1650. The food-producing plantations of these colonies were built and sustained through slavery, with the supply of slaves dependent on the African slave trade. Local resistance by the indigenous peoples resulted in the Carib Expulsion of 1660.

France's most important Caribbean colonial possession was established in 1664, when the colony of Saint-Domingue (today's Haiti) was founded on the western half of the Spanish island of Hispaniola. In the 18th century, Saint-Domingue grew to be the richest sugar colony in the Caribbean. The eastern half of Hispaniola (today's Dominican Republic) also came under French rule for a short period, after being given to France by Spain in 1795.

In the middle of the 18th century, a series of colonial conflicts began between France and Britain, which ultimately resulted in the destruction of most of the first French colonial empire and the near complete expulsion of France from the Americas.

Africa and Asia

French colonial expansion wasn't limited to the New World. In Senegal in West Africa, the French began to establish trading posts along the coast in 1624. In 1664, the French East India Company was established to compete for trade in the east. With the decay of the Ottoman Empire, in 1830 the French seized Algiers, thus beginning the colonization of French North Africa. Colonies were also established in India in Chandernagore (1673) and Pondichéry in the south east (1674), and later at Yanam (1723), Mahe (1725), and Karikal (1739). Finally, colonies were founded in the Indian Ocean, on the Île de Bourbon (Réunion, 1664), Isle de France (Mauritius, 1718), and the Seychelles (1756).

While the French never rebuilt its American gains, their influence in Africa and Asia expanded significantly over the course of the 19th century.

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10.4: The Scientific Revolution

Roots of the Scientific Revolution

The scientific revolution, which emphasized systematic experimentation as the most valid research method, resulted in developments in mathematics, physics, astronomy, biology, and chemistry. These developments transformed the views of society about nature.

LEARNING OBJECTIVES

- Outline the changes that occurred during the Scientific Revolution that resulted in developments towards a new means for experimentation

KEY TAKEAWAYS

Key Points

- The scientific revolution was the emergence of modern science during the early modern period, when developments in mathematics, physics, astronomy, biology (including human anatomy), and chemistry transformed societal views about nature.
- The change to the medieval idea of science occurred for four reasons: collaboration, the derivation of new experimental methods, the ability to build on the legacy of existing scientific philosophy, and institutions that enabled academic publishing.
- Under the scientific method, which was defined and applied in the 17th century, natural and artificial circumstances were abandoned and a research tradition of systematic experimentation was slowly accepted throughout the scientific community.
- During the scientific revolution, changing perceptions about the role of the scientist in respect to nature, and the value of experimental or observed evidence, led to a scientific methodology in which empiricism played a large, but not absolute, role.
- As the scientific revolution was not marked by any single change, many new ideas contributed. Some of them were revolutions in their own fields.
- Science came to play a leading role in Enlightenment discourse and thought. Many Enlightenment writers and thinkers had backgrounds in the sciences, and associated scientific advancement with the overthrow of religion and traditional authority in favor of the development of free speech and thought.

Key Terms

- **empiricism**: A theory stating that knowledge comes only, or primarily, from sensory experience. It emphasizes evidence, especially the kind of evidence gathered through experimentation and by use of the scientific method.
- **Galileo**: An Italian thinker (1564-1642) and key figure in the scientific revolution who improved the telescope, made astronomical observations, and put forward the basic principle of relativity in physics.
- **Baconian method**: The investigative method developed by Sir Francis Bacon. It was put forward in Bacon's book Novum Organum (1620), (or New Method), and was supposed to replace the methods put forward in Aristotle's Organon. This method was influential upon the development of the scientific method in modern science, but also more generally in the early modern rejection of medieval Aristotelianism.
- **scientific method**: A body of techniques for investigating phenomena, acquiring new knowledge, or correcting and integrating previous knowledge, through the application of empirical or measurable evidence subject to specific principles of reasoning. It has characterized natural science since the 17th century, consisting in systematic observation, measurement, and experiment, and the formulation, testing, and modification of hypotheses.
- **British Royal Society**: A British learned society for science; possibly the oldest such society still in existence, having been founded in November 1660.

The Scientific Revolution

The scientific revolution was the emergence of modern science during the early modern period, when developments in mathematics, physics, astronomy, biology (including human anatomy), and chemistry transformed societal views about nature. The scientific revolution began in Europe toward the end of the Renaissance period, and continued through the late 18th century, influencing the intellectual social movement known as the Enlightenment. While its dates are disputed, the publication in 1543 of Nicolaus Copernicus 's *De revolutionibus orbium coelestium* (*On the Revolutions of the Heavenly Spheres*) is often cited as marking the beginning of the scientific revolution.

The scientific revolution was built upon the foundation of ancient Greek learning and science in the Middle Ages, as it had been elaborated and further developed by Roman/Byzantine science and medieval Islamic science. The Aristotelian tradition was still an important intellectual framework in the 17th century, although by that time natural philosophers had moved away from much of it. Key scientific ideas dating back to classical antiquity had changed drastically over the years, and in many cases been discredited. The ideas that remained (for example, Aristotle 's cosmology, which placed the Earth at the center of a spherical hierarchic cosmos, or the Ptolemaic model of planetary motion) were transformed fundamentally during the scientific revolution.

The change to the medieval idea of science occurred for four reasons:

1. Seventeenth century scientists and philosophers were able to collaborate with members of the mathematical and astronomical communities to effect advances in all fields.
2. Scientists realized the inadequacy of medieval experimental methods for their work and so felt the need to devise new methods (some of which we use today).
3. Academics had access to a legacy of European, Greek, and Middle Eastern scientific philosophy that they could use as a starting point (either by disproving or building on the theorems).
4. Institutions (for example, the British Royal Society) helped validate science as a field by providing an outlet for the publication of scientists' work.

New Methods

Under the scientific method that was defined and applied in the 17th century, natural and artificial circumstances were abandoned, and a research tradition of systematic experimentation was slowly accepted throughout the scientific community. The philosophy of using an inductive approach to nature (to abandon assumption and to attempt to simply observe with an open mind) was in strict contrast with the earlier, Aristotelian approach of deduction, by which analysis of known facts produced further understanding. In practice, many scientists and philosophers believed that a healthy mix of both was needed—the willingness to both question assumptions, and to interpret observations assumed to have some degree of validity.

During the scientific revolution, changing perceptions about the role of the scientist in respect to nature, the value of evidence, experimental or observed, led towards a scientific methodology in which empiricism played a large, but not absolute, role. The term British empiricism came into use to describe philosophical differences perceived between two of its founders—Francis Bacon, described as empiricist, and René Descartes, who was described as a rationalist. Bacon's works established and popularized inductive methodologies for scientific inquiry, often called the *Baconian method*, or sometimes simply the scientific method. His demand for a planned procedure of investigating all things natural marked a new turn in the rhetorical and theoretical framework for science, much of which still surrounds conceptions of proper methodology today. Correspondingly, Descartes distinguished between the knowledge that could be attained by reason alone (rationalist approach), as, for example, in mathematics, and the knowledge that required experience of the world, as in physics.

Thomas Hobbes, George Berkeley, and David Hume were the primary exponents of empiricism, and developed a sophisticated empirical tradition as the basis of human knowledge. The recognized founder of the approach was John Locke, who proposed in *An Essay Concerning Human Understanding* (1689) that the only true knowledge that could be accessible to the human mind was that which was based on experience.

New Ideas

Many new ideas contributed to what is called the scientific revolution. Some of them were revolutions in their own fields. These include:

- The heliocentric model that involved the radical displacement of the earth to an orbit around the sun (as opposed to being

seen as the center of the universe). Copernicus' 1543 work on the heliocentric model of the solar system tried to demonstrate that the sun was the center of the universe. The discoveries of Johannes Kepler and Galileo gave the theory credibility and the work culminated in Isaac Newton's *Principia,* which formulated the laws of motion and universal gravitation that dominated scientists' view of the physical universe for the next three centuries.

- Studying human anatomy based upon the dissection of human corpses, rather than the animal dissections, as practiced for centuries.
- Discovering and studying magnetism and electricity, and thus, electric properties of various materials.
- Modernization of disciplines (making them more as what they are today), including dentistry, physiology, chemistry, or optics.
- Invention of tools that deepened the understating of sciences, including mechanical calculator, steam digester (the forerunner of the steam engine), refracting and reflecting telescopes, vacuum pump, or mercury barometer.

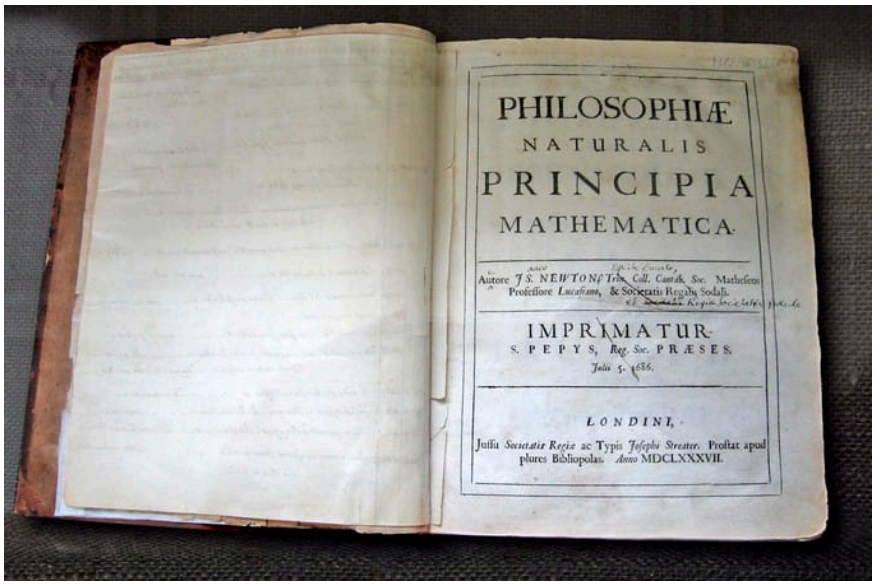


The Shannon Portrait of the Hon. Robert Boyle F. R. S. (1627-1691): Robert Boyle (1627-1691), an Irish-born English scientist, was an early supporter of the scientific method and founder of modern chemistry. Boyle is known for his pioneering experiments on the physical properties of gases, his authorship of the Sceptical Chymist, his role in creating the Royal Society of London, and his philanthropy in the American colonies.

The Scientific Revolution and the Enlightenment

The scientific revolution laid the foundations for the Age of Enlightenment, which centered on reason as the primary source of authority and legitimacy, and emphasized the importance of the scientific method. By the 18th century, when the Enlightenment flourished, scientific authority began to displace religious authority, and disciplines until then seen as legitimately scientific (e.g., alchemy and astrology) lost scientific credibility.

Science came to play a leading role in Enlightenment discourse and thought. Many Enlightenment writers and thinkers had backgrounds in the sciences, and associated scientific advancement with the overthrow of religion and traditional authority in favor of the development of free speech and thought. Broadly speaking, Enlightenment science greatly valued empiricism and rational thought, and was embedded with the Enlightenment ideal of advancement and progress. At the time, science was dominated by scientific societies and academies, which had largely replaced universities as centers of scientific research and development. Societies and academies were also the backbone of the maturation of the scientific profession. Another important development was the popularization of science among an increasingly literate population. The century saw significant advancements in the practice of medicine, mathematics, and physics; the development of biological taxonomy; a new understanding of magnetism and electricity; and the maturation of chemistry as a discipline, which established the foundations of modern chemistry.



Isaac Newton's Principia, developed the first set of unified scientific laws

Newton's *Principia* formulated the laws of motion and universal gravitation, which dominated scientists' view of the physical universe for the next three centuries. By deriving Kepler's laws of planetary motion from his mathematical description of gravity, and then using the same principles to account for the trajectories of comets, the tides, the precession of the equinoxes, and other phenomena, Newton removed the last doubts about the validity of the heliocentric model of the cosmos. This work also demonstrated that the motion of objects on Earth and of celestial bodies could be described by the same principles. His laws of motion were to be the solid foundation of mechanics.

Physics and Mathematics

In the 16th and 17th centuries, European scientists began increasingly applying quantitative measurements to the measurement of physical phenomena on the earth, which translated into the rapid development of mathematics and physics.

LEARNING OBJECTIVES

Distinguish between the different key figures of the scientific revolution and their achievements in mathematics and physics

KEY TAKEAWAYS

Key Points

- The philosophy of using an inductive approach to nature was in strict contrast with the earlier, Aristotelian approach of deduction, by which analysis of known facts produced further understanding. In practice, scientists believed that a healthy mix of both was needed—the willingness to question assumptions, yet also to interpret observations assumed to have some degree of validity. That principle was particularly true for mathematics and physics.
- In the 16th and 17th centuries, European scientists began increasingly applying quantitative measurements to the measurement of physical phenomena on the earth.
- The Copernican Revolution, or the paradigm shift from the Ptolemaic model of the heavens to the heliocentric model with the sun at the center of the solar system, began with the publication of Copernicus's *De revolutionibus orbium coelestium,* and ended with Newton's work over a century later.
- Galileo showed a remarkably modern appreciation for the proper relationship between mathematics, theoretical physics, and experimental physics. His contributions to observational astronomy include the telescopic confirmation of the phases of Venus, the discovery of the four largest satellites of Jupiter, and the observation and analysis of sunspots.
- Newton's *Principia* formulated the laws of motion and universal gravitation, which dominated scientists' view of the physical universe for the next three centuries. He removed the last doubts about the validity of the heliocentric model of the solar system.

- The electrical science developed rapidly following the first discoveries of William Gilbert.

Key Terms

- **scientific method**: A body of techniques for investigating phenomena, acquiring new knowledge, or correcting and integrating previous knowledge that apply empirical or measurable evidence subject to specific principles of reasoning. It has characterized natural science since the 17th century, consisting in systematic observation, measurement, and experiment, and the formulation, testing, and modification of hypotheses.
- **Copernican Revolution**: The paradigm shift from the Ptolemaic model of the heavens, which described the cosmos as having Earth stationary at the center of the universe, to the heliocentric model with the sun at the center of the solar system. Beginning with the publication of Nicolaus Copernicus's De revolutionibus orbium coelestium, contributions to the "revolution" continued, until finally ending with Isaac Newton's work over a century later.
- **scientific revolution**: The emergence of modern science during the early modern period, when developments in mathematics, physics, astronomy, biology (including human anatomy), and chemistry transformed societal views about nature. It began in Europe towards the end of the Renaissance period, and continued through the late 18th century, influencing the intellectual social movement known as the Enlightenment.

Introduction

Under the scientific method that was defined and applied in the 17th century, natural and artificial circumstances were abandoned, and a research tradition of systematic experimentation was slowly accepted throughout the scientific community. The philosophy of using an inductive approach to nature—to abandon assumption and to attempt to simply observe with an open mind—was in strict contrast with the earlier, Aristotelian approach of deduction, by which analysis of known facts produced further understanding. In practice, many scientists (and philosophers) believed that a healthy mix of both was needed—the willingness to question assumptions, yet also to interpret observations assumed to have some degree of validity. That principle was particularly true for mathematics and physics. René Descartes, whose thought emphasized the power of reasoning but also helped establish the scientific method, distinguished between the knowledge that could be attained by reason alone (rationalist approach), which he thought was mathematics, and the knowledge that required experience of the world, which he thought was physics.

Mathematization

To the extent that medieval natural philosophers used mathematical problems, they limited social studies to theoretical analyses of local speed and other aspects of life. The actual measurement of a physical quantity, and the comparison of that measurement to a value computed on the basis of theory, was largely limited to the mathematical disciplines of astronomy and optics in Europe. In the 16th and 17th centuries, European scientists began increasingly applying quantitative measurements to the measurement of physical phenomena on Earth.

The Copernican Revolution

While the dates of the scientific revolution are disputed, the publication in 1543 of Nicolaus Copernicus's *De revolutionibus orbium coelestium* (*On the Revolutions of the Heavenly Spheres*) is often cited as marking the beginning of the scientific revolution.

The book proposed a heliocentric system contrary to the widely accepted geocentric system of that time. Tycho Brahe accepted Copernicus's model but reasserted geocentricity. However, Tycho challenged the Aristotelian model when he observed a comet that went through the region of the planets. This region was said to only have uniform circular motion on solid spheres, which meant that it would be impossible for a comet to enter into the area. Johannes Kepler followed Tycho and developed the three laws of planetary motion. Kepler would not have been able to produce his laws without the observations of Tycho, because they allowed Kepler to prove that planets traveled in ellipses, and that the sun does not sit directly in the center of an orbit, but at a focus. Galileo Galilei came after Kepler and developed his own telescope with enough magnification to allow him to study Venus and discover that it has phases like a moon. The discovery of the phases of Venus was one of the more influential reasons for the transition from geocentrism to heliocentrism. Isaac Newton's *Philosophiæ Naturalis Principia Mathematica* concluded the Copernican Revolution. The development of his laws of planetary motion and universal gravitation explained the presumed motion related to the heavens by asserting a gravitational force of attraction between two objects.

Other Advancements in Physics and Mathematics

Galileo was one of the first modern thinkers to clearly state that the laws of nature are mathematical. In broader terms, his work marked another step towards the eventual separation of science from both philosophy and religion, a major development in human thought. Galileo showed a remarkably modern appreciation for the proper relationship between mathematics, theoretical physics, and experimental physics. He understood the parabola, both in terms of conic sections and in terms of the ordinate (y) varying as the square of the abscissa (x). He further asserted that the parabola was the theoretically ideal trajectory of a uniformly accelerated projectile in the absence of friction and other disturbances.

Newton's *Principia* formulated the laws of motion and universal gravitation, which dominated scientists' view of the physical universe for the next three centuries. By deriving Kepler's laws of planetary motion from his mathematical description of gravity, and then using the same principles to account for the trajectories of comets, the tides, the precession of the equinoxes, and other phenomena, Newton removed the last doubts about the validity of the heliocentric model of the cosmos. This work also demonstrated that the motion of objects on Earth, and of celestial bodies, could be described by the same principles. His prediction that Earth should be shaped as an oblate spheroid was later vindicated by other scientists. His laws of motion were to be the solid foundation of mechanics; his law of universal gravitation combined terrestrial and celestial mechanics into one great system that seemed to be able to describe the whole world in mathematical formulae. Newton also developed the theory of gravitation. After the exchanges with Robert Hooke, English natural philosopher, architect, and polymath, he worked out proof that the elliptical form of planetary orbits would result from a centripetal force inversely proportional to the square of the radius vector.

The scientific revolution also witnessed the development of modern optics. Kepler published *Astronomiae Pars Optica* (*The Optical Part of Astronomy*) in 1604. In it, he described the inverse-square law governing the intensity of light, reflection by flat and curved mirrors, and principles of pinhole cameras, as well as the astronomical implications of optics, such asparallax and the apparent sizes of heavenly bodies. Willebrord Snellius found the mathematical law of refraction, now known as Snell's law, in 1621. Subsequently, Descartes showed, by using geometric construction and the law of refraction (also known as Descartes' law), that the angular radius of a rainbow is 42°. He also independently discovered the law of reflection. Finally, Newton investigated the refraction of light, demonstrating that a prism could decompose white light into a spectrum of colors, and that a lens and a second prism could recompose the multicolored spectrum into white light. He also showed that the colored light does not change its properties by separating out a colored beam and shining it on various objects.



Portrait of Galileo Galilei by Giusto Sustermans, 1636

Galileo Galilei (1564-1642) improved the telescope, with which he made several important astronomical discoveries, including the four largest moons of Jupiter, the phases of Venus, and the rings of Saturn, and made detailed observations of sunspots. He developed the laws for falling bodies based on pioneering quantitative experiments, which he analyzed mathematically.

Dr. William Gilbert, in *De Magnete*, invented the New Latin word *electricus* from *ἤλεκτρον* (*elektron*), the Greek word for "amber." Gilbert undertook a number of careful electrical experiments, in the course of which he discovered that many substances were

capable of manifesting electrical properties. He also discovered that a heated body lost its electricity, and that moisture prevented the electrification of all bodies, due to the now well-known fact that moisture impaired the insulation of such bodies. He also noticed that electrified substances attracted all other substances indiscriminately, whereas a magnet only attracted iron. The many discoveries of this nature earned for Gilbert the title of "founder of the electrical science."

Robert Boyle also worked frequently at the new science of electricity, and added several substances to Gilbert's list of electrics. In 1675, he stated that electric attraction and repulsion can act across a vacuum. One of his important discoveries was that electrified bodies in a vacuum would attract light substances, this indicating that the electrical effect did not depend upon the air as a medium. He also added resin to the then known list of electrics. By the end of the 17th Century, researchers had developed practical means of generating electricity by friction with an anelectrostatic generator, but the development of electrostatic machines did not begin in earnest until the 18th century, when they became fundamental instruments in the studies about the new science of electricity. The first usage of the word *electricity* is ascribed to Thomas Browne in 1646 work. In 1729, Stephen Gray demonstrated that electricity could be "transmitted" through metal filaments.

Treasures of the RAS: Starry Messenger by Galileo Galilei: In 1610, Galileo published this book describing his observations of the sky with a new invention – the telescope. In it he describes his discovery of the moons of Jupiter, of stars too faint to be seen by the naked eye, and of mountains on the moon. The book was the first scientific publication to be based on data from a telescope. It was an important step towards our modern understanding of the solar system. The Latin title is *Sidereus Nuncius*, which translates as *Starry Messenger*, or *Sidereal Message*.

Astronomy

Though astronomy is the oldest of the natural sciences, its development during the scientific revolution entirely transformed societal views about nature by moving from geocentrism to heliocentrism.

LEARNING OBJECTIVES

- Assess the work of both Copernicus and Kepler and their revolutionary ideas

KEY TAKEAWAYS

Key Points

- The development of astronomy during the period of the scientific revolution entirely transformed societal views about nature. The publication of Nicolaus Copernicus ' *De revolutionibus* in 1543 is often seen as marking the beginning of the time when scientific disciplines gradually transformed into the modern sciences as we know them today.
- Copernican heliocentrism is the name given to the astronomical model developed by Copernicus that positioned the sun near the center of the universe, motionless, with Earth and the other planets rotating around it in circular paths, modified by epicycles and at uniform speeds.
- For over a century, few astronomers were convinced by the Copernican system. Tycho Brahe went so far as to construct a cosmology precisely equivalent to that of Copernicus, but with the earth held fixed in the center of the celestial sphere, instead of the sun. However, Tycho's idea also contributed to the defense of the heliocentric model.
- In 1596, Johannes Kepler published his first book, which was the first to openly endorse Copernican cosmology by an astronomer since the 1540s. Kepler's work on Mars and planetary motion further confirmed the heliocentric theory.
- Galileo Galilei designed his own telescope, with which he made a number of critical astronomical observations. His observations and discoveries were among the most influential in the transition from geocentrism to heliocentrism.
- Isaac Newton developed further ties between physics and astronomy through his law of universal gravitation, and irreversibly confirmed and further developed heliocentrism.

Key Terms

- **Copernicus**: A Renaissance mathematician and astronomer (1473-1543), who formulated a heliocentric model of the universe which placed the sun, rather than the earth, at the center.
- **epicycles**: The geometric model used to explain the variations in speed and direction of the apparent motion of the moon, sun, and planets in the Ptolemaic system of astronomy.

- **Copernican heliocentrism**: The name given to the astronomical model developed by Nicolaus Copernicus and published in 1543. It positioned the sun near the center of the universe, motionless, with Earth and the other planets rotating around it in circular paths, modified by epicycles and at uniform speeds. It departed from the Ptolemaic system that prevailed in western culture for centuries, placing Earth at the center of the universe.

The Emergence of Modern Astronomy

While astronomy is the oldest of the natural sciences, dating back to antiquity, its development during the period of the scientific revolution entirely transformed the views of society about nature. The publication of the seminal work in the field of astronomy, Nicolaus Copernicus ' *De revolutionibus orbium coelestium* (*On the Revolutions of the Heavenly Spheres*) published in 1543, is, in fact, often seen as marking the beginning of the time when scientific disciplines, including astronomy, began to apply modern empirical research methods, and gradually transformed into the modern sciences as we know them today.

The Copernican Heliocentrism

Copernican heliocentrism is the name given to the astronomical model developed by Nicolaus Copernicus and published in 1543. It positioned the sun near the center of the universe, motionless, with Earth and the other planets rotating around it in circular paths, modified by epicycles and at uniform speeds. The Copernican model departed from the Ptolemaic system that prevailed in western culture for centuries, placing Earth at the center of the universe. Copernicus' *De revolutionibus* marks the beginning of the shift away from a geocentric (and anthropocentric) universe with Earth at its center. Copernicus held that Earth is another planet revolving around the fixed sun once a year, and turning on its axis once a day. But while he put the sun at the center of the celestial spheres, he did not put it at the exact center of the universe, but near it. His system used only uniform circular motions, correcting what was seen by many as the chief inelegance in Ptolemy's system.

The Copernican Revolution

From 1543 until about 1700, few astronomers were convinced by the Copernican system. Forty-five years after the publication of *De Revolutionibus*, the astronomer Tycho Brahe went so far as to construct a cosmology precisely equivalent to that of Copernicus, but with Earth held fixed in the center of the celestial sphere instead of the sun. However, Tycho challenged the Aristotelian model when he observed a comet that went through the region of the planets. This region was said to only have uniform circular motion on solid spheres, which meant that it would be impossible for a comet to enter into the area. Following Copernicus and Tycho, Johannes Kepler and Galileo Galilei, both working in the first decades of the 17th century, influentially defended, expanded and modified the heliocentric theory.

Johannes Kepler

Johannes Kepler was a German scientist who initially worked as Tycho's assistant. In 1596, he published his first book, the *Mysterium cosmographicum*, which was the first to openly endorse Copernican cosmology by an astronomer since the 1540s. The book described his model that used Pythagorean mathematics and the five Platonic solids to explain the number of planets, their proportions, and their order. In 1600, Kepler set to work on the orbit of Mars, the second most eccentric of the six planets known at that time. This work was the basis of his next book, the *Astronomia nova* (1609). The book argued heliocentrism and ellipses for planetary orbits, instead of circles modified by epicycles. It contains the first two of his eponymous three laws of planetary motion (in 1619, the third law was published). The laws state the following:

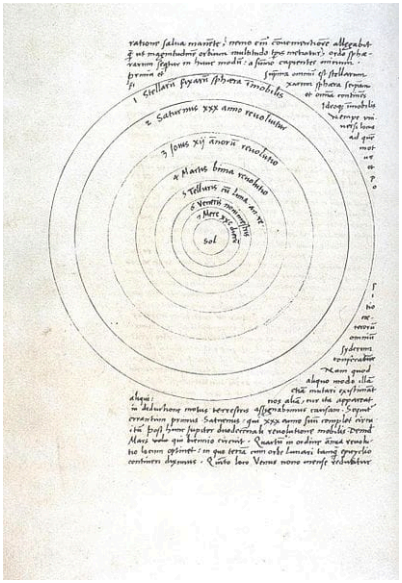
- All planets move in elliptical orbits, with the sun at one focus.
- A line that connects a planet to the sun sweeps out equal areas in equal times.
- The time required for a planet to orbit the sun, called its period, is proportional to long axis of the ellipse raised to the 3/2 power. The constant of proportionality is the same for all the planets.

Galileo Galilei

Galileo Galilei was an Italian scientist who is sometimes referred to as the "father of modern observational astronomy." Based on the designs of Hans Lippershey, he designed his own telescope, which he had improved to 30x magnification. Using this new instrument, Galileo made a number of astronomical observations, which he published in the *Sidereus Nuncius* in 1610. In this book, he described the surface of the moon as rough, uneven, and imperfect. His observations challenged Aristotle 's claim that the moon was a perfect sphere, and the larger idea that the heavens were perfect and unchanging. While observing Jupiter

over the course of several days, Galileo noticed four stars close to Jupiter whose positions were changing in a way that would be impossible if they were fixed stars. After much observation, he concluded these four stars were orbiting the planet Jupiter and were in fact moons, not stars. This was a radical discovery because, according to Aristotelian cosmology, all heavenly bodies revolve around Earth, and a planet with moons obviously contradicted that popular belief. While contradicting Aristotelian belief, it supported Copernican cosmology, which stated that Earth is a planet like all others.

In 1610, Galileo also observed that Venus had a full set of phases, similar to the phases of the moon, that we can observe from Earth. This was explainable by the Copernican system, which said that all phases of Venus would be visible due to the nature of its orbit around the sun, unlike the Ptolemaic system, which stated only some of Venus's phases would be visible. Due to Galileo's observations of Venus, Ptolemy's system became highly suspect and the majority of leading astronomers subsequently converted to various heliocentric models, making his discovery one of the most influential in the transition from geocentrism to heliocentrism.



Heliocentric model of the solar system, Nicolas Copernicus, De revolutionibus, p. 9, from an original edition, currently at the Jagiellonian University in Cracow, Poland

Copernicus was a polyglot and polymath who obtained a doctorate in canon law and also practiced as a physician, classics scholar, translator, governor, diplomat, and economist. In 1517 he derived a quantity theory of money–a key concept in economics–and in 1519, he formulated a version of what later became known as Gresham's law (also in economics).

Uniting Astronomy and Physics: Isaac Newton

Although the motions of celestial bodies had been qualitatively explained in physical terms since Aristotle introduced celestial movers in his *Metaphysics* and a fifth element in his *On the Heavens*, Johannes Kepler was the first to attempt to derive mathematical predictions of celestial motions from assumed physical causes. This led to the discovery of the three laws of planetary motion that carry his name.

Isaac Newton developed further ties between physics and astronomy through his law of universal gravitation. Realizing that the same force that attracted objects to the surface of Earth held the moon in orbit around the Earth, Newton was able to explain, in one theoretical framework, all known gravitational phenomena. Newton's *Principia* (1687) formulated the laws of motion and universal gravitation, which dominated scientists' view of the physical universe for the next three centuries. By deriving Kepler's laws of planetary motion from his mathematical description of gravity, and then using the same principles to account for the trajectories of comets, the tides, the precession of the equinoxes, and other phenomena, Newton removed the last doubts about the validity of the heliocentric model of the cosmos. This work also demonstrated that the motion of objects on Earth and of celestial bodies could be described by the same principles. His laws of motion were to be the solid foundation of mechanics; his law of universal gravitation combined terrestrial and celestial mechanics into one great system that seemed to be able to describe the whole world in mathematical formulae.



Jan Matejko, Astronomer Copernicus, or Conversations with God, 1873: Oil painting by the Polish artist Jan Matejko depicting Nicolaus Copernicus observing the heavens from a balcony by a tower near the cathedral in Frombork. Currently, the painting is in the collection of the Jagiellonian University of Cracow, which purchased it from a private owner with money donated by the Polish public.

Johannes Kepler Biography (1571-1630): Johannes Kepler was a German astronomer and mathematician, who played an important role in the 17th century scientific revolution.

The Medical Renaissance

The Renaissance period witnessed groundbreaking developments in medical sciences, including advancements in human anatomy, physiology, surgery, dentistry, and microbiology.

LEARNING OBJECTIVES

- List the discoveries and progress made by leading medical professionals during the Early Modern era

KEY TAKEAWAYS

Key Points

- During the Renaissance, experimental investigation, particularly in the field of dissection and body examination, advanced the knowledge of human anatomy and modernized medical research.
- *De humani corporis fabrica* by Andreas Vesalius emphasized the priority of dissection and what has come to be called the "anatomical" view of the body. It laid the foundations for the modern study of human anatomy.
- Further groundbreaking work was carried out by William Harvey, who published *De Motu Cordis* in 1628. Harvey made a detailed analysis of the overall structure of the heart and blood circulation.
- French surgeon Ambroise Paré (c. 1510-1590) is considered one of the fathers of surgery and modern forensic pathology, and a pioneer in surgical techniques and battlefield medicine, especially in the treatment of wounds.
- Herman Boerhaave (1668-1738) is regarded as the founder of clinical teaching, and of the modern academic hospital. He is sometimes referred to as "the father of physiology."
- French physician Pierre Fauchard started dentistry science as we know it today, and he has been named "the father of modern dentistry."

Key Terms

- **humorism**: A system of medicine detailing the makeup and workings of the human body, adopted by the Indian Ayurveda

system of medicine, and Ancient Greek and Roman physicians and philosophers. It posits that an excess or deficiency of any of four distinct bodily fluids in a person—known as humors or humours—directly influences their temperament and health.
- **Andreas Vesalius**: A Belgian anatomist (1514-1564), physician, and author of one of the most influential books on human anatomy, De humani corporis fabrica (On the Fabric of the Human Body).
- **Galen**: A prominent Greek physician (129 CE-c. 216 CE), surgeon, and philosopher in the Roman Empire. Arguably the most accomplished of all medical researchers of antiquity, he influenced the development of various scientific disciplines, including anatomy, physiology, pathology, pharmacology, and neurology, as well as philosophy and logic.
- **Ambroise Paré**: A French surgeon (1510-1590) who is considered one of the fathers of surgery and modern forensic pathology, and a pioneer in surgical techniques and battlefield medicine, especially in the treatment of wounds.
- **William Harvey**: An English physician (1578-1657), and the first to describe completely and in detail the systemic circulation and properties of blood being pumped to the brain and body by the heart.

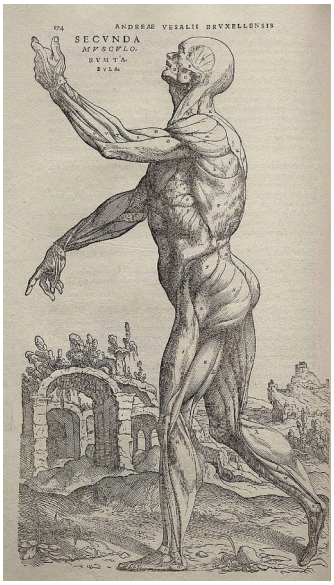
The Renaissance and Medical Sciences

The Renaissance brought an intense focus on varied scholarship to Christian Europe. A major effort to translate the Arabic and Greek scientific works into Latin emerged, and Europeans gradually became experts not only in the ancient writings of the Romans and Greeks, but also in the contemporary writings of Islamic scientists. During the later centuries of the Renaissance, which overlapped with the scientific revolution, experimental investigation, particularly in the field of dissection and body examination, advanced the knowledge of human anatomy. Other developments of the period also contributed to the modernization of medical research, including printed books that allowed for a wider distribution of medical ideas and anatomical diagrams, more open attitudes of Renaissance humanism, and the Church's diminishing impact on the teachings of the medical profession and universities. In addition, the invention and popularization of microscope in the 17th century greatly advanced medical research.

Human Anatomy

The writings of ancient Greek physician Galen had dominated European thinking in medicine. Galen's understanding of anatomy and medicine was principally influenced by the then-current theory of humorism (also known as the four humors: black bile, yellow bile, blood, and phlegm), as advanced by ancient Greek physicians, such as Hippocrates. His theories dominated and influenced western medical science for more than 1,300 years. His anatomical reports, based mainly on dissection of monkeys and pigs, remained uncontested until 1543, when printed descriptions and illustrations of human dissections were published in the seminal work *De humani corporis fabrica* by Andreas Vesalius, who first demonstrated the mistakes in the Galenic model. His anatomical teachings were based upon the dissection of human corpses, rather than the animal dissections that Galen had used as a guide. Vesalius' work emphasized the priority of dissection and what has come to be called the "anatomical" view of the body, seeing human internal functioning as an essentially corporeal structure filled with organs arranged in three-dimensional space. This was in stark contrast to many of the anatomical models used previously.

Further groundbreaking work was carried out by William Harvey, who published *De Motu Cordis* in 1628. Harvey made a detailed analysis of the overall structure of the heart, going on to an analysis of the arteries, showing how their pulsation depends upon the contraction of the left ventricle, while the contraction of the right ventricle propels its charge of blood into the pulmonary artery. He noticed that the two ventricles move together almost simultaneously and not independently like had been thought previously by his predecessors. Harvey also estimated the capacity of the heart, how much blood is expelled through each pump of the heart, and the number of times the heart beats in a half an hour. From these estimations, he went on to prove how the blood circulated in a circle.



Andreas Vesalius, De humani corporis fabrica, 1543, p. 174: In 1543, Vesalius asked Johannes Oporinus to publish the seven-volume De humani corporis fabrica (On the fabric of the human body), a groundbreaking work of human anatomy. It emphasized the priority of dissection and what has come to be called the “anatomical view” of the human body.

Other Medical Advances

Various other advances in medical understanding and practice were made. French surgeon Ambroise Paré (c. 1510-1590) is considered one of the fathers of surgery and modern forensic pathology, and a pioneer in surgical techniques and battlefield medicine, especially in the treatment of wounds. He was also an anatomist and invented several surgical instruments, and was part of the Parisian Barber Surgeon guild. Paré was also an important figure in the progress of obstetrics in the middle of the 16th century.

Herman Boerhaave (1668-1738), a Dutch botanist, chemist, Christian humanist and physician of European fame, is regarded as the founder of clinical teaching and of the modern academic hospital. He is sometimes referred to as “the father of physiology,” along with the Venetian physician Santorio Santorio (1561-1636), who introduced the quantitative approach into medicine, and with his pupil Albrecht von Haller (1708-1777). He is best known for demonstrating the relation of symptoms to lesions and, in addition, he was the first to isolate the chemical urea from urine. He was the first physician that put thermometer measurements to clinical practice.

Bacteria and protists were first observed with a microscope by Antonie van Leeuwenhoek in 1676, initiating the scientific field of microbiology.

French physician Pierre Fauchard started dentistry science as we know it today, and he has been named “the father of modern dentistry.” He is widely known for writing the first complete scientific description of dentistry, *Le Chirurgien Dentiste* (“*The Surgeon Dentist”*), published in 1728. The book described basic oral anatomy and function, signs and symptoms of oral pathology, operative methods for removing decay and restoring teeth, periodontal disease (pyorrhea), orthodontics, replacement of missing teeth, and tooth transplantation.



Andreas Vesalius, De corporis humani fabrica libri septem, illustration attributed to Jan van Calcar (circa 1499–1546/1550)

The front cover illustration of *De Humani Corporis Fabrica (On the Fabric of the Human Body*, 1543), showing a public dissection being carried out by Vesalius himself. The book advanced the modern study of human anatomy.

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10.5: Protestantism

Discontent with the Roman Catholic Church

The Protestant Reformation was the schism within Western Christianity initiated by Martin Luther, John Calvin, and other early Protestants.

LEARNING OBJECTIVES

- Explain the main motivating factors behind the Protestant Reformation

KEY TAKEAWAYS

Key Points

- The Reformation began as an attempt to reform the Roman Catholic Church, by priests who opposed what they perceived as false doctrines and ecclesiastic malpractice.
- Following the breakdown of monastic institutions and scholasticism in late medieval Europe, accentuated by the Avignon Papacy, the Papal Schism, and the failure of the Conciliar movement, the 16th century saw a great cultural debate about religious reforms and later fundamental religious values. John Wycliffe and Jan Hus were early opponents of papal authority, and their work and views paved the way for the Reformation.
- Martin Luther was a seminal figure of the Protestant Reformation who strongly disputed the sale of indulgences. His Ninety-Five Theses criticized many of the doctrines and practices of the Catholic Church.
- The Roman Catholic Church responded with a Counter-Reformation spearheaded by the new order of the Society of Jesus (Jesuits), specifically organized to counter the Protestant movement.

Key Terms

- **Conciliar movement**: A reform movement in the 14th-, 15th-, and 16th-century Catholic Church that held that supreme authority in the church resided with an Ecumenical council, apart from, or even against, the pope. The movement emerged in response to the Western Schism between rival popes in Rome and Avignon.
- **the Western Schism**: A split within the Catholic Church from 1378 to 1418, when several men simultaneously claimed to be the true pope.
- **doctrine**: List of beliefs and teachings by the church.
- **ecclesiastic**: One who adheres to a church-based philosophy.
- **indulgences**: In Catholic theology, a remission of the punishment that would otherwise be inflicted for a previously forgiven sin as a natural consequence of having sinned. They are granted for specific good works and prayers in proportion to the devotion with which those good works are performed or prayers recited.
- **Council of Trent**: Council of the Roman Catholic Church set up in Trento, Italy, in direct response to the Reformation.

The Protestant Reformation, often referred to simply as the Reformation, was a schism from the Roman Catholic Church initiated by Martin Luther and continued by other early Protestant reformers in Europe in the 16th century.

Although there had been significant earlier attempts to reform the Roman Catholic Church before Luther—such as those of Jan Hus, Geert Groote, Thomas A Kempis, Peter Waldo, and John Wycliffe—Martin Luther is widely acknowledged to have started the Reformation with his 1517 work The Ninety-Five Theses.

Luther began by criticizing the selling of indulgences, insisting that the pope had no authority over purgatory and that the Catholic doctrine of the merits of the saints had no foundation in the gospel. The Protestant position, however, would come to incorporate doctrinal changes such as *sola scriptura* (by the scripture alone) and *sola fide* (by faith alone). The core motivation behind these changes was theological, though many other factors played a part, including the rise of nationalism, the Western Schism that eroded faith in the papacy, the perceived corruption of the Roman Curia, the impact of humanism, and the new learning of the Renaissance that questioned much traditional thought.

Roots of Unrest

Following the breakdown of monastic institutions and scholasticism in late medieval Europe, accentuated by the Avignon Papacy, the Papal Schism, and the failure of the Conciliar movement, the 16th century saw a great cultural debate about religious reforms and later fundamental religious values. These issues initiated wars between princes, uprisings among peasants, and widespread concern over corruption in the Church, which sparked many reform movement within the church.

These reformist movements occurred in conjunction with economic, political, and demographic forces that contributed to a growing disaffection with the wealth and power of the elite clergy, sensitizing the population to the financial and moral corruption of the secular Renaissance church.

The major individualistic reform movements that revolted against medieval scholasticism and the institutions that underpinned it were humanism, devotionalism, and the observantine tradition. In Germany, "the modern way," or devotionalism, caught on in the universities, requiring a redefinition of God, who was no longer a rational governing principle but an arbitrary, unknowable will that could not be limited. God was now a ruler, and religion would be more fervent and emotional. Thus, the ensuing revival of Augustinian theology, stating that man cannot be saved by his own efforts but only by the grace of God, would erode the legitimacy of the rigid institutions of the church meant to provide a channel for man to do good works and get into heaven.

Humanism, however, was more of an educational reform movement with origins in the Renaissance's revival of classical learning and thought. A revolt against Aristotelian logic, it placed great emphasis on reforming individuals through eloquence as opposed to reason. The European Renaissance laid the foundation for the Northern humanists in its reinforcement of the traditional use of Latin as the great unifying language of European culture. Since the breakdown of the philosophical foundations of scholasticism, the new nominalism did not bode well for an institutional church legitimized as an intermediary between man and God. New thinking favored the notion that no religious doctrine can be supported by philosophical arguments, eroding the old alliance between reason and faith of the medieval period laid out by Thomas Aquinas.

The great rise of the burghers (merchant class) and their desire to run their new businesses free of institutional barriers or outmoded cultural practices contributed to the appeal of humanist individualism. To many, papal institutions were rigid, especially regarding their views on just price and usury. In the north, burghers and monarchs were united in their frustration for not paying any taxes to the nation, but collecting taxes from subjects and sending the revenues disproportionately to the pope in Italy.

Early Attempts at Reform

The first of a series of disruptive and new perspectives came from John Wycliffe at Oxford University, one of the earliest opponents of papal authority influencing secular power and an early advocate for translation of the Bible into the common language. Jan Hus at the University of Prague was a follower of Wycliffe and similarly objected to some of the practices of the Roman Catholic Church. Hus wanted liturgy in the language of the people (i.e. Czech), married priests, and to eliminate indulgences and the idea of purgatory.

Hus spoke out against indulgences in 1412 when he delivered an address entitled *Quaestio magistri Johannis Hus de indulgentiis*. It was taken literally from the last chapter of Wycliffe's book, *De ecclesia*, and his treatise, *De absolutione a pena et culpa*. Hus asserted that no pope or bishop had the right to take up the sword in the name of the Church; he should pray for his enemies and bless those that curse him; man obtains forgiveness of sins by true repentance, not money. The doctors of the theological faculty replied, but without success. A few days afterward, some of Hus's followers burnt the papal bulls. Hus, they said, should be obeyed rather than the Church, which they considered a fraudulent mob of adulterers and Simonists.

In response, three men from the lower classes who openly called the indulgences a fraud were beheaded. They were later considered the first martyrs of the Hussite Church. In the meantime, the faculty had condemned the forty-five articles and added several other theses, deemed heretical, that had originated with Hus. The king forbade the teaching of these articles, but neither Hus nor the university complied with the ruling, requesting that the articles should first be proven to be un-scriptural. The tumults at Prague had stirred up a sensation; papal legates and Archbishop Albik tried to persuade Hus to give up his opposition to the papal bulls, and the king made an unsuccessful attempt to reconcile the two parties.

Hus was later condemned and burned at the stake despite promise of safe-conduct when he voiced his views to church leaders at the Council of Constance (1414–1418). Wycliffe, who died in 1384, was also declared a heretic by the Council of Constance, and his corpse was exhumed and burned.



Jan Hus burned at the stake: Execution of Jan Hus at the Council of Constance in 1415. His death led to a radicalization of the Bohemian Reformation and to the Hussite Wars in the Crown of Bohemia.

The Creation of New Protestant Churches

The Reformation led to the creation of new national Protestant churches. The largest of the new church's groupings were the Lutherans (mostly in Germany, the Baltics, and Scandinavia) and the Reformed churches (mostly in Germany, France, Switzerland, the Netherlands, and Scotland).

Response from the Catholic Church to the Reformation

The Roman Catholic Church responded with a Counter-Reformation initiated by the Council of Trent and spearheaded by the new order of the Society of Jesus (Jesuits), specifically organized to counter the Protestant movement. In general, Northern Europe, with the exception of most of Ireland, turned Protestant. Southern Europe remained Roman Catholic, while Central Europe was a site of fierce conflict escalating to full-scale war.



Council of Trent by Pasquale Cati: Painting representing the artist's depiction of The Council of Trent. It met for twenty-five sessions between December 13, 1545, and December 4, 1563, in Trento (then the capital of the Prince-Bishopric of Trent in the Holy Roman Empire), apart from the ninth to eleventh sessions held in Bologna during 1547.

Luther and Protestantism

Martin Luther was a seminal figure in the Protestant Reformation; he strongly disputed the claim that freedom from God's punishment for sin could be purchased with money, famously argued in his *Ninety-five Theses* of 1517.

LEARNING OBJECTIVES

- Describe Luther's criticisms of the Catholic Church

KEY TAKEAWAYS

Key Points

- Martin Luther was a German professor of theology, composer, priest, monk and seminal figure in the Protestant Reformation.
- Luther strongly disputed the claim that freedom from God's punishment for sin could be purchased with money, called indulgences, which he argued in his *Ninety-five Theses* of 1517.
- When confronted by the church for his critiques, he refused to renounce his writings and was excommunicated by the pope and deemed an outlaw by the emperor.
- Luther's translation of the Bible into the vernacular made it more accessible to the laity, an event that had a tremendous impact on both the church and German culture.

Key Terms

- **indulgences**: A way to reduce the amount of punishment one has to undergo for sins, usually through the saying of prayers or good works, which during the middle ages included paying for church buildings or other projects.
- **excommunication**: An institutional act of religious censure used to deprive, suspend, or limit membership in a religious community or to restrict certain rights within it.
- **Ninety-five Theses**: A list of propositions for an academic disputation written by Martin Luther in 1517. They advanced Luther's positions against what he saw as abusive practices by preachers selling plenary indulgences, which were certificates that would reduce the temporal punishment for sins committed by the purchaser or their loved ones in purgatory.

Overview

Martin Luther (November 10, 1483–February 18, 1546) was a German professor of theology, composer, priest, monk and seminal figure in the Protestant Reformation. Luther came to reject several teachings and practices of the Roman Catholic Church. He strongly disputed the claim that freedom from God's punishment for sin could be purchased with money, proposing an academic discussion of the practice and efficacy of indulgences in his *Ninety-five Theses* of 1517. His refusal to renounce all of his writings at the demand of Pope Leo X in 1520 and the Holy Roman Emperor Charles V at the Diet of Worms in 1521 resulted in his excommunication by the pope and condemnation as an outlaw by the emperor.

Luther taught that salvation and, subsequently, eternal life are not earned by good deeds but are received only as the free gift of God's grace through the believer's faith in Jesus Christ as redeemer from sin. His theology challenged the authority and office of the pope by teaching that the Bible is the only source of divinely revealed knowledge from God, and opposed priestly intervention for the forgiveness of sins by considering all baptized Christians to be a holy priesthood. Those who identify with these, and all of Luther's wider teachings, are called Lutherans, though Luther insisted on Christian or Evangelical as the only acceptable names for individuals who professed Christ.

His translation of the Bible into the vernacular (instead of Latin) made it more accessible to the laity, an event that had a tremendous impact on both the church and German culture. It fostered the development of a standard version of the German language, added several principles to the art of translation, and influenced the writing of an English translation, the Tyndale Bible. His hymns influenced the development of singing in Protestant churches. His marriage to Katharina von Bora, a former nun, set a model for the practice of clerical marriage, allowing Protestant clergy to marry.

In two of his later works, Luther expressed antagonistic views toward Jews, writing that Jewish homes and synagogues should be destroyed, their money confiscated, and their liberty curtailed. Condemned by virtually every Lutheran denomination, these

statements and their influence on antisemitism have contributed to his controversial status.



Portrait of Martin Luther: Martin Luther (1528) by Lucas Cranach the Elder.

Personal Life

Martin Luther was born to Hans Luther and his wife Margarethe on November 10, 1483, in Eisleben, Saxony, then part of the Holy Roman Empire. Hans Luther was ambitious for himself and his family, and he was determined to see Martin, his eldest son, become a lawyer.

In 1501, at the age of nineteen, Martin entered the University of Erfurt. In accordance with his father's wishes, he enrolled in law school at the same university that year, but dropped out almost immediately, believing that law represented uncertainty. Luther sought assurances about life and was drawn to theology and philosophy, expressing particular interest in Aristotle, William of Ockham, and Gabriel Biel.

He was deeply influenced by two tutors, Bartholomaeus Arnoldi von Usingen and Jodocus Trutfetter, who taught him to be suspicious of even the greatest thinkers and to test everything himself by experience. Philosophy proved to be unsatisfying, offering assurance about the use of reason but no assurance about loving God, which to Luther was more important. Reason could not lead men to God, he felt, and he thereafter developed a love-hate relationship with Aristotle over the latter's emphasis on reason. For Luther, reason could be used to question men and institutions, but not God. Human beings could learn about God only through divine revelation, he believed, and scripture therefore became increasingly important to him.

Luther dedicated himself to the Augustinian order, devoting himself to fasting, long hours in prayer, pilgrimage, and frequent confession. In 1507, he was ordained to the priesthood, and in 1508, von Staupitz, first dean of the newly founded University of Wittenberg, sent for Luther to teach theology. He was made provincial vicar of Saxony and Thuringia by his religious order in 1515. This meant he was to visit and oversee eleven monasteries in his province.

Start of the Reformation

In 1516, Johann Tetzel, a Dominican friar and papal commissioner for indulgences, was sent to Germany by the Roman Catholic Church to sell indulgences to raise money to rebuild St. Peter's Basilica in Rome. Roman Catholic theology stated that faith alone, whether fiduciary or dogmatic, cannot justify man; justification rather depends only on such faith as is active in charity and good works. The benefits of good works could be obtained by donating money to the church.

On October 31, 1517, Luther wrote to his bishop, Albert of Mainz, protesting the sale of indulgences. He enclosed in his letter a copy of his "Disputation of Martin Luther on the Power and Efficacy of Indulgences," which came to be known as the *Ninety-five Theses*. Historian Hans Hillerbrand writes that Luther had no intention of confronting the church, but saw his disputation as a scholarly objection to church practices, and the tone of the writing is accordingly "searching, rather than doctrinaire." Hillerbrand writes that there is nevertheless an undercurrent of challenge in several of the theses, particularly in Thesis 86, which asks, "Why

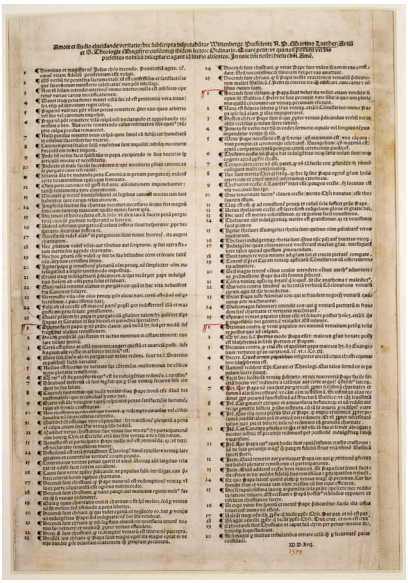
does the pope, whose wealth today is greater than the wealth of the richest Crassus, build the basilica of St. Peter with the money of poor believers rather than with his own money?"

The first thesis has become famous: "When our Lord and Master Jesus Christ said, 'Repent,' he willed the entire life of believers to be one of repentance." In the first few theses Luther develops the idea of repentance as the Christian's inner struggle with sin rather than the external system of sacramental confession.

In theses 41–47 Luther begins to criticize indulgences on the basis that they discourage works of mercy by those who purchase them. Here he begins to use the phrase, "Christians are to be taught..." to state how he thinks people should be instructed on the value of indulgences. They should be taught that giving to the poor is incomparably more important than buying indulgences, that buying an indulgence rather than giving to the poor invites God's wrath, and that doing good works makes a person better while buying indulgences does not.

Luther objected to a saying attributed to Johann Tetzel that "As soon as the coin in the coffer rings, the soul from purgatory springs." He insisted that, since forgiveness was God's alone to grant, those who claimed that indulgences absolved buyers from all punishments and granted them salvation were in error. Luther closes the *Theses* by exhorting Christians to imitate Christ even if it brings pain and suffering, because enduring punishment and entering heaven is preferable to false security.

It was not until January 1518 that friends of Luther translated the *Ninety-five Theses* from Latin into German and printed and widely copied it, making the controversy one of the first to be aided by the printing press. Within two weeks, copies of the theses had spread throughout Germany; within two months, they had spread throughout Europe.



Ninety-five Theses

1517 Nuremberg printing of the *Ninety-five Theses* as a placard, now in the Berlin State Library.

Excommunication and Later Life

On June 15, 1520, the pope warned Luther, with the papal bull *Exsurge Domine,* that he risked excommunication unless he recanted forty-one sentences drawn from his writings, including the *Ninety-five Theses*, within sixty days. That autumn, Johann Eck proclaimed the bull in Meissen and other towns. Karl von Miltitz, a papal *nuncio*, attempted to broker a solution, but Luther, who had sent the pope a copy of *On the Freedom of a Christian* in October, publicly set fire to the bull and decretals at Wittenberg on December 10, 1520, an act he defended in *Why the Pope and his Recent Book are Burned and Assertions Concerning All Articles*. As a consequence, Luther was excommunicated by Pope Leo X on January 3, 1521, in the bull *Decet Romanum Pontificem*.

The enforcement of the ban on the *Ninety-five Theses* fell to the secular authorities. On April 18, 1521, Luther appeared as ordered before the Diet of Worms. This was a general assembly of the estates of the Holy Roman Empire that took place in Worms, a town on the Rhine. It was conducted from January 28 to May 25, 1521, with Emperor Charles V presiding. Prince Frederick III, Elector of Saxony, obtained a safe conduct for Luther to and from the meeting.

Johann Eck, speaking on behalf of the empire as assistant of the Archbishop of Trier, presented Luther with copies of his writings laid out on a table and asked him if the books were his, and whether he stood by their contents. Luther confirmed he was their author, but requested time to think about the answer to the second question. He prayed, consulted friends, and gave his response the next day:

> *Unless I am convinced by the testimony of the Scriptures or by clear reason (for I do not trust either in the pope or in councils alone, since it is well known that they have often erred and contradicted themselves), I am bound by the Scriptures I have quoted and my conscience is captive to the Word of God. I cannot and will not recant anything, since it is neither safe nor right to go against conscience. May God help me. Amen.*

Over the next five days, private conferences were held to determine Luther's fate. The emperor presented the final draft of the Edict of Worms on May 25, 1521, which declared Luther an outlaw, banned his literature, and required his arrest: "We want him to be apprehended and punished as a notorious heretic." It also made it a crime for anyone in Germany to give Luther food or shelter, and permitted anyone to kill Luther without legal consequence.

By 1526, Luther found himself increasingly occupied in organizing a new church, later called the Lutheran Church, and for the rest of his life would continue building the Protestant movement.

An apoplectic stroke on February 18, 1546, deprived him of his speech, and he died shortly afterwards, at 2:45 a.m., aged sixty-two, in Eisleben, the city of his birth. He was buried in the Castle Church in Wittenberg, beneath the pulpit.

Reluctant Revolutionary: PBS Documentary about Martin Luther the "Reluctant Revolutionary." Luther opposed the Catholic Church's practices and in 1517 he wrote his *Ninety-five Theses,* which detailed the church's failings. His actions led to the start of the Protestant Revolution.

Calvinism

Calvinism is a major branch of Protestantism that follows the theological tradition and forms of Christian practice of John Calvin and is characterized by the doctrine of predestination in the salvation of souls.

LEARNING OBJECTIVES

- Compare and contrast Calvinism with Lutheranism

KEY TAKEAWAYS

Key Points

- Calvinism is a major branch of Protestantism that follows the theological tradition and forms of Christian practice of John Calvin and other Reformation -era theologians.
- Calvin's theological critiques mostly broke with the Roman Catholic Church, but he differed from Luther on certain theological points, such as the idea that Christ died only for the elect instead of all humanity, like Luther believed.
- Calvin's "Ordinances" of 1541 involved a collaboration of church affairs with the Geneva city council and consistory to bring morality to all areas of life. Geneva became the center of Protestantism.
- Protestantism also spread into France, where the Protestants were derisively nicknamed " Huguenots," and this touched off decades of warfare in France.
- Calvin's *Institutes of the Christian Religion* (1536–1559) was one of the most influential theologies of the era and was written as an introductory textbook on the Protestant faith.

Key Terms

- **Five Points of Calvinism**: The basic theological tenets of Calvinism.
- **Huguenots**: A name for French Protestants, originally a derisive term.
- **predestination**: The doctrine that all events have been willed by God, usually with reference to the eventual fate of the individual soul.

Overview

Calvinism is a major branch of Protestantism that follows the theological tradition and forms of Christian practice of John Calvin and other Reformation-era theologians.

Calvinists broke with the Roman Catholic Church but differed from Lutherans on the real presence of Christ in the Eucharist, theories of worship, and the use of God's law for believers, among other things. Calvinism can be a misleading term because the religious tradition it denotes is and has always been diverse, with a wide range of influences rather than a single founder. The movement was first called Calvinism by Lutherans who opposed it, and many within the tradition would prefer to use the word Reformed. While the Reformed theological tradition addresses all of the traditional topics of Christian theology, the word Calvinism is sometimes used to refer to particular Calvinist views on soteriology (the saving of the soul from sin and death) and predestination, which are summarized in part by the Five Points of Calvinism. Some have also argued that Calvinism as a whole stresses the sovereignty or rule of God in all things, including salvation. An important tenet of Calvinism, which differs from Lutheranism, is that God only saves the "elect," a predestined group of individuals, and that these elect are essentially guaranteed salvation, but everyone else is damned.



John Calvin: A portrait of John Calvin, one of the major figures in the Protestant Reformation, by Holbein.

Origins and Rise of Calvinism

First-generation Reformed theologians include Huldrych Zwingli (1484–1531), Martin Bucer (1491–1551), Wolfgang Capito (1478–1541), John Oecolampadius (1482–1531), and Guillaume Farel (1489–1565). These reformers came from diverse academic backgrounds, but later distinctions within Reformed theology can already be detected in their thought, especially the priority of scripture as a source of authority. Scripture was also viewed as a unified whole, which led to a covenantal theology of the sacraments of baptism and the Lord's Supper as visible signs of the covenant of grace. Another Reformed distinctive present in these theologians was their denial of the bodily presence of Christ in the Lord's Supper. Each of these theologians also understood salvation to be by grace alone, and affirmed a doctrine of particular election (the teaching that some people are chosen by God for salvation). Martin Luther and his successor Philipp Melanchthon were undoubtedly significant influences on these theologians, and to a larger extent later Reformed theologians. The doctrine of justification by faith alone was a direct inheritance from Luther.

Following the excommunication of Luther and condemnation of the Reformation by the pope, the work and writings of John Calvin were influential in establishing a loose consensus among various groups in Switzerland, Scotland, Hungary, Germany, and elsewhere. After the expulsion of Geneva's bishop in 1526, and the unsuccessful attempts of the Berne reformer Guillaume (William) Farel, Calvin was asked to use the organizational skill he had gathered as a student of law to discipline the "fallen city." His "Ordinances" of 1541 involved a collaboration of church affairs with the city council and consistory to bring morality to all areas of life. After the establishment of the Geneva academy in 1559, Geneva became the unofficial capital of the Protestant movement, providing refuge for Protestant exiles from all over Europe and educating them as Calvinist missionaries. These missionaries dispersed Calvinism widely, and formed the French Huguenots in Calvin's own lifetime, as well as caused the conversion of

Scotland under the leadership of the cantankerous John Knox in 1560. The faith continued to spread after Calvin's death in 1563, and had reached as far as Constantinople by the start of the 17th century.

Calvin's *Institutes of the Christian Religion* (1536–1559) was one of the most influential theologies of the era. The book was written as an introductory textbook on the Protestant faith for those with some previous knowledge of theology, and covered a broad range of theological topics, from the doctrines of church and sacraments to justification by faith alone and Christian liberty. It vigorously attacked the teachings Calvin considered unorthodox, particularly Roman Catholicism, to which Calvin says he had been "strongly devoted" before his conversion to Protestantism.

Controversies in France

Protestantism spread into France, where the Protestants were derisively nicknamed "Huguenots," and this touched off decades of warfare in France, after initial support by Henry of Navarre was lost due to the "Night of the Placards" affair. Many French Huguenots, however, still contributed to the Protestant movement, including many who emigrated to the English colonies.

Though he was not personally interested in religious reform, Francis I (1515–1547) initially maintained an attitude of tolerance arising from his interest in the humanist movement. This changed in 1534 with the Affair of the Placards. In this act, Protestants denounced the mass in placards that appeared across France, even reaching the royal apartments. The issue of religious faith having been thrown into the arena of politics, Francis was prompted to view the movement as a threat to the kingdom's stability. This led to the first major phase of anti-Protestant persecution in France, in which the *Chambre Ardente* ("Burning Chamber") was established within the Parliament of Paris to handle the rise in prosecutions for heresy. Several thousand French Protestants fled the country during this time, most notably John Calvin, who settled in Geneva.

Calvin continued to take an interest in the religious affairs of his native land and, from his base in Geneva, beyond the reach of the French king, regularly trained pastors to lead congregations in France. Despite heavy persecution by Henry II, the Reformed Church of France, largely Calvinist in direction, made steady progress across large sections of the nation, in the urban bourgeoisie and parts of the aristocracy, appealing to people alienated by the obduracy and the complacency of the Catholic establishment.



Interior of a Calvinist Church: Calvinism has been known at times for its simple, unadorned churches and lifestyles, as depicted in this painting by Emanuel de Witte c.1661.

Calvinist Theology

The "Five Points of Calvinism" summarize the faith's basic tenets, although some historians contend that it distorts the nuance of Calvin's own theological positions.

The Five Points:

1. "Total depravity" asserts that as a consequence of the fall of man into sin, every person is enslaved to sin. People are not by

nature inclined to love God, but rather to serve their own interests and to reject the rule of God. Thus, all people by their own faculties are morally unable to choose to follow God and be saved because they are unwilling to do so out of the necessity of their own natures.
2. “Unconditional election” asserts that God has chosen from eternity those whom he will bring to himself not based on foreseen virtue, merit, or faith in those people; rather, his choice is unconditionally grounded in his mercy alone. God has chosen from eternity to extend mercy to those he has chosen and to withhold mercy from those not chosen. Those chosen receive salvation through Christ alone. Those not chosen receive the just wrath that is warranted for their sins against God.
3. “Limited atonement” asserts that Jesus’s substitutionary atonement was definite and certain in its purpose and in what it accomplished. This implies that only the sins of the elect were atoned for by Jesus’s death. Calvinists do not believe, however, that the atonement is limited in its value or power, but rather that the atonement is limited in the sense that it is intended for some and not all. All Calvinists would affirm that the blood of Christ was sufficient to pay for every single human being IF it were God’s intention to save every single human being.
4. “Irresistible grace” asserts that the saving grace of God is effectually applied to those whom he has determined to save (that is, the elect) and overcomes their resistance to obeying the call of the gospel, bringing them to a saving faith. This means that when God sovereignly purposes to save someone, that individual certainly will be saved. The doctrine holds that this purposeful influence of God’s Holy Spirit cannot be resisted.
5. “Perseverance of the saints” asserts that since God is sovereign and his will cannot be frustrated by humans or anything else, those whom God has called into communion with himself will continue in faith until the end.

The Anabaptists

The Anabaptists were a group of radical religious reformists formed in Switzerland who suffered violent persecution by both Roman Catholics and Protestants.

LEARNING OBJECTIVES

- Explain why the Anabaptists were ostracized by much of Europe

KEY TAKEAWAYS

Key Points

- Anabaptists are Christians who believe in delaying baptism until the candidate confesses his or her faith in Christ, as opposed to being baptized as an infant.
- Anabaptists were heavily persecuted during the 16th century and into the 17th century by both Protestants and Roman Catholics, including being drowned and burned at the stake.
- Anabaptists were often in conflict with civil society because part of their belief was to follow scripture at all costs, no matter the wishes of secular authority.
- Continuing persecution in Europe was largely responsible for the mass emigrations to North America by Amish, Hutterites, and Mennonites, some of the major branches of Anabaptists.

Key Terms

- **Ulrich Zwingli**: A leader of the Reformation in Switzerland who clashed with the Anabaptists.
- **infant baptism**: The practice of baptizing infants or young children, sometimes contrasted with what is called “believer’s baptism,” which is the religious practice of baptizing only individuals who personally confess faith in Jesus.
- **Magisterial Protestants**: A phrase that names the manner in which the Lutheran and Calvinist reformers related to secular authorities, such as princes, magistrates, or city councils; opposed to the Radical Protestants.

Overview

Anabaptism is a Christian movement that traces its origins to the Radical Reformation in Europe. Some consider this movement to be an offshoot of European Protestantism, while others see it as distinct.

Anabaptists are Christians who believe in delaying baptism until the candidate confesses his or her faith in Christ, as opposed

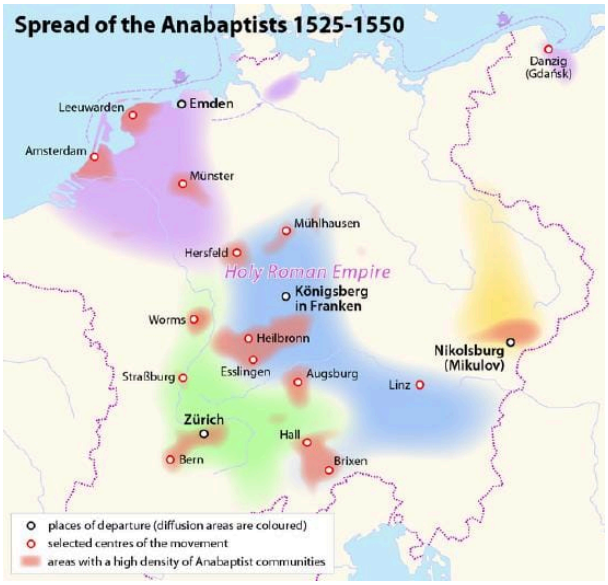
to being baptized as an infant. The Amish, Hutterites, and Mennonites are direct descendants of the movement. Schwarzenau Brethren, Bruderhof, and the Apostolic Christian Church are considered later developments among the Anabaptists.

The name *Anabaptist* means "one who baptizes again." Their persecutors named them this, referring to the practice of baptizing persons when they converted or declared their faith in Christ, even if they had been "baptized" as infants. Anabaptists required that baptismal candidates be able to make a confession of faith that was freely chosen, and so rejected baptism of infants. The early members of this movement did not accept the name Anabaptist, claiming that infant baptism was not part of scripture and was therefore null and void. They said that baptizing self-confessed believers was their first true baptism. Balthasar Hubmaier wrote:

> *I have never taught Anabaptism...But the right baptism of Christ, which is preceded by teaching and oral confession of faith, I teach, and say that infant baptism is a robbery of the right baptism of Christ.*

Anabaptists were heavily persecuted during the 16th century and into the 17th century because of their views on the nature of baptism and other issues, by both Magisterial Protestants and Roman Catholics.

Anabaptists were persecuted largely because of their interpretation of scripture that put them at odds with official state church interpretations and government. Most Anabaptists adhered to a literal interpretation of the Sermon on the Mount, which precluded taking oaths, participating in military actions, and participating in civil government. Some who practiced re-baptism, however, felt otherwise, and complied with these requirements of civil society. They were thus technically Anabaptists, even though conservative Amish, Mennonites, and Hutterites, and some historians, tend to consider them as outside of true Anabaptism.



Spread of the Anabaptists 1525–1550 in Central Europe: After starting in Switzerland, Anabaptism spread to Tyrol (modern-day Austria), South Germany, Moravia, the Netherlands, and Belgium.

Origins

Anabaptism in Switzerland began as an offshoot of the church reforms instigated by Ulrich Zwingli. As early as 1522 it became evident that Zwingli was on a path of reform preaching when he began to question or criticize such Catholic practices as tithes, the mass, and even infant baptism. Zwingli had gathered a group of reform-minded men around him, with whom he studied classical literature and the scriptures. However, some of these young men began to feel that Zwingli was not moving fast enough in his reform. The division between Zwingli and his more radical disciples became apparent in an October 1523 disputation held in Zurich. When the discussion of the mass was about to be ended without making any actual change in practice, Conrad Grebel stood up and asked "what should be done about the mass?" Zwingli responded by saying the council would make that decision. At this point, Simon Stumpf, a radical priest from Hongg, answered, saying, "The decision has already been made by the Spirit of God."

This incident illustrated clearly that Zwingli and his more radical disciples had different expectations. To Zwingli, the reforms would only go as fast as the city council allowed them. To the radicals, the council had no right to make that decision, but rather

the Bible was the final authority on church reform. Feeling frustrated, some of them began to meet on their own for Bible study. As early as 1523, William Reublin began to preach against infant baptism in villages surrounding Zurich, encouraging parents to not baptize their children.

The council ruled in this meeting that all who refused to baptize their infants within one week should be expelled from Zurich. Since Conrad Grebel had refused to baptize his daughter Rachel, born on January 5, 1525, the council decision was extremely personal to him and others who had not baptized their children. Thus, when sixteen of the radicals met on Saturday evening, January 21, 1525, the situation seemed particularly dark.

At that meeting Grebel baptized George Blaurock, and Blaurock in turn baptized several others immediately. These baptisms were the first “re-baptisms” known in the movement. This continues to be the most widely accepted date posited for the establishment of Anabaptism.

Anabaptism then spread to Tyrol (modern-day Austria), South Germany, Moravia, the Netherlands, and Belgium.

Persecutions

Roman Catholics and Protestants alike persecuted the Anabaptists, resorting to torture and execution in attempts to curb the growth of the movement. The Protestants under Zwingli were the first to persecute the Anabaptists, with Felix Manz becoming the first martyr in 1527. On May 20, 1527, Roman Catholic authorities executed Michael Sattler. King Ferdinand declared drowning (called the third baptism) “the best antidote to Anabaptism.” The Tudor regime, even the Protestant monarchs (Edward VI of England and Elizabeth I of England), persecuted Anabaptists, as they were deemed too radical and therefore a danger to religious stability. The persecution of Anabaptists was condoned by ancient laws of Theodosius I and Justinian I that were passed against the Donatists, which decreed the death penalty for any who practiced re-baptism. *Martyrs Mirror*, by Thieleman J. van Braght, describes the persecution and execution of thousands of Anabaptists in various parts of Europe between 1525 and 1660. Continuing persecution in Europe was largely responsible for the mass emigrations to North America by Amish, Hutterites, and Mennonites.



Burning of an Anabaptist: The burning of a 16th-century Dutch Anabaptist, Anneken Hendriks, who was charged by the Spanish Inquisition with heresy.

The Anglican Church

Beginning with Henry VIII in the 16th century, the Church of England broke away from the authority of the pope and the Catholic Church.

LEARNING OBJECTIVES

- Describe the key developments of the English Reformation, distinguishing it from the wider reformation movement in Europe.

KEY TAKEAWAYS

Key Points

- The English Reformation was associated with the wider process of the European Protestant Reformation, though based on Henry VIII's desire for an annulment of his marriage, it was at the outset more of a political affair than a theological dispute.
- Having been refused an annulment by the pope, Henry summoned parliament to deal with annulment, and the breaking with Rome proceeded.
- After Henry's death his son Edward VI was crowned, and the reformation continued with the destruction and removal of decor and religious features, which changed the church forever.
- From 1553, under the reign of Henry's Roman Catholic daughter, Mary I, the Reformation legislation was repealed, and Mary sought to achieve reunion with Rome.
- During Elizabeth I's reign, support for her father's idea of reforming the church continued with some minor adjustments. In this way, Elizabeth and her advisors aimed at a church that found a middle ground.

Key Terms

- **Canon Law**: The body of laws and regulations made by ecclesiastical authority (church leadership), for the government of a Christian organization or church and its members.
- **annulment**: Legal term for declaring a marriage null and void. Unlike divorce, it is usually retroactive, meaning that this kind of marriage is considered to be invalid from the beginning, almost as if it had never taken place. They are closely associated with the Catholic Church, which does not permit divorce, teaching that marriage is a lifelong commitment that cannot be dissolved through divorce.
- **nationalism**: A belief, creed, or political ideology that involves an individual identifying with, or becoming attached to, one's nation. In Europe, people were generally loyal to the church or to a local king or leader.
- **Puritans**: Group of English Protestants in the 16th and 17th centuries founded by some exiles from the clergy shortly after the accession of Elizabeth I of England.

Overview

The English Reformation was a series of events in 16th-century England by which the Church of England broke away from the authority of the pope and the Roman Catholic Church. The English Reformation was, in part, associated with the wider process of the European Protestant Reformation, a religious and political movement that affected the practice of Christianity across most of Europe during this period. Many factors contributed to the process—the decline of feudalism and the rise of nationalism, the rise of the common law, the invention of the printing press and increased circulation of the Bible, and the transmission of new knowledge and ideas among scholars, the upper and middle classes, and readers in general. However, the various phases of the English Reformation, which also covered Wales and Ireland, were largely driven by changes in government policy, to which public opinion gradually accommodated itself.

Role of Henry VIII and Royal Marriages

Henry VIII ascended the English throne in 1509 at the age of seventeen. He made a dynastic marriage with Catherine of Aragon, widow of his brother, Arthur, in June 1509, just before his coronation on Midsummer's Day. Unlike his father, who was secretive and conservative, the young Henry appeared the epitome of chivalry and sociability. An observant Roman Catholic, he heard up to five masses a day (except during the hunting season). Of "powerful but unoriginal mind," he let himself be influenced by his advisors from whom he was never apart, by night or day. He was thus susceptible to whoever had his ear.

This contributed to a state of hostility between his young contemporaries and the Lord Chancellor, Cardinal Thomas Wolsey. As long as Wolsey had his ear, Henry's Roman Catholicism was secure; in 1521, he defended the Roman Catholic Church from Martin Luther's accusations of heresy in a book he wrote—probably with considerable help from the conservative Bishop of Rochester, John Fisher—entitled *The Defence of the Seven Sacraments*, for which he was awarded the title "Defender of the Faith" by Pope

Leo X. Wolsey's enemies at court included those who had been influenced by Lutheran ideas, among whom was the attractive, charismatic Anne Boleyn.

Anne arrived at court in 1522 from years in France, where she had been educated by Queen Claude of France. Anne served as maid of honor to Queen Catherine. She was a woman of "charm, style and wit, with will and savagery which made her a match for Henry." By the late 1520s, Henry wanted his marriage to Catherine annulled. She had not produced a male heir who survived into adulthood, and Henry wanted a son to secure the Tudor dynasty.

Henry claimed that this lack of a male heir was because his marriage was "blighted in the eyes of God"; Catherine had been his late brother's wife, and it was therefore against biblical teachings for Henry to have married her—a special dispensation from Pope Julius II had been needed to allow the wedding to take place. Henry argued that this had been wrong and that his marriage had never been valid. In 1527 Henry asked Pope Clement VII to annul the marriage, but the pope refused. According to Canon Law the pope cannot annul a marriage on the basis of a canonical impediment previously dispensed. Clement also feared the wrath of Catherine's nephew, Holy Roman Emperor Charles V, whose troops earlier that year had sacked Rome and briefly taken the pope prisoner.



Portrait of Henry VIII (1491–1547): Portrait by Hans Holbein the Younger, 1539–1540.

In 1529 the king summoned parliament to deal with annulment, thus bringing together those who wanted reform but disagreed what form it should take; it became known as the Reformation Parliament. There were common lawyers who resented the privileges of the clergy to summon laity to their courts, and there were those who had been influenced by Lutheran evangelicalism and were hostile to the theology of Rome; Thomas Cromwell was both.

Cromwell was a lawyer and a member of Parliament—a Protestant who saw how Parliament could be used to advance the Royal Supremacy, which Henry wanted, and to further Protestant beliefs and practices Cromwell and his friends wanted.

The breaking of the power of Rome proceeded little by little starting in 1531. The Act in Restraint of Appeals, drafted by Cromwell, declared that clergy recognized Henry as the "sole protector and Supreme Head of the Church and clergy of England." This declared England an independent country in every respect.

Meanwhile, having taken Anne to France on a pre-nuptial honeymoon, Henry married her in Westminster Abbey in January 1533.

Henry maintained a strong preference for traditional Catholic practices and, during his reign, Protestant reformers were unable to make many changes to the practices of the Church of England. Indeed, this part of Henry's reign saw trials for heresy of Protestants as well as Roman Catholics.

The Reformation during Edward VI

When Henry died in 1547, his nine-year-old son, Edward VI, inherited the throne. Under King Edward VI, more Protestant-

influenced forms of worship were adopted. Under the leadership of the Archbishop of Canterbury, Thomas Cranmer, a more radical reformation proceeded. Cranmer introduced a series of religious reforms that revolutionized the English church from one that—while rejecting papal supremacy—remained essentially Catholic to one that was institutionally Protestant. All images in churches were to be dismantled. Stained glass, shrines, and statues were defaced or destroyed. Roods, and often their lofts and screens, were cut down and bells were taken down. Vestments were prohibited and either burned or sold. Chalices were melted down or sold. The requirement of the clergy to be celibate was lifted. Processions were banned and ashes and palms were prohibited.

A new pattern of worship was set out in the Book of Common Prayer (1549 and 1552). These were based on the older liturgy but influenced by Protestant principles. Cranmer's formulation of the reformed religion, finally divesting the communion service of any notion of the real presence of God in the bread and the wine, effectively abolished the mass. The publication of Cranmer's revised prayer book in 1552, supported by a second Act of Uniformity, "marked the arrival of the English Church at protestantism." The prayer book of 1552 remains the foundation of the Church of England's services. However, Cranmer was unable to implement all these reforms once it became clear in the spring of 1553 that King Edward, upon whom the whole Reformation in England depended, was dying.

Catholic Restoration

From 1553, under the reign of Henry's Roman Catholic daughter, Mary I, the Reformation legislation was repealed, and Mary sought to achieve reunion with Rome. Her first Act of Parliament was to retroactively validate Henry's marriage to her mother and so legitimize her claim to the throne.

After 1555, the initial reconciling tone of the regime began to harden. The medieval heresy laws were restored and 283 Protestants were burned at the stake for heresy. Full restoration of the Catholic faith in England to its pre-Reformation state would take time. Consequently, Protestants secretly ministering to underground congregations were planning for a long haul, a ministry of survival. However, Mary died in November 1558, childless and without having made provision for a Catholic to succeed her, undoing her work to restore the Catholic Church in England.

Elizabeth I

Following Mary's death, her half-sister Elizabeth inherited the throne. One of the most important concerns during Elizabeth's early reign was religion. Elizabeth could not be Catholic, as that church considered her illegitimate, being born of Anne Boleyn. At the same time, she had observed the turmoil brought about by Edward's introduction of radical Protestant reforms. Communion with the Catholic Church was again severed by Elizabeth. Chiefly she supported her father's idea of reforming the church, but she made some minor adjustments. In this way, Elizabeth and her advisors aimed at a church that included most opinions.

Elizabeth I and the Church of England: Dr. Tarnya Cooper, the National Portrait Gallery's Chief Curator and Curator of Sixteenth Century Portraits, discusses Elizabeth I's solution to religious turmoil in England.

Two groups were excluded in Elizabeth's Church of England. Roman Catholics who remained loyal to the pope were not tolerated. They were, in fact, regarded as traitors because the pope had refused to accept Elizabeth as Queen of England. Roman Catholics were given the hard choice of being loyal either to their church or their country. For some priests it meant life on the run, and in some cases death for treason.

The other group not tolerated were people who wanted reform to go much further, and who finally gave up on the Church of England. They could no longer see it as a true church. They believed it had refused to obey the Bible, so they formed small groups of convinced believers outside the church. One of the main groups that formed during this time was the Puritans. The government responded with imprisonment and exile to try to crush these "separatists."

Reformation and Division, 1530–1558: Professor Wrightson examines the various stages of the reformation in England, beginning with the legislative, as opposed to doctrinal, reformation begun by Henry VIII in a quest to settle the Tudor succession. Wrightson shows how the jurisdictional transformation of the royal supremacy over the church resulted, gradually, in the introduction of true religious change. The role played by various personalities at Henry's court, and the manner in which the king's own preferences shaped the doctrines of the Church of England, are considered. Doctrinal change, in line with continental Protestant developments, accelerated under Edward VI, but was reversed by Mary I. However, Wrightson suggests that, by this time, many aspects of Protestantism had been internalized by part of the English population, especially the young, and so the reformation could not wholly be undone by Mary's short reign. The lecture ends with the accession of Elizabeth I in 1558, an event which presaged further religious change.

The French Wars of Religion

The French Wars of Religion (1562–98) is the name of a period of fighting between French Catholics and Protestants (Huguenots).

LEARNING OBJECTIVES

- Discuss how the patterns of warfare that took place in France affected the Huguenots

KEY TAKEAWAYS

Key Points

- Protestant ideas were first introduced to France during the reign of Francis I, who firmly opposed Protestantism, but continued to try and seek a middle course until the later stages of his regime.
- As the Huguenots gained influence and displayed their faith more openly, Roman Catholic hostility to them grew, spurning eight civil wars from 1562 to 1598.
- The wars were interrupted by breaks in peace that only lasted temporarily as the Huguenots' trust in the Catholic throne diminished, and the violence became more severe and Protestant demands became grander.
- One of the most infamous events of the wars was the St. Bartholomew's Day Massacre in 1572, when thousands of Huguenots were killed by Catholics.
- The pattern of warfare followed by brief periods of peace continued for nearly another quarter-century. The proclamation of the Edict of Nantes, and the subsequent protection of Huguenot rights, finally quelled the uprisings.

Key Terms

- **Edict of Nantes**: Issued on April 13, 1598, by Henry IV of France; granted the Huguenots substantial rights in a nation still considered essentially Catholic.
- **Huguenots**: Members of the Protestant Reformed Church of France during the 16th and 17th centuries; inspired by the writings of John Calvin.
- **Real Presence**: A term used in various Christian traditions to express belief that in the Eucharist, Jesus Christ is really present in what was previously just bread and wine, and not merely present in symbol.

Overview

The French Wars of Religion (1562–1598) is the name of a period of civil infighting and military operations primarily between French Catholics and Protestants (Huguenots). The conflict involved the factional disputes between the aristocratic houses of France, such as the House of Bourbon and the House of Guise, and both sides received assistance from foreign sources.

The exact number of wars and their respective dates are the subject of continued debate by historians; some assert that the Edict of Nantes in 1598 concluded the wars, although a resurgence of rebellious activity following this leads some to believe the Peace of Alais in 1629 is the actual conclusion. However, the Massacre of Vassy in 1562 is agreed to have begun the Wars of Religion; up to a hundred Huguenots were killed in this massacre. During the wars, complex diplomatic negotiations and agreements of peace were followed by renewed conflict and power struggles.

Between 2,000,000 and 4,000,000 people were killed as a result of war, famine, and disease, and at the conclusion of the conflict in 1598, Huguenots were granted substantial rights and freedoms by the Edict of Nantes, though it did not end hostility towards them. The wars weakened the authority of the monarchy, already fragile under the rule of Francis II and then Charles IX, though the monarchy later reaffirmed its role under Henry IV.

Introduction of Protestantism

Protestant ideas were first introduced to France during the reign of Francis I (1515–1547) in the form of Lutheranism, the teachings of Martin Luther, and circulated unimpeded for more than a year around Paris. Although Francis firmly opposed heresy, the difficulty was initially in recognizing what constituted it; Catholic doctrine and definition of orthodox belief was unclear.

Francis I tried to steer a middle course in the developing religious schism in France.

Calvinism, a form of Protestant religion, was introduced by John Calvin, who was born in Noyon, Picardy, in 1509, and fled France in 1536 after the Affair of the Placards. Calvinism in particular appears to have developed with large support from the nobility. It is believed to have started with Louis Bourbon, Prince of Condé, who, while returning home to France from a military campaign, passed through Geneva, Switzerland, and heard a sermon by a Calvinist preacher. Later, Louis Bourbon would become a major figure among the Huguenots of France. In 1560, Jeanne d'Albret, Queen regnant of Navarre, converted to Calvinism possibly due to the influence of Theodore de Beze. She later married Antoine de Bourbon, and their son Henry of Navarre would be a leader among the Huguenots.

Affair of the Placards

Francis I continued his policy of seeking a middle course in the religious rift in France until an incident called the Affair of the Placards. The Affair of the Placards began in 1534 when Protestants started putting up anti-Catholic posters. The posters were extreme in their anti-Catholic content—specifically, the absolute rejection of the Catholic doctrine of "Real Presence." Protestantism became identified as "a religion of rebels," helping the Catholic Church to more easily define Protestantism as heresy. In the wake of the posters, the French monarchy took a harder stand against the protesters. Francis I had been severely criticized for his initial tolerance towards Protestants, and now was encouraged to repress them.

Tensions Mount

King Francis I died on March 31, 1547, and was succeeded to the throne by his son Henry II. Henry II continued the harsh religious policy that his father had followed during the last years of his reign. In 1551, Henry issued the Edict of Châteaubriant, which sharply curtailed Protestant rights to worship, assemble, or even discuss religion at work, in the fields, or over a meal.

An organized influx of Calvinist preachers from Geneva and elsewhere during the 1550s succeeded in setting up hundreds of underground Calvinist congregations in France. This underground Calvinist preaching (which was also seen in the Netherlands and Scotland) allowed for the formation of covert alliances with members of the nobility and quickly led to more direct action to gain political and religious control.

As the Huguenots gained influence and displayed their faith more openly, Roman Catholic hostility to them grew, even though the French crown offered increasingly liberal political concessions and edicts of toleration. However, these measures disguised the growing tensions between Protestants and Catholics.

The Eight Wars of Religion

These tensions spurred eight civil wars, interrupted by periods of relative calm, between 1562 and 1598. With each break in peace, the Huguenots' trust in the Catholic throne diminished, and the violence became more severe and Protestant demands became grander, until a lasting cessation of open hostility finally occurred in 1598.

The wars gradually took on a dynastic character, developing into an extended feud between the Houses of Bourbon and Guise, both of which—in addition to holding rival religious views—staked a claim to the French throne. The crown, occupied by the House of Valois, generally supported the Catholic side, but on occasion switched over to the Protestant cause when it was politically expedient.

St. Bartholomew's Day Massacre

One of the most infamous events of the Wars of Religion was the St. Bartholomew's Day Massacre of 1572, when Catholics killed thousands of Huguenots in Paris. The massacre began on the night of August 23, 1572 (the eve of the feast of Bartholomew the Apostle), two days after the attempted assassination of Admiral Gaspard de Coligny, the military and political leader of the Huguenots. The king ordered the killing of a group of Huguenot leaders, including Coligny, and the slaughter spread throughout Paris and beyond. The exact number of fatalities throughout the country is not known, but estimates are that between about 2,000 and 3,000 Protestants were killed in Paris, and between 3,000 and 7,000 more in the French provinces. Similar massacres took place in other towns in the weeks following. By September 17, almost 25,000 Protestants had been massacred in Paris alone. Outside of Paris, the killings continued until October 3. An amnesty granted in 1573 pardoned the perpetrators.

The massacre also marked a turning point in the French Wars of Religion. The Huguenot political movement was crippled by the loss of many of its prominent aristocratic leaders, as well as many re-conversions by the rank and file, and those who remained were increasingly radicalized.



St. Bartholomew Massacre painting by François Dubois, a Huguenot painter: Born circa 1529 in Amiens, Dubois settled in Switzerland. Although Dubois did not witness the massacre, he depicts Admiral Coligny's body hanging out of a window at the rear to the right. To the left rear, Catherine de' Medici is shown emerging from the Château du Louvre to inspect a heap of bodies.

War of the Three Henrys

The War of the Three Henrys (1587–1589) was the eighth and final conflict in the series of civil wars in France known as the Wars of Religion. It was a three-way war fought between:

- King Henry III of France, supported by the royalists and the politiques;
- King Henry of Navarre, leader of the Huguenots and heir-presumptive to the French throne, supported by Elizabeth I of England and the Protestant princes of Germany; and
- Henry of Lorraine, Duke of Guise, leader of the Catholic League, funded and supported by Philip II of Spain.

The war began when the Catholic League convinced King Henry III to issue an edict outlawing Protestantism and annulling Henry of Navarre's right to the throne. For the first part of the war, the royalists and the Catholic League were uneasy allies against their common enemy, the Huguenots. Henry of Navarre sought foreign aid from the German princes and Elizabeth I of England.

Henry III successfully prevented the junction of the German and Swiss armies. The Swiss were his allies, and had come to invade France to free him from subjection, but Henry III insisted that their invasion was not in his favor, but against him, forcing them to return home.

In Paris, the glory of repelling the German and Swiss Protestants all fell to the Duke of Guise. The king's actions were viewed with contempt. People thought that the king had invited the Swiss to invade, paid them for coming, and sent them back again. The king, who had really performed the decisive part in the campaign, and expected to be honored for it, was astounded that public voice should thus declare against him. The Catholic League had put its preachers to good use.

Open war erupted between the royalists and the Catholic League. Charles, Duke of Mayenne, Guise's younger brother, took over the leadership of the league. At the moment it seemed that he could not possibly resist his enemies. His power was effectively limited to Blois, Tours, and the surrounding districts. In these dark times the King of France finally reached out to his cousin and heir, the King of Navarre. Henry III declared that he would no longer allow Protestants to be called heretics, while the Protestants revived the strict principles of royalty and divine right. As on the other side ultra-Catholic and anti-royalist doctrines were closely associated, so on the side of the two kings the principles of tolerance and royalism were united.

In July 1589, in the royal camp at Saint-Cloud, a Dominican monk named Jacques Clément gained an audience with the King and drove a long knife into his spleen. Clément was killed on the spot, taking with him the information of who, if anyone, had hired

him. On his deathbed, Henri III called for Henry of Navarre, and begged him, in the name of statecraft, to become a Catholic, citing the brutal warfare that would ensue if he refused. He named Henry Navarre as his heir, who became Henry IV.

Edict of Nantes

Fighting continued between Henry IV and the Catholic League for almost a decade. The warfare was finally quelled in 1598 when Henry IV recanted Protestantism in favor of Roman Catholicism, issued as the Edict of Nantes. The edict established Catholicism as the state religion of France, but granted the Protestants equality with Catholics under the throne and a degree of religious and political freedom within their domains. The edict simultaneously protected Catholic interests by discouraging the founding of new Protestant churches in Catholic-controlled regions. With the proclamation of the Edict of Nantes, and the subsequent protection of Huguenot rights, pressures to leave France abated.

In offering general freedom of conscience to individuals, the edict gave many specific concessions to the Protestants, such as amnesty and the reinstatement of their civil rights, including the right to work in any field or for the state and to bring grievances directly to the king. This marked the end of the religious wars that had afflicted France during the second half of the 16th century.

The Witch Trials

Between the 15th and 18th centuries in Europe, many people were accused of and put on trial for practicing witchcraft.

LEARNING OBJECTIVES

- Demonstrate how natural events and pandemics contributed to the hysteria surrounding the witch trials of the 16th through 18th centuries

KEY TAKEAWAYS

Key Points

- In early modern Europe, there was widespread hysteria that malevolent Satanic witches were operating as an organized threat to Christianity. Those who were accused of witchcraft were portrayed as being Devil worshipers.
- In medieval Europe, the Black Death was a turning point in peoples' views of witches. The death of a large percentage of the European population was believed by many Christians to have been caused by their enemies.
- The peak of the witch hunt was during the European wars of religion, peaking between about 1580 and 1630.
- Over the entire duration of the trials, which spanned three centuries, an estimated total of 40,000–100,000 people were executed.
- The Witch Trials of Trier in Germany was perhaps the biggest witch trial in European history. It led to the death of about 386 people, and was perhaps the biggest mass execution in Europe during peacetime.
- While the witch trials had begun to fade out across much of Europe by the mid-17th century, they became more prominent in the American colonies.
- An estimated 75% to 85% of those accused in the early modern witch trials were women, and there is certainly evidence of misogyny on the part of those persecuting witches.

Key Terms

- **Johannes Kepler**: A German mathematician, astronomer, astrologer, and key figure in the 17th century scientific revolution.

The witch trials in the early modern period were a series of witch hunts between the 15th and 18th centuries, when across early modern Europe, and to some extent in the European colonies in North America, there was a widespread hysteria that malevolent Satanic witches were operating as an organized threat to Christendom. Those accused of witchcraft were portrayed as being worshippers of the Devil, who engaged in sorcery at meetings known as Witches' Sabbaths. Many people were subsequently accused of being witches and were put on trial for the crime, with varying punishments being applicable in different regions and at different times.

In early modern European tradition, witches were stereotypically, though not exclusively, women. European pagan belief in

witchcraft was associated with the goddess Diana and dismissed as “diabolical fantasies” by medieval Christian authors.

Background to the Witch Trials

During the medieval period, there was widespread belief in magic across Christian Europe. The medieval Roman Catholic Church, which then dominated a large swath of the continent, divided magic into two forms—natural magic, which was acceptable because it was viewed as merely taking note of the powers in nature that were created by God, and demonic magic, which was frowned upon and associated with demonology.

It was also during the medieval period that the concept of Satan, the Biblical Devil, began to develop into a more threatening form. Around the year 1000, when there were increasing fears that the end of the world would soon come in Christendom, the idea of the Devil had become prominent.

In the 14th and 15th centuries, the concept of the witch in Christendom underwent a relatively radical change. No longer were witches viewed as sorcerers who had been deceived by the Devil into practicing magic that went against the powers of God. Instead they became all-out malevolent Devil-worshippers, who had made pacts with him in which they had to renounce Christianity and devote themselves to Satanism. As a part of this, it was believed that they gained new, supernatural powers that enabled them to work magic, which they would use against Christians.



A Witch feeding her familiars: An image of a witch and her familiar spirits taken from a publication that dealt with the witch trials of Elizabeth Stile, Mother Dutten, Mother Devell, and Mother Margaret in Windsor, 1579.

While the witch trials only really began in the 15th century, with the start of the early modern period, many of their causes had been developing during the previous centuries, with the persecution of heresy by the medieval Inquisition during the late 12th and the 13th centuries, and during the late medieval period, during which the idea of witchcraft or sorcery gradually changed and adapted. An important turning point was the Black Death of 1348–1350, which killed a large percentage of the European population, and which many Christians believed had been caused by evil forces.

Beginnings of the Witch Trials

While the idea of witchcraft began to mingle with the persecution of heretics even in the 14th century, the beginning of the witch hunts as a phenomenon in its own right became apparent during the first half of the 15th century in southeastern France and western Switzerland, in communities of the Western Alps, in what was at the time Burgundy and Savoy.

Here, the cause of eliminating the supposed Satanic witches from society was taken up by a number of individuals; Claude Tholosan for instance had tried over two hundred people, accusing them of witchcraft in Briançon, Dauphiné, by 1420.

While early trials fall still within the late medieval period, the peak of the witch hunt was during the period of the European wars of religion, between about 1580 and 1630. Over the entire duration of the phenomenon of some three centuries, an estimated total

of 40,000 to 100,000 people were executed.

The Trials of 1580–1630

The height of the European witch trials was between 1560 and 1630, with the large hunts first beginning in 1609. During this period, the biggest witch trials were held in Europe, notably the Trier witch trials (1581–1593), the Fulda witch trials (1603–1606), the Basque witch trials (1609–1611), the Würzburg witch trial (1626–1631), and the Bamberg witch trials (1626–1631).

The Witch Trials of Trier in Germany was perhaps the biggest witch trial in European history. The persecutions started in the diocese of Trier in 1581 and reached the city itself in 1587, where they were to lead to the deaths of about 368 people, and as such it was perhaps the biggest mass execution in Europe during peacetime.



The Examination of a Witch by Matteson: 1853 painting by Thompkins H. Matteson, American painter.

In Denmark, the burning of witches increased following the reformation of 1536. Christian IV of Denmark, in particular, encouraged this practice, and hundreds of people were convicted of witchcraft and burned. In England, the Witchcraft Act of 1542 regulated the penalties for witchcraft. In the North Berwick witch trials in Scotland, over seventy people were accused of witchcraft on account of bad weather when James VI of Scotland, who shared the Danish king's interest in witch trials, sailed to Denmark in 1590 to meet his betrothed, Anne of Denmark.

The sentence for an individual found guilty of witchcraft or sorcery during this time, and in previous centuries, typically included either burning at the stake or being tested with the "ordeal of cold water" or *judicium aquae frigidae*. Accused persons who drowned were considered innocent, and ecclesiastical authorities would proclaim them "brought back," but those who floated were considered guilty of practicing witchcraft, and burned at the stake or executed in an unholy fashion.

Decline of the Trials

While the witch trials had begun to fade out across much of Europe by the mid-17th century, they continued to a greater extent on the fringes of Europe and in the American colonies. The clergy and intellectuals began to speak out against the trials from the late 16th century. Johannes Kepler in 1615 could only by the weight of his prestige keep his mother from being burned as a witch. The 1692 Salem witch trials were a brief outburst of witch hysteria in the New World at a time when the practice was already waning in Europe.

Witch Trials and Women

An estimated 75% to 85% of those accused in the early modern witch trials were women, and there is certainly evidence of misogyny on the part of those persecuting witches, evident from quotes such as "[It is] not unreasonable that this scum of humanity, [witches], should be drawn chiefly from the feminine sex" (Nicholas Rémy, c. 1595) or "The Devil uses them so, because

he knows that women love carnal pleasures, and he means to bind them to his allegiance by such agreeable provocations." In early modern Europe, it was widely believed that women were less intelligent than men and more susceptible to sin.

Nevertheless, it has been argued that the supposedly misogynistic agenda of works on witchcraft has been greatly exaggerated, based on the selective repetition of a few relevant passages of the *Malleus Maleficarum*. Many modern scholars argue that the witch hunts cannot be explained simplistically as an expression of male misogyny, as indeed women were frequently accused by other women, to the point that witch hunts, at least at the local level of villages, have been described as having been driven primarily by "women's quarrels." Especially at the margins of Europe, in Iceland, Finland, Estonia, and Russia, the majority of those accused were male.

Barstow (1994) claimed that a combination of factors, including the greater value placed on men as workers in the increasingly wage-oriented economy, and a greater fear of women as inherently evil, loaded the scales against women, even when the charges against them were identical to those against men. Thurston (2001) saw this as a part of the general misogyny of the late medieval and early modern periods, which had increased during what he described as "the persecuting culture" from what it had been in the early medieval period. Gunnar Heinsohn and Otto Steiger in a 1982 publication speculated that witch hunts targeted women skilled in midwifery specifically in an attempt to extinguish knowledge about birth control and "repopulate Europe" after the population catastrophe of the Black Death.

The Terror of History: The Witch Hunt in Early Modern Europe, UCLA: Professor Ruiz, UCLA department chair and Premio del Rey prize for best book in Spanish history before 1580 for his *Crisis and Continuity: Land and Town in Late Medieval Castile*, was speaker for the UCLA History Alumni Faculty Lecture, cohosted by the UCLA Alumni Association and UCLA Department of History. Ruiz spoke to an audience of more than eighty history department alumni and guests. Watch his lively and engaging presentation.

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10.6: The Baroque- Art, Politics, and Religion in Seventeenth-Century Europe



Gian Lorenzo Bernini, Cathedra Petri (or Chair of St. Peter), gilded bronze, gold, wood, stained glass, 1647-53 (apse of Saint Peter's Basilica, Vatican City, Rome)

Rome: From the "Whore of Babylon" to the Resplendent Bride of Christ

When Martin Luther tacked his 95 theses to the doors of Wittenburg Cathedral in 1517 protesting the Catholic Church's corruption, he initiated a movement that would transform the religious, political, and artistic landscape of Europe. For the next century, Europe would be in turmoil as new political and religious boundaries were determined, often through bloody military conflicts. Only in 1648, with the signing of the Treaty of Westphalia, did the conflicts between Protestants and Catholics subside in continental Europe.

Martin Luther focused his critique on what he saw as the Church's greed and abuse of power. He called Rome, the seat of papal power, "the whore of Babylon" decked out in finery of expensive art, grand architecture, and sumptuous banquets. The Church responded to the crisis in two ways: by internally addressing issues of corruption and by defending the doctrines rejected by the Protestants. Thus, while the first two decades of the 16th century were a period of lavish spending for the Papacy, the middle decades were a period of austerity. As one visitor to Rome noted in the 1560s, the entire city had become a convent. Piety and asceticism ruled the day.

By the end of the 16th century, the Catholic Church was once again feeling optimistic, even triumphant. It had emerged from the crisis with renewed vigor and clarity of purpose. Shepherding the faithful—instructing them on Catholic doctrines and inspiring virtuous behavior—took center stage. Keen to rebuild Rome's reputation as a holy city, the Papacy embarked on extensive building and decoration campaigns aimed at highlighting its ancient origins, its beliefs, and its divinely-sanctioned authority. In the eyes of faithful Catholics, Rome was not an unfaithful whore, but a pure bride, beautifully adorned for her union with her divine spouse.



View of the Cerasi Chapel in Santa Maria del Popolo in Rome with Annibale Carracci's altarpiece, The Assumption of the Virgin, 1600-01, oil on canvas, 96 in × 61 inches and to the right, Caravaggio's Conversion of Saint Paul (Conversion of Saul), 1601, 91 in × 69 inches

The Art of Persuasion: to Instruct, to Delight, to Move

While the Protestants harshly criticized the cult of images, the Catholic Church ardently embraced the religious power of art. The visual arts, the Church argued, played a key role in guiding the faithful. They were certainly as important as the written and spoken word, and perhaps even more important, since they were accessible to the learned and the unlearned alike. In order to be effective in its pastoral role, religious art had to be clear, persuasive, and powerful. Not only did it have to instruct, it had to inspire. It had to move the faithful to feel the reality of Christ's sacrifice, the suffering of the martyrs, the visions of the saints.



Caravaggio, The Crowning with Thorns, 1602-04, oil on canvas, 165.5 x 127 cm (Kunsthistorisches Museum, Vienna)

The Church's emphasis on art's pastoral role prompted artists to experiment with new and more direct means of engaging the viewer. Artists like Caravaggio turned to a powerful and dramatic realism, accentuated by bold contrasts of light and dark, and tightly-cropped compositions that enhance the physical and emotional immediacy of the depicted narrative. Other artists, like Annibale Carracci (who also experimented with realism), ultimately settled on a more classical visual language, inspired by the vibrant palette, idealized forms, and balanced compositions of the High Renaissance. Still others, like Giovanni Battista Gaulli, turned to daring feats of illusionism that blurred not only the boundaries between painting, sculpture, and architecture, but also those between the real and depicted worlds. In so doing, the divine was made physically present and palpable. Whether

through shocking realism, dynamic movement, or exuberant ornamentation, seventeenth-century art is meant to impress. It aims to convince the viewer of the truth of its message by impacting the senses, awakening the emotions, and activating, even sharing the viewer's space.



Giovanni Battista Gaulli, also known as il Baciccio, The Triumph of the Name of Jesus, Il Gesù ceiling fresco, 1672-1685

The Catholic Monarchs and Their Territories

The monarchs of Spain, Portugal, and France also embraced the more ornate elements of seventeenth century art to celebrate Catholicism. In Spain and its colonies, rulers invested vast resources on elaborate church facades, stunning, gold-covered chapels and tabernacles, and strikingly-realistic polychrome sculpture. In the Spanish Netherlands, where sacred art had suffered terribly as a result of the Protestant iconoclasm (the destruction of art), civic and religious leaders prioritized the adornment of churches as the region reclaimed its Catholic identity. Refurnishing the altars of Antwerp's churches kept Peter Paul Rubens' workshop busy for many years. Europe's monarchs also adopted this artistic vocabulary to proclaim their own power and status. Louis XIV, for example, commissioned the splendid buildings and gardens of Versailles as a visual expression of his divine right to rule.



View of paintings by Peter Paul Rubens in the Alte Pinakothek, Munich

The Protestant North

In the Protestant countries, and especially in the newly-independent Dutch Republic (modern-day Holland), the artistic climate changed radically in the aftermath of the Reformation.



Judith Leyster, Self-Portrait, c. 1630, oil on canvas, 651 x 746 cm (National Gallery of Art, Washington)

Two of the wealthiest sources of patronage—the monarchy and the Church—were now gone. In their stead arose an increasingly prosperous middle class eager to express its status, and its new sense of national pride, through the purchase of art.

By the middle of the 17th century a new market had emerged to meet the artistic tastes of this class. The demand was now for smaller scale paintings suitable for display in private homes. These paintings included religious subjects for private contemplation, as seen in Rembrandt's poignant paintings and prints of biblical narratives, as well as portraits documenting individual likenesses.

4 inches (National Gallery of Art)

Willem Claesz Heda, Banquet Piece with Mince Pie, 1635, oil on canvas, 42 x 43-3/4 inches (National Gallery of Art, Washington)

But, the greatest change in the market was the dramatic increase in the popularity of landscapes, still-lifes, and scenes of everyday life (known as genre painting). Indeed, the proliferation of these subjects as independent artistic genres was one of the 17th century's most significant contributions to the history of Western art. In all of these genres, artists revealed a keen interest in replicating observed reality—whether it be the light on the Dutch landscape, the momentary expression on a face, or the varied textures and materials of the objects the Dutch collected as they reaped the benefits of their expanding mercantile empire. These works demonstrated as much artistic virtuosity and physical immediacy as the grand decorations of the palaces and churches of Catholic Europe.



Francisco de Zurbarán, Saint Francis of Assisi According to Pope Nicholas V's Vision, c. 1640, oil on canvas, 110.5 x 180.5 cm (Museum Nacional d'Art de Catalunya, Barcelona)

"Baroque"—the Word, the Style, the Period

In the context of European history, the period from c. 1585 to c. 1700/1730 is often called the Baroque era. The word "baroque" derives from the Portuguese and Spanish words for a large, irregularly-shaped pearl ("barroco" and "barrueco," respectively). Eighteenth century critics were the first to apply the term to the art of the 17th century. It was not a term of praise. To the eyes of these critics, who favored the restraint and order of Neoclassicism, the works of Bernini, Borromini, and Pietro da Cortona appeared bizarre, absurd, even diseased—in other words, misshapen, like an imperfect pearl.

By the middle of the 19th century, the word had lost its pejorative implications and was used to describe the ornate and complex qualities present in many examples of 17th-century art, music and literature. Eventually, the term came to designate the historical period as a whole. In the context of painting, for example, the stark realism of Zurbaran's altarpieces, the quiet intimacy of Vermeer's domestic interiors, and restrained classicism of Poussin's landscapes are all "Baroque" (now with a capital "B" to indicate the historical period), regardless of the absence of the stylistic traits originally associated with the term.

8 inches (Art Institute of Chicago)

Nicolas Poussin, Landscape with St. John, 1640, oil on canvas, 39-1/2 x 53-5/8 inches (Art Institute of Chicago)

Scholars continue to debate the validity of this label, admitting the usefulness of having a label for this distinct historical period, while also acknowledging its limitations in characterizing the variety of artistic styles present in the 17th century.

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10.7: Music in the Baroque Era

Introduction



George Frideric Handel, 1733

The term *baroque* is also used to designate the style of music composed during a period that overlaps with that of baroque art, but usually encompasses a slightly later period.

It is a still-debated question as to what extent baroque music shares aesthetic principles with the visual and literary arts of the baroque period. A fairly clear, shared element is a love of ornamentation, and it is perhaps significant that the role of ornament was greatly diminished in both music and architecture as the baroque gave way to the classical period.

The application of the term “baroque” to music is a relatively recent development, although it has recently been pointed out that the first use of the word “baroque” in criticism of any of the arts related to music, in an anonymous, satirical review of the première in October 1733 of Rameau’s *Hippolyte et Aricie,* printed in the *Mercure de France* in May 1734. The critic implied that the novelty in this opera was “du barocque,” complaining that the music lacked coherent melody, was filled with unremitting dissonances, constantly changed key and meter, and speedily ran through every compositional device.



Johann Sebastian Bach, 1748

However this was an isolated reference, and consistent use was only begun in 1919, by Curt Sachs, and it was not until 1940 that it was first used in English (in an article published by Manfred Bukofzer).

Many musical forms were born in that era, like the concerto and sinfonia. Forms such as the sonata, cantataand oratorio flourished. Also, opera was born out of the experimentation of the Florentine Camerata, the creators of monody, who attempted to recreate the theatrical arts of the Ancient Greeks. An important technique used in baroque music was the use of ground bass, a repeated bass line. *Dido's Lament* by Henry Purcell is a famous example of this technique.

Baroque Composers and Their Well-Known Works

- Giovanni Gabrieli (c. 1554/1557–1612) *Sonata pian' e forte* (1597), *In Ecclesiis* (from *Symphoniae sacrae*book 2, 1615)
- Claudio Monteverdi (1567–1643), *L'Orfeo, favola in musica* (1610)
- Heinrich Schütz (1585–1672), *Musikalische Exequien* (1629, 1647, 1650)
- Francesco Cavalli (1602–1676), *L'Egisto* (1643), *Ercole amante* (1662), *Scipione affricano* (1664)
- Jean-Baptiste Lully (1632–1687), *Armide* (1686)
- Marc-Antoine Charpentier (1643–1704), *Te Deum* (1688-1698)
- Heinrich Ignaz Franz Biber (1644–1704), *Mystery Sonatas* (1681)
- John Blow (1649–1708), *Venus and Adonis* (1680–1687)
- Johann Pachelbel (1653–1706), *Canon in D* (1680)
- Arcangelo Corelli (1653–1713), 12 concerti grossi, Op. 6 (1714)
- Marin Marais (1656–1728), *Sonnerie de Ste-Geneviève du Mont-de-Paris* (1723)
- Henry Purcell (1659–1695), *Dido and Aeneas* (1688)
- Alessandro Scarlatti (1660–1725), *L'honestà negli amori* (1680), *Il Pompeo* (1683), *Mitridate Eupatore* (1707)
- François Couperin (1668–1733), *Les barricades mystérieuses* (1717)
- Tomaso Albinoni (1671–1751), *Didone abbandonata* (1724)
- Antonio Vivaldi (1678–1741), *The Four Seasons* (1723)
- Jan Dismas Zelenka (1679-1745), *Il Serpente di Bronzo* (1730), *Missa Sanctissimae Trinitatis* (1736)
- Georg Philipp Telemann (1681–1767), *Der Tag des Gerichts* (1762)
- Johann David Heinichen (1683–1729)
- Jean-Philippe Rameau (1683–1764), *Dardanus* (1739)
- George Frideric Handel (1685–1759), *Water Music* (1717), *Messiah* (1741)
- Domenico Scarlatti (1685–1757), Sonatas for harpsichord
- Johann Sebastian Bach (1685–1750), Toccata and Fugue in D minor (1703–1707), *Brandenburg Concertos* (1721), *St Matthew Passion* (1727)
- Nicola Porpora (1686–1768), *Semiramide riconosciuta* (1729)
- Giovanni Battista Pergolesi (1710–1736), *Stabat Mater* (1736)

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10.8: The Baroque Era Music of Bach



The Cathedral Church of Saint Mary in Murcia, Spain

Introduction

The baroque era is often thought of as a period of artistic style that used exaggerated motion and clear, easily interpreted detail to produce drama, tension, exuberance, and grandeur in sculpture, painting, architecture, literature, dance, theater, and music. The style began around 1600 in Rome, Italy, and spread to most of Europe.

The popularity and success of the baroque style was encouraged by the Catholic Church, which had decided at the time of the Council of Trent, in response to the Protestant Reformation, that the arts should communicate religious themes in direct and emotional involvement. The aristocracy also saw the dramatic style of baroque architecture and art as a means of impressing visitors and expressing triumph, power and control. Baroque palaces are built around an entrance of courts, grand staircases and reception rooms of sequentially increasing opulence. However, “baroque” has resonance and application that extend beyond a simple reduction to either style or period.

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10.9: Overview of the Classical Era of Music

Introduction



The dates of the classical period in Western music are generally accepted as being between about 1750 and 1820. However, the term *classical music* is used in a colloquial sense as a synonym for Western art music, which describes a variety of Western musical styles from the ninth century to the present, and especially from the sixteenth or seventeenth to the nineteenth. This article is about the specific period from 1730 to 1820.

The classical period falls between the baroque and the romantic periods. The best-known composers from this period are Joseph Haydn, Wolfgang Amadeus Mozart, Ludwig van Beethoven, and Franz Schubert; other notable names include Luigi Boccherini, Muzio Clementi, Antonio Soler, Antonio Salieri, François Joseph Gossec, Johann Stamitz, Carl Friedrich Abel, Carl Philipp Emanuel Bach, and Christoph Willibald Gluck. Ludwig van Beethoven is also regarded either as a romantic composer or a composer who was part of the transition to the romantic.

Franz Schubert is also something of a transitional figure, as are Johann Nepomuk Hummel, Mauro Giuliani, Friedrich Kuhlau, Fernando Sor, Luigi Cherubini, Jan Ladislav Dussek, and Carl Maria von Weber. The period is sometimes referred to as the era of *Viennese classic* or *classicism* (German: *Wiener Klassik*), since Wolfgang Amadeus Mozart, Joseph Haydn, Antonio Salieri, and Ludwig van Beethoven all worked at some time in Vienna, and Franz Schubert was born there.

In the middle of the eighteenth century, Europe began to move toward a new style in architecture, literature, and the arts, generally known as classicism. This style sought to emulate the ideals of classical antiquity, especially those of classical Greece. While still tightly linked to court culture and absolutism, with its formality and emphasis on order and hierarchy, the new style was also "cleaner." It favored clearer divisions between parts, brighter contrasts and colors, and simplicity rather than complexity. In addition, the typical size of orchestras began to increase.

The remarkable development of ideas in "natural philosophy" had already established itself in the public consciousness. In particular, Newton's physics was taken as a paradigm: structures should be well-founded in axioms and be both well articulated and orderly. This taste for structural clarity began to affect music, which moved away from the layered polyphony of the baroque period toward a style known as homophony, in which the melody is played over a subordinate harmony. This move meant that chords became a much more prevalent feature of music, even if they interrupted the melodic smoothness of a single part. As a result, the tonal structure of a piece of music became more audible.

The new style was also encouraged by changes in the economic order and social structure. As the eighteenth century progressed, the nobility became the primary patrons of instrumental music, while public taste increasingly preferred comic opera. This led to changes in the way music was performed, the most crucial of which was the move to standard instrumental groups and the

reduction in the importance of the *continuo*—the rhythmic and harmonic ground of a piece of music, typically played by a keyboard (harpsichord or organ) and potentially by several other instruments. One way to trace the decline of the continuo and its figured chords is to examine the disappearance of the term *obbligato*, meaning a mandatory instrumental part in a work of chamber music. In baroque compositions, additional instruments could be added to the continuo according to preference; in classical compositions, all parts were specifically noted, though not always *notated*, so the term "obbligato" became redundant. By 1800, it was practically extinct.

Characteristics of the Classical Style in Music

Economic changes also had the effect of altering the balance of availability and quality of musicians. While in the late baroque a major composer would have the entire musical resources of a town to draw on, the forces available at a hunting lodge were smaller and more fixed in their level of ability. This was a spur to having primarily simple parts to play, and in the case of a resident virtuoso group, a spur to writing spectacular, idiomatic parts for certain instruments, as in the case of the Mannheim orchestra. In addition, the appetite for a continual supply of new music, carried over from the baroque, meant that works had to be performable with, at best, one rehearsal. Indeed, even after 1790 Mozart writes about "the rehearsal," with the implication that his concerts would have only one.

Since polyphonic texture was no longer the main focus of music (excluding the development section) but rather a single melodic line with accompaniment, there was greater emphasis on notating that line for dynamics and phrasing. The simplification of texture made such instrumental detail more important, and also made the use of characteristic rhythms, such as attention-getting opening fanfares, the funeral march rhythm, or the minuet genre, more important in establishing and unifying the tone of a single movement.

Forms such as the concerto and sonata were more heavily defined and given more specific rules, whereas the symphony was created in this period (this is popularly attributed to Joseph Haydn). The *concerto grosso* (a concerto for more than one musician) began to be replaced by the *solo concerto* (a concerto featuring only one soloist), and therefore began to place more importance on the particular soloist's ability to show off. There were, of course, some *concerti grossi* that remained, the most famous of which being Mozart's *Sinfonia Concertante for Violin and Viola in E flat Major*.



A string quartet. From left to right: violin 1, violin 2, cello, viola

Classical music has a lighter, clearer texture than baroque music and is less complex. It is mainly homophonic—melody above chordal accompaniment (but counterpoint by no means is forgotten, especially later in the period). It also makes use of *style galant* in the classical period which was drawn in opposition to the strictures of the baroque style, emphasizing light elegance in place of the baroque's dignified seriousness and impressive grandeur.

Variety and contrast within a piece became more pronounced than before. Variety of keys, melodies, rhythms and dynamics (using *crescendo, diminuendo* and *sforzando*), along with frequent changes of mood and timbre were more commonplace in the classical period than they had been in the baroque. Melodies tended to be shorter than those of baroque music, with clear-cut phrases and clearly marked cadences. The orchestra increased in size and range; the harpsichord continuo fell out of use, and the woodwind became a self-contained section. As a solo instrument, the harpsichord was replaced by the piano (or fortepiano). Early piano music was light in texture, often with Alberti bass accompaniment, but it later became richer, more sonorous and more powerful.

Importance was given to instrumental music—the main kinds were sonata, trio, string quartet, symphony, concerto, serenade and divertimento. Sonata form developed and became the most important form. It was used to build up the first movement of most large-scale works, but also other movements and single pieces (such as overtures).

Classical Period Instruments

Strings

- Violin
- Viola
- Cello
- Contrabass

Woodwinds

- Basset clarinet
- Basset horn
- Clarinette d'amour
- Classical clarinet
- Chalumeau
- Flute
- Oboe
- Bassoon

Keyboards

- Clavichord
- Fortepiano
- Harpsichord, fell out of use in the late eighteenth century

Brasses

- Buccin
- Ophicleide—serpent replacement, precursor of tuba
- French horn

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10.10: Overview of Classical Opera



The Palais Garnier of the Paris Opéra, one of the world's most famous opera houses

Introduction

Opera is an art form in which singers and musicians perform a dramatic work combining text (libretto) and musical score, usually in a theatrical setting. Opera incorporates many of the elements of spoken theatre, such as acting,scenery, and costumes and sometimes includes dance. The performance is typically given in an opera house, accompanied by an orchestra or smaller musical ensemble.

Opera is part of the Western classical music tradition. It started in Italy at the end of the sixteenth century (with Jacopo Peri's lost *Dafne*, produced in Florence in 1598) and soon spread through the rest of Europe: Schütz in Germany, Lully in France, and Purcell in England all helped to establish their national traditions in the seventeenth century. In the eighteenth century, Italian opera continued to dominate most of Europe (except France), attracting foreign composers such as Handel. Opera seria was the most prestigious form of Italian opera, until Gluck reacted against its artificiality with his "reform" operas in the 1760s. Today the most renowned figure of late-eighteenth-century opera is Mozart, who began with opera seria but is most famous for his Italian comic operas, especially *The Marriage of Figaro (Le Nozze Di Figaro), Don Giovanni*, and *Così fan tutte*, as well as *The Magic Flute (Die Zauberflöte)*, a landmark in the German tradition.

The first third of the nineteenth century saw the high point of the bel canto style, with Rossini, Donizetti and Bellini all creating works that are still performed today. It also saw the advent of Grand Opera typified by the works of Auber and Meyerbeer. The mid-to-late nineteenth century was a "golden age" of opera, led and dominated by Wagner in Germany and Verdi in Italy. The popularity of opera continued through the verismo era in Italy and contemporary French opera through to Puccini and Strauss in the early twentieth century. During the nineteenth century, parallel operatic traditions emerged in central and eastern Europe, particularly in Russia and Bohemia. The twentieth century saw many experiments with modern styles, such as atonality and serialism (Schoenberg and Berg), Neoclassicism (Stravinsky), and Minimalism (Philip Glass and John Adams). With the rise of recording technology, singers such as Enrico Caruso became known to audiences beyond the circle of opera fans. Operas were also performed on (and written for) radio and television.

Operatic Terminology

The words of an opera are known as the libretto (literally "small book"). Some composers, notably Richard Wagner, have written their own libretti; others have worked in close collaboration with their librettists—e.g., Mozart with Lorenzo Da Ponte. Traditional opera, often referred to as "number opera", consists of two modes of singing: recitative, the plot-driving passages sung in a

style designed to imitate and emphasize the inflections of speech, and aria (an “air” or formal song) in which the characters express their emotions in a more structured melodic style. Duets, trios and other ensembles often occur, and choruses are used to comment on the action. In some forms of opera, such as Singspiel, opéra comique, operetta, and semi-opera, the recitative is mostly replaced by spoken dialogue. Melodic or semi-melodic passages occurring in the midst of, or instead of, recitative, are also referred to as arioso. During the baroque and classical periods, recitative could appear in two basic forms: *secco* (dry) recitative, sung with a free rhythm dictated by the accent of the words, accompanied only by *continuo*, which was usually a harpsichord and a cello; or *accompagnato* (also known as *strumentato*) in which the orchestra provided accompaniment. By the nineteenth century, *accompagnato* had gained the upper hand, the orchestra played a much bigger role, and Richard Wagner revolutionised opera by abolishing almost all distinction between aria and recitative in his quest for what he termed “endless melody.” Subsequent composers have tended to follow Wagner’s example, though some, such as Stravinsky in his *The Rake’s Progress* have bucked the trend. The terminology of the various kinds of operatic voices is described in detail below.

Origins of Opera



Claudio Monteverdi

The Italian word *opera* means “work,” both in the sense of the labor done and the result produced. The Italian word derives from the Latin *opera*, a singular noun meaning “work” and also the plural of the noun *opus*. According to the Oxford English Dictionary, the Italian word was first used in the sense of a “composition in which poetry, dance, and music are combined” in 1639; the first recorded English usage in this sense dates to 1648.

Dafne by Jacopo Peri was the earliest composition considered opera, as understood today. It was written around 1597, largely under the inspiration of an elite circle of literateFlorentine humanists who gathered as the “Camerata de’ Bardi”. Significantly, *Dafne* was an attempt to revive the classical Greek drama, part of the wider revival of antiquity characteristic of the Renaissance. The members of the Camerata considered that the “chorus” parts of Greek dramas were originally sung, and possibly even the entire text of all roles; opera was thus conceived as a way of “restoring” this situation. *Dafne* is unfortunately lost. A later work by Peri, *Euridice*, dating from 1600, is the first opera score to have survived to the present day. The honour of being the first opera still to be regularly performed, however, goes to Claudio Monteverdi’s *L’Orfeo*, composed for the court of Mantua in 1607. The Mantua court of the Gonzagas, employers of Monteverdi, played a significant role in the origin of opera employing not only court singers of the concerto delle donne (till 1598), but also one of the first actual “opera singers”; Madama Europa.

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10.11: Art, Architecture, and Theater in the Baroque Era



The Meeting of Marie de Médicis and Henri IV at Lyon by Peter Paul Rubens, c. 1623.

Painting

A defining statement of what *baroque* signifies in painting is provided by the series of paintings (one of which is above) executed by Peter Paul Rubens for Marie de Medici at the Luxembourg Palace in Paris (now at the Louvre), in which a Catholic painter satisfied a Catholic patron: baroque-era conceptions of monarchy, iconography, handling of paint, and compositions as well as the depiction of space and movement.



Caravaggio, The Crowning with Thorns

Baroque style featured “exaggerated lighting, intense emotions, release from restraint, and even a kind of artistic sensationalism.” Baroque art did not really depict the life style of the people at that time; however, “closely tied to the Counter-Reformation, this style melodramatically reaffirmed the emotional depths of the Catholic faith and glorified both church and monarchy” of their power and influence.

There were highly diverse strands of Italian baroque painting, from Caravaggio to Cortona; both approaching emotive dynamism with different styles.

Another frequently cited work of baroque art is Bernini’s *Saint Theresa in Ecstasy* for the Cornaro chapel in Saint Maria della Vittoria, which brings together architecture, sculpture, and theater into one grand conceit.



Still-life, by Josefa de Óbidos, c. 1679,Santarém, Portugal, Municipal Library

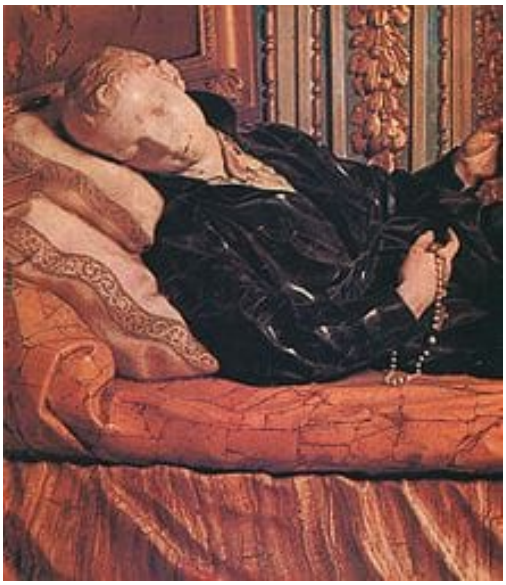
The later baroque style gradually gave way to a more decorative Rococo.

A rather different art developed out of northern realist traditions in seventeenth-century Dutch Golden Age painting, which had very little religious art, and little history painting, instead playing a crucial part in developing secular genres such as still life, genre paintings of everyday scenes, and landscape painting. While the baroque nature of Rembrandt's art is clear, the label is less often used for Vermeer and many other Dutch artists. Flemish baroque painting shared a part in this trend, while also continuing to produce the traditional categories.

In a similar way the French classical style of painting exemplified by Poussin is often classed as baroque, and does share many qualities of the Italian painting of the same period, although the poise and restraint derived from following classical ideas typically give it a very different overall mood.

Sculpture

In baroque sculpture, groups of figures assumed new importance and there was a dynamic movement and energy of human forms—they spiraled around an empty central vortex, or reached outwards into the surrounding space. For the first time, baroque sculpture often had multiple ideal viewing angles. The characteristic baroque sculpture added extra-sculptural elements, for example, concealed lighting, or water fountains. Aleijadinho in Brazil was also one of the great names of baroque sculpture, and his master work is the set of statues of the *Santuário de Bom Jesus de Matosinhos* in Congonhas. The soapstone sculptures of old testament prophets around the terrace are considered amongst his finest work.



Stanislas Kostka on his death bed by Pierre Le Gros the Younger

The architecture, sculpture and fountains of Bernini (1598–1680) give highly charged characteristics of baroque style. Bernini was undoubtedly the most important sculptor of the baroque period. He approached Michelangelo in his omnicompetence: Bernini sculpted, worked as an architect, painted, wrote plays, and staged spectacles. In the late 20th century Bernini was most valued for his sculpture, both for his virtuosity in carving marble and his ability to create figures that combine the physical and the spiritual. He was also a fine sculptor of bust portraits in high demand among the powerful.

Bernini's Cornaro Chapel

A good example of Bernini's baroque work is his *St. Theresa in Ecstasy* (1645–52), created for the Cornaro Chapel of the church of Santa Maria della Vittoria, Rome. Bernini designed the entire chapel, a subsidiary space along the side of the church, for the Cornaro family.



Bernini's Ecstasy of St. Teresa

Saint Theresa, the focal point of the chapel, is a soft white marble statue surrounded by a polychromatic marble architectural framing. This structure conceals a window which lights the statue from above. Figure-groups of the Cornaro family sculpted in shallow relief inhabit opera boxes on the two side walls of the chapel. The setting places the viewer as a spectator in front of the statue with the Cornaro family leaning out of their box seats and craning forward to see the mystical ecstasy of the saint.

St. Theresa is highly idealized and in an imaginary setting. She was a popular saint of the Catholic Reformation. She wrote of her mystical experiences for an audience of the nuns of herCarmelite Order; these writings had become popular reading among lay people interested in spirituality. In her writings, she described the love of God as piercing her heart like a burning arrow. Bernini materializes this by placing St. Theresa on a butt while a Cupid figure holds a golden arrow made of metal and smiles down at her. The angelic figure is not preparing to plunge the arrow into her heart—rather, he has withdrawn it. St. Theresa's face reflects not the anticipation of ecstasy, but her current fulfillment.

This work is widely considered a masterpiece of the baroque, although the mix of religious and erotic imagery (faithful to St Teresa's own written account) may raise modern eyebrows. However, Bernini was a devout Catholic and was not attempting to satirize the experience of a chaste nun. Rather, he aimed to portray religious experience as an intensely physical one. Theresa described her bodily reaction to spiritual enlightenment in a language of ecstasy used by many mystics, and Bernini's depiction is earnest.

The Cornaro family promotes itself discreetly in this chapel; they are represented visually, but are placed on the sides of the chapel, witnessing the event from balconies. As in an opera house, the Cornaro have a privileged position in respect to the viewer, in their private reserve, closer to the saint; the viewer, however, has a better view from the front. They attach their name to the chapel, but St. Theresa is the focus. It is a private chapel in the sense that no one could say mass on the altar beneath the statue (in the seventeenth century and probably through the nineteenth) without permission from the family, but the only thing that divides the viewer from the image is the altar rail. The spectacle functions both as a demonstration of mysticism and as a piece of family pride.

Architecture

In baroque architecture, new emphasis was placed on bold massing, colonnades, domes, light-and-shade (*chiaroscuro*), 'painterly' color effects, and the bold play of volume and void. In interiors, baroque movement around and through a void informed monumental staircases that had no parallel in previous architecture. The other baroque innovation in worldly interiors was

the state apartment, a sequence of increasingly rich interiors that culminated in a presence chamber or throne room or a state bedroom. The sequence of monumental stairs followed by a state apartment was copied in smaller scale everywhere in aristocratic dwellings of any pretensions.



Baroque architecture was taken up with enthusiasm in central Germany (see, e.g., Ludwigsburg Palace and Zwinger, Dresden), Austria and Russia (see, e.g., Peterhof). In England the culmination of baroque architecture was embodied in work by Sir Christopher Wren, Sir John Vanbrugh and Nicholas Hawksmoor, from ca. 1660 to ca. 1725. Many examples of baroque architecture and town planning are found in other European towns, and in Latin America. Town planning of this period featured radiating avenues intersecting in squares, which took cues from baroque garden plans. In Sicily, baroque developed new shapes and themes as in Noto,Ragusa and Acireale “Basilica di San Sebastiano.”



Augustusburg Palace near Cologne



Trevi Fountain in Rome



Wilanów Palace in Warsaw



Interior of the Cornaro Chapel, Santa Maria della Vittoria church, Rome including the Cornaro portraits, but omitting the lower parts of the chapel.

Another example of baroque architecture is the Cathedral of Morelia, Michoacán in Mexico. Built in the seventeenth century by Vincenzo Barrochio, it is one of the many baroque cathedrals in Mexico. Baroque churches are also seen in the Philippines, which were built during the Spanish period.

Francis Ching described baroque architecture as “a style of architecture originating in Italy in the early seventeenth century and variously prevalent in Europe and the New World for a century and a half, characterized by free and sculptural use of the classical orders and ornament, dynamic opposition and interpenetration of spaces, and the dramatic combined effects of architecture, sculpture, painting, and the decorative arts.”

Theater



Eighteenth-century painting of the Royal Theatre of Turin

In theater, the elaborate conceits, multiplicity of plot turns and a variety of situations characteristic of Mannerism, in Shakespeare's tragedies for instance, were superseded by opera, which drew together all the arts into a unified whole.

Theater evolved in the baroque era and became a multimedia experience, starting with the actual architectural space. In fact, much of the technology used in current Broadway or commercial plays was invented and developed during this era. The stage could change from a romantic garden to the interior of a palace in a matter of seconds. The entire space became a framed selected area that only allows the users to see a specific action, hiding all the machinery and technology – mostly ropes and pulleys.

This technology affected the content of the narrated or performed pieces, practicing at its best the Deus ex Machina solution. Gods were finally able to come down – literally – from the heavens and rescue the hero in the most extreme and dangerous, even absurd situations.

The term Theatrum Mundi – the world is a stage – was also created. The social and political realm in the real world is manipulated in exactly the same way the actor and the machines are presenting/limiting what is being presented on stage, hiding selectively all the machinery that makes the actions happen.

The films *Vatel* and *Farinelli* give a good idea of the style of productions of the baroque period. The American musician William Christie and Les Arts Florissants have performed extensive research on all the French baroque opera, performing pieces from Charpentier and Lully, among others that are extremely faithful to the original seventeenth-century creations.

England

The influence of the Renaissance was also very late in England, and baroque theater is only partly a useful concept here, for example in discussing Restoration comedy. There was an eighteen-year break when the London theaters were closed during the English Civil War and English Commonwealth until the Restoration of Charles II in 1660.

Germany

German theater in the seventeenth century lacked major contributions. The best known playwright was Andreas Cryphius, who used the Jesuit model of theDutch Joost van den Vondel and Cornielle. There was also Johannes Velten who combined the traditions of the English comedians and the commedia del'arte with the classic theater of Corneille and Moliere. His touring company was perhaps the most significant and important of the seventeenth century.

Spain

The baroque had a Catholic and conservative character in Spain, following an Italian literary models during the Renaissance. The Hispanic baroque theater aimed for a public content with an ideal reality that manifested fundamental three sentiments: Catholic religion, monarchist and national pride and honor originating from the chivalric, knightly world.

Two periods are known in the baroque Spanish theater. The separation between them was emphasized in 1630; the first period consists of a principle representant who is Lope de Vega, and also Tirso de Molina, Gaspar de Aguilar, Guillén de Castro, Antonio Mira de Amescua, Luis Vélez de Guevara, Juan Ruiz de Alarcón, Diego Jiménez de Enciso, Luis Belmonte Bermúdez, Felipe Godínez, Luis Quiñones de Benavente or Juan Pérez de Montalbán; and in the second period Calderón de la Barca and the other play writers Antonio Hurtado de Mendoza, Álvaro Cubillo de Aragón,Jerónimo de Cáncer y Velasco, Francisco de Rojas Zorrilla, Juan de Matos Fragoso, Antonio Coello y Ochoa, Agustín Moreto or Francisco de Bances Candamo. It is possible to speak about a loosely classification, because each author had his own way and could occasionally adhere himself to the formula established by Lope. Perhaps, the "manner" of Lope was more liberal and structured than Calderon's.

Felix Lope de Vega y Carpio introduced through his *Arte nuevo de hacer comedias en este tiempo* (1609) the *new comedy*. He established a new dramatic formula that broke the three Aristotle unities of the Italian school of poetry (action, time and place) and a forth unity of Aristotle which is about style, mixing of tragic and comic elements showing different types of verses and stanzas upon what is represented. Although Lope has a great knowledge of the plastic arts, he did not use it during the major part of his career nor in theater or scenography. The Lope's comedy granted a second role to the visual aspects of the theatrical representation.

Tirso de Molina along with Lope de Vega and Caledron were of the most important play writers in Spain during the golden era. Their works, known for its subtle intelligence and profound comprehension of a person's humanity, could be considered a bridge between primitive Lope's comedy and a more elaborate Calderon's comedy. Although part of the critics argued their writings showing that Tirso de Molina was known for two flawless works,The convicted suspicions, The Trickster of Seville, a principal sources of the Don Juan myth.

Upon his arrival to Madrid, Cosme Lotti brought to the Spanish court the most advanced theatrical techniques of Europe. His techniques and mechanic knowledge were applied in palace exhibitions called "Fiestas" and in lavish exhibitions of rivers or artificial fountains called "Naumaquias". He was in charge of styling the Gardens of Buen Retiro, of Zarzuela and of Aranjuez and the construction of the theatrical building of Coliseo del Buen Retiro. Lope's formulas begins with a verse that it unbefitting of the palace theater foundation and the birth of new concepts that begun the careers of some play writers like Pedro Calderon de la Barca. Marking the principal innovations of the New Lopesian Comedy, Calderon's style marked many differences, with a great deal of constructive care and attention to his internal structure. Calderon's work is in formal perfection and a very lyric and symbolic language. Liberty, vitality and openness of Lope gave a step to Calderon's intellectual reflection and formal precision. In his comedy it reflected his ideological and doctrine intentions in above the passion and the action, the work of Auto Sacramentales achieved high ranks. The genre of Comedia is political, multi-artistic and in a sense hybrid. The poetic text interweaved with Medias and resources originating from architecture, music and painting freeing the deception that is in the Lopesian comedy was made up from the lack of scenery and engaging the dialogue of action.

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10.12: Neo-Classicism



Nicolas Poussin, Et in Arcadia Ego, 1637-38, oil on canvas, 185 cm × 121 cm (72.8 in × 47.6 in) (Louvre)

In opposition to the frivolous sensuality of Rococo painters like Jean-Honoré Fragonard and François Boucher, the Neo-classicists looked to Nicolas Poussin for their inspiration. The decision to promote *Poussiniste* painting became an ethical consideration. They believed that strong drawing was rational, therefore morally better. They believed that art should be cerebral, not sensual.



Jacques-Louis David, Oath of the Horatii, oil on canvas, 1784 (Musée du Louvre)

The Neo-classicists, such as Jacques-Louis David (pronounced *Da-VEED)*, preferred the well-delineated form—clear drawing and modeling (shading). Drawing was considered more important than painting. The Neo-classical surface had to look perfectly smooth—no evidence of brush-strokes should be discernable to the naked eye.

France was on the brink of its first revolution in 1789, and the Neo-classicists wanted to express rationality and sobriety that was fitting for their times. Artists like David supported the rebels through an art that asked for clear-headed thinking, self-sacrifice to the State (as in *Oath of the Horatii*) and an austerity reminiscent of Republican Rome.

Neo-classicism was a child of the Age of Reason (the Enlightenment), when philosophers believed that we would be able to control our destinies by learning from and following the Laws of Nature (the United States was founded on Enlightenment philosophy). Scientific inquiry attracted more attention. Therefore, Neo-classicism continued the connection to the Classical tradition because it signified moderation and rational thinking but in a new and more politically-charged spirit ("neo" means "new," or in the case of art, an existing style reiterated with a new twist.)

Neo-classicism is characterized by: clarity of form; sober colors; shallow space; strong horizontal and verticals that render that subject matter timeless, instead of temporal as in the dynamic Baroque works; and, Classical subject matter—or classicizing contemporary subject matter.

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10.13: David's Death of Marat

By 1793, the violence of the Revolution dramatically increased until the beheadings at the Place de la Concorde became a constant, leading a certain Dr. Joseph Guillotine it invent a machine that would improve the efficiency of the ax and block and therefore make executions more humane. David was in thick of it. Early in the Revolution he had joined the Jacobins, a political club that would in time become the most rabid of the various rebel factions. Led by the ill-fated Georges Danton and the infamous Maximilien Robespierre, the Jacobins (including David) would eventually vote to execute Louis XVI and his Queen Marie Antionette who were caught attempting to escape across the border to the Austrian Empire.



Jacques-Louis David, The Death of Marat, oil on canvas, 1793 (Royal Museum of Fine Arts, Brussels)

At the height of the Reign of Terror in 1793, David painted a memorial to his great friend, the murdered publisher, Jean Marat. As in his Death of Socrates, David substitutes the iconography (symbolic forms) of Christian art for more contemporary issues. The Death of Marat, 1793 an idealized image of David's slain friend is shown holding his murderess's (Charlotte Corday) letter of introduction.



Jacques Louis David, The Death of Marat (detail), 1793 (Royal Museum of Fine Arts, Brussels)

The bloodied knife lays on the floor having opened a fatal gash that functions, as does Marat's very composition, as a reference to the entombment of Christ and a sort of secularized stigmata (reference to the wounds Christ is said to have received in his hands, feet and side while on the cross). Is David attempting now to find revolutionary martyrs to replace the saints of Catholicism (which had been outlawed)?

By 1794 the Reign of Terror had run its course. The Jacobins had begun to execute not only captured aristocrats but fellow revolutionaries as well. Eventually, Robespierre himself would die and the remaining Jacobins were likewise executed or imprisoned. David escaped death by renouncing his activities and was locked in a cell in the former palace, the Louvre, until his eventual release by France's brilliant new ruler, Napoleon Bonaparte. This diminutive Corsican had been the youngest General in the French army and during the Revolution had become a national hero by waging a seemingly endless string of victorious military campaigns against the Austrians in Belgium and Italy. Eventually, Napoleon would control most of Europe, would crown himself Emperor, and would release David in recognition that the artist's talent could serve the ruler's purposes.

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10.14: Romanticism in France Delacroix's Liberty Leading the People



Eugène Delacroix, Liberty Leading the People, oil on canvas, 2.6 x 3.25m, 1830 (Musée du Louvre, Paris)

The July Revolution

This painting was made in response to the political upheaval that would resulted in the overthrow of the reigning monarch, Charles X (brother of the beheaded Louis XVI). Charles X had restored the Bourbon throne after the fall of Napoleon and would himself be replaced by the restricted constitutional rule of Louis-Phillipe, the "citizen-king."

Delacroix's is a complex painting, full of historical reference, yet also full of the spectrum of human emotion—from grand heroism to angry despair—that is a central characteristic of French Romanticism. Note the complex interaction between areas that are brightly reflective and adjacent areas of dark shadow. The results are vivid contrasts which, like the rapid-fire brushwork, activates the surface and augments the painting's sense of movement and energy. Delacroix also breaks with the tradition of relying upon the painstakingly subtle modulation of color, and instead, applies brilliant and shocking traces of pure pigment. See, for example, the notes of sharp primary colors, the blues, yellows and the especially powerful reds. Again, the effect is vivid and electrifying against the broad areas of brown and gray and this fits well with the subject. Liberty rushes forward over the debris of the barricades, by then a signifier of Parisian rebellion.

A Modern Nike

Prior to the late 19th century, the streets of this largely medieval city were the chaotic result of organic unplanned growth. Paris was a warren of tangled streets, some little more than narrow alleys that slowed travel, trade and troops, and could be easily blocked allowing revolutionaries to fortify entire sections of the city. It is upon these very barricades that Liberty, the personification of freedom (who the French call Marianne) stands. She holds the tri-color aloft. This is the banned flag of revolution and democracy.



Nike of Samothrace, 220-190 B.C.E. (Louvre, Paris)

The wind spins her drapery around her hips alluding to classical statuary. Note that the spiraling costume of the great Hellenistic (late ancient Greek) sculpture, the Nike (victory) of Samothrace on view in the Musée de Louvre was found after the Delacroix was created but is a useful reference nevertheless. For what possible reason has Delacroix exposed Marianne's breasts? The answer lies in the figure not being an actual person but rather the embodiment of an idea in a human figure. Marianne is, of course, democracy. Democracy was born in Ancient Greece as Delacroix reminds us by his reference to ancient sculpture and his use of partial nudity. But there is a second reference here. During France's first revolution, the one that began in 1789, the newly created democratic state was sometimes depicted as an infant suckled by freedom, by Marianne, its mother.

Class Distinctions

Beside Marianne, we see a menacing crowd that dissolves into the smoke and the confusion of battle. But in the left middle ground, Delacroix depicts two figures with greater clarity. They stand together but represent very different social and economic positions. The man in the top hat, waistcoat and jacket is a member of the middle class. The second figure is less well off. He wears a white shirt and cap and is meant to represent a laborer, a member of the working or lower class. Delacroix's message is clear. The revolution unites these classes against the ruling aristocracy.

The Cost of Rebellion

In the foreground lay two dead bodies. The figure on the left is intended to enrage the viewer. To set the viewer firmly against the excesses of the king's troops. In this sense the painting is pure propaganda. The dead figure on the left is dressed in a long nightshirt that has been push up as his body was dragged into the street from his bedroom where, presumably, he had been shot. Delacroix is alluding to the despised practice of the royal troops who spread terror by murdering suspected revolutionary sympathizers in their beds and then dragging the bodies into the streets as a warning. The dead uniformed figure on the right is a royalist soldier. Here, Delacroix shows the enemy as vulnerable. If you look carefully at the buildings at the right you will see the battle joined and in the distance, the great Gothic cathedral, Notre Dame de Paris, a symbol of the King's power but which is now triumphantly flying the tricolor.

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11: THE MODERN WORLD

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11.1: THE BIRTH OF MODERNISM AND THE MODERN WORLD (1900-1920S)

Chapter 11: The Birth of Modernism and the Modern World (1900-1920s)

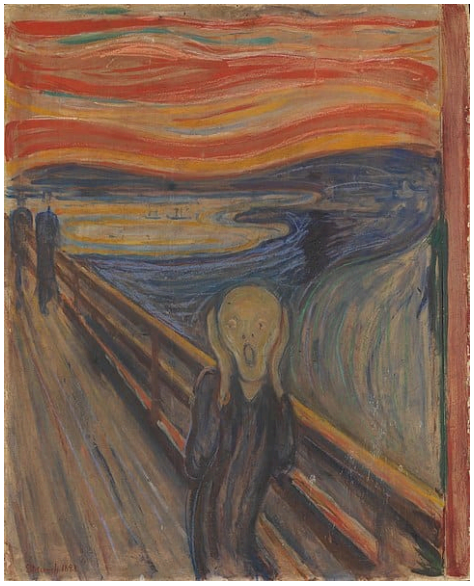


Figure 11.1.1: Edvard Munch, *The Scream*, 1893. Oil, tempera, and pastel on cardboard. National Gallery of Norway. Public domain.

11.1.1: Modernism

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11.1.1: Modernism

WHAT IS MODERNISM?

People use the term “modern” in a variety of ways, often very loosely, with a lot of implied associations of new, contemporary, up-to-date, and technological. We know the difference between a modern society and one that remains tied to the past and it usually has less to do with art and more to do with technology and industrial progress, things like indoor plumbing, easy access to consumer goods, freedom of expression, and voting rights. In the 19th century, however, modernity and its connection with art had certain specific associations that people began recognizing and using as barometers to distinguish themselves and their culture from earlier nineteenth-century ways and attitudes.

In western culture, the term ***modernism*** has several meanings. This movement began in the late 19th century and reached its peak in the period between 1910 and 1930. It tried to redefine various art forms in a radical manner. Leading writers within the literary wing of this movement include Virginia Woolf, James Joyce, T.S. Eliot, Ezra Pound, Wallace Stevens, Marcel Proust, Gertrude Stein, Wyndham Lewis, H.D, Marianne Moore, William Carlos Williams, and Franz Kafka. Composers such as Schoenberg and Stravinsky represent modernism in music. Artists such as Picasso, Matisse, Mondrian, and the Surrealists represent the visual arts, while architects and designers such as Le Corbusier and Mies van der Rohe brought modernist ideas into everyday urban life.

Modernism centers on the rejection of tradition. It emphasizes the return of the arts to their fundamental characteristics, as though beginning from scratch. This dismissal of tradition also involved the rejection of conventional expectations. Hence, modernism often stresses freedom of expression, experimentation, radicalism and primitivism. In many art forms this often meant startling and alienating audiences with bizarre and unpredictable effects. Hence, the strange and disturbing combinations of motifs in Surrealism, or the use of extreme dissonance in modernist music. In literature, this often involved the rejection of intelligible plots or characterization in novels, or the creation of poetry that defied clear interpretation.

Many modernists believed that, by rejecting tradition, they could discover radically new ways of making art. Schoenberg believed that, by ignoring harmony (the relationship between consonance and dissonance), he had discovered a new way of organizing sound, based in the use of twelve-note rows. This became known as serial music. Abstract artists began with the assumption that color and shape formed the essential characteristics of art, not the depiction of the natural world. Kandinsky, Mondrian, and Malevich all believed in redefining art as the arrangement of pure color. The use of photography, which had rendered much of the representational function of visual art obsolete, strongly affected this particular aspect of modernism. However, these artists also believed that, by rejecting the depiction of material objects, they helped art move from a materialist to a spiritualist phase of development.

Ezra Pound’s maxim, "Make it new" ("Canto LIII") is often quoted as a succinct summary of modernism. What’s most inspirational about modernism is its determination to question the basic assumptions of our lives, and art’s relation to them. Everything is up for grabs—from how we think to what kind of world we should live in, from the impact of new technologies to what kind of role the artist should play in contemporary life. Reading such literature is invigorating and challenging and, sometimes, difficult. But how could such profound questioning be easy?

This is not to say that modernist literature is inaccessible, as its reputation might suggest. There is no ideal reader of *The Waste Land* or *Ulysses*, who understands all T.S. Eliot’s or James Joyce’s allusions—and there never was such an ideal reader. If you think about it, we read all literature, understand all language, only partially: we miss references, we fail to understand ironies in every conversation. Modernist literature often foregrounds the limitations of language as a form of communication: many of its protagonists puzzle over how best to express themselves: think of Eliot’s Prufrock in ‘The Love Song of J. Alfred Prufrock’, Joyce’s Stephen in *A Portrait of the Artist as a Young Man*, Dorothy Richardson’s Miriam in *Pilgrimage*, or Virginia Woolf’s Bernard in *The Waves*. In examining this problem, modernist writers are not only reflecting on their own struggle to produce a compelling work of art but examining how effectively language mediates our social and political experiences.

But what is modernism? It’s a term that can only really mean up-to-date-ness, yet when we use it to talk about literature in English, we usually mean a movement, or a period, in the past. If you take a course on modernist literature at a university, for example, you’ll probably be studying writers who began their careers between 1900 and 1930—such as those mentioned above. Not everyone would agree that modernism is an early twentieth-century movement though; there are certainly contemporary writers who would define themselves as modernist or "neo-modernist."

If modernism can't be securely tied to a period, can it be defined as a style? Works by the writers associated most strongly with modernism—T.S. Eliot, James Joyce and Virginia Woolf, for example—do seem to share some common features: a preoccupation with the city, rather than the country; a focus on the interior life of characters and speakers; and, as already suggested, an interest in experimenting with new ways of using language and literary forms. But these features are hardly consistent across all the works typically termed modernist—little of W.B. Yeats's poetry is about the city, for example, and few of D.H. Lawrence's novels foreground experiments with narrative form. Moreover, modernism was not a term these writers used to describe their own writing; it only began to come into currency in the late 1920s, when it was influentially used in *A Survey of Modernist Poetry* (1927) by the poets Laura Riding and Robert Graves.

In other words, modernism is a term that says more about the twentieth and twenty-first century's desire to categorize and prioritize certain kinds of writing than about the literature itself. It's a kind of advertising ploy, reinforcing values that influential poets and critics have wanted to associate with their own work and work they admired—T.S. Eliot, for example, made a powerful claim for "impersonality" as a feature of good contemporary poetry in his famous essay "Tradition and the Individual Talent" (1919), which led to some very strained readings of modernist works, like Ezra Pound's *Cantos*, which contain plenty of autobiography and "personality."

Interestingly, and by no means accidentally, the term modernism has more currency now than ever before, with ever increasing numbers of books using the term in their titles, at the very same time that critics are more skeptical about its use. Some of the most interesting research in the field of early twentieth-century literature is breaking down the boundaries between writers traditionally thought of as modernist and those that have been kept out of the modernist canon. One way this has been done is through study of early twentieth-century literary journals, which shows which writers were being published together and how they were read. Looking through these journals is a fascinating way of thinking about how 'modern' the writers we now call Modernist looked, and a way of finding some 'Great Writers' history has unjustly forgotten.

Almost all of the many *avant-garde* art movements of the high modernist period of the early 20th century included photographers among their members. Photographic images are among the icons of many of these movements, and the medium of photography, as separate from the wider arts scene, produced several modernist movements as well.

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11.1.2: War and Revolution

World War I

Unlike his immediate predecessors, President Woodrow Wilson had planned to shrink the role of the United States in foreign affairs. He believed that the nation needed to intervene in international events only when there was a moral imperative to do so. But as Europe's political situation grew dire, it became increasingly difficult for Wilson to insist that the conflict growing overseas was not America's responsibility. Germany's war tactics struck most observers as morally reprehensible, while also putting American free trade with the Entente at risk. Despite campaign promises and diplomatic efforts, Wilson could only postpone American involvement in the war.

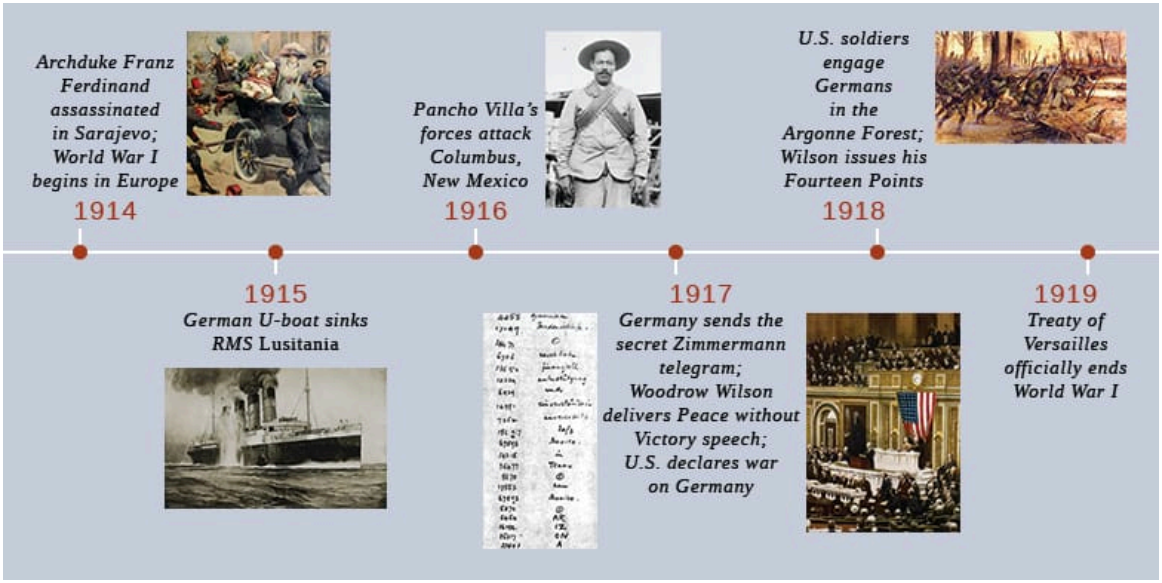


Figure 11.1.2.1: Timeline of World War I

WOODROW WILSON'S EARLY EFFORTS AT FOREIGN POLICY

When Woodrow Wilson took over the White House in March 1913, he promised a less expansionist approach to American foreign policy than Theodore Roosevelt and William Howard Taft had pursued. Wilson did share the commonly held view that American values were superior to those of the rest of the world, that democracy was the best system to promote peace and stability, and that the United States should continue to actively pursue economic markets abroad. But he proposed an idealistic foreign policy based on morality, rather than American self-interest, and felt that American interference in another nation's affairs should occur only when the circumstances rose to the level of a moral imperative.

Wilson appointed former presidential candidate William Jennings Bryan, a noted anti-imperialist and proponent of world peace, as his Secretary of State. Bryan undertook his new assignment with great vigor, encouraging nations around the world to sign "cooling off treaties," under which they agreed to resolve international disputes through talks, not war, and to submit any grievances to an international commission. Bryan also negotiated friendly relations with Colombia, including a $25 million apology for Roosevelt's actions during the Panamanian Revolution, and worked to establish effective self-government in the Philippines in preparation for the eventual American withdrawal. Even with Bryan's support, however, Wilson found that it was much harder than he anticipated to keep the United States out of world affairs (Image 1.1). In reality, the United States was interventionist in areas where its interests—direct or indirect—were threatened.



Figure 11.1.2.1: While Wilson strove to be less of an interventionist, he found that to be more difficult in practice than in theory. Here, a political cartoon depicts him as a rather hapless cowboy, unclear on how to harness a foreign challenge, in this case, Mexico.

Wilson's greatest break from his predecessors occurred in Asia, where he abandoned Taft's "dollar diplomacy," a foreign policy that essentially used the power of U.S. economic dominance as a threat to gain favorable terms. Instead, Wilson revived diplomatic efforts to keep Japanese interference there at a minimum. But as World War I, also known as the Great War, began to unfold, and European nations largely abandoned their imperialistic interests in order to marshal their forces for self-defense, Japan demanded that China succumb to a Japanese protectorate over their entire nation. In 1917, William Jennings Bryan's successor as Secretary of State, Robert Lansing, signed the Lansing-Ishii Agreement, which recognized Japanese control over the Manchurian region of China in exchange for Japan's promise not to exploit the war to gain a greater foothold in the rest of the country.

Furthering his goal of reducing overseas interventions, Wilson had promised not to rely on the Roosevelt Corollary, Theodore Roosevelt's explicit policy that the United States could involve itself in Latin American politics whenever it felt that the countries in the Western Hemisphere needed policing. Once president, however, Wilson again found that it was more difficult to avoid American interventionism in practice than in rhetoric. Indeed, Wilson intervened more in Western Hemisphere affairs than either Taft or Roosevelt. In 1915, when a revolution in Haiti resulted in the murder of the Haitian president and threatened the safety of New York banking interests in the country, Wilson sent over three hundred U.S. Marines to establish order. Subsequently, the United States assumed control over the island's foreign policy as well as its financial administration. One year later, in 1916, Wilson again sent marines to Hispaniola, this time to the Dominican Republic, to ensure prompt payment of a debt that nation owed. In 1917, Wilson sent troops to Cuba to protect American-owned sugar plantations from attacks by Cuban rebels; this time, the troops remained for four years.

Wilson's most noted foreign policy foray prior to World War I focused on Mexico, where rebel general Victoriano Huerta had seized control from a previous rebel government just weeks before Wilson's inauguration. Wilson refused to recognize Huerta's government, instead choosing to make an example of Mexico by demanding that they hold democratic elections and establish laws based on the moral principles he espoused. Officially, Wilson supported Venustiano Carranza, who opposed Huerta's military control of the country. When American intelligence learned of a German ship allegedly preparing to deliver weapons to Huerta's forces, Wilson ordered the U.S. Navy to land forces at Veracruz to stop the shipment.

On April 22, 1914, a fight erupted between the U.S. Navy and Mexican troops, resulting in nearly 150 deaths, nineteen of them American. Although Carranza's faction managed to overthrow Huerta in the summer of 1914, most Mexicans—including Carranza—had come to resent American intervention in their affairs. Carranza refused to work with Wilson and the U.S. government, and instead threatened to defend Mexico's mineral rights against all American oil companies established there. Wilson then turned to support rebel forces who opposed Carranza, most notably Pancho Villa (Image 1.3). However, Villa lacked the strength in number or weapons to overtake Carranza; in 1915, Wilson reluctantly authorized official U.S. recognition of Carranza's government.



Figure 11.1.2.1: Pancho Villa, a Mexican rebel who Wilson supported, then ultimately turned from, attempted an attack on the United States in retaliation. Wilson's actions in Mexico were emblematic of how difficult it was to truly set the United States on a course of moral leadership.

As a postscript, an irate Pancho Villa turned against Wilson, and on March 9, 1916, led a fifteen-hundred-man force across the border into New Mexico, where they attacked and burned the town of Columbus. Over one hundred people died in the attack, seventeen of them American. Wilson responded by sending General John Pershing into Mexico to capture Villa and return him to the United States for trial. With over eleven thousand troops at his disposal, Pershing marched three hundred miles into Mexico before an angry Carranza ordered U.S. troops to withdraw from the nation. Although reelected in 1916, Wilson reluctantly ordered the withdrawal of U.S. troops from Mexico in 1917, avoiding war with Mexico and enabling preparations for American intervention in Europe. Again, as in China, Wilson's attempt to impose a moral foreign policy had failed in light of economic and political realities.

WAR ERUPTS IN EUROPE

When a Serbian nationalist murdered the Archduke Franz Ferdinand of the Austro-Hungarian Empire on June 28, 1914, the underlying forces that led to World War I had already long been in motion and seemed, at first, to have little to do with the United States. At the time, the events that pushed Europe from ongoing tensions into war seemed very far away from U.S. interests. For nearly a century, nations had negotiated a series of mutual defense alliance treaties to secure themselves against their imperialistic rivals. Among the largest European powers, the Triple Entente included an alliance of France, Great Britain, and Russia. Opposite them, the Central powers, also known as the Triple Alliance, included Germany, Austria-Hungary, the Ottoman Empire, and initially Italy. A series of "side treaties" likewise entangled the larger European powers to protect several smaller ones should war break out.

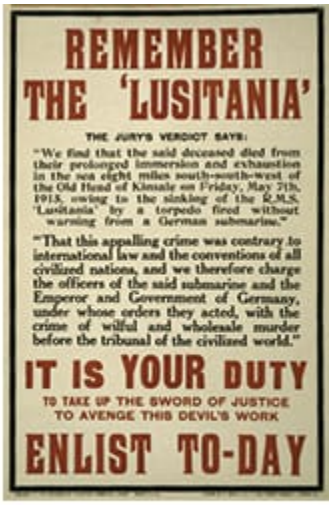
At the same time that European nations committed each other to defense pacts, they jockeyed for power over empires overseas and invested heavily in large, modern militaries. Dreams of empire and military supremacy fueled an era of nationalism that was particularly pronounced in the newer nations of Germany and Italy, but also provoked separatist movements among Europeans. The Irish rose up in rebellion against British rule, for example. And in Bosnia's capital of Sarajevo, Gavrilo Princip and his accomplices assassinated the Austro-Hungarian archduke in their fight for a pan-Slavic nation. Thus, when Serbia failed to accede to Austro-Hungarian demands in the wake of the archduke's murder, Austria-Hungary declared war on Serbia with the confidence that it had the backing of Germany. This action, in turn, brought Russia into the conflict, due to a treaty in which they had agreed to defend Serbia. Germany followed suit by declaring war on Russia, fearing that Russia and France would seize this opportunity to move on Germany if it did not take the offensive. The eventual German invasion of Belgium drew Great Britain into the war, followed by the attack of the Ottoman Empire on Russia. By the end of August 1914, it seemed as if Europe had dragged the entire world into war.

The Great War was unlike any war that came before it. Whereas in previous European conflicts, troops typically faced each other on open battlefields, World War I saw new military technologies that turned war into a conflict of prolonged trench warfare. Both sides used new artillery, tanks, airplanes, machine guns, barbed wire, and, eventually, poison gas: weapons that strengthened defenses and turned each military offense into barbarous sacrifices of thousands of lives with minimal territorial advances in return. By the end of the war, the total military death toll was ten million, as well as another million civilian deaths attributed to military action, and another six million civilian deaths caused by famine, disease, or other related factors.

One terrifying new piece of technological warfare was the German unterseeboot—an "undersea boat" or U-boat. By early 1915, in an effort to break the British naval blockade of Germany and turn the tide of the war, the Germans dispatched a fleet of these submarines around Great Britain to attack both merchant and military ships. The U-boats acted in direct violation of international law, attacking without warning from beneath the water instead of surfacing and permitting the surrender of civilians or crew. By 1918, German U-boats had sunk nearly five thousand vessels. Of greatest historical note was the attack on the British passenger ship, RMS Lusitania, on its way from New York to Liverpool on May 7, 1915. The German Embassy in the United States had announced that this ship would be subject to attack for its cargo of ammunition: an allegation that later proved accurate. Nonetheless, almost 1,200 civilians died in the attack, including 128 Americans. The attack horrified the world, galvanizing support in England and beyond for the war (Image 1.4). This attack, more than any other event, would test President Wilson's desire to stay out of what had been a largely European conflict.



(a)



(b)

Figure 11.1.2.1: The torpedoing and sinking of the Lusitania, depicted in the English drawing above (a), resulted in the death over twelve hundred civilians and was an international incident that shifted American sentiment as to their potential role in the war, as illustrated in a British recruiting poster (b).

THE CHALLENGE OF NEUTRALITY

Despite the loss of American lives on the Lusitania, President Wilson stuck to his path of **neutrality** in Europe's escalating war: in part out of moral principle, in part as a matter of practical necessity, and in part for political reasons. Few Americans wished to participate in the devastating battles that ravaged Europe, and Wilson did not want to risk losing his reelection by ordering an unpopular military intervention. Wilson's "neutrality" did not mean isolation from all warring factions, but rather open markets for the United States and continued commercial ties with all belligerents. For Wilson, the conflict did not reach the threshold of a moral imperative for U.S. involvement; it was largely a European affair involving numerous countries with whom the United States wished to maintain working relations. In his message to Congress in 1914, the president noted that "Every man who really loves America will act and speak in the true spirit of neutrality, which is the spirit of impartiality and fairness and friendliness to all concerned."

Wilson understood that he was already looking at a difficult reelection bid. He had only won the 1912 election with 42 percent of the popular vote, and likely would not have been elected at all had Roosevelt not come back as a third-party candidate to run against his former protégée Taft. Wilson felt pressure from all different political constituents to take a position on the war, yet he knew that elections were seldom won with a campaign promise of "If elected, I will send your sons to war!" Facing pressure from some businessmen and other government officials who felt that the protection of America's best interests required a stronger position in defense of the Allied forces, Wilson agreed to a "preparedness campaign" in the year prior to the election. This campaign included the passage of the National Defense Act of 1916, which more than doubled the size of the army to nearly 225,000, and the Naval Appropriations Act of 1916, which called for the expansion of the U.S. fleet, including battleships, destroyers, submarines, and other ships.

As the 1916 election approached, the Republican Party hoped to capitalize on the fact that Wilson was making promises that he would not be able to keep. They nominated Charles Evans Hughes, a former governor of New York and sitting U.S. Supreme Court justice at the time of his nomination. Hughes focused his campaign on what he considered Wilson's foreign policy failures,

but even as he did so, he himself tried to walk a fine line between neutrality and belligerence, depending on his audience. In contrast, Wilson and the Democrats capitalized on neutrality and campaigned under the slogan "Wilson—he kept us out of war." The election itself remained too close to call on election night. Only when a tight race in California was decided two days later could Wilson claim victory in his reelection bid, again with less than 50 percent of the popular vote. Despite his victory based upon a policy of neutrality, Wilson would find true neutrality a difficult challenge. Several different factors pushed Wilson, however reluctantly, toward the inevitability of American involvement.

A key factor driving U.S. engagement was economics. Great Britain was the country's most important trading partner, and the Allies as a whole relied heavily on American imports from the earliest days of the war forward. Specifically, the value of all exports to the Allies quadrupled from $750 million to $3 billion in the first two years of the war. At the same time, the British naval blockade meant that exports to Germany all but ended, dropping from $350 million to $30 million. Likewise, numerous private banks in the United States made extensive loans—in excess of $500 million—to England. J. P. Morgan's banking interests were among the largest lenders, due to his family's connection to the country.

Another key factor complicating the decision to go to war was the deep ethnic divisions between native-born Americans and more recent immigrants. For those of Anglo-Saxon descent, the nation's historic and ongoing relationship with Great Britain was paramount, but many Irish-Americans resented British rule over their place of birth and opposed support for the world's most expansive empire. Millions of Jewish immigrants had fled anti-Semitic pogroms in Tsarist Russia and would have supported any nation fighting that authoritarian state. German Americans saw their nation of origin as a victim of British and Russian aggression and a French desire to settle old scores, whereas emigrants from Austria-Hungary and the Ottoman Empire were mixed in their sympathies for the old monarchies or ethnic communities that these empires suppressed. For interventionists, this lack of support for Great Britain and its allies among recent immigrants only strengthened their conviction.

Germany's use of submarine warfare also played a role in challenging U.S. neutrality. After the sinking of the Lusitania, and the subsequent August 30 sinking of another British liner, the Arabic, Germany had promised to restrict their use of submarine warfare. Specifically, they promised to surface and visually identify any ship before they fired, as well as permit civilians to evacuate targeted ships. Instead, in February 1917, Germany intensified their use of submarines in an effort to end the war quickly before Great Britain's naval blockade starved them out of food and supplies.

The German high command wanted to continue unrestricted warfare on all Atlantic traffic, including unarmed American freighters, in order to cripple the British economy and secure a quick and decisive victory. Their goal: to bring an end to the war before the United States could intervene and tip the balance in this grueling war of attrition. In February 1917, a German U-boat sank the American merchant ship, the Laconia, killing two passengers, and, in late March, quickly sunk four more American ships. These attacks increased pressure on Wilson from all sides, as government officials, the general public, and both Democrats and Republicans urged him to declare war.

The final element that led to American involvement in World War I was the so-called **Zimmermann telegram**. British intelligence intercepted and decoded a top-secret telegram from German foreign minister Arthur Zimmermann to the German ambassador to Mexico, instructing the latter to invite Mexico to join the war effort on the German side, should the United States declare war on Germany. It further went on to encourage Mexico to invade the United States if such a declaration came to pass, as Mexico's invasion would create a diversion and permit Germany a clear path to victory. In exchange, Zimmermann offered to return to Mexico land that was previously lost to the United States in the Mexican-American War, including Arizona, New Mexico, and Texas (Image 1.5).



Figure 11.1.2.1: "The Temptation," which appeared in the Dallas Morning News on March 2, 1917, shows Germany as the Devil, tempting Mexico to join their war effort against the United States in exchange for the return of land formerly belonging to Mexico. The prospect of such a move made it all but impossible for Wilson to avoid war. (credit: Library of Congress)

The likelihood that Mexico, weakened and torn by its own revolution and civil war, could wage war against the United States and recover territory lost in the Mexican-American war with Germany's help was remote at best. But combined with Germany's unrestricted use of submarine warfare and the sinking of American ships, the Zimmermann telegram made a powerful argument for a declaration of war. The outbreak of the Russian Revolution in February and abdication of Tsar Nicholas II in March raised the prospect of democracy in the Eurasian empire and removed an important moral objection to entering the war on the side of the Allies. On April 2, 1917, Wilson asked Congress to declare war on Germany. Congress debated for four days, and several senators and congressmen expressed their concerns that the war was being fought over U.S. economic interests more than strategic need or democratic ideals. When Congress voted on April 6, fifty-six voted against the resolution, including the first woman ever elected to Congress, Representative Jeannette Rankin. This was the largest "no" vote against a war resolution in American history.

DEFINING AMERICAN

Wilson's Peace without Victory Speech

Wilson's last-ditch effort to avoid bringing the United States into World War I is captured in a speech he gave before the U.S. Senate on January 22, 1917. This speech, known as the "Peace without Victory" speech, extolled the country to be patient, as the countries involved in the war were nearing a peace. Wilson stated:

> It must be a peace without victory. It is not pleasant to say this. I beg that I may be permitted to put my own interpretation upon it and that it may be understood that no other interpretation was in my thought. I am seeking only to face realities and to face them without soft concealments. Victory would mean peace forced upon the loser, a victor's terms imposed upon the vanquished. It would be accepted in humiliation, under duress, at an intolerable sacrifice, and would leave a sting, a resentment, a bitter memory upon which terms of peace would rest, not permanently, but only as upon quicksand. Only a peace between equals can last, only a peace the very principle of which is equality and a common participation in a common benefit.

Not surprisingly, this speech was not well received by either side fighting the war. England resisted being put on the same moral ground as Germany, and France, whose country had been battered by years of warfare, had no desire to end the war without victory and its spoils. Still, the speech as a whole illustrates Wilson's idealistic, if failed, attempt to create a more benign and high-minded foreign policy role for the United States. Unfortunately, the Zimmermann telegram and the sinking of the American merchant ships proved too provocative for Wilson to remain neutral. Little more than two months after this speech, he asked Congress to declare war on Germany.

The lives of all Americans, whether they went abroad to fight or stayed on the home front, changed dramatically during the war. Restrictive laws censored dissent at home, and the armed forces demanded unconditional loyalty from millions of volunteers and conscripted soldiers. For organized labor, women, and African Americans in particular, the war brought changes to the prewar status quo. Some White women worked outside of the home for the first time, whereas others, like African American men, found

that they were eligible for jobs that had previously been reserved for White men. African American women, too, were able to seek employment beyond the domestic servant jobs that had been their primary opportunity. These new options and freedoms were not easily erased after the war ended.

NEW OPPORTUNITIES BORN FROM WAR

After decades of limited involvement in the challenges between management and organized labor, the need for peaceful and productive industrial relations prompted the federal government during wartime to invite organized labor to the negotiating table. Samuel Gompers, head of the American Federation of Labor (AFL), sought to capitalize on these circumstances to better organize workers and secure for them better wages and working conditions. His efforts also solidified his own base of power. The increase in production that the war required exposed severe labor shortages in many states, a condition that was further exacerbated by the draft, which pulled millions of young men from the active labor force.

Wilson only briefly investigated the longstanding animosity between labor and management before ordering the creation of the National Labor War Board in April 1918. Quick negotiations with Gompers and the AFL resulted in a promise: Organized labor would make a “no-strike pledge” for the duration of the war, in exchange for the U.S. government’s protection of workers’ rights to organize and bargain collectively. The federal government kept its promise and promoted the adoption of an eight-hour workday (which had first been adopted by government employees in 1868), a living wage for all workers, and union membership. As a result, union membership skyrocketed during the war, from 2.6 million members in 1916 to 4.1 million in 1919. In short, American workers received better working conditions and wages, as a result of the country’s participation in the war. However, their economic gains were limited. While prosperity overall went up during the war, it was enjoyed more by business owners and corporations than by the workers themselves. Even though wages increased, inflation offset most of the gains. Prices in the United States increased an average of 15–20 percent annually between 1917 and 1920. Individual purchasing power actually declined during the war due to the substantially higher cost of living. Business profits, in contrast, increased by nearly a third during the war.

WOMEN IN WARTIME

For women, the economic situation was complicated by the war, with the departure of wage-earning men and the higher cost of living pushing many toward less comfortable lives. At the same time, however, wartime presented new opportunities for women in the workplace. More than one million women entered the workforce for the first time as a result of the war, while more than eight million working women found higher paying jobs, often in industry. Many women also found employment in what were typically considered male occupations, such as on the railroads (Image 1.6), where the number of women tripled, and on assembly lines. After the war ended and men returned home and searched for work, women were fired from their jobs, and expected to return home and care for their families. Furthermore, even when they were doing men’s jobs, women were typically paid lower wages than male workers, and unions were ambivalent at best—and hostile at worst—to women workers. Even under these circumstances, wartime employment familiarized women with an alternative to a life in domesticity and dependency, making a life of employment, even a career, plausible for women. When, a generation later, World War II arrived, this trend would increase dramatically.



(a)



(b)

Figure 11.1.2.1: The war brought new opportunities to women, such as the training offered to those who joined the Land Army (a) or the opening up of traditionally male occupations. In 1918, Eva Abbott (b) was one of many new women workers on the Erie Railroad. However, once the war ended and veterans returned home, these opportunities largely disappeared. (credit b: modification of work by U.S. Department of Labor)

One notable group of women who exploited these new opportunities was the Women's Land Army of America. First during World War I, then again in World War II, these women stepped up to run farms and other agricultural enterprises, as men left for the armed forces (Image 1.6). Known as Farmerettes, some twenty thousand women—mostly college educated and from larger urban areas—served in this capacity. Their reasons for joining were manifold. For some, it was a way to serve their country during a time of war. Others hoped to capitalize on the efforts to further the fight for women's suffrage.

Also of special note were the approximately thirty thousand American women who served in the military, as well as a variety of humanitarian organizations, such as the Red Cross and YMCA, during the war. In addition to serving as military nurses (without rank), American women also served as telephone operators in France. Of this latter group, 230 of them, known as "Hello Girls," were bilingual and stationed in combat areas. Over eighteen thousand American women served as Red Cross nurses, providing much of the medical support available to American troops in France. Close to three hundred nurses died during service. Many of those who returned home continued to work in hospitals and home healthcare, helping wounded veterans heal both emotionally and physically from the scars of war.

AFRICAN AMERICANS AND THE CRUSADE FOR DEMOCRACY

African Americans also found that the war brought upheaval and opportunity. Blacks composed 13 percent of the enlisted military, with 350,000 men serving. Colonel Charles Young of the Tenth Cavalry division served as the highest-ranking African American officer. Blacks served in segregated units and suffered from widespread racism in the military hierarchy, often serving in menial or support roles. Some troops saw combat, however, and were commended for serving with valor. The 369th Infantry, for example, known as the **Harlem Hellfighters**, served on the frontline of France for six months, longer than any other American unit. One hundred seventy-one men from that regiment received the Legion of Merit for meritorious service in combat. The regiment marched in a homecoming parade in New York City, was remembered in paintings (Image 1.7), and was celebrated for bravery and leadership. The accolades given to them, however, in no way extended to the bulk of African Americans fighting in the war.



Figure 11.1.2.1: African American soldiers suffered under segregation and second-class treatment in the military. Still, the 369th Infantry earned recognition and reward for its valor in service both in France and the United States.

On the home front, African Americans, like American women, saw economic opportunities increase during the war. During the so-called Great Migration (discussed in a previous chapter), nearly 350,000 African Americans had fled the post-Civil War South for opportunities in northern urban areas. From 1910–1920, they moved north and found work in the steel, mining, shipbuilding, and automotive industries, among others. African American women also sought better employment opportunities beyond their traditional roles as domestic servants. By 1920, over 100,000 women had found work in diverse manufacturing industries, up from 70,000 in 1910.

Despite these opportunities, racism continued to be a major force in both the North and South. Worried that Black veterans would feel empowered to change the status quo of White supremacy, many White people took political, economic, and violent action against them. In a speech on the Senate floor in 1917, Mississippi Senator James K. Vardaman said, “Impress the negro with the fact that he is defending the flag, inflate his untutored soul with military airs, teach him that it is his duty to keep the emblem of the Nation flying triumphantly in the air—it is but a short step to the conclusion that his political rights must be respected.” Several municipalities passed residential codes designed to prohibit African Americans from settling in certain neighborhoods. Race riots also increased in frequency: In 1917 alone, there were race riots in twenty-five cities, including East Saint Louis, where thirty-nine Blacks were killed. In the South, White business and plantation owners feared that their cheap workforce was fleeing the region, and used violence to intimidate Blacks into staying. According to NAACP statistics, recorded incidences of lynching increased from thirty-eight in 1917 to eighty-three in 1919. Dozens of Black veterans were among the victims. The frequency of these killings did not start to decrease until 1923, when the number of annual lynchings dropped below thirty-five for the first time since the Civil War.

THE LAST VESTIGES OF PROGRESSIVISM

Across the United States, the war intersected with the last lingering efforts of the Progressives who sought to use the war as motivation for their final push for change. It was in large part due to the war’s influence that Progressives were able to lobby for the passage of the Eighteenth and Nineteenth Amendments to the U.S. Constitution. The Eighteenth Amendment, prohibiting alcohol, and the Nineteenth Amendment, giving women the right to vote, received their final impetus due to the war effort.

Prohibition, as the anti-alcohol movement became known, had been a goal of many Progressives for decades. Organizations such as the Women’s Christian Temperance Union and the Anti-Saloon League linked alcohol consumption with any number of societal problems, and they had worked tirelessly with municipalities and counties to limit or prohibit alcohol on a local scale. But with the war, prohibitionists saw an opportunity for federal action. One factor that helped their cause was the strong anti-German sentiment that gripped the country, which turned sympathy away from the largely German-descended immigrants who ran the breweries. Furthermore, the public cry to ration food and grain—the latter being a key ingredient in both beer and hard alcohol—made prohibition even more patriotic. Congress ratified the Eighteenth Amendment in January 1919, with provisions to take effect one year later. Specifically, the amendment prohibited the manufacture, sale, and transportation of intoxicating liquors. It did not prohibit the drinking of alcohol, as there was a widespread feeling that such language would be viewed as too intrusive on personal rights. However, by eliminating the manufacture, sale, and transport of such beverages, drinking was effectively outlawed. Shortly thereafter, Congress passed the Volstead Act, translating the Eighteenth Amendment into an enforceable ban on the consumption of alcoholic beverages, and regulating the scientific and industrial uses of alcohol. The act also specifically excluded from prohibition the use of alcohol for religious rituals (Image 1.8).



Figure 11.1.2.1: Surrounded by prominent “dry workers,” Governor James P. Goodrich of Indiana signs a statewide bill to prohibit alcohol.

Unfortunately for proponents of the amendment, the ban on alcohol did not take effect until one full year following the end of the war. Almost immediately following the war, the general public began to oppose—and clearly violate—the law, making it very difficult to enforce. Doctors and druggists, who could prescribe whisky for medicinal purposes, found themselves inundated with requests. In the 1920s, organized crime and gangsters like Al Capone would capitalize on the persistent demand for liquor, making fortunes in the illegal trade. A lack of enforcement, compounded by an overwhelming desire by the public to obtain alcohol at all costs, eventually resulted in the repeal of the law in 1933.

The First World War also provided the impetus for another longstanding goal of some reformers: universal suffrage. Supporters of equal rights for women pointed to Wilson’s rallying cry of a war “to make the world safe for democracy,” as hypocritical, saying he was sending American boys to die for such principles while simultaneously denying American women their democratic right to vote (Image 1.8). Carrie Chapman Catt, president of the National American Women Suffrage Movement, capitalized on the growing patriotic fervor to point out that every woman who gained the vote could exercise that right in a show of loyalty to the nation, thus offsetting the dangers of draft-dodgers or naturalized Germans who already had the right to vote.

Alice Paul, of the National Women’s Party, organized more radical tactics, bringing national attention to the issue of women’s suffrage by organizing protests outside the White House and, later, hunger strikes among arrested protesters.

African American suffragists, who had been active in the movement for decades, faced discrimination from their White counterparts. Some White leaders justified this treatment based on the concern that promoting Black women would erode public support. But overt racism played a significant role, as well. During the suffrage parade in 1913, Black members were told to march at the rear of the line. Ida B. Wells-Barnett, a prominent voice for equality, first asked her local delegation to oppose this segregation; they refused. Not to be dismissed, Wells-Barnett waited in the crowd until the Illinois delegation passed by, then stepped onto the parade route and took her place among them. By the end of the war, the abusive treatment of suffragist hunger-strikers in prison, women’s important contribution to the war effort, and the arguments of his suffragist daughter Jessie Woodrow Wilson Sayre moved President Wilson to understand women’s right to vote as an ethical mandate for a true democracy. He began urging congressmen and senators to adopt the legislation. The amendment finally passed in June 1919, and the states ratified it by August 1920. Specifically, the Nineteenth Amendment prohibited all efforts to deny the right to vote on the basis of sex. It took effect in time for American women to vote in the presidential election of 1920.



Figure 11.1.2.1: Suffragists picketed the White House in 1917, leveraging the war and America's stance on democracy to urge Woodrow Wilson to support an amendment giving women the right to vote.

The American role in World War I was brief but decisive. While millions of soldiers went overseas, and many thousands paid with their lives, the country's involvement was limited to the very end of the war. In fact, the peace process, with the international conference and subsequent ratification process, took longer than the time U.S. soldiers were "in country" in France. For the Allies, American reinforcements came at a decisive moment in their defense of the western front, where a final offensive had exhausted German forces. For the United States, and for Wilson's vision of a peaceful future, the fighting was faster and more successful than what was to follow.

WINNING THE WAR

When the United States declared war on Germany in April 1917, the Allied forces were close to exhaustion. Great Britain and France had already indebted themselves heavily in the procurement of vital American military supplies. Now, facing near-certain defeat, a British delegation to Washington, DC, requested immediate troop reinforcements to boost Allied spirits and help crush German fighting morale, which was already weakened by short supplies on the frontlines and hunger on the home front. Wilson agreed and immediately sent 200,000 American troops in June 1917. These soldiers were placed in "quiet zones" while they trained and prepared for combat.

By March 1918, the Germans had won the war on the eastern front. The Russian Revolution of the previous year had not only toppled the hated regime of Tsar Nicholas II but also ushered in a civil war from which the Bolshevik faction of Communist revolutionaries under the leadership of Vladimir Lenin emerged victorious. Weakened by war and internal strife, and eager to build a new Soviet Union, Russian delegates agreed to a generous peace treaty with Germany. Thus emboldened, Germany quickly moved upon the Allied lines, causing both the French and British to ask Wilson to forestall extensive training to U.S. troops and instead commit them to the front immediately. Although wary of the move, Wilson complied, ordering the commander of the American Expeditionary Force, General John "Blackjack" Pershing, to offer U.S. troops as replacements for the Allied units in need of relief. By May 1918, Americans were fully engaged in the war (Image 1.10).



Image 1.10 U.S. soldiers run past fallen Germans on their way to a bunker. In World War I, for the first time, photographs of the battles brought the war vividly to life for those at home.

In a series of battles along the front that took place from May 28 through August 6, 1918, including the battles of Cantigny, Chateau Thierry, Belleau Wood, and the Second Battle of the Marne, American forces alongside the British and French armies succeeded in repelling the German offensive. The Battle of Cantigny, on May 28, was the first American offensive in the war: In less than two hours that morning, American troops overran the German headquarters in the village, thus convincing the French commanders of their ability to fight against the German line advancing towards Paris. The subsequent battles of Chateau Thierry and Belleau Wood proved to be the bloodiest of the war for American troops. At the latter, faced with a German onslaught of mustard gas, artillery fire, and mortar fire, U.S. Marines attacked German units in the woods on six occasions—at times meeting them in hand-to-hand and bayonet combat—before finally repelling the advance. The U.S. forces suffered 10,000 casualties in the three-week battle, with almost 2,000 killed in total and 1,087 on a single day. Brutal as they were, they amounted to small losses compared to the casualties suffered by France and Great Britain. Still, these summer battles turned the tide of the war, with the Germans in full retreat by the end of July 1918 (Image 1.11).



Figure 11.1.2.1: This map shows the western front at the end of the war, as the Allied Forces decisively break the German line.

MY STORY

Sgt. Charles Leon Boucher: Life and Death in the Trenches of France

Wounded in his shoulder by enemy forces, George, a machine gunner posted on the right end of the American platoon, was taken prisoner at the Battle of Seicheprey in 1918. However, as darkness set in that evening, another American soldier, Charlie, heard a noise from a gully beside the trench in which he had hunkered down. “I figured it must be the enemy mop-up patrol,” Charlie later said.

> I only had a couple of bullets left in the chamber of my forty-five. The noise stopped and a head popped into sight. When I was about to fire, I gave another look and a white and distorted face proved to be that of George, so I grabbed his shoulders and pulled him down into our trench beside me. He must have had about twenty bullet holes in him but not one of them was well placed enough to kill him. He made an effort to speak so I told him to keep quiet and conserve his energy. I had a few malted milk tablets left and, I forced them into his mouth. I also poured the last of the water I had left in my canteen into his mouth.

Following a harrowing night, they began to crawl along the road back to their platoon. As they crawled, George explained how he survived being captured. Charlie later told how George “was taken to an enemy First Aid Station where his wounds were dressed. Then the doctor motioned to have him taken to the rear of their lines. But, the Sergeant Major pushed him towards our side and ‘No Mans Land,’ pulled out his Luger Automatic and shot him down. Then, he began to crawl towards our lines little by little, being shot at consistently by the enemy snipers till, finally, he arrived in our position.”

The story of Charlie and George, related later in life by Sgt. Charles Leon Boucher to his grandson, was one replayed many times over in various forms during the American Expeditionary Force’s involvement in World War I. The industrial scale of death and destruction was as new to American soldiers as to their European counterparts, and the survivors brought home physical and psychological scars that influenced the United States long after the war was won (Image 1.12).



Figure 11.1.2.1: This photograph of U.S. soldiers in a trench hardly begins to capture the brutal conditions of trench warfare, where disease, rats, mud, and hunger plagued the men.

By the end of September 1918, over one million U.S. soldiers staged a full offensive into the Argonne Forest. By November—after nearly forty days of intense fighting—the German lines were broken, and their military command reported to German Emperor Kaiser Wilhelm II of the desperate need to end the war and enter into peace negotiations. Facing civil unrest from the German people in Berlin, as well as the loss of support from his military high command, Kaiser Wilhelm abdicated his throne on November 9, 1918, and immediately fled by train to the Netherlands. Two days later, on November 11, 1918, Germany and the Allies declared an immediate armistice, thus bring the fighting to a stop and signaling the beginning of the peace process.

When the armistice was declared, a total of 117,000 American soldiers had been killed and 206,000 wounded. The Allies as a whole suffered over 5.7 million military deaths, primarily Russian, British, and French men. The Central powers suffered four million military deaths, with half of them German soldiers. The total cost of the war to the United States alone was in excess of $32 billion, with interest expenses and veterans’ benefits eventually bringing the cost to well over $100 billion. Economically, emotionally, and geopolitically, the war had taken an enormous toll.

THE RUSSIAN REVOLUTION

The Russian revolutions of 1905 and 1917 reshaped the country's political institutions and led to a century of conflict with the West. During the 1905 revolution, Russian liberals challenged the absolute authority of the Russian tsar, when a coalition of workers and middle-class Russians used economic and political means to demand democratic concessions. While their gains were temporary, they inspired the future Bolshevik revolutionaries.

In February 1917, during the height of World War I, a coalition of Russian liberals and socialists challenged Russia's autocratic government and organized a series of general strikes and political protests which forced Tsar Nicholas to abdicate. The leaders created a weak provisional national government, while socialist officials organized local soviets (political councils) of Russian's industrial workers. These factions soon came into conflict.

By October 1917, the Bolshevik Party, a communist organization led by Vladimir Lenin, staged a revolution against the provisional government and seized control of the state. The Bolsheviks used military force to consolidate power and establish control over the local soviets. Throughout the 1920s, Lenin and his successor Joseph Stalin used violence and political control to impose communism on Russia's political, economic, and social institutions. Communist leaders also tried to export the revolution by supporting communist political organizations in Europe and the United States.

Artistic innovation had smoldered before the revolution. Artists such as Lyubov Popova, Natalia Goncharova, Mikhail Larionov, Alexander Rodchenko and David Burliuk had produced striking avant-garde works earlier than 1917, as had Wassily Kandinsky, Kazimir Malevich and Marc Chagall. Distracted by having to fight a world war and by domestic unrest, the Tsarist regime had let art slip the leash. The conflict had reduced Russia’s contacts with the West and native talent had taken new directions. Several significant works by Malevich in the exhibition, including *Red Square*(below) – a red parallelogram, stark and challenging on a white ground – and *Dynamic Suprematism Supremus* (below), with its vortex of geometric shapes, date from the years before the revolution.

But it was 1917, with its promise of brave new worlds and liberation from the past, that set all the arts aflame. The poets Alexander Blok, Andrei Bely and Sergei Yesenin produced their most important work. Authors such as Mikhail Zoshchenko and Mikhail Bulgakov pushed at the bounds of satire and fantasy. The Futurist poets, chief among them Vladimir Mayakovsky, embraced the revolution while proclaiming the renewal of art. The *Poputchiki* or Fellow Travellers – writers nominally sympathetic to Bolshevism but nervous about commitment – clashed with the self-described Proletarian writers who brashly claimed the right to speak for the Party. Musical experimentalism broke through the barriers of harmony, overflowed into jazz and created orchestras without conductors. The watchwords were novelty and invention, with pre-revolutionary forms raucously jettisoned from the steamship of modernity.

REVOLUTIONARY RUSSIA: MARXIST THEORY AND AGRARIAN REALITIES

The Russian revolutions of 1905 and 1917 reshaped the country's political institutions and led to a century of conflict with the West. During the 1905 revolution, Russian liberals challenged the absolute authority of the Russian tsar, when a coalition of workers and middle-class Russians used economic and political means to demand democratic concessions. While their gains were temporary, they inspired the future Bolshevik revolutionaries.

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11.1.3: The Freudian Revolution

FREUD'S THEORY

Psychodynamic theory (sometimes called *psychoanalytic theory*) explains personality in terms of unconscious psychological processes (for example, wishes and fears of which we're not fully aware), and contends that childhood experiences are crucial in shaping adult personality. Psychodynamic theory is most closely associated with the work of Sigmund Freud, and with psychoanalysis, a type of psychotherapy that attempts to explore the patient's unconscious thoughts and emotions so that the person is better able to understand him- or herself.

Freud's work has been extremely influential, its impact extending far beyond psychology (several years ago *Time* magazine selected Freud as one of the most important thinkers of the 20th century). Freud's work has been not only influential, but quite controversial as well. As you might imagine, when Freud suggested in 1900 that much of our behavior is determined by psychological forces of which we're largely unaware—that we literally don't know what's going on in our own minds—people were (to put it mildly) displeased (Freud, 1900/1953a). When he suggested in 1905 that we humans have strong sexual feelings from a very early age, and that some of these sexual feelings are directed toward our parents, people were more than displeased—they were outraged (Freud, 1905/1953b). Few theories in psychology have evoked such strong reactions from other professionals and members of the public.

Controversy notwithstanding, no competent psychologist, or student of psychology, can ignore psychodynamic theory. It is simply too important for psychological science and practice, and continues to play an important role in a wide variety of disciplines within and outside psychology (for example, developmental psychology, social psychology, sociology, and neuroscience; see Bornstein, 2005, 2006; Solms & Turnbull, 2011). This module reviews the psychodynamic perspective on personality. We begin with a brief discussion of the core assumptions of psychodynamic theory, followed by an overview of the evolution of the theory from Freud's time to today. We then discuss the place of psychodynamic theory within contemporary psychology, and look toward the future as well.

Sigmund Freud (1856–1939) is probably the most controversial and misunderstood psychological theorist. When reading Freud's theories, it is important to remember that he was a medical doctor, not a psychologist. There was no such thing as a degree in psychology at the time that he received his education, which can help us understand some of the controversy over his theories today. However, Freud was the first to systematically study and theorize the workings of the unconscious mind in the manner that we associate with modern psychology.

In the early years of his career, Freud worked with Josef Breuer, a Viennese physician. During this time, Freud became intrigued by the story of one of Breuer's patients, Bertha Pappenheim, who was referred to by the pseudonym Anna O. (Launer, 2005). Anna O. had been caring for her dying father when she began to experience symptoms such as partial paralysis, headaches, blurred vision, amnesia, and hallucinations (Launer, 2005). In Freud's day, these symptoms were commonly referred to as hysteria. Anna O. turned to Breuer for help. He spent 2 years (1880–1882) treating Anna O. and discovered that allowing her to talk about her experiences seemed to bring some relief of her symptoms. Anna O. called his treatment the "talking cure" (Launer, 2005). Despite the fact the Freud never met Anna O., her story served as the basis for the 1895 book, Studies on Hysteria, which he co-authored with Breuer. Based on Breuer's description of Anna O.'s treatment, Freud concluded that hysteria was the result of sexual abuse in childhood and that these traumatic experiences had been hidden from consciousness. Breuer disagreed with Freud, which soon ended their work together. However, Freud continued to work to refine talk therapy and build his theory on personality.

LEVELS OF CONSCIOUSNESS

To explain the concept of conscious versus unconscious experience, Freud compared the mind to an iceberg (Image 1.13). He said that only about one-tenth of our mind is conscious, and the rest of our mind is unconscious. Our unconscious refers to that mental activity of which we are unaware and are unable to access (Freud, 1923). According to Freud, unacceptable urges and desires are kept in our unconscious through a process called repression. For example, we sometimes say things that we don't intend to say by unintentionally substituting another word for the one we meant. You've probably heard of a Freudian slip, the term used to describe this. Freud suggested that slips of the tongue are actually sexual or aggressive urges, accidentally slipping out of our unconscious. Speech errors such as this are quite common. Seeing them as a reflection of unconscious desires, linguists today have found that slips of the tongue tend to occur when we are tired, nervous, or not at our optimal level of cognitive functioning.

Freud believed that we are only aware of a small amount of our mind's activities and that most of it remains hidden from us in our unconscious. The information in our unconscious affects our behavior, although we are unaware of it.

According to Freud, our personality develops from a conflict between two forces: our biological aggressive and pleasure-seeking drives versus our internal (socialized) control over these drives. Our personality is the result of our efforts to balance these two competing forces. Freud suggested that we can understand this by imagining three interacting systems within our minds. He called them the id, ego, and superego (Image 1.13).

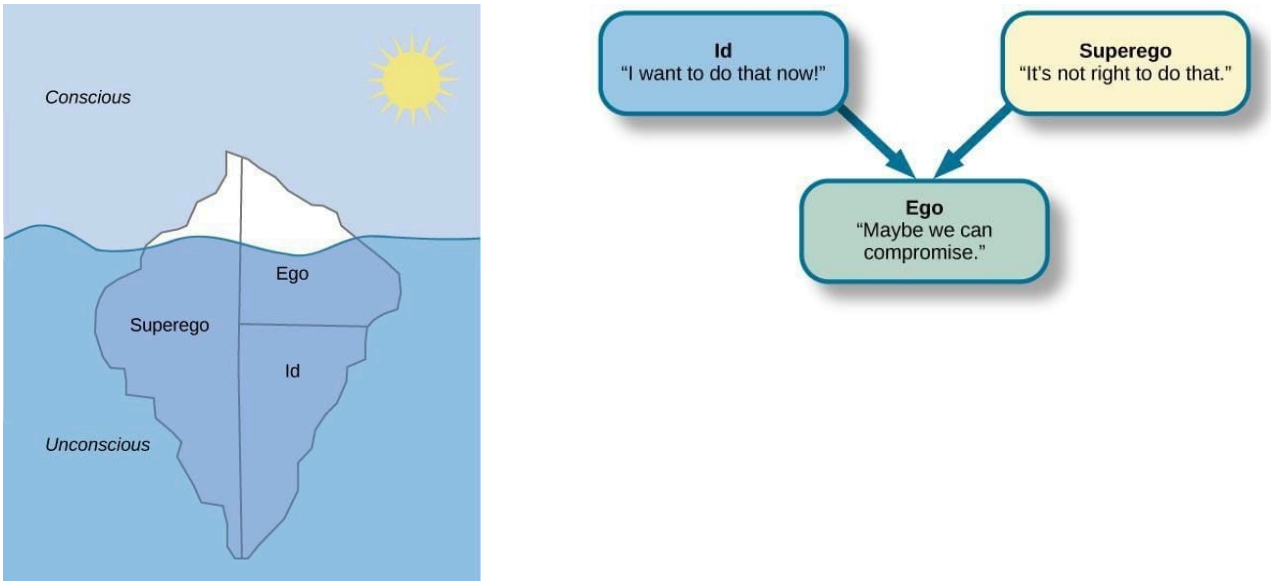


Figure 11.1.3.1: Relationship between parts of the mind

FREUD AND PSYCHOANALYTIC THEORY

Perhaps one of the most influential and well-known figures in psychology's history was Sigmund Freud. Freud (1856–1939) was an Austrian neurologist who was fascinated by patients suffering from "hysteria" and neurosis. Hysteria was an ancient diagnosis for disorders, primarily of women with a wide variety of symptoms, including physical symptoms and emotional disturbances, none of which had an apparent physical cause. Freud theorized that many of his patients' problems arose from the unconscious mind. In Freud's view, the unconscious mind was a repository of feelings and urges of which we have no awareness. Gaining access to the unconscious, then, was crucial to the successful resolution of the patient's problems. According to Freud, the unconscious mind could be accessed through dream analysis, by examinations of the first words that came to people's minds, and through seemingly innocent slips of the tongue. Psychoanalytic theory focuses on the role of a person's unconscious, as well as early childhood experiences, and this particular perspective dominated clinical psychology for several decades (Thorne & Henley, 2005).

CARL JUNG'S PERSONALITY THEORY

Carl Jung brought an almost mystical approach to psychodynamic theory. An early associate and follower of Freud, Jung eventually disagreed with Freud on too many aspects of personality theory to remain within a strictly Freudian perspective. Subsequently, Jung developed his own theory, which applied concepts from natural laws (primarily in physics) to psychological functioning. Jung also introduced the concept of personality types, and began to address personality development throughout the lifespan. In his most unique contribution, at least from a Western perspective, Jung proposed that the human psyche contains within itself psychological constructs developed throughout the evolution of the human species.

Jung has always been controversial and confusing. His blending of psychology and religion, as well as his openness to different religious and spiritual philosophies, was not easy to accept for many psychiatrists and psychologists trying to pursue a purely scientific explanation of personality and mental illness. Perhaps no one was more upset than Freud, whose attitude toward Jung changed dramatically over just a few years. In 1907, Freud wrote a letter to Jung in which Freud offered high praise:

...I have already acknowledged...above all that your person has filled me with trust in the future, that I now know that I am

dispensable like everyone else, and that I wish for no one other or better than you to continue and complete my work. (pg. 136; cited in Wehr, 1989)

In 1910, hoping that others would also support Jung, Freud wrote to Oskar Pfister:

> I hope you will loyally support Jung, I want him to acquire the authority that will entitle him to leadership of the whole movement. (pg. 136; cited in Wehr, 1989)

However, in a dramatic shift just three years later, Freud wrote to Jung:

> I suggest to you that we completely give up our private relationship. By this I lose nothing, since for a long time I have been bound to you emotionally only by the thin thread of previously experienced disappointments. ... Spare me the supposed "duties of friendship." (pg. 136; cited in Wehr, 1989)

Later, in 1922, Freud thanked Oskar Pfister for his help in trying to eliminate Jung's influence on the psychoanalytic community:

> With your ever more thorough and ever more clearly demonstrated dismissal of Jung and Adler, you have for a long time given me great satisfaction. (pg. 136; cited in Wehr, 1989)

Who was this man who inspired such profound confidence from Sigmund Freud, only to later inspire such contempt? And were his theories that difficult for the psychodynamic community, or psychology in general, to accept? Hopefully, this chapter will begin to answer those questions. As evidence of his character, and in contrast to Freud, Jung did not turn his back on his former mentor. Following Freud's death in 1939, and later in 1957, Jung wrote the following:

> [Freud's work was]...surely the boldest attempt ever made on the apparently solid ground of empiricism to master the riddle of the unconscious psyche. For us young psychiatrists, it was a source of enlightenment... (pg. 29; cited in Wehr, 1989)

> ...Despite the resounding censure I suffered at the hands of Freud, I cannot, even despite my resentment toward him, fail to recognize his importance as a critical analyst of culture and as a pioneer in the field of psychology. (pg. 39; cited in Wehr, 1989)

In order to distinguish his own approach to psychology from others that had come before, Jung felt that he needed a unique name. Freud, of course, had chosen the term "psychoanalysis," whereas Alfred Adler had chosen "individual psychology." Since Jung admired both men and their theories, he chose a name intended to encompass not only their approaches, but others as well. Thus, he chose to call his approach **analytical psychology** (Jung, 1933).

Analytical psychology, as presented by Jung, addresses the question of the psyche in an open-minded way. He laments the overly scientific approach of the late 1800s and efforts to explain away the psyche as a mere epiphenomenon of brain function. Curiously, that debate remains with us today, and is still unanswered in any definitive way. Jung did not accept the suggestion that the psyche must come from the activity of the brain. This allowed him to consider the possibility of a collective unconscious, and fit well with his acceptance of the wisdom of Eastern philosophers. Indeed, Jung suggests that psychology will find truth only when it accepts both Eastern and Western, as well as both scientific and spiritual, perspectives on the psyche (Jung, 1933).

At the beginning of his autobiography, entitled *Memories, Dreams, Reflections*, Jung (1961) described his life as "a story of the self-realization of the unconscious." Jung believed that our personality begins with a collective unconscious, developed within our species throughout time, and that we have only limited ability to control the psychic process that is our own personality. Thus, our true personality arises from within as our collective unconscious comes forth into our personal unconscious and then our consciousness. It can be helpful to view these concepts from an Eastern perspective, and it is interesting to note that "self-realization" was used in the name of the first Yoga society established in America (in 1920 by Paramahansa Yogananda).

Carl Gustav Jung was born on July 26th, 1875, in the small town of Kesswil, Switzerland, into an interesting and notable family. His grandfather of the same name had been a physician, and had established the psychiatric clinic at the University of Basel and the "Home of Good Hope" for mentally retarded children. At an early age he had been imprisoned for over a year, for the crime of having participated in a demonstration supporting democracy in Germany. Rumored to be an illegitimate son of the great Johann Wolfgang von Goethe, though there is no convincing evidence, the elder Carl Jung died before his namesake grandson ever knew him. Nonetheless, Jung was greatly influenced by stories he heard about his grandfather. His maternal grandfather, Samuel Preiswerk, was the dean of the Basel (Switzerland) clergy and pastor of a major church. He was one the first people in Europe to suggest a restoration of Palestine to the Jews, thus establishing himself as a forerunner to the Zionists. Samuel Preiswerk also believed that he was regularly surrounded by spirits (or ghosts), something that likely had quite an influence on Jung's theories

(Jaffe, 1979; Wehr, 1989).

Jungian archetypes and their descriptions

Common Archetypes in Jung's Theory of the Collective Unconscious	
Self	Integration and wholeness of the personality, the center of the totality of the psyche; symbolically represented by, e.g., the mandala, Christ, or by helpful animals (such as Rin Tin Tin and Lassie or the Hindu monkey god Hanuman)
Shadow	The dark, inferior, emotional, and immoral aspects of the psyche; symbolically represented by, e.g., the Devil (or an evil character such as Dracula), dragons, monsters (such as Godzilla)
Anima	Strange, wraithlike image of an idealized women, yet contrary to the masculinity of the man, draws the man into feminine (as defined by gender roles) behavior, always a supernatural element; symbolically represented by, e.g., personifications of witches, the Greek Sirens, a *femme fatale*, or in more positive ways as the Virgin Mary, a romanticized beauty (such as Helen of Troy) or a cherished car
Animus	A source of meaning and power for women, it can be opinionated, divisive, and create animosity toward men, but also creates a capacity for reflection, deliberation, and self-knowledge; symbolically represented by, e.g., death, murderers (such as the pirate Bluebeard, who killed all his wives), a band of outlaws, a bewitched prince (such as the beast in "Beauty and the Beast") or a romantic actor (such as Rudolph Valentino)
Persona	A protective cover, or mask, that we present to the world to make a specific impression and to conceal our inner self; symbolically represented by, e.g., a coat or mantle
Hero	One who overcomes evil, destruction, and death, often has a miraculous but humble birth; symbolically represented by, e.g., angels, Christ the Redeemer, or a god-man (such as Hercules)
Wise Old Man	Typically a personification of the self, associated with saints, sages, and prophets; symbolically represented as, e.g., the magician Merlin or an Indian guru

Common Archetypes in Jung's Theory of the Collective Unconscious	
Trickster	A childish character with pronounced physical appetites, seeks only gratification and can be cruel and unfeeling; symbolically represented by, e.g., animals (such as Brer Rabbit, Wile E. Coyote or, often, monkeys) or a mischievous god (such as the Norse god Loki)

Jungian personality types and their descriptions

Jung's Eight Personality Types	
Introverted Thinking	Focused on own internal thoughts and ideas, do not communicate well, can be highly conflicted and will lash out at critics, generally stubborn and do not get along well with others
Introverted Feeling	Tend to be silent, inaccessible, and melancholy, have deep emotions but hide them and appear cold and reserved on the surface, tend to be suspicious of others, most are women
Introverted Sensing	Guided by subjective impression of real-life objects, often express their sensations through artistic endeavors, the objective world may seem make-believe and comical
Introverted Intuitive	Tend to be peculiar and lack contact with reality, may be completely misunderstood even by those who are close to them, may seem like a mystical dreamer and seer on one hand but just a cranky person on the other, may have vision but lack convincing power of reason
Extraverted Thinking	Seek intellectual conclusions based on objective reality, seek to influence others, suppress emotion, can be rigid and dogmatic (tyrannical when others penetrate their power province)
Extraverted Feeling	Feelings harmonize with objective situations, can be highly emotional, will avoid thinking when it proves upsetting, most are women
Extraverted Sensing	Immersed in realism and seek new experiences, whole aim is concrete enjoyment, most are men
Extraverted Intuitive	Always seek new opportunities, may seize new opportunity with enthusiasm and just as quickly abandon it if not promising, has vision, often found among business tycoons and politicians, but have little regard for welfare of others

REVIEW OF KEY POINTS

As a child, Jung was introduced to a wide variety of cultural and religious perspectives from around the world. As a result of these

experiences, he was open to many different perspectives throughout his career.

Jung had extremely vivid dreams, many of which he interpreted as visions (or unconscious communications) intended to guide his actions.

Jung called his approach “analytical psychology” in order to distinguish it from Freud’s “psychoanalysis” and Adler’s “individual psychology.”

An important starting point for Jung’s theories was the concept of entropy, which proposes an eventual balance of all energy. Jung applied this concept to the psychic energy present in the conscious and unconscious psyches.

Jung proposed two distinct realms within the unconscious psyche, the personal and the collective.

According to Jung, the personal unconscious is revealed through its complexes.

Jung advanced the Word Association Test as a means of examining the complexes contained within the personal unconscious.

The collective unconscious communicates through archetypal images. Jung believed the most readily observed archetypes are the shadow, the anima, and the animus.

Another important archetype is the self, the representation of wholeness and the completed development of the personality. The self is often symbolically represented by mandalas.

Jung developed a framework for recognizing particular personality types. He proposed two attitudes, introversion and extraversion, and four functions, thinking, feeling, sensing, and intuition.

Jung’s type theory provided the basis for some practical personality tests. The Myers-Briggs Type Indicator and the Keirsey Temperament Sorter are both well-known in the field of psychology.

Jung believed that everyone’s ultimate goal is to fully develop the potential of their personality. Jung called this process individuation.

Development during the first half of life involves the natural aims of survival and procreation. The second half of life offers the opportunity to seek cultural development and the fulfillment of one’s self.

Jungian analysis follows a basic series of stages, involving confession, elucidation, education, and transformation. However, Jung suggested it was better to avoid being locked into a rigid procedure. As a result, he utilized many different techniques, based on each individual patient.

As Freud had before him, Jung developed a grand vision of how analytical psychology might help society as a whole. One unique proposition was that the Western world had much to learn from Eastern cultures.

Jung’s interest in topics such as alchemy and extrasensory perception did not sit well with colleagues seeking to establish psychology as a scientific discipline. This opposition to Jung remains quite strong today, though Western psychology is broadening its perspective.

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11.1.4: Modern Art

HOW TO ANALYZE AND INTERPRET ART: FORMAL OR CRITICAL ANALYSIS

While restricting our attention only to a description of the formal elements of an artwork may at first seem limited or even tedious, a careful and methodical examination of the physical components of an artwork is an important first step in “decoding” its meaning. It is useful, therefore, to begin at the beginning. There are four aspects of a formal analysis: description, analysis, interpretation, and evaluation.

Description: What can we notice at first glance about a work of art? Is it two-dimensional or three-dimensional? What is the medium? What kinds of actions were required in its production? How big is the work? What are the elements of design used within it? Starting with line: is it soft or hard, jagged or straight, expressive or mechanical? How is line being used to describe space? Considering shape: are the shapes large or small, hard-edged or soft? What is the relationship between shapes? Do they compete with one another for prominence? What shapes are in front? Which ones fade into the background? Indicating mass and volume: if two-dimensional, what means if any are used to give the illusion that the presented forms have weight and occupy space? If three-dimensional, what space is occupied or filled by the work? What is the mass of the work?

Organizing space: does the artist use perspective? If so, what kind? If the work uses linear perspective, where are the horizon line and vanishing point(s) located? On texture: how is texture being used? Is it actual or implied texture? In terms of color: what kinds of colors are used? Is there a color scheme? Is the image overall light, medium, or dark?

Analysis: Once the elements of the artwork have been identified, next come questions of how these elements are related. How are the elements arranged? In other words, how have principles of design been employed? What elements in the work were used to create unity and provide variety? How have the elements been used to do so? What is the scale of the work? Is it larger or smaller than what it represents (if it does depict someone or something)? Are the elements within the work in proportion to one another? Is the work symmetrically or asymmetrically balanced? What is used within the artwork to create emphasis? Where are the areas of emphasis? How has movement been conveyed in the work, for example, through line or placement of figures? Are there any elements within the work that create rhythm? Are any shapes or colors repeated?

Interpretation: Interpretation comes as much from the individual viewer as it does from the artwork. It derives from the intersection of what an object symbolizes to the artist and what it means to the viewer. It also often records how the meaning of objects has been changed by time and culture. Interpretation, then, is a process of unfolding. A work that may seem to mean one thing on first inspection may come to mean something more when studied further. Just as when re-reading a favorite book or re-watching a favorite movie, we often notice things not seen on the first viewing; interpretations of art objects can also reveal themselves slowly. Claims about meaning can be made but are better when they are backed up with supporting evidence. Interpretations can also change and some interpretations are better than others.

Evaluation: All this work of description, analysis, and interpretation, is done with one goal in mind: to make an evaluation about a work of art. Just as interpretations vary, so do evaluations. Your evaluation includes what you have discovered about the work during your examination as well as what you have learned, about the work, yourself, and others in the process. Your reaction to the artwork is an important component of your evaluation: what do you feel when you look at it? And, do you like the work? How and why do you find it visually pleasing, in some way disturbing, emotionally engaging? Evaluating and judging contemporary works of art is more difficult than works that are hundreds or thousands of years old because the verdict of history has not yet been passed on them. Museums are full of paintings by contemporary artists who were considered the next Michelangelo but who have since faded from the cultural forefront. The best art of a culture and period is that work which exemplifies the thought of the age from which it derives. What we think about our own culture is probably not what will be thought of it a century from now. The art that we believe best embodies our time may or may not last. As time moves on, our evaluations and judgments of our own time may not prove to be the most accurate ones. We live in a world full of art, and it is almost impossible to avoid making evaluations—possibly mistaken—about its value. Nonetheless, informed evaluations are still possible and useful even in the short term.

CUBISM

Developed by Pablo Picasso and George Braque, Cubism is one of the most significant developments in the history of modern

art.



Figure 11.1.4.1: Picasso – "Self portrait 1906", WikiArt [Website], Public Domain



Figure 11.1.4.1: Picasso – “Cubism 1937" by oddsock is licensed under CC BY 2.0

Pablo Picasso’s route to Cubism began with the simplification of forms inspired by African masks and ancient sculpture. The painter George Braque, associated with the Fauves, was deeply interested in the work of Paul Cézanne, the Post-Impressionist who relied on pure areas of blocky color rather than clearly defined linear forms that he then organized within the canvas disregarding perspectival accuracy.



Figure 11.1.4.1: Georges Braque, “Guitar and glass" by f_snarfel is licensed under CC BY-NC 2.0

The collaboration between Picasso and Braque in the development of Cubism is legendary in the history of art. Their intense working relationship lasted months in which the artists visited each other daily to discuss their work. Soon, they stopped signing their individual works and only declared a painting finished when both agreed. Recognizing that what they were doing was the creation of something wholly new and modern, Picasso and Braque referred to each other jokingly as Orville and Wilbur Wright, the American brothers who pioneered the development of flight a few years ahead of the development of Cubism.



Figure 11.1.4.1: *Bermuda No. 2, The Schooner* Cubist and Futurist art by Charles Demuth – 1917. WikiArt. CC0.

NON-REPRESENTATIONAL OR NON-OBJECTIVE ART

Recurrent strains of abstraction appear throughout the history of art, when artists elected to streamline, suppress, or de-emphasize reference to the phenomenal world. In the twentieth century, though, this approach took on different character in some instances, with a stated rejection of the art as related to the natural world and concerned instead with the art itself, to the processes by which it was made, and with the product as referring to these processes and artistic qualities rather than to some outside phenomenon: the observed world. Still, the art is never completely independent of some reference: the viewer might respond to the color, painterly effect, line quality, or some other aspect that is not necessarily associated with recognition of a particular physical object or “thing” but that relates to the qualities of the art in some way, that is, to some recognition of reference—although this recognition may be ephemeral and may be nameless. The response might be quite visceral or intellectual, nonetheless.

The development of this idea was perhaps an inevitable phase of the abstraction and explorations of the formal means that had been conducted by various movements that evolved in nineteenth and twentieth centuries. Stories abound about the era

in art and the push from abstraction to non-representation, with several artists claiming to have led the breakthrough. The first artist to use the term nonobjective art, however, seems to have been Aleksandr Rodchenko (1890-1956, Russia), and its most active early theorist and writer was probably Vasily Kandinsky (1866-1944, Russia, lived Germany and France). The artistic climate fostered widespread experimentation, and the synergistic atmosphere was a seedbed for new ideas and modes of working. Rodchenko sought to affirm the independence of artistic process and the "constructive" approach to creating artworks that were self-referential, and he explored the possibilities in painting, drawing, photography, sculpture and graphic arts.

Kandinsky, also Russian but working in Germany, wrote an important treatise entitled Concerning the Spiritual in Art (1912) that was widely popular and soon translated from the original German into many languages. He explored color theory in relationship to music, logic, human emotion, and the spiritual underpinnings of the abstractions that for centuries had been viewed and absorbed through religious icons and popular folk prints in his native Russia. In the twentieth century Wassily Kandinsky is considered as the inventor of non-figurative art. Over a period of several years his paintings moved gradually away from figurative subjects. In 1910 he created the first completely abstract work of art - a watercolor - without any reference to reality. Wassily Kandinsky not only became the first abstract artist, he also promoted it as a theorist. In 1912 his book On the Spiritual in Art was published.



Figure 11.1.4.1: *On White II* by Vassily Kandinsky – 1923. WikiArt. CC0.

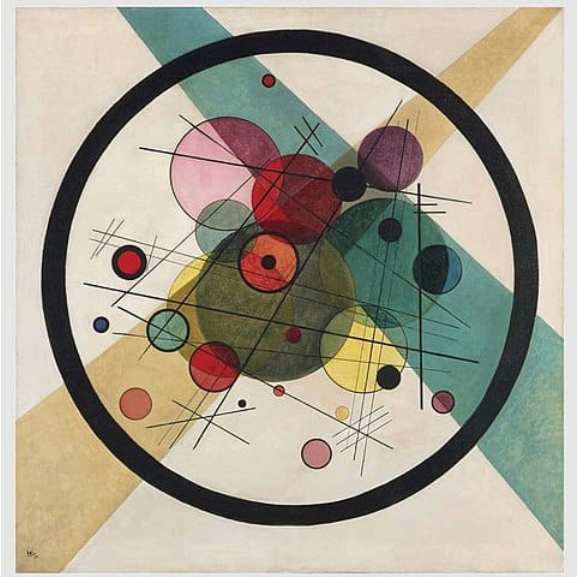


Figure 11.1.4.1: "Circles in a Circle" By Wassily Kandinsky - source: Eternal Eclairs [www.wassilykandinsky.net], Public Domain, Link

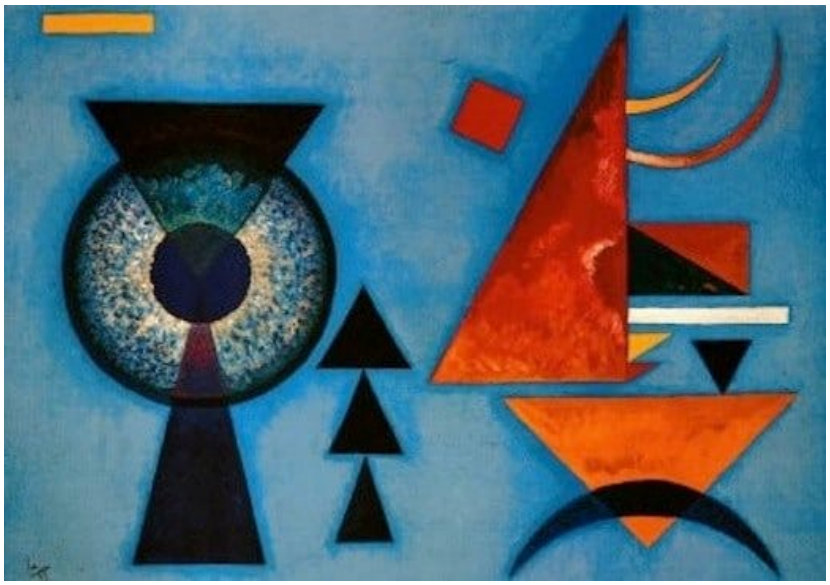
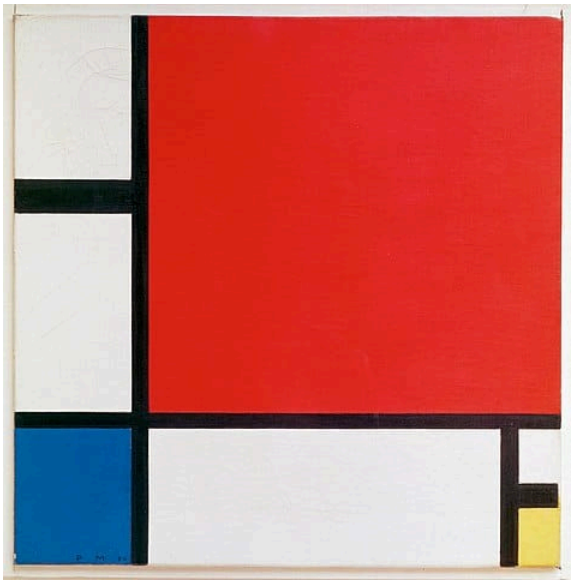


Figure 11.1.4.1: "Soft Hard" By Wassily Kandinsky - Eternels eclairs [www.eternels-eclairs.fr], Public Domain, Link



Figure 11.1.4.1: "Several Circles" By Wassily Kandinsky - Fertomina virtus [www.fertomniavirtus.com], Public Domain, Link

Piet Mondrian is an excellent example of an artist who used geometric shapes almost exclusively. In his *Composition with Yellow, Blue and Red* (1937-42), Mondrian, uses straight vertical and horizontal black lines to divide his canvas into rectangles of primary colors.



"Composition II in Red, Blue, and Yellow", 1930. By Piet Mondrian - [1], Public Domain, Link

FUTURISM



Figure 11.1.4.1: Giacomo Balla (Italian, 1871-1958), Velocity of an Automobile (also Automobile Assembly Line), 1913, oil and ink on paper on board, 74 x 104 cm. CC0.

Once Cubism was introduced into the vocabulary of modern art, its effect was immediate as it influenced many dynamic experiments in abstract art. Italian Futurism is one of the movements that developed as a result of Cubism. The painting's emphasis on dynamism is characteristic of Italian Futurism(opens in new window), as is the subject of modern urban life. The Futurists embraced the energy of the modern city, its crowds and electricity. They adopted Cubist techniques to convey the sense of movement in time, while rejecting what they considered the more static and analytic approach of Cubist painters. Whereas in Cubist paintings the use of multiple, fragmentary views of things suggests the viewer is moving around the object, in Futurist paintings it is the scene that is moving around the viewer.

This artistic experimentation was cut short with the outbreak of World War I, which begins in 1914, embroiling Europe in a cataclysmic conflict where the advancements of the modern industrial age are immediately shown to have devastating consequences.

Because of the economic losses and loss of life resulting from the war, there was a revolution in Russia that overthrew the monarchy and ushered in Communism as a governmental system. Artists associated with this are called Russian Constructivists.

Italian Futurism developed at the same time as Analytic Cubism around 1907-1911, but with different goals. While Cubism was engaged with conceptual ideas about form and perception in the modern world and then translating these ideas into a formal visual vocabulary, Italian Futurism was politically and culturally engaged with modernizing Italy.

The Italian Futurists extolled the importance of masculinity and technology in an accelerated Cubist variation reliant on faceted forms, short jagged brushstrokes and diagonal lines to reflect the sensation of speed. Their founder, Filippo Tommaso Marinetti, who divided his early years between Paris and Milan, published frequent manifestoes in leading newspapers that attempted to pull his fellow Italians aggressively and forcefully into the modern era.

In the "Futurist Manifesto," published on the front page of the French newspaper Le Figaro in 1909, Marinetti called for the demolition of museums and praised the beauty of industrial speed by describing a roaring car as more beautiful than the Victory of Samothrace, one of the most famous sculptures from ancient Greece on view in the Louvre Museum.



Figure 11.1.4.1: *I Saw the Figure 5 in Gold* Cubist and Futurist art by Charles Demuth – 1928. WikiArt. CC0.

Charles Demuth (1883-1935, USA) painted The Figure 5 in Gold in 1928. (Figure 5.5) Demuth met poet and physician William Carlos Williams at the boarding house where they both lived in Philadelphia while studying at the Pennsylvania Academy of the Fine Arts. Demuth's painting is one in a series of portraits of friends, paying homage to Williams and his 1916 poem "The Great Figure":

> Among the rain
> and lights
> I saw the figure 5
> in gold
> on a red
> firetruck
> moving
> tense
> unheeded
> to gong clangs
> siren howls
> and wheels rumbling
> through the dark city.

Williams described the inspiration for his poem as an encounter with a fire truck as it noisily sped along the streets of New York, abruptly shaking him from his inner thoughts to a jarring awareness of what was going on around him. Demuth chose to paint his portrait of Williams not as a likeness but with references to his friend, the poet. The dark, shadowed diagonal lines radiating from the center of his painting, punctuated by bright white circles, capture the jolt of the charging truck accompanied by the clamor of its bells. The accelerating beat of the figure 5 echoes the pounding of Williams's heart as he was startled. It was the sight of the number in gold that Williams was first aware of at the scene, and Demuth uses the pulsing 5 to symbolically portray his

friend, surrounded by the rush of red as bright as blood with his name, Bill, above as if flashing in red neon. For Demuth, that connection between his friend and his poetry told us far more about who Williams was than his physical appearance. A traditional portrait would show us what Williams looked like, but Demuth wanted to share with the viewer the experience of the poem the artist closely identified with his friend so that we would have an inner, deeper understanding of the poet. Demuth gave us his personal interpretation of Williams through the story, the narrative, that he tells us with the aid of "The Great Figure."

FAUVISM "WILD BEASTS"



Figure 11.1.4.1: Henri Matisse, The Green Line, 1905, oil on canvas, 40.5 x 32.5 cm (Statens Museum for Kunst, Copenhagen). CC0 US only.

Fauvism developed in France to become the first new artistic style of the 20th century. In contrast to the dark, vaguely disturbing nature of much fin-de-siècle, or turn-of-the-century, Symbolist art, the Fauves produced bright cheery landscapes and figure paintings, characterized by pure vivid color and bold distinctive brushwork.

When shown at the 1905 Salon d'Automne (an exhibition organized by artists in response to the conservative policies of the official exhibitions, or salons) in Paris, the contrast to traditional art was so striking it led critic Louis Vauxcelles to describe the artists as "*Les Fauves*" or "wild beasts," and thus the name was born. One of several Expressionist movements to emerge in the early 20th century, Fauvism was short lived, and by 1910, artists in the group had diverged toward more individual interests. Nevertheless, Fauvism remains significant for it demonstrated modern art's ability to evoke intensely emotional reactions through radical visual form.

THE EXPRESSIVE POTENTIAL OF COLOR

The best known Fauve artists include Henri Matisse, André Derain, and Maurice Vlaminck who pioneered its distinctive style. Their early works reveal the influence of Post-Impressionist artists, especially Neo-Impressionists like Paul Signac, whose interest in color's optical effects had led to a divisionist method of juxtaposing pure hues on canvas. The Fauves, however, lacked such scientific intent. They emphasized the expressive potential of color, employing it arbitrarily, not based on an object's natural appearance.

In *Luxe, calm et volupté* (1904), for example, Matisse employed a pointillist style by applying paint in small dabs and dashes. Instead of the subtle blending of complimentary colors typical of Neo-Impressionism Seurat, for example, the combination of fiery oranges, yellows, greens and purple is almost overpowering in its vibrant impact.

Similarly, while paintings such as Vlaminck's *The River Seine at Chantou* (1906) appear to mimic the spontaneous, active brushwork of Impressionism, the Fauves adopted a painterly approach to enhance their work's emotional power, not to capture fleeting effects of color, light or atmosphere on their subjects. Their preference for landscapes, carefree figures and lighthearted subject matter reflects their desire to create an art that would appeal primarily to the viewers' senses.



Figure 11.1.4.1: Maurice de Vlaminck, *The River Seine at Chatou*, 1906, oil on canvas, 82.6 x 101.9 cm (The Metropolitan Museum of Art, New York). CC0.

Paintings such as Matisse's *Bonheur de Vivre* (1905-06) epitomize this goal. Bright colors and undulating lines pull our eye gently through the idyllic scene, encouraging us to imagine feeling the warmth of the sun, the cool of the grass, the soft touch of a caress, and the passion of a kiss. Like many modern artists, the Fauves also found inspiration in objects from Africa and other non-western cultures. Seen through a colonialist lens, the formal distinctions of African art reflected current notions of Primitivism–the belief that, lacking the corrupting influence of European civilization, non-western peoples were more in tune with the primal elements of nature.



Figure 11.1.4.1: Henri Matisse, *Bonheur de Vivre (Joy of Life)*, 1905-6, oil on canvas, 176.5 x 240.7 cm (Barnes Foundation, Philadelphia). CC0 US only.

Blue Nude (Souvenir of Biskra) of 1907 shows how Matisse combined his traditional subject of the female nude with the influence of primitive sources. The woman's face appears mask-like in the use of strong outlines and harsh contrasts of light and dark, and the hard lines of her body recall the angled planar surfaces common to African sculpture. This distorted effect, further heightened by her contorted pose, clearly distinguishes the figure from the idealized odalisques of Ingres and painters of the past.

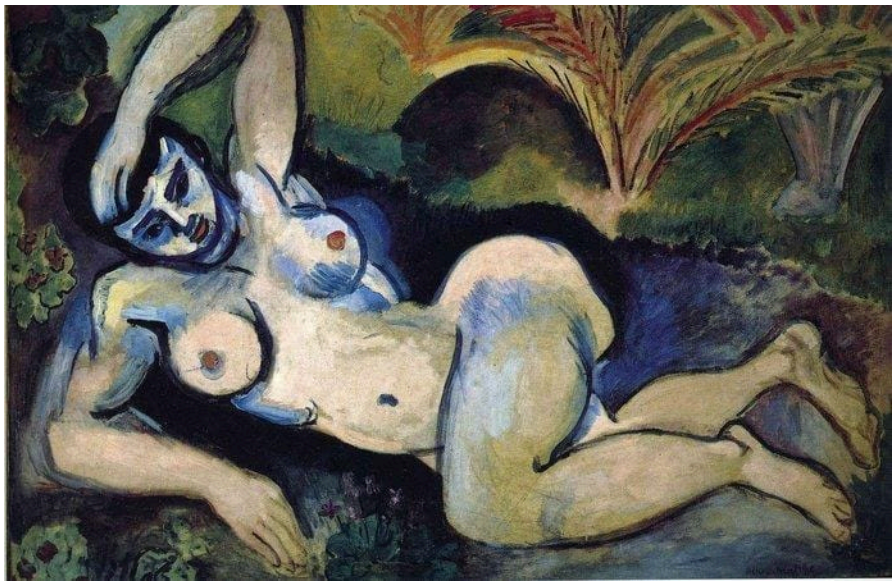


Figure 11.1.4.1: Henri Matisse, *The Blue Nude (Souvenir de Biskra)*, 1907, oil on canvas, 92.1 x 140.3 cm (Baltimore Museum of Art). CC0 US only.

The Fauves' interest in Primitivism reinforced their reputation as “wild beasts” who sought new possibilities for art through their exploration of direct expression, impactful visual forms and instinctual appeal.

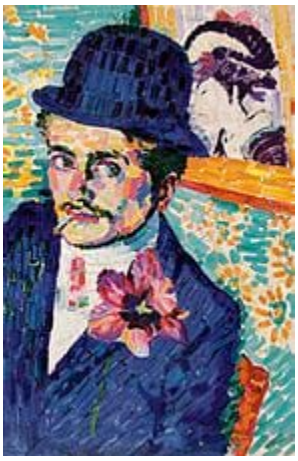


Figure 11.1.4.1: *L'homme à la tulipe (Portrait de Jean Metzinger)* Fauvist painting by Jean Metzinger - 1906. WikiArt. CC0.

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11.1.5: Modernist Poetry

WHAT MAKES POETRY MODERN?

Writer Virginia Woolf stated that human nature underwent a fundamental change 'on or about December 1910.'

Understanding the context of literary modernism (specifically, modernist poetry) is important. What prompted such a "fundamental change" in human nature? The rise of cities; profound technological changes in transportation, architecture, and engineering; a rising population that engendered crowds and chaos in public spaces; factory life; and the aftermath of WWI. These influential factors contributed to making individuals feel less unique and more alienated, fragmented, and at a loss in their daily lives and larger worlds.

Indeed, the speaker of modernist poems characteristically wrestles with the fundamental question of "self," often feeling fragmented and alienated from the world around him. In other words, a coherent speaker with a clear sense of himself/herself is hard to find in modernist poetry, often leaving readers confused and "lost."

Such ontological feelings of fragmentation and alienation, which often led to a more pessimistic and bleak outlook on life as manifested in representative modernist poems such as T.S. Eliot's "The Love Song of J. Alfred Prufrock" (1917), were prompted by fundamental and far-reaching historical, social, cultural, and economic changes in the early 1900s. These changes transformed the world from one that seemed ordered and stable to one that felt futile and chaotic.

For many, high modernism is perhaps best characterized by the emergence of a new kind of poetry. The battle cry of the modernists—"make it new"—is reflected in the experimental, difficult, highly allusive nature of much of the poetry written during this time.

Probably the easiest truism to make about the poetry of the early twentieth century, a time known by the name **Modernism**, is that it was boldly experimental. It was more experimental with regard to form and subject than poetry had been in any period in its English-language history. (The only time to rival it occurred in the late middle ages, when syllabic, alliterative verse gave way to meter and rhyme.) In the Modernist period, long-standing conventions of meter and rhyme were swept away, with nothing as definite as syllable or meter to determine the length of a line, and no definite pattern of sound. One of the most prominent and influential poets of the era, the American Ezra Pound, stated at one point that it was his task to "break the back of the iamb"—which, as you learned several weeks to, had been the most prominent feature of poetry since the time of Chaucer.

Pound and the Modernists had great success in freeing poetry from the straitjacket of meter. Although traditional forms and meters did not disappear, they no longer dominated poetry. It was a time when it seemed that almost anything was possible. Poems varied from the astonishingly simple verse written by William Carlos Williams, H.D., and Amy Lowell, to the highly allusive, imbricated verse of Pound and T.S. Eliot.

If twentieth- and twenty-first-century students in the English speaking world are quick to take the stand that a poem means whatever the reader thinks it means (a statement that would not have occurred to a living soul between Adam and about 1920), we probably have the Modernists to thank for it. Although there's no evidence I know of to suggest that Modernists anticipated that state of affairs in which readers confronted with the difficulty of the text simply gave up and declared "It means whatever I want it to mean,"they perhaps unwittingly invited their readers to do so. The fact is that much of this poetry assumes a reader as adept in poetry and, in fact, in all of literature as the authors were themselves—and sometimes adept in other things as well (Ezra Pound now and then included Chinese characters in his poems even though he did not read or speak Chinese). Modernists often expected their readers to do the necessary research, to struggle through and find out what their writing was all about. (James Joyce, a writer of fiction, once suggested that to understand his work, a reader would have to devote his entire life to studying it.) These works do not imply the knowledge base or reading sophistication of the average 18-year old. And much of this poetry is too open or too associative in its logic to be easily restricted to any single, monolithic understanding.

Much of the literature of the time manifests a desire not to give up on reading but to change the way that we read. If you try to read Eliot's poetry in the same way that you read Beowulf, Paradise Lost or Lyrical Ballads you will be frustrated. The hierarchy of value has been broken. In that hierarchy allusions support—are subject to—a singular, central meaning. In Modernist poetry, the element of meaning, while still absolutely present, is no longer king; it is limited, but no longer necessarily singular.

In fact, Modernist poetry takes advantage of an aspect of language which poetry would seem to have a natural affinity for: even the simplest, easiest-to-understand utterance is potentially infinite in its meaning—or in its ability to create and become involved with meaning. There's nothing radical about that claim. For a word to be transferable from any one context to any other context it must be infinitely transferable. Most often actual uses of language—me talking to you, me writing this lecture to you, you talking on the phone to your mother, Shakespeare performing the ghost of Hamlet's father—work very hard to limit the ways that the words can be taken. But this does not affect the fact that language is in itself illimitable. It is like liquid which must be precisely held in a solid container or it goes everywhere. The container will give it measurable shape. In itself it has no shape but will conform for the moment to whatever shape it finds itself in. Modernist poetry still gives language shape, but it tends to give it a looser shape, shapes that let more of its inherently shapelessness appear.

That's not to say that all twentieth-century poetry or even all Modernist poetry is this way. In addition to Williams and Eliot and Pound, there is Robert Frost, and Elizabeth Bishop, and Edna St. Vincent Millay, and William Butler Yeats—and of course many many others—who work in traditional forms. Eliot himself often rhymes, often writes in iambic pentameter. So does Williams and sometimes even Pound. There's a lot of experiment going on in Modernist poetry; it involves every aspect of language. Early twentieth-century poetry is characterized more by this experimentation than by its frequent lack of meter or rhyme.

While not every poet of the mid- to late-twentieth century took Whitman as the model, the poetry of this Postmodern era generally became simpler, easier to read, while it retained the poetic movement away from traditional forms dominated by rhyme and meter. Indeed, during the sixties and seventies it would have been difficult to find a newly published poem that rhymed. At present poetry is doing nothing more profoundly than trying to figure out why it exists in a world in which more and more poetry is published by smaller and smaller presses for fewer and fewer readers, most of them academics, poets, or students. Poetry still has occasional high-profile moments, such as when Maya Angelou read a poem at Bill Clinton's second inaugural, or when a celebration of poetry was abruptly cancelled at the White House for fear the invited poets would use the platform to protest America's invasion of Iraq. But at present poetry in the English-speaking world, leads a mostly underground life. It is still everywhere, most people, most of the time, manage to ignore it.

There were those, like Wallace Stevens, who said that poetry did not need to have a meaning. But that's not the same as saying that poetry means whatever you want it to.

MODERNIST POEMS

The Love Song of J. Alfred Prufrock by TS Eliot

> *S'io credesse che mia risposta fosse*
> *A persona che mai tornasse al mondo,*
> *Questa fiamma staria senza piu scosse.*
> *Ma perciocche giammai di questo fondo*
> *Non torno vivo alcun, s'i'odo il vero,*
> *Senza tema d'infamia ti rispondo.*

Let us go then, you and I,
When the evening is spread out against the sky
Like a patient etherized upon a table;
Let us go, through certain half-deserted streets,
The muttering retreats
Of restless nights in one-night cheap hotels
And sawdust restaurants with oyster-shells:
Streets that follow like a tedious argument
Of insidious intent
To lead you to an overwhelming question …

Oh, do not ask, "What is it?"
Let us go and make our visit.

In the room the women come and go
Talking of Michelangelo.

The yellow fog that rubs its back upon the window-panes,

The yellow smoke that rubs its muzzle on the window-panes,
Licked its tongue into the corners of the evening,
Lingered upon the pools that stand in drains,
Let fall upon its back the soot that falls from chimneys,
Slipped by the terrace, made a sudden leap,
And seeing that it was a soft October night,
Curled once about the house, and fell asleep.

And indeed there will be time
For the yellow smoke that slides along the street,
Rubbing its back upon the window-panes;
There will be time, there will be time
To prepare a face to meet the faces that you meet;
There will be time to murder and create,
And time for all the works and days of hands
That lift and drop a question on your plate;
Time for you and time for me,
And time yet for a hundred indecisions,
And for a hundred visions and revisions,
Before the taking of a toast and tea.

In the room the women come and go
Talking of Michelangelo.

And indeed there will be time
To wonder, “Do I dare?” and, “Do I dare?”
Time to turn back and descend the stair,
With a bald spot in the middle of my hair—
(They will say: “How his hair is growing thin!”)
My morning coat, my collar mounting firmly to the chin,
My necktie rich and modest, but asserted by a simple pin—
(They will say: “But how his arms and legs are thin!”)
Do I dare
Disturb the universe?
In a minute there is time
For decisions and revisions which a minute will reverse.

For I have known them all already, known them all:
Have known the evenings, mornings, afternoons,
I have measured out my life with coffee spoons;
I know the voices dying with a dying fall
Beneath the music from a farther room.
So how should I presume?

And I have known the eyes already, known them all—
The eyes that fix you in a formulated phrase,
And when I am formulated, sprawling on a pin,
When I am pinned and wriggling on the wall,
Then how should I begin
To spit out all the butt-ends of my days and ways?
And how should I presume?

And I have known the arms already, known them all—
Arms that are braceleted and white and bare
(But in the lamplight, downed with light brown hair!)
Is it perfume from a dress
That makes me so digress?
Arms that lie along a table, or wrap about a shawl.
And should I then presume?

And how should I begin?

Shall I say, I have gone at dusk through narrow streets
And watched the smoke that rises from the pipes
Of lonely men in shirt-sleeves, leaning out of windows? ...

I should have been a pair of ragged claws
Scuttling across the floors of silent seas.

And the afternoon, the evening, sleeps so peacefully!
Smoothed by long fingers,
Asleep ... tired ... or it malingers,
Stretched on the floor, here beside you and me.
Should I, after tea and cakes and ices,
Have the strength to force the moment to its crisis?
But though I have wept and fasted, wept and prayed,
Though I have seen my head (grown slightly bald) brought in upon a platter,
I am no prophet—and here's no great matter;
I have seen the moment of my greatness flicker,
And I have seen the eternal Footman hold my coat, and snicker,
And in short, I was afraid.

And would it have been worth it, after all,
After the cups, the marmalade, the tea,
Among the porcelain, among some talk of you and me,
Would it have been worth while,
To have bitten off the matter with a smile,
To have squeezed the universe into a ball
To roll it toward some overwhelming question,
To say: "I am Lazarus, come from the dead,
Come back to tell you all, I shall tell you all"—
If one, settling a pillow by her head,
Should say: "That is not what I meant at all;
That is not it, at all."

And would it have been worth it, after all,
Would it have been worth while,
After the sunsets and the dooryards and the sprinkled streets,
After the novels, after the teacups, after the skirts that trail along the floor—
And this, and so much more?—
It is impossible to say just what I mean!
But as if a magic lantern threw the nerves in patterns on a screen:
Would it have been worth while
If one, settling a pillow or throwing off a shawl,
And turning toward the window, should say:
"That is not it at all,
That is not what I meant, at all."

No! I am not Prince Hamlet, nor was meant to be;
Am an attendant lord, one that will do
To swell a progress, start a scene or two,
Advise the prince; no doubt, an easy tool,
Deferential, glad to be of use,
Politic, cautious, and meticulous;
Full of high sentence, but a bit obtuse;
At times, indeed, almost ridiculous—
Almost, at times, the Fool.

I grow old ... I grow old ...

I shall wear the bottoms of my trousers rolled.

Shall I part my hair behind? Do I dare to eat a peach?
I shall wear white flannel trousers, and walk upon the beach.
I have heard the mermaids singing, each to each.

I do not think that they will sing to me.

I have seen them riding seaward on the waves
Combing the white hair of the waves blown back
When the wind blows the water white and black.
We have lingered in the chambers of the sea
By sea-girls wreathed with seaweed red and brown
Till human voices wake us, and we drown.

Danse Russe By William Carlos Williams

If I when my wife is sleeping
and the baby and Kathleen
are sleeping
and the sun is a flame-white disc
in silken mists
above shining trees,—
if I in my north room
danse naked, grotesquely
before my mirror
waving my shirt round my head
and singing softly to myself:
“I am lonely, lonely.{45}
I was born to be lonely.
I am best so!”
If I admire my arms, my face
my shoulders, flanks, buttocks
against the yellow drawn shades,—

who shall say I am not
the happy genius of my household?

Personae By Ezra Pound

Revolt

Against the crepuscular spirit in
modern poetry

Revolt

Against the crepuscular spirit in
modern poetry

I would shake off the lethargy of this our time,
and give
For shadows—shapes of power
For dreams—men.

"It is better to dream than do"?
Aye! and, No!

Aye! if we dream great deeds, strong men,
Hearts hot, thoughts mighty.

No! if we dream pale flowers,
Slow-moving pageantry of hours that languidly
Drop as o'er-ripened fruit from sallow trees.
If so we live and die not life but dreams,
Great God, grant life in dreams,
Not dalliance, but life!

Let us be men that dream,
Not cowards, dabblers, waiters
For dead Time to reawaken and grant balm
For ills unnamed.

Great God, if we be damn'd to be not men but only dreams,
Then let us be such dreams the world shall tremble at
And know we be its rulers though but dreams!
Then let us be such shadows as the world shall tremble at
And know we be its masters though but shadow!

Great God, if men are grown but pale sick phantoms
That must live only in these mists and tempered lights
And tremble for dim hours that knock o'er loud
Or tread too violent in passing them;

Great God, if these thy sons are grown such thin ephemera,
I bid thee grapple chaos and beget
Some new titanic spawn to pile the hills and stir
This earth again.

I would shake off the lethargy of this our time,
and give
For shadows—shapes of power
For dreams—men.

"It is better to dream than do"?
Aye! and, No!

Aye! if we dream great deeds, strong men,
Hearts hot, thoughts mighty.

No! if we dream pale flowers,
Slow-moving pageantry of hours that languidly
Drop as o'er-ripened fruit from sallow trees.
If so we live and die not life but dreams,
Great God, grant life in dreams,
Not dalliance, but life!

Let us be men that dream,
Not cowards, dabblers, waiters
For dead Time to reawaken and grant balm
For ills unnamed.

Great God, if we be damn'd to be not men but only dreams,
Then let us be such dreams the world shall tremble at
And know we be its rulers though but dreams!
Then let us be such shadows as the world shall tremble at

And know we be its masters though but shadow!

Great God, if men are grown but pale sick phantoms
That must live only in these mists and tempered lights
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Or tread too violent in passing them;

Great God, if these thy sons are grown such thin ephemera,
I bid thee grapple chaos and beget
Some new titanic spawn to pile the hills and stir
This earth again.

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11.1.6: The Birth of Film

WHAT IS CINEMA?

Is it the same as a *movie* or *film*? Does it include digital video, broadcast content, streaming media? Is it a highbrow term reserved only for European and art house feature films? Or is it a catch-all for any time a series of still images run together to produce the illusion of movement, whether in a multi-plex theater or the 5-inch screen of a smart phone?

Technically, the word itself derives from the ancient Greek, *kinema*, meaning movement. Historically, it's a shortened version of the French *cinematographe*, an invention of two brothers, Auguste and Louis Lumiere, that combined *kinema* with another Greek root, *graphien*, meaning to write or record.

The "recording of movement" seems as good a place as any to begin an exploration of the moving image. And *cinema* seems broad (or vague) enough to capture the essence of the form, whether we use it specifically in reference to that art house film, or to refer to the more commonplace production and consumption of *movies*, *TV, streaming series, videos, interactive gaming, VR, AR* or whatever new technology mediates our experience of the moving image. Because ultimately that's what all of the above have in common: the moving image. Cinema, in that sense, stands at the intersection of art and technology like nothing else. As an art form it would not exist without the technology required to capture the moving image. But the mere ability to record a moving image would be meaningless without the art required to capture our imagination.

But cinema is much more than the intersection of art and technology. It is also, and maybe more importantly, a powerful medium of communication. Like language itself, cinema is a surrounding and enveloping substance that carries with it what it means to be human in a specific time and place. That is to say, it *mediates* our experience of the world, helps us make sense of things, and in doing so, often helps shape the world itself. It's why we often find ourselves confronted by some extraordinary event and find the only way to describe it is: "It was like a movie."

In fact, for more than a century, filmmakers and audiences have collaborated on a massive, ongoing, largely unconscious social experiment: the development of a **cinematic language**, the fundamental and increasingly complex rules for how cinema communicates meaning. There is a syntax, a grammar, to cinema that has developed over time. And these rules, as with any language, are iterative, that is, they form and evolve through repetition, both within and between each generation. As children we are socialized into ways of seeing through children's programming, cartoons and YouTube videos. As adults we become more sophisticated in our understanding of the rules, able to innovate, re-combine, become creative with the language. And every generation or so, we are confronted with great leaps forward in technology that re-orient and often advance our understanding of how the language works.

And therein lies the critical difference between cinematic language and every other means of communication. The innovations and complexity of modern written languages have taken more than 5,000 years to develop. Multiply that by at least 10 for spoken language.

Cinematic language has taken just a little more than 100 years to come into its own.

In January 1896 those two brothers, Auguste and Louis Lumiere, set up their *cinematographe*, a combination motion picture camera and projector, at a café in Lyon, France and presented their short film, *L'arrivée d'un train en gare de La Ciotat* (Arrival of a Train at La Ciotat Station) to a paying audience. It was a simple film, aptly titled, of a train pulling into a station. The static camera positioned near the tracks capturing a few would-be passengers milling about as the train arrived, growing larger and larger in the frame until it steamed past and slowed to a stop. There was no editing, just one continuous shot. A mere 50 seconds long... And it blew the minds of everyone who saw it.

Click here to watch the short film on YouTube.



Figure 11.1.6.1: *L'arrivée d'un train en gare de La Ciotat* (Arrival of a Train at La Ciotat Station) by Auguste and Louis Lumiere, 1896, Public Domain.

Accounts vary as to the specifics of the audience reaction. Some claim the moving image of a train hurtling toward the screen struck fear among those in attendance, driving them from their seats in a panic. Others underplay the reaction, noting only that no one had seen anything like it. Which, of course, wasn't entirely true either. It wasn't the first motion picture. The Lumiere brothers had projected a series of 10 short films in Paris the year before. An American inventor, Woodville Latham, had developed his own projection system that same year. And Thomas Edison had invented a similar apparatus before that.

But one thing is certain: that early film, as simple as it was, changed the way we see the world and ourselves. From the early *actualite* documentary short films of the Lumieres, to the wild, theatrical flights of fancy of Georges Melies, to the epic narrative films of Lois Weber and D. W. Griffith, the new medium slowly but surely developed its own unique cinematic language. Primitive at first, limited in its visual vocabulary, but with unlimited potential. And as filmmakers learned how to use that language to re-create the world around them through moving pictures, we learned right along with them. Soon we were no longer awed (much less terrified) by a two-dimensional image of a train pulling into a station, but we were no less enchanted by the possibilities of the medium with the addition of narrative structure, editing, production design, and (eventually) sound and color cinematography.

Since that January day in Lyon, we have all been active participants in this ongoing development of a cinematic language. As the novelty short films of those early pioneers gave way to a global entertainment industry centered on Hollywood and its factory-like production of discrete, 90-minute narrative feature films. As the invention of broadcast technology in the first half of the 20th century gave way to the rise of television programming and serialized story-telling. And as the internet revolution at the end of the 20th century gave way to the streaming content of the 21st, from binge-worthy series lasting years on end to one-minute videos on social media platforms like Snapchat and TikTok. Each evolution of the form borrowed from and built on what came before, both in terms of how filmmakers tell their stories and how we experience them. And in as much as we may be mystified and even amused by the audience reaction to that simple depiction of a train pulling into a station back in 1896, imagine how that same audience would respond to the last Avengers film projected in IMAX 3D.

We've certainly come a long, long way.

A NEW HOPE

While much of this (very) brief history of cinema has focused on the media machine that is the Hollywood studio system, cinema – that is, the art of motion pictures – lives and breathes outside of that capital-intensive entertainment ecosystem. And it always has.

Alice Guy-Blachè, Georges Melies, Lois Weber, D.W. Griffith, and most of the very first cinema artists operated independently of any corporate studio. And during that great Golden Age of cinema, which was so dominated by Hollywood studios, independent producers like David O. Selznick were putting out massively popular films like Alfred Hitchcock's Rebecca (1940) and the perennially remade A Star is Born (1937). One of the most successful films of the era, Gone with the Wind (1939) was arguably

an “indie” picture (Selznick produced it with MGM as distributor). In fact, the New Hollywood of the 60s and 70s could not have taken hold at the corporate level without visionary filmmakers like Mike Nichols, Dennis Hopper and Hal Ashby working outside of the studio system:

As the technology required to make motion pictures became easier and cheaper to acquire, more and more cinema artists chose to work outside of the studio system. Towering figures like Shirley Clarke in the 1960s, John Cassavetes in the 1970s and Jim Jarmusch in the 1980s put out provocative and engaging cinema with limited distribution to match their limited budgets but often with enormous cultural impact. That trend continued into the 1990s and 2000s, supported by new production and distribution companies like Miramax (founded by the now disgraced Harvey Weinstein) that insisted on working outside of the studio system and often outside of Los Angeles itself.

That independent spirit in American cinema also created space for women and people of color to have a voice in the art form. A quick scan of the history above and you’ll notice there are not a lot of women’s names. And almost all of the men are white. But filmmakers like Shirley Clarke, Julie Dash and Allison Anders didn’t wait around for Hollywood to give them permission to make great cinema. Nor did the filmmakers of the early so-called Blaxploitation movement (though their success was eventually and sadly co-opted by white filmmakers).

And as the massive corporate consolidation of the American media landscape has created a narrowing of cinematic content from the big studios, that indie spirit – along with a healthy dose of investor interest – has lead to new innovations in production and distribution models. Whether it’s pre-selling foreign rights to a script to fund its production, or turning to streaming services for funding in return for exclusive rights to content, filmmakers continue to find new ways to push the boundaries of what is possible in cinema. Just take a look at the nominees for best picture at any of the recent Academy Awards ceremonies. Once dominated by studio-financed pictures, almost all of them are now independent productions.

But perhaps the most exciting new direction in cinema is not found in theaters at all. For more than a century, cinema has been most closely associated with that roughly 90 minute, closed-ended feature film playing at a theater near you. And while that continues to be an important cinematic space, the rise of cable and streaming services in desperate need of content has created exciting new frontiers to explore for the medium. No longer restricted to those 90 or so minutes, cinema can sprawl over 100s of hours or even just a few cut into 30 minutes chunks. And while it’s tempting to call this a new Golden Age of Television, even the term “television” no longer seems appropriate. We consume this content on all manner of devices, on our phones, laptops, even our wristwatches. Even theatrical content has picked up on the trend. What is the Fast and Furious, the Transformers or The Avengers franchises but multi-billion dollar episodic series distributed to theaters (and after a few months to our phones, laptops and wristwatches)?

Ultimately, regardless of how it’s made or how we engage with it, all of the above still fits into one artistic medium: cinema, the art of the motion picture. The tools and techniques, the principals of form and content, are all exactly the same. And that will be true whatever comes next, whether it’s VR, AR or a cinema-chip implanted in our visual cortex (heaven forbid...). Mise-en-scene, narrative, cinematography, editing, sound and acting will all still matter. And our understanding of how those tools and techniques not only shape the medium, but also shape our culture will also still matter. Maybe more than ever.

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11.1.7: Modern Architecture

FRANK LLOYD WRIGHT



Figure 11.1.7.1: Frank Lloyd Wright, Fallingwater (aka Kaufmann Residence), Bear Run, Pennsylvania (photo: By lachrimae72 - Pixabay.com [pixabay.com], CC0, Wikimedia)

Perched above a mountain cataract on a rocky hillside deep in the rugged forest of Southwestern Pennsylvania, some 90 minutes from Pittsburgh, is America's most famous house. The commission for Fallingwater was a personal milestone for the American architect Frank Lloyd Wright, since it clearly marked a turning point in his career. After this late-career triumph, the sixty-seven year old would go on to create a series of highly original designs that would validate his claim as "The world's greatest architect of the nineteenth-century."

The mid-1930s were among the darkest years for architecture and architects in American history; the country's financial system had collapsed with the failure of hundreds of banks. Almost no private homes were built. Many of the architectural projects started during the boom of the late 1920s were halted for lack of funds. Now in his sixties, Wright and his new wife Olgivanna were struggling to keep Taliesin, his Wisconsin home and studio, out of foreclosure. Worse still, his peers were beginning to regard Wright as an irrelevant anachronism whose time had passed.

In 1932 Henry-Russell Hitchcock and Philip Johnson opened the "Modern Architecture: International Exhibition" at the newly founded Museum of Modern Art in New York and simultaneously published the book *International Style*. This was, perhaps, the most influential architectural exhibit ever mounted in the United States and the book became a manifesto for modern architecture and would profoundly affect almost every major architectural project worldwide for the next 30 years. It focused on the work of four great "European functionalists"" Walter Gropius, Ludwig Mies van der Rohe, Le Corbusier and J.J.P. Oud. Wright was largely snubbed.

Hitchcock had praise for his early work, for its "many innovations," but he condemned Wright for a "[l]ack of continuity in his development and his unwillingness to absorb the innovations of his contemporaries and his juniors in Europe." Hitchcock insulted Wright further by characterizing him as "a rebel by temperament... [who] refused even the discipline of his own theories." The catalogue calls Wright a "half-modern" throwback, one of the "last representatives of Romanticism." Wright responded by denigrating European Modernism as an "evil crusade," a manifestation of "totalitarianism."

A FELLOWSHIP AND A COMMISSION

The Wrights devised an architectural apprenticeship program that came to be known as the "fellowship." And among the first candidates was Edgar Kaufmann Jr. who became enamored with Wright after reading his biography. Kaufmann was the son of

Pittsburgh department store tycoon Edgar Kaufmann Sr.; whose thirteen story downtown Pittsburgh emporium was reported to be the largest in the world. Kaufmann senior was no stranger to architectural pursuits—he was involved in numerous public projects and built several stores and homes. Kaufmann let Wright know that he had several civic architectural projects in mind for him. He and his wife Liliane were invited to Taliesin and were duly impressed.

There are varying accounts regarding the circumstances that brought Kaufmann to offer Wright a chance to design a “weekend home” in the country; but we know that Wright made his first trip to the site on Bear Run, Pennsylvania in December, 1934. Wright’s apprentice Donald Hoppen has spoken of Wright’s “uncanny sense of…genius loci” (Latin for "spirit of the place") and from the very beginning, the architect rejected a site that presented a conventional view of the waterfall; instead, he audaciously offered to make the house part of it, stating that the “visit to the waterfall in the woods stays with me and a domicile takes shape in my mind to the music of the stream.” The South-southeast orientation gives the illusion that the stream flows, not alongside the house, but through it.

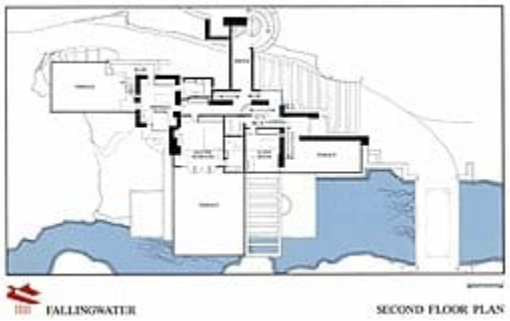


Figure 11.1.7.1: Fallingwater Floorplan (Arsenalbubs: Creative Commons CC0 1.0 Universal Public Domain Dedication), Wikimedia Commons [commons.wikimedia.org]



Figure 11.1.7.1: Frank Lloyd Wright, Fallingwater, steps to stream (aka Kaufmann Residence), Bear Run, Pennsylvania (photo: Daderot, CC0 1.0) Wikimedia Commons [commons.wikimedia.org]

FASTEST DRAW IN THE MIDWEST

Perhaps the most famous tale to come out of the lore of Fallingwater is the improbable story that Wright, after receiving the commission procrastinated for nine months until he was forced to draw up the complete plans while his patron was driving the 140 miles from Milwaukee to Taliesin. However, the essential story is validated by several witnesses. Apprentice Edgar Taffel recalled that after talking with Kaufmann on the phone, Wright “briskly emerged from his office…sat down at the table set with the plot plan and started to draw…The design just poured out of him. 'Liliane and E.J. will have tea on the balcony…they’ll cross the bridge to walk in the woods…' Pencils being used up as fast as we could sharpen them….Erasures, overdrawing, modifying. Flipping sheets back and forth. Then, the bold title across the bottom ‘Fallingwater.’ A house has to have a name.” There seems to be agreement that the whole process took about two hours.



Figure 11.1.7.1: Frank Lloyd Wright, Fallingwater (Edgar J. Kaufmann House), Mill Run, Pennsylvania, 1935, Color pencil on tracing paper, 15-3/8 x 27-1/4 inches, , © The Frank Lloyd Wright Foundation CC0.

ORGANIC ARCHITECTURE

Edgar Kaufmann Jr. pointed out that Wright's famous concept of "Organic Architecture" stems from his Transcendentalist background. The belief that human life is part of nature. Wright even incorporated a rock outcropping that projected above the living room floor into his massive central hearth, further uniting the house with the earth. "Can you say" Wright challenged his apprentices "when your building is complete, that the landscape is more beautiful than it was before?"

In his book, *Fallingwater Rising: Frank Lloyd Wright, E. J. Kaufmann, and America's Most Extraordinary House*, Franklin Toker wrote that, "this delicate synthesis of nature and the built environment probably counts as the main reason why Fallingwater is such a well-loved work. The contouring of the house into cantilevered ledges responds so sympathetically to the rock strata of the stream banks that it does make Bear Run a more wondrous landscape than it had been before."



Figure 11.1.7.1: Frank Lloyd Wright, Fallingwater (Edgar Kauffmann House), Bear Run, Pennsylvania, 1937 (photo: Lykantrop) Wikimedia Commons [commons.wikimedia.org] CC0.

Wright further emphasizes the connection with nature by liberal use of glass; the house has no walls facing the falls, only a central stone core for the fireplaces and stone columns. This provides elongated vistas leading the eye out to the horizon and the woods. Vincent Scully has pointed out that this reflects "an image of Modern man caught up in constant change and flow, holding on...to whatever seems solid but no longer regarding himself as the center of the world." The architect's creative use of "corner turning windows" without mullions causes corners to vanish. Wright even bows to nature by bending a trellis beam to accommodate a pre-existing tree.



Figure 11.1.7.1: Frank Lloyd Wright, Fallingwater, detail with tree (Edgar J. Kaufmann House), 1937 (photo: Daderot, CC0 1.0) Wikimedia Commons [commons.wikimedia.org]

INFLUENCES

Although he denied it, Wright was influenced by every conceivable architectural style, but Fallingwater owes little to his previous designs (the only exceptions being perhaps the use of irregular stones that are also found on Taliesin and his interest in strong horizontal lines). At Fallingwater, he appears to be more concerned with responding to the European Modernist design that he had in part inspired—but that had since eclipsed him. In effect, he set out to beat the Europeans at their own game, using elements of their idiom.



Figure 11.1.7.1: Walter Gropius and Adolf Meyer, competition entry for the Chicago Tribune Tower, 1922, perspective drawing, Library of Congress Prints and Photographs Division Washington, D.C. 20540 USA Library of Congress [hdl.loc.gov]

We see, for example, inspiration drawn from the balconies of Gropius' design for the Chicago Tribune Tower competition, though instead of the stark white of the International Style, he paints his balconies a warmer, earthen tone in deference to nature and perhaps the Adobe dwellings of the American Southwest.

FALLINGWATER FALLING DOWN?

The Kaufmanns loved Wright's radical proposal to literally suspend the house over the waterfall. But Edgar Kaufmann Sr., ever the pragmatic business man (who had also studied engineering for a year at Yale) prudently sent a copy of Wright's blueprints to his engineer; who found the ground unstable and did not recommend that he proceed with the house. Wright was not happy with his client's lack of faith, but permitted an increase in the number and diameter of the structure's steel reinforcements—Kaufmann agreed to proceed. Its worth noting that the engineer's warnings later proved valid, an issue that "haunted" Wright for the rest of his life.

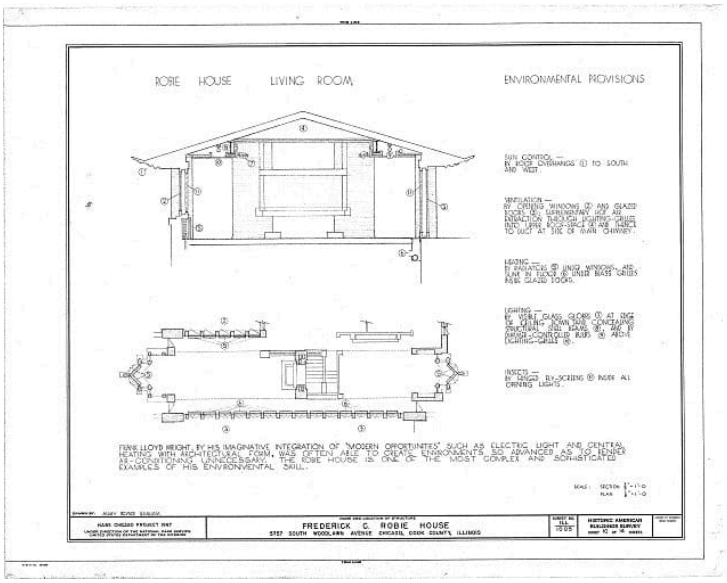


Figure 11.1.7.1: Historic American Buildings Survey Cervin Robinson, Photographer, 18 August 1963 EXTERIOR FROM SOUTHWEST - Frederick C. Robie House, 5757 Woodlawn Avenue, Chicago, Cook County, IL 5 x 7 inches (Library of Congress HABS ILL,16-CHIG,33--3) CC0.

Wright is famous for pushing the architectural envelope for dramatic effect. We see this is in the vast cantilevered wooden roof of Robie House in Chicago. In Fallingwater he chose ferro-concrete for his cantilevers, this use of reinforced concrete for the long suspended balconies was revolutionary. He boldly extended the balcony of the second floor master bedroom soaring six feet beyond the living room below.



Image 1.39 Frank Lloyd Wright, Fallingwater, steps to stream (Edgar J. Kaufmann House), Bear Run, Pennsylvania (photo: Daderot, CC0 1.0) Wikimedia Commons [commons.wikimedia.org]

However, due to the lack of proper support, cracks began appearing in the balcony floors soon after they were poured. Over the years since, cracks have been repeatedly repaired as the cantilevers continued to sag. By 2001 some of the 15 foot cantilevers had fallen more than 7 inches. To avoid a complete collapse, an ingenious system was devised using tensioned cables to correct the problem and stabilize Wright's masterwork.

Almost from the day of its completion, Fallingwater was celebrated around the world. The house and its architect were featured in major publications including the cover of *Time Magazine*. Over the years its fame has only increased. According to Franklin Toker, Fallingwater's most important contribution to Modern Architecture is surely the "acceptance of Modern architecture itself."

Frank Lloyd Wright is regarded by many as the greatest American architect. In his effort to develop an American style of architecture, he designed over 1,100 buildings. Wright is most noted for developing the distinctive Prairie School style of architecture.

Born in Wisconsin in 1867 to a teacher and a minister/musician, Wright grew up feeling a strong connection to nature. He enrolled at the University of Wisconsin at Madison to study civil engineering but left school after two years to begin work as an architect. Early in his career, Wright had the chance to spend five years working for Louis Sullivan, who was highly regarded for his work designing skyscrapers. Sullivan's belief that form follows function was highly influential on Wright as well as other architects.

The Prairie School style developed by Wright focused on single-story homes made of local materials. Wood was an especially important element and was often left unpainted and natural. Key buildings designed by Wright included his own home and the Robie House in Chicago, Fallingwater near Pittsburgh, and the Guggenheim Museum in New York City. Wright passed away at age 91 in 1959.

COMMERCE

Buildings for commerce have appeared over time. Early systems of trade and barter in some places eventually became formalized in ways that required marketplaces and commercial establishments with temporary or permanent housing. While open-air markets with vendor stalls continue to be used in many places, in others shops or full buildings evolved for commercial and service transactions. Our modern provisions for shopping centers and department stores were designed with different ideas about merchandising, sales, and consumerism but, as we have seen with the rapid rise of on-line shopping for durable and perishable goods, this scenario will likely be ever evolving. Indeed, grocery and department stores may become completely passé. But their development in the nineteenth and twentieth centuries presented new possibilities for architectural design. An example is the Carson, Pirie, Scott and Company Store in Chicago, designed by Louis Sullivan (1856-1924, USA) and built in 1904. One of the early applications for steel frame, or "skeleton frame," construction that made the development of skyscrapers possible, this sort of building also opened new possibilities for retail and office space. Here, the large ground-floor windows and corner entrance could provide a great deal of display space for attracting pedestrians while the expansive multistory interior offered shoppers a wide array of goods, especially compared to the sorts of small shops and markets that had been its predecessors. Not only the structure but also the decorative approach was innovative, as Sullivan combined Beaux Arts ideas with Art Nouveau motifs in the building's surface design. The elaborate, curvilinear, plant-based motifs central to the Art Nouveau movement, c. 1890-1910, in cast metal relief panels above the doors and ground floor windows added to visual appeal for potential customers. New designs emerged for other commercial firms in this era as well. The Austrian Postal Savings Bank in Vienna, Austria, designed by architect Otto Wagner (1841-1918, Austria) has a huge multi-story façade covering a broad open interior space on the ground level; its sleek and modern aesthetic was startlingly new and different when it was completed in 1905.



Figure 11.1.7.1: By Thomas Ledl - Own work, CC BY-SA 4.0, Link

One of Wagner's aims in the design was to create a sense of strength and solidity that engendered trust and a feeling of financial security in customers. The main banking customer area is filled with natural light. Wagner used marble, steel, and polished glass

for the simplified decoration of the reinforced (Image 1.36) concrete building, turning away from the Art Nouveau aesthetic and replacing it with his sense of modernism.

The use of steel and reinforced concrete that facilitated the advent of the skyscraper truly revolutionized architecture and began a contest for height that continues today. Wealthy entrepreneurs and ambitious developers from around the world have joined in the competition for buildings of modern distinction. One example is the Chrysler Building in New York City, designed by William van Alen (1883-1954, USA). (Image 1.41) Its décor in the Art Deco style (c. 1920-1940), including the ribbed, sunburst pattern made of stainless steel in the building's terraced crown, celebrates American industrialism and the automobile. At 1,046 feet, the Chrysler Building was for eleven months after its completion in 1930 the tallest in the world. (It was surpassed in 1931 by the Empire State Building at 1,454 feet.)



Figure 7.37 | The Top of the Chrysler Building, New York City, NY
Author: User "Leena Hietanen"
Source: Wikimedia Commons
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Image 1.41

A more recent example is the Petronas Twin Towers in Kuala Lampur, Malaysia, designed by César Pelli (b. 1926, Argentina, lives USA). (Image 1.42) Inaugurated in 1999, they were the tallest buildings for several years and remain the tallest twin towers to this day. The buildings' design motifs are inspired by Islamic art and culture; for example, the shape of each tower is the Muslim symbol of Rub el Hizb, or two overlapping squares that form an eight-pointed star. Both structures house commercial and business concerns and symbolize the architecture of modern business.



Figure 11.1.7.1: By Someformofhuman - Own work, CC BY-SA 4.0, Link

In the late twentieth century, architectural ingenuity, new materials, and the potential of computer design led some architects to develop radically innovative approaches to structures that might house any number of different types of needs. Among the most innovative in this regard is Frank Gehry (b. 1929, Canada, lives USA), who has designed buildings all over the world including museums, business towers, residences, and theaters. In Los Angeles, he created the Walt Disney Concert Hall, completed in 2003. Using titanium sheathing for multiform, swooping curvilinear forms and volumes, his buildings are sculptural in effect from a visual standpoint. Yet in each case, his buildings have proven effective and dynamic in creating spaces for the activities they house. The acoustics of the concert hall are widely praised as is the beauty of the architectural form in capturing the whimsical spirit of Walt Disney, the creator of so many American comics, cartoons, and movies.



Figure 7.39 | Walt Disney Concert Hall, Los Angeles, CA
Author: John O'Neill
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Image 1.43

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11.1.8: Music and Dance

STRAVINSKY

Trying to understand Stravinsky's compositional process is probably impossible, or, at least, improbable. The "Neo-classicism" of Stravinsky is, in my opinion, a musical parallel to the art world's explorations of Dada and Surrealism. If you look at Dali's bent watches and try to tell the time you are attempting to do the same thing as making sense of Stravinsky's triads (non triads). You are correct that the harmonic material in Pulcinella ranges everywhere from completely tonal to completely bent out of shape—kind of like walking past fun house mirrors. Remember, that you are trying to understand the mind of a great composer who was infinitely playful, comical, and a major troublemaker. This will not solve your technical problem but I hope it gives you some perspective as you try to sort out your data. By the time Pulcinella came along the diatonic tonal system was dead and buried. Stravinsky was using exhumed parts of this dead system in the same way that Dr. Frankenstein was trying to create new life from old parts. Got the picture? What made Stravinsky so great was the fact that no matter what he stole (and he stole a lot of different stuff throughout his long career) he processed it in his own unique way and it came out sounding like Stravinsky. You may come up with a lot of data and exquisite formulas but pinning down Stravinsky is much like herding cats. Late in his career, when Stravinsky finally adopted many of the serial techniques invented by Arnold Schoenberg he used them in a way that sounded nothing like his Viennese contemporary. His ballet Agon is as fresh and bright as his earlier Petrushka, only the harmonic materials of tonality have been replaced with the vertical byproducts of tone rows. What is amazing about Stravinsky was his ability to reinvent himself with great regularity much like his contemporary, Picasso, an equally dangerous provocateur who used distortion to great effect.

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11.2: THE ROARING TWENTIES AND THE GREAT DEPRESSION (1920S-1945)



Albert Potter, Modern Music, 1933-1936, linoleum cut on paper, Smithsonian American Art Museum, Gift of Irving Potter, 1989. CC0.

11.2.1: The Jazz Age

11.2.2: The Great Migration

11.2.3: The Harlem Renaissance

11.2.4: More Modern Art

11.2.5: The Lost Generation

11.2.6: The Great Depression

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11.2.8: World War II

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11.2.1: The Jazz Age

The 1920s was a time of dramatic change in the United States. Many young people, especially those living in big cities, embraced a new morality that was much more permissive than that of previous generations. They listened to jazz music, especially in the nightclubs of Harlem. Although prohibition outlawed alcohol, criminal bootlegging and importing businesses thrived. The decade was not a pleasure cruise for everyone, however; in the wake of the Great War, many were left awaiting the promise of a new generation.

A NEW MORALITY

Many Americans were disillusioned in the post-World War I era, and their reactions took many forms. Rebellious American youth, in particular, adjusted to the changes by embracing a new morality that was far more permissive than the social mores of their parents. Many young women of the era shed their mother's morality and adopted the dress and mannerisms of a flapper, the Jazz Age female stereotype, seeking the endless party. Flappers wore shorter skirts, shorter hair, and more makeup, and they drank and smoked with the boys. Flappers' dresses emphasized straight lines from the shoulders to the knees, minimizing breasts and curves while highlighting legs and ankles. The male equivalent of a flapper was a "sheik," although that term has not remained as strong in the American vernacular. At the time, however, many of these fads became a type of conformity, especially among college-aged youths, with the signature bob haircut of the flapper becoming almost universal—in both the United States and overseas.



Image 2.1 The flapper look, seen here in "Flapper" by Ellen Bernard Thompson Pyle in the 1922 Saturday Evening Post, Public domain, via Wikimedia Commons, was a national craze in American cities during the 1920s.

As men and women pushed social and cultural boundaries in the Jazz Age, sexual mores changed and social customs grew more permissive. "Petting parties" or "necking parties" became the rage on college campuses. Psychologist Sigmund Freud and British "sexologist" Havelock Ellis emphasized that sex was a natural and pleasurable part of the human experience. Margaret Sanger, the founder of Planned Parenthood, launched an information campaign on birth control to give women a choice in the realm in which suffrage had changed little—the family. The popularization of contraception and the private space that the automobile offered to teenagers and unwed couples also contributed to changes in sexual behavior.

Flappers and sheiks also took their cues from the high-flying romances they saw on movie screens and confessions in movie magazines of immorality on movie sets. Movie posters promised: "Brilliant men, beautiful jazz babies, champagne baths, midnight revels, petting parties in the purple dawn, all ending in one terrific smashing climax that makes you gasp." And "neckers, petters, white kisses, red kisses, pleasure-mad daughters, sensation-craving mothers . . . the truth: bold, naked, sensational."

New dances and new music—especially jazz—also characterized the Jazz Age. Born out of the African American community, jazz was a uniquely American music. The innovative sound emerged from a number of different communities and from a number of different musical traditions such as blues and ragtime. By the 1920s, jazz had spread from African American clubs in New Orleans and Chicago to reach greater popularity in New York and abroad. One New York jazz establishment, the Cotton Club, became particularly famous and attracted large audiences of hip, young, and white flappers and sheiks to see black entertainers play jazz (Image 2.2).



Image 2.2 Black jazz bands such as the King and Carter Jazzing Orchestra, photograph by Robert Runyon, Public domain, via Wikimedia Commons, were immensely popular among white urbanites in the 1920s.

THE "NEW WOMAN"

The Jazz Age and the proliferation of the flapper lifestyle of the 1920s should not be seen merely as the product of postwar disillusionment and newfound prosperity. Rather, the search for new styles of dress and new forms of entertainment like jazz was part of a larger women's rights movement. The early 1920s, especially with the ratification of the Nineteenth Amendment guaranteeing full voting rights to women, was a period that witnessed the expansion of women's political power. The public flaunting of social and sexual norms by flappers represented an attempt to match gains in political equality with gains in the social sphere. Women were increasingly leaving the Victorian era norms of the previous generation behind, as they broadened the concept of women's liberation to include new forms of social expression such as dance, fashion, women's clubs, and forays into college and the professions.

Nor did the struggle for women's rights through the promotion and passage of legislation cease in the 1920s. In 1921, Congress passed the Promotion of the Welfare and Hygiene of Maternity and Infancy Act, also known as the Sheppard-Towner Act, which earmarked $1.25 million for well-baby clinics and educational programs, as well as nursing. This funding dramatically reduced the rate of infant mortality. Two years later, in 1923, Alice Paul drafted and promoted an Equal Rights Amendment (ERA) that promised to end all sex discrimination by guaranteeing that "Men and women shall have equal rights throughout the United States and every place subject to its jurisdiction."

Yet, ironically, at precisely the time when the Progressive movement was achieving its long-sought-after goals, the movement itself was losing steam and the Progressive Era was coming to a close. As the heat of Progressive politics grew less intense, voter participation from both sexes declined over the course of the 1920s. After the passage of the Nineteenth Amendment, many women believed that they had accomplished their goals and dropped out of the movement. As a result, the proposed ERA stalled (the ERA eventually passed Congress almost fifty years later in 1972, but then failed to win ratification by a sufficient number of states), and, by the end of the 1920s, Congress even allowed funding for the Sheppard-Towner Act to lapse.

The growing lethargy toward women's rights was happening at a time when an increasing number of women were working for wages in the U.S. economy—not only in domestic service, but in retail, healthcare and education, offices, and manufacturing. Beginning in the 1920s, women's participation in the labor force increased steadily. However, most were paid less than men for

the same type of work based on the rationale that they did not have to support a family. While the employment of single and unmarried women had largely won social acceptance, married women often suffered the stigma that they were working for pin money—frivolous additional discretionary income.

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11.2.2: The Great Migration

MOVING FOR A BETTER LIFE



Image 2.3 Jacob Lawrence, The Migration series, Panel No. 1: During World War I there was a great migration north by Southern African Americans, 1940–41. Casein tempera on hardboard, 12 × 18" (30.5 × 45.7 cm). The Phillips Collection, Washington, D.C. (Photo: Dr. Steven Zucker, CC-BY-NC-SA 2.0)

Between the end of the Civil War and the beginning of the Great Depression, nearly two million African Americans fled the rural South to seek new opportunities elsewhere. While some moved west, the vast majority of this **Great Migration**, as the large exodus of African Americans leaving the South in the early twentieth century was called, traveled to the Northeast and Upper Midwest. The following cities were the primary destinations for these African Americans: New York, Chicago, Philadelphia, St. Louis, Detroit, Pittsburgh, Cleveland, and Indianapolis. These eight cities accounted for over two-thirds of the total population of the African American migration.

A combination of both "push" and "pull" factors played a role in this movement. Despite the end of the Civil War and the passage of the Thirteenth, Fourteenth, and Fifteenth Amendments to the U.S. Constitution (ending slavery, ensuring equal protection under the law, and protecting the right to vote, respectively), African Americans were still subjected to intense racial hatred. The rise of the Ku Klux Klan in the immediate aftermath of the Civil War led to increased death threats, violence, and a wave of lynchings. Even after the formal dismantling of the Klan in the late 1870s, racially motivated violence continued. According to researchers at the Tuskegee Institute, there were thirty-five hundred racially motivated lynchings and other murders committed in the South between 1865 and 1900. For African Americans fleeing this culture of violence, northern and midwestern cities offered an opportunity to escape the dangers of the South.

In addition to this "push" out of the South, African Americans were also "pulled" to the cities by factors that attracted them, including job opportunities, where they could earn a wage rather than be tied to a landlord, and the chance to vote (for men, at least), supposedly free from the threat of violence. Although many lacked the funds to move themselves north, factory owners and other businesses that sought cheap labor assisted the migration. Often, the men moved first then sent for their families once they were ensconced in their new city life. Racism and a lack of formal education relegated these African American workers to many of the lower-paying unskilled or semi-skilled occupations. More than 80 percent of African American men worked menial jobs in steel mills, mines, construction, and meat packing. In the railroad industry, they were often employed as porters or servants (Image 2.4). In other businesses, they worked as janitors, waiters, or cooks. African American women, who faced discrimination due to both their race and gender, found a few job opportunities in the garment industry or laundries, but were more often employed as maids and domestic servants. Regardless of the status of their jobs, however, African Americans earned higher wages in the North than they did for the same occupations in the South, and typically found housing to be more available.



Image 2.4 Scott and Violet Arthur arrive with their family at Chicago's Polk Street Depot on Aug. 30, 1920, two months after their two sons were lynched in Paris, Texas. The picture has become an iconic symbol of the Great Migration. undetermined; published in The Chicago Defender on September 4, 1920, Public domain, via Wikimedia Commons

However, such economic gains were offset by the higher cost of living in the North, especially in terms of rent, food costs, and other essentials. As a result, African Americans often found themselves living in overcrowded, unsanitary conditions, much like the tenement slums in which European immigrants lived in the cities. For newly arrived African Americans, even those who sought out the cities for the opportunities they provided, life in these urban centers was exceedingly difficult. They quickly learned that racial discrimination did not end at the Mason-Dixon Line, but continued to flourish in the North as well as the South. European immigrants, also seeking a better life in the cities of the United States, resented the arrival of the African Americans, whom they feared would compete for the same jobs or offer to work at lower wages. Landlords frequently discriminated against them; their rapid influx into the cities created severe housing shortages and even more overcrowded tenements. Homeowners in traditionally White neighborhoods later entered into covenants in which they agreed not to sell to African American buyers; they also often fled neighborhoods into which African Americans had gained successful entry. In addition, some bankers practiced mortgage discrimination, later known as “redlining,” in order to deny home loans to qualified buyers. Such pervasive discrimination led to a concentration of African Americans in some of the worst slum areas of most major metropolitan cities, a problem that remained ongoing throughout most of the twentieth century.

So why move to the North, given that the economic challenges they faced were similar to those that African Americans encountered in the South? The answer lies in noneconomic gains. Greater educational opportunities and more expansive personal freedoms mattered greatly to the African Americans who made the trek northward during the Great Migration. State legislatures and local school districts allocated more funds for the education of both Blacks and Whites in the North, and also enforced compulsory school attendance laws more rigorously. Similarly, unlike the South where a simple gesture (or lack of a deferential one) could result in physical harm to the African American who committed it, life in larger, crowded northern urban centers permitted a degree of anonymity—and with it, personal freedom—that enabled African Americans to move, work, and speak without deferring to every White person with whom they crossed paths. Psychologically, these gains more than offset the continued economic challenges that Black migrants faced.

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11.2.3: The Harlem Renaissance

ART EXPRESSION

It wasn't only women who found new forms of expression in the 1920s. African Americans were also expanding their horizons and embracing the concept of the "new Negro." The decade witnessed the continued Great Migration of African Americans to the North, with over half a million fleeing the strict Jim Crow laws of the South. Life in the northern states, as many African Americans discovered, was hardly free of discrimination and segregation. Even without Jim Crow, businesses, property owners, employers, and private citizens typically practiced *de facto* segregation, which could be quite stifling and oppressive. Nonetheless, many southern Blacks continued to move north into segregated neighborhoods that were already bursting at the seams, because the North, at the very least, offered two tickets toward Black progress: schools and the vote. The Black population of New York City doubled during the decade. As a result, Harlem, a neighborhood at the northern end of Manhattan, became a center for Afro-centric art, music, poetry, and politics. Political expression in the Harlem of the 1920s ran the gamut, as some leaders advocated a return to Africa, while others fought for inclusion and integration.

Revived by the wartime migration and fired up by the violence of the postwar riots, urban Blacks developed a strong cultural expression in the 1920s that came to be known as the Harlem Renaissance. In this rediscovery of Black culture, African American artists and writers formulated an independent Black culture and encouraged racial pride, rejecting any emulation of American culture. Claude McKay's poem "If We Must Die" called on African Americans to start fighting back in the wake of the Red Summer riots of 1919. Langston Hughes, often nicknamed the "poet laureate" of the movement, invoked sacrifice and the just cause of civil rights in "The Colored Soldier," while another author of the movement, Zora Neale Hurston, celebrated the life and dialect of rural Blacks in a fictional, all-Black town in Florida. Hurston's *Their Eyes Were Watching God* was published in 1937.



Image 2.5 The Jamaican-born poet and novelist Claude McKay, photograph by unknown artist, Public domain, via Wikimedia Commons. He articulated the new sense of self and urban community of African Americans during the Harlem Renaissance. Although centered in the Harlem neighborhood of Manhattan, this cultural movement emerged in urban centers throughout the Northeast and Midwest.

The new Negro found political expression in a political ideology that celebrated African Americans distinct national identity. This **Negro nationalism**, as some referred to it, proposed that African Americans had a distinct and separate national heritage that should inspire pride and a sense of community. An early proponent of such nationalism was W. E. B. Du Bois. One of the founders of the NAACP, a brilliant writer and scholar, and the first African American to earn a Ph.D. from Harvard, Du Bois openly rejected assumptions of White supremacy. His conception of Negro nationalism encouraged Africans to work together in support of their own interests, promoted the elevation of Black literature and cultural expression, and, most famously, embraced the African continent as the true homeland of all ethnic Africans—a concept known as Pan-Africanism.

Taking Negro nationalism to a new level was Marcus Garvey. Like many Black Americans, the Jamaican immigrant had become utterly disillusioned with the prospect of overcoming racism in the United States in the wake of the postwar riots and promoted a “Back to Africa” movement. To return African Americans to a presumably more welcoming home in Africa, Garvey founded the **Black Star Steamship Line**. He also started the United Negro Improvement Association (UNIA), which attracted thousands of primarily lower-income working people. UNIA members wore colorful uniforms and promoted the doctrine of a “negritude” that reversed the color hierarchy of White supremacy, prizing Blackness and identifying light skin as a mark of inferiority. Intellectual leaders like Du Bois, whose lighter skin put him low on Garvey’s social order, considered the UNIA leader a charlatan. Garvey was eventually imprisoned for mail fraud and then deported, but his legacy set the stage for Malcolm X and the Black Power movement of the 1960s.

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11.2.4: More Modern Art

DADA MOVEMENT



Image 2.6 Marcel Duchamp, *Fountain*, Duchamp from Toronto, Canada, CC BY 2.0, via Wikimedia Commons

Fountain was submitted to the Society of Independent Artists, one of the first venues for experimental art in the United States. It is a new form of art Duchamp called the "readymade"— a mass-produced or found object that the artist transformed into art by the operation of selection and naming. The readymades challenged the very idea of artistic production, and what constitutes art in a gallery or museum. Duchamp provoked his viewers—testing the the exhibition organizers' liberal claim to accept all works with "no judge, no prize" without the conservative bias that made it difficult to exhibit modern art in most museums and galleries. Duchamp's *Fountain* did more than test the validity of this claim: it prompted questions about what we mean by art altogether—and who gets to decide what art is.

Duchamp's provocation characterized not only his art, but also the short-lived, enigmatic, and incredibly diverse transnational group of artists who constituted a movement known as Dada. These artists were so diverse that they could hardly be called a coherent group, and they themselves rejected the whole idea of an art movement. Instead, they proclaimed themselves an anti-movement in various journals, manifestos, poems, performances, and what would come to be known as artistic "gestures" such as Duchamp's submission of Fountain.

Dada artists worked in a wide range of media, frequently using irreverent humor and wordplay to examine relationships between art and language and voice opposition to outdated and destructive social customs. Although it was a fleeting phenomenon, lasting only from about 1914-1918 (and coinciding with WWI), Dada succeeded in irrevocably changing the way we view art, opening it up to a variety of experimental media, themes, and practices that still inform art today. Duchamp's idea of the readymade has been one of the most important legacies of Dada.

In a 1936 essay titled "The Work of Art in the Age of Mechanical Reproduction," the German philosopher and cultural theorist, Walter Benjamin, proclaimed that the industrial age had changed everything about the way we view art. He believed that new technologies for mass production and media (such as photography) would invalidate the remnants of classical artistic traditions that were still being promoted by institutions such as art academies and museums.

Duchamp's idea of the readymade(opens in new window), which he began exploring with works such as Bicycle Wheel and Bottle Rack as early as 1913, confronted these issues head on—subjecting the idea of art to intense scrutiny.



Image 2.7 Duchamp, “The Large Glass, detail with Bride" by profzucker is licensed under CC BY-NC-SA 2.0

Although Duchamp coined the term “readymade” and was the first to show mass produced objects as art, he drew inspiration from Braque, **Picasso**, and the other Cubists(opens in new window) then working in Paris, who had already begun incorporating everyday items from mass culture (such as newspaper and wallpaper) into their abstracted collages.

Duchamp here notes several points of intervention by the artist that make even a “pure” readymade like Fountain different from an ordinary object:

(1) The readymade is chosen by the artist. Different objects have different associations and significance; an airplane propeller signifies something different than a high-heeled shoe. Readymades do not display an artist’s technical skill, but a work of art based on choosing an object, rather than representing one, does not necessarily sacrifice a capacity for meaningful communication.

(2) The readymade is divorced from its ordinary context and use value, and re-presented in an art world context. This encourages us to encounter the object in a different way. A urinal encountered in a men’s restroom is a simple matter of utilitarian fact; one encountered in a gallery becomes a focus for observation, cogitation, discussion, appreciation, and/or denunciation.

(3) The readymade is sometimes given an unexpected title. This also encourages us to think about the object anew: Why is Duchamp’s urinal entitled “fountain”? What do urinals have in common with fountains? How are they different? Why is a fountain suitable for public display (and a common site for sculptural decoration), while a urinal is not?

World War I begins in 1914, embroiling Europe in a cataclysmic conflict where the advancements of the modern industrial age are immediately shown to have devastating consequences. The war cuts short the innovations in modern art of the pre-war period with citizens from France, Belgium, Russia, Italy, England (and later America) fighting against the Germans and the Austrians (later joined by the Ottoman Empire). The war lasts until 1918. Because of the technological advancements of the modern era, the war was one of the deadliest in human history, resulting in over 15 million dead and millions more grievously injured.

The *Dada* movement is formed in Zurich in 1914 as a protest against the war. So intent were members of Dada on opposing all norms of bourgeois culture that the group was barely in favor of itself: "Dada is anti-Dada," they often cried. In Berlin, Dada circles are soon established in reaction against the ongoing political instability and militarism that was responsible for the war, while New York Dada takes a more light-hearted approach using humor and irony to critique art and society. Dada artists are known for their use of readymades - everyday objects that could be bought and presented as art with little manipulation by the artist. In all three places, Dada develops as against different things (or ‘anti’) including anti-aesthetic, anti-art, anti-reason, anti-logic, anti-authority, and anti-tradition as a means of forcing a critique upon commonly held ideas and values. Tied closely to Dada irreverence was their interest in humor, typically in the form of irony. Artists like Hans Arp were intent on incorporating chance into the creation of works of art. This went against all norms of traditional art production whereby a work was meticulously planned and completed. The introduction of chance was a way for Dadaists to challenge artistic norms and to question the role of the artist in the artistic process. YES to everything as art.



Image 2.8 'Portrait', Man Ray, France, 1937" by Nesster is licensed under CC BY 2.0

SURREALISM



Image 2.9 By Salvador Dalí (1904-1989) - Image taken [Art History [0.tqn.com] fromAbout.com], Fair use, Link

Surrealism is one of the most creative and influential art and literature movements of the 20th Century. Surrealism grew out of the Dada movement, which was also in rebellion against middle-class complacency. Surrealists sought to unlock the power of the unconscious mind in a rebellion against logic, morals and the values of the bourgeois and political establishments of the 1920s and '30s. A further development of Collage, Cubism, and Dada, this 20th-century movement stresses the weird, the fantastic, and the dreamworld of the subconscious. Certain general concepts associated with psychoanalysis are useful for considering Surrealist art. The most important of these is the notion of the unconscious as a repository for thoughts and feelings that are generally unavailable to consciousness. Freud considered dreams to be coded expressions of unconscious fears, desires, and conflicts that could be deciphered and potentially resolved through analysis.

Historians typically introduce Surrealism as an offshoot of Dada (Dada was an art movement of the early twentieth century that emerged in Europe and New York in response to the horrors of World War I—which killed an estimated 16 million people). In the early 1920s, writers such as André Breton and Louis Aragon became involved with Parisian Dada. Although they shared the

group's interest in anarchy and revolution, they felt Dada lacked clear direction for political action. So in late 1922, this growing group of radicals left Dada, and began looking to the mind as a source of social liberation. Influenced by French psychology and the work of Sigmund Freud, they experimented with practices that allowed them to explore subconscious thought and identity and bypass restrictions placed on people by social convention. For example, societal norms mandate that suddenly screaming expletives at a group of strangers—unprovoked, is completely unacceptable.

The exquisite corpse is a technique (The name derives from the French term cadavre exquis and means rotating body), developed from a writing game the Surrealists created. First, a piece of paper is folded as many times as there are players. Each player takes one side of the folded sheet and, starting from the top, draws the head of a body, continuing the lines at the bottom of their fold to the other side of the fold, then handing that blank folded side to the next person to continue drawing the figure. Once everyone has drawn her or his "part" of the body, the last person unfolds the sheet to reveal a strange composite creature, made of unrelated forms that are now merged. A Surrealist Frankenstein's monster, of sorts.



Image 2.10 Example of 'exquisite corpse' DIYLILCNC, CC BY-SA 2.0, via Wikimedia Commons.

Surrealism is a broad style in painting, sculpture, photography, film and fashion. For our purposes, it can be organized into two main areas. Each area uses the power of dreams, memories and the unconscious mind to explore different attitudes, states of being and experiences, with the difference between these two areas of Surrealism being in the type of images and the techniques used to make art.

THE SURREALIST EXPERIENCE

Today, we tend to think of Surrealism primarily as a visual arts movement, but the group's activity stemmed from much larger aspirations. By teaching how to circumvent restrictions that society imposed, the Surrealists saw themselves as agents of social change. The desire for revolution was such a central tenet that through much of the late 1920s, the Surrealists attempted to ally their cause with the French Communist party, seeking to be the artistic and cultural arm. Unsurprisingly, the incompatibility of the two groups prevented any alliance, but the Surrealists' effort speaks to their political goals.

In its purest form, Surrealism was a way of life. Members advocated becoming flâneurs–urban explorers who traversed cities without plan or intent, and they sought moments of objective chance—seemingly random encounters actually fraught with import and meaning. They disrupted cultural norms with shocking actions, such as verbally assaulting priests in the street. They sought in their lives what Breton dubbed surreality, where one's internal reality merged with the external reality we all share. Such experiences, which could be represented by a painting, photograph, or sculpture, are the true core of Surrealism.



Image 2.11 Homage to Newton, a surrealist sculpture by Salvador Dali. Photograph by Michael Coghlan from Adelaide, Australia - Dali Statue, CC BY-SA 2.0, Link.

FRIDA KAHLO



Image 2.12 Frida Kahlo, *The Two Fridas (Las dos Fridas)*, 1939, oil on canvas, 67-11/16 x 67-11/16" (Museo de Arte Moderno, Mexico City) The Artchive, Public Domain, Link

Sixty, more than a third, of the easel paintings known by Frida Kahlo are self-portraits. This huge number demonstrates the importance of this genre to her artistic oeuvre. *The Two Fridas*, like *Self-Portrait With Cropped Hair*, captures the artist's turmoil after her 1939 divorce from the artist Diego Rivera. At the same time, issues of identity surface in both works. *The Two Fridas*(opens in new window) speaks to cultural ambivalence and refers to her ancestral heritage. *Self-Portrait With Cropped Hair* suggests Kahlo's interest in gender and sexuality as fluid concepts.



Frida Kahlo, *Self-Portrait with Cropped Hair*, 1940, oil on canvas, 40 x 27.9 cm (Banco de México Diego Rivera Frida Kahlo Museums Trust, Mexico City). Retrieved from Khan Academy

Kahlo was famously known for her tumultuous marriage with Rivera, whom she wed in 1929 and remarried in 1941. The daughter of a German immigrant (of Hungarian descent) and a Mexican mother, Kahlo suffered from numerous medical setbacks including polio, which she contracted at the age of six, partial immobility—the result of a bus accident in 1925, and her several miscarriages. Kahlo began to paint largely in response to her accident and her limited mobility, taking on her own identity and her struggles as sources for her art. Despite the personal nature of her content, Kahlo's painting is always informed by her sophisticated understanding of art history, of Mexican culture, its politics, and its patriarchy.

THE TWO FRIDAS

Exhibited in 1940 at the International Surrealist Exhibition, *The Two Fridas* depicts a large-scale, double portrait of Kahlo, rare for the artist, since most of her canvases were small, reminiscent of colonial *retablos*, small devotional paintings. To the right Kahlo appears dressed in traditional Tehuana attire, different from the nineteenth century wedding dress she wears at left and similar to the one worn by her mother in *My Grandparents, My Parents, and I (Family Tree)* (1936).

Whereas the white dress references the Euro-Mexican culture she was brought up in, in which women are “feminine” and fragile, the Tehuana dress evokes the opposite, a powerful figure within an indigenous culture described by some at the time as a matriarchy. This cultural contrast speaks to the larger issue of how adopting the distinctive costume of the indigenous people of Tehuantepec, known as the Tehuana, was considered not only “a gesture of nationalist cultural solidarity,” but also a reference to the gender stereotype of “*la india bonita*.” [1]

Against the backdrop of post-revolutionary Mexico, when debates about *indigenismo* (the ideology that upheld the Indian as an important marker of national identity) and *mestizaje* (the racial mixing that occurred as a result of the colonization of the Spanish-speaking Americas) were at stake, Kahlo’s work can be understood on both a national and personal level. While the Tehuana costume allowed for Kahlo to hide her misshapen body and right leg, a consequence of polio and the accident, it was also the attire most favored by Rivera, the man whose portrait the Tehuana Kahlo holds. Without Rivera, the Europeanized Kahlo not only bleeds to death, but her heart remains broken, both literally and metaphorically.

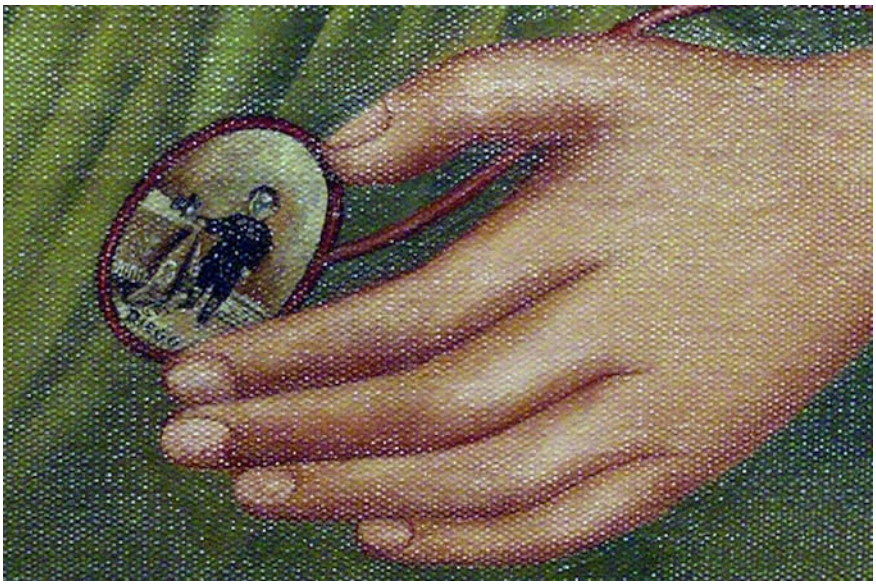


Image 2.15 Frida Kahlo, detail with hemostat, *The Two Fridas (Las dos Fridas)*, 1939, oil on canvas, 67-11/16 x 67-11/16″ (Museo de Arte Moderno, Mexico City) (photo: Dave Cooksey, CC: BY-NC-SA 4.0)

“I AM THE PERSON I KNOW BEST”

Photographs by artists within her milieu, like Manuel Alvarez Bravo and Imogen Cunningham, confirm that Kahlo's self portraits were largely accurate and that she avoided embellishing her features. The solitude produced by frequent bed rest—stemming from polio, her near-fatal bus accident, and a lifetime of operations—was one of the cruel constants in Kahlo’s life. Indeed, numerous photographs feature Kahlo in bed, often painting despite restraints. Beginning in her youth, in order to cope with these long periods of recovery, Kahlo became a painter. Nevertheless, the isolation caused by her health problems was always present. She reflected, “I paint self-portraits because I am so often alone, because I am the person I know best.”

In opposition, the painting *Self-Portrait With Cropped Hair* boldly denounces the femininity of *Two Fridas*. In removing her iconic Tehuana dress, in favor of an oversized men’s suit, and in cutting off her braids in favor of a crew cut, Kahlo takes on the appearance of none other than Rivera himself. At the top of the canvas, Kahlo incorporates lyrics from a popular song, which read, “Look, if I loved you it was because of your hair. Now that you are without hair, I don't love you anymore.” In weaving personal and popular references, Kahlo creates multilayered self-portraits that while rooted in reality, as she so adamantly argued, nevertheless provoke the surrealist imagination. This can be seen in the visual disjunctions she employs such as the floating braids in *Self Portrait with Cropped Hair* and the severed artery in *Two Fridas*. As Kahlo asserted to Surrealist writer André Breton, she was simply painting her own reality.

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Dr. Maya Jiménez, "Frida Kahlo, introduction," in Smarthistory, October 31, 2019, accessed May 24, 2021, Khan Academy [smarthistory.org].CC BY-NC SA 4.0.

Rose, John. “Surrealism, an Introduction. (Article).” Khan Academy, Khan Academy,Khan Academy [www.khanacademy.org]. CC BY-NC-SA 3.0 US.

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11.2.5: The Lost Generation

WRITERS IN EXILE

As the country struggled with the effects and side-effects of prohibition, many young intellectuals endeavored to come to grips with a lingering sense of disillusionment. World War I, fundamentalism, and the Red Scare—a pervasive American fear of Communist infiltrators prompted by the success of the Bolshevik Revolution—all left their mark on these intellectuals. Known as the **Lost Generation**, writers like F. Scott Fitzgerald, Ernest Hemingway, Sinclair Lewis, Edith Wharton, and John Dos Passos expressed their hopelessness and despair by skewering the middle class in their work. They felt alienated from society, so they tried to escape (some literally) to criticize it. Many lived an **expatriate** life in Paris for the decade, although others went to Rome or Berlin.

The Lost Generation writer that best exemplifies the mood of the 1920s was F. Scott Fitzgerald, now considered one of the most influential writers of the twentieth century. His debut novel, *This Side of Paradise*, describes a generation of youth "grown up to find all gods dead, all wars fought, all faith in man shaken." *The Great Gatsby*, published in 1925, exposed the doom that always follows the fun, fast-lived life. Fitzgerald depicted the modern millionaire Jay Gatsby living a profligate life: unscrupulous, coarse, and in love with another man's wife. Both Fitzgerald and his wife Zelda lived this life as well, squandering the money he made from his writing.

Equally idiosyncratic and disillusioned was writer Ernest Hemingway (Image 2.16). He lived a peripatetic and adventurous lifestyle in Europe, Cuba, and Africa, working as an ambulance driver in Italy during World War I and traveling to Spain in the 1930s to cover the civil war there. His experiences of war and tragedy stuck with him, emerging in colorful scenes in his novels *The Sun Also Rises* (1926), *A Farewell to Arms* (1929), and *For Whom the Bell Tolls* (1940). In 1952, his novella, *The Old Man and the Sea*, won the Pulitzer Prize. Two years later, he won the Nobel Prize in Literature for this book and his overall influence on contemporary style.

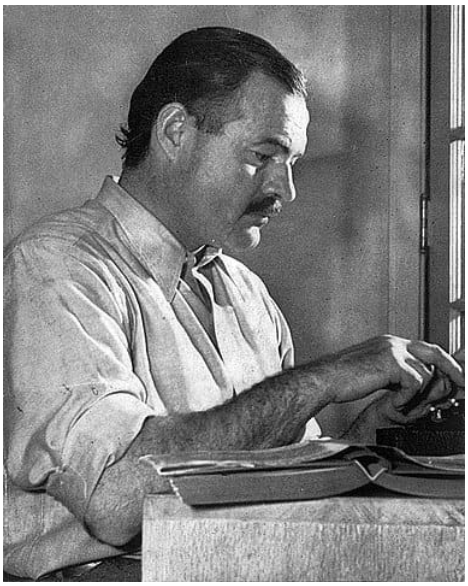


Image 2.16 Ernest Hemingway, photograph by Lloyd Arnold - http://www.phoodie.info/2013/07/19/from-the-desk-of-ernest-hemingway-this-weekend-cuba-libre-celebrates-my-birthday/, Public Domain, Link. He was one of the most prominent members of the Lost Generation who went to live as expatriates in Europe during the 1920s.

Not all Lost Generation writers were like Fitzgerald or Hemingway. The writing of Sinclair Lewis, rather than expressing a defined disillusionment, was more influenced by the Progressivism of the previous generation. In *Babbitt* (1922), he examined the "sheep following the herd" mentality that conformity promoted. He satirized American middle-class life as pleasure seeking and mindless. Similarly, writer Edith Wharton celebrated life in old New York, a vanished society, in *The Age of Innocence*, in 1920. Wharton came from a very wealthy, socialite family in New York, where she was educated by tutors and never attended college. She lived

for many years in Europe; during the Great War, she worked in Paris helping women establish businesses.

MY STORY

F. Scott Fitzgerald on the 1920s

In the 1920s, Fitzgerald was one of the most celebrated authors of his day, publishing *This Side of Paradise*, *The Beautiful and Damned*, and *The Great Gatsby* in quick succession. However, his profligate lifestyle with his wife Zelda sapped their funds, and Fitzgerald had to struggle to maintain their lavish lifestyle. Below is an excerpt from "The Crack-Up," a personal essay by Fitzgerald originally published in *Esquire* in which he describes his "good life" during the 1920s.

> It seemed a romantic business to be a successful literary man—you were not ever going to be as famous as a movie star but what note you had was probably longer-lived; you were never going to have the power of a man of strong political or religious convictions but you were certainly more independent. Of course within the practice of your trade you were forever unsatisfied—but I, for one, would not have chosen any other.
>
> As the Twenties passed, with my own twenties marching a little ahead of them, my two juvenile regrets—at not being big enough (or good enough) to play football in college, and at not getting overseas during the war—resolved themselves into childish waking dreams of imaginary heroism that were good enough to go to sleep on in restless nights. The big problems of life seemed to solve themselves, and if the business of fixing them was difficult, it made one too tired to think of more general problems.
>
> —F. Scott Fitzgerald, "The Crack-Up," 1936

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11.2.6: The Great Depression

The stock market crash of October 1929 set the **Great Depression** into motion, but other factors were at the root of the problem, propelled onward by a series of both human-made and natural catastrophes. Anticipating a short downturn and living under an ethos of free enterprise and individualism, Americans suffered mightily in the first years of the **Depression**. As conditions worsened and the government failed to act, they grew increasingly desperate for change. While Hoover could not be blamed for the **Great Depression**, his failure to address the nation's hardships would remain his legacy.

CHANGING VALUES, CHANGING CULTURE

In the decades before the **Great Depression**, and particularly in the 1920s, American culture largely reflected the values of individualism, self-reliance, and material success through competition. Novels like F. Scott Fitzgerald's *The **Great** Gatsby* and Sinclair Lewis's *Babbit* portrayed wealth and the self-made man in America, albeit in a critical fashion. In film, many silent movies, such as Charlie Chaplin's *The Gold Rush*, depicted the rags-to-riches fable that Americans so loved. With the shift in U.S. fortunes, however, came a shift in values, and with it, a new cultural reflection. The arts revealed a new emphasis on the welfare of the whole and the importance of community in preserving family life. While box office sales briefly declined at the beginning of the **Depression**, they quickly rebounded. Movies offered a way for Americans to think of better times, and people were willing to pay twenty-five cents for a chance to escape, at least for a few hours.

Even more than escapism, other films at the close of the decade reflected on the sense of community and family values that Americans struggled to maintain throughout the entire Depression. John Ford's screen version of Steinbeck's *The Grapes of Wrath* came out in 1940, portraying the haunting story of the Joad family's exodus from their Oklahoma farm to California in search of a better life. Their journey leads them to realize that they need to join a larger social movement—communism—dedicated to bettering the lives of all people. Tom Joad says, "Well, maybe it's like Casy says, a fella ain't got a soul of his own, but on'y a piece of a soul—the one big soul that belongs to ever'body." The greater lesson learned was one of the strength of community in the face of individual adversity.

Another trope was that of the hard-working everyman against greedy banks and corporations. This was perhaps best portrayed in the movies of Frank Capra, whose *Mr. Smith Goes to Washington* was emblematic of his work. In this 1939 film, Jimmy Stewart plays a legislator sent to Washington to finish out the term of a deceased senator. While there, he fights corruption to ensure the construction of a boy's camp in his hometown rather than a dam project that would only serve to line the pockets of a few. He ultimately engages in a two-day filibuster, standing up to the power players to do what's right. The Depression era was a favorite of Capra's to depict in his films, including *It's a Wonderful Life*, released in 1946. In this film, Jimmy Stewart runs a family-owned savings and loan, which at one point faces a bank run similar to those seen in 1929–1930. In the end, community support helps Stewart retain his business and home against the unscrupulous actions of a wealthy banker who sought to bring ruin to his family.

AMERICANA

"Brother, Can You Spare a Dime?"
They used to tell me I was building a dream, and so I followed the mob
When there was earth to plow or guns to bear, I was always there, right on the job
They used to tell me I was building a dream, with peace and glory ahead
Why should I be standing in line, just waiting for bread?
Once I built a railroad, I made it run, made it race against time
Once I built a railroad, now it's done, Brother, can you spare a dime?
Once I built a tower up to the sun, brick and rivet and lime
Once I built a tower, now it's done, Brother, can you spare a dime?

"Brother, Can You Spare a Dime?" first appeared in 1932, written for the Broadway musical *New Americana* by Jay Gorney, a composer who based the song's music on a Russian lullaby, and Edgar Yipsel "Yip" Harburg, a lyricist who would go on to win an Academy Award for the song "Over the Rainbow" from *The Wizard of Oz* (1939).

With its lyrics speaking to the plight of the common man during the **Great Depression** and the refrain appealing to the same sense of community later found in the films of Frank Capra, "Brother, Can You Spare a Dime?" quickly became the *de facto*

anthem of the **Great Depression**. Recordings by Bing Crosby, Al Jolson, and Rudy Vallee all enjoyed tremendous popularity in the 1930s.

Finally, there was a **great** deal of pure escapism in the popular culture of the **Depression**. Even the songs found in films reminded many viewers of the bygone days of prosperity and happiness, from Al Dubin and Henry Warren's hit "We're in the Money" to the popular "Happy Days are Here Again." The latter eventually became the theme song of Franklin Roosevelt's 1932 presidential campaign. People wanted to forget their worries and enjoy the madcap antics of the Marx Brothers, the youthful charm of Shirley Temple, the dazzling dances of Fred Astaire and Ginger Rogers (Image 2.17), or the comforting morals of the *Andy Hardy* series. The Hardy series—nine films in all, produced by MGM from 1936 to 1940—starred Judy Garland and Mickey Rooney, and all followed the adventures of a small-town judge and his son. No matter what the challenge, it was never so big that it could not be solved with a musical production put on by the neighborhood kids, bringing together friends and family members in a warm display of community values.



Image 2.17 *Flying Down to Rio* (1933) was the first motion picture to feature the immensely popular dance duo of Fred Astaire and Ginger Rogers. The pair would go on to star in nine more Hollywood musicals throughout the 1930s and 1940s). Image by Poster_-_Flying_Down_to_Rio_01.jpg: Harold Seroy (d. 1999) derivative work: Crisco 1492 - This file was derived from: Poster - Flying Down to Rio 01.jpg: , Public Domain, Link, .

All of these movies reinforced traditional American values, which suffered during these hard times, in part due to declining marriage and birth rates, and increased domestic violence. At the same time, however, they reflected an increased interest in sex and sexuality. While the birth rate was dropping, surveys in *Fortune* magazine in 1936–1937 found that two-thirds of college students favored birth control, and that 50 percent of men and 25 percent of women admitted to premarital sex, continuing a trend among younger Americans that had begun to emerge in the 1920s. Contraceptive sales soared during the decade, and again, culture reflected this shift. Blonde bombshell Mae West was famous for her sexual innuendoes, and her flirtatious persona was hugely popular, although it got her banned on radio broadcasts throughout the Midwest. Whether West or Garland, Chaplin or Stewart, American film continued to be a barometer of American values, and their challenges, through the decade.

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11.2.7: The Mexican Muralist Movement

SIQUEIROS AND MEXICAN HISTORY



Image 2.18 David Alfaro Siqueiros, Mexican History or the Right for Culture, National Autonomous University of Mexico (UNAM), 1952-56, (Mexico City, photo: Fausto Puga) CC BY-NC SA.

At the National Autonomous University of Mexico (UNAM) in Mexico City visitors enter the rectory (the main administration building), beneath an imposing three-dimensional arm emerging from a mural. Several hands, one with a pencil, charge towards a book, which lists critical dates in Mexico's history: 1520 (the Conquest by Spain); 1810 (Independence from Spain); 1857 (the Liberal Constitution which established individual rights); and 1910 (the start of the Revolution against the regime of Porfirio Díaz). David Alfaro Siqueiros left the final date blank in Dates in Mexican Histor y or the Right for Culture (1952-56), inspiring viewers to create Mexico's next great historic moment.

THE REVOLUTION

From 1910 to 1920 civil war ravaged the nation as citizens revolted against dictator Porfirio Díaz. At the heart of the Revolution was the belief—itself revolutionary—that the land should be in the hands of laborers, the very people who worked it. This demand for agrarian reform signaled a new age in Mexican society: issues concerning the popular masses—universal public education and health care, expanded civil liberties—were at the forefront of government policy.

MEXICAN MURALISM

At the end of the Revolution the government commissioned artists to create art that could educate the mostly illiterate masses about Mexican history. Celebrating the Mexican people's potential to craft the nation's history was a key theme in Mexican muralism, a movement led by Siqueiros, Diego Rivera, and José Clemente Orozco—known as Los tres grandes. Between the 1920s and 1950s, they cultivated a style that defined Mexican identity following the Revolution.

The muralists developed an iconography featuring atypical, non-European heroes from the nation's illustrious past, present, and future—Aztec warriors battling the Spanish, humble peasants fighting in the Revolution, common laborers of Mexico City, and the mixed-race people who will forge the next great epoch, like in Siqueiros' UNAM mural. Los tres grandes crafted epic murals on the walls of highly visible, public buildings using techniques like fresco, encaustic, mosaic, and sculpture-painting.

One of the earliest government commissions for a post-Revolution mural was for the National Preparatory School, a high school

in Mexico City affiliated with UNAM. During the 1920s Los tres grandes and other artists completed works throughout the school's expansive exteriors and interiors.

MURALS FOR THE PALACE OF FINE ARTS

In 1934 the government inaugurated the Palace of Fine Arts Mexico City, which soon became the nation's most important cultural institution. The Palace's Museum, Mexico's first art museum, opened the same year with works by two of Los tres grandes: Rivera's Man, Controller of the Universe, 1934, a recreation of Man at the Crossroads (painted at Rockefeller Center and destroyed the year before), and Orozco's Catharsis, 1934.



Image 2.19 José Clemente Orozco, Catharsis (partial view), 1934 (Museum of the Palace of Fine Arts, Mexico City, photo: xennex), Public Domain.

The title of Orozco's painting dates to 1942, when an art historian speculated that the fire at the top of the composition symbolized catharsis, and thus "the only possibility of saving and purifying civilization" as it succumbed to the excesses of moral depravity. The laughing central figure jerks the viewer into an immoral world, where the malevolent aspects of modern life—senseless warfare, destructive technology, and prostitution—run rampant.



Image 2.20 David Alfaro Siqueiros, Torment and Apotheosis of Cuauhtémoc (detail), 1950-51 (Museum of the Palace of Fine Arts,

photo: Jaontiveros), Fair Use.

In Torment and Apotheosis of Cuauhtémoc, 1950-51, another mural at the Museum of the Palace of Fine Arts, Siqueiros explores the violent period of the Conquest. In this mural Spanish soldiers torture the Mexican tribal leader for information on the location of the treasure they seek. The Mexican motherland, symbolized by the blood-stained female figure, stretches her arms protectively over his still figure. Siqueiros' penchant for sinewy limbs, showcased in the UNAM murals and exemplified here in the bodies of Cuauhtémoc and his praying companion, underscore the tension in this encounter.

The Mexican Revolution was a watershed moment in the twentieth century because it marked a true break from the past, ushering in a more egalitarian age. With its grand scale, innovative iconography, and socially relevant message, Mexican muralism remains a notable compliment to the Revolution. The way the muralists reoriented history, recovered lost stories, and drafted new narratives continues to stir audiences and inspire artists, like the Chicano muralists that emerged in the U.S. Southwest. The fact that their in-situ masterpieces can still be seen publicly in Mexico and beyond is a testament to their relevance, popularity, and the power of their didactic message.

TOP OF FORM

Art in itself can be seen as a revolution and bring out intense emotions onto the artist and the viewer. During and after the Mexican Revolution, many artists in Mexico felt an inspiration to make their own revolution and reveal it to the world through murals. Murals were originally used as a way to spread visual messages to an illiterate population, which opened up new possibilities in the inclusion and sense of community within a people. These messages provided artists with the ability to share pride in their identities, historical traditions, or political beliefs. The work of "The Big Three" of Mexican muralists, Diego Rivera, Jose Clemente Orozco, and David Alfaro Siqueiros, as well as artists Fernando Leal and Aurora Reyes Flores, all led to the normalization of public art and inclusion of the everyday person into the world of art.

Collectively, you will see artworks from "the big three", and two other artists who were very important to the movement but did not achieve the same status as the three most well-known Mexican muralists. Starting off with probably the most notorious of the artists in this exhibition, is Diego Rivera. The two selected murals for Rivera are La Historia de México and El Hombre Controlador del Universo. Rivera arrived back to Mexico in 1922, when the country was still struggling with the aftermath of the Revolution, and he took his murals as a venture to address the everyday person and tell stories of Mexican society. The next mural was made by Fernando Leal. Los Danzantes de Chalma was very pertinent to this art movement because it brought up the Indigenous peoples and roots of Mexico during a time when previous to that, the native people of Mexico were consistently repressed and taken out of the narrative in society. Fernando Leal is known to be one of the first muralists of this movement.

Jose Clemente Orozco told the darker side of the Revolution through his artwork. Having been the only one out of "the big three" to actually be in Mexico during the time of the war, he had a first hand experience of the bleakness of Mexican society at the time. His two chosen artworks, The Trench and El Hombre en Llamas, show his despondency and lack of hope caused by the horrors he had witnessed in his lifetime. Being the oldest of the great three, Orozco was able to see that there were always two sides of everything, and during a time where many were glorifying the war, he made sure to bring the focus back onto those who had to suffer for all to be confident in the state of the country Mexico was in at the time.

The next artist is Aurora Reyes Flores. She was the first female muralist of this movement as well as the first exponent of the movement. Unfortunately she does not receive the same fame as her male counterparts however she deserves so much more recognition than she gets. The mural Atentado a los Maestros Rurales, is one of her most famous works and she is known for being a trailblazer for Mexican women in art and transforming public art in Mexico. The final two artworks are made by the third great of Mexican muralism, David Alfaro Siqueiros. He focused a lot on the political aspects of art and the war and that is why his work the Birth of Fascism is included even though it is a painting and not one of his murals. His second work displayed is Portrait of the Bourgeoisie, which also reveals his socialist views through his art. His artworks became very famous in particular because Mexico had just gotten out of a dictatorship and he was able to speak and relate to the working class and lower-income people of Mexico without words.

Using murals as a way to spread visual messages to the people of Mexico, these artists created an identity all Mexicans could relate to. By promoting a sense of pride in cultural identity, a brotherhood in a shared grief, and providing a representation for populations that had been silenced, these muralists changed the way art was perceived, forever. The Mexican Muralism Movement, a movement born from the Mexican Revolution, created a revolution of its own in the art world.

EXHIBITION



Image 2.21 Diego Rivera, *La historia de México,* Fresco 70 x 9 m 1929 – 1935 (National Palace, Mexico City, Mexico)By Kgv88 - Self-photographed, CC BY-SA 3.0, Link.

Depicted is the large mural Diego Rivera made to portray the history of Mexico. The three panels all come together at the bottom where pre-colonial Mexico is shown to illustrate Mexico's indigenous roots and the wars and oppression they have been through. This was made to build a sense of pride for all Mexicans and to represent native people in a better light. Even though this is called The History of Mexico, there is also a part of the mural, specifically shown on the South Wall, where the artist adds in an optimistic view of the future of Mexico now that the revolution has come to a close.



Image 2.22 Diego Rivera, *El hombre controlador del universe,* 4,80 x 11,45 m Fresco 1934 (Museo de Bellas Artes, Mexico City, Mexico) Photograph by Gumr51 - Own work, CC BY-SA 3.0, Link.

Depicted here is a replica of the original work which was first commissioned to be placed in New York City's Rockefeller Center. However it was taken down when the artist, Diego Rivera, added in depictions of communist leaders. This version of the mural allowed Rivera to complete the finished work without restrictions in revealing his own ideologies. In the center is a man who is surrounded by the world and its many perspectives. On each side of the man are different beliefs. On the right, Lenin, Marx, and Freidrich Engles, and on the left is Charles Darwin and John Rockefeller Jr. This artwork has become culturally significant to show the relationship between politics, the economy, and creative freedom.



Image 2.23 Fernando Leal, *Los Danzantes de Chalma,* Fresco 1922. Photograph by Fernando Leal - Self-published work by Thelmadatter, CC BY-SA 3.0, Link(San Ildefonso College, Mexico City, Mexico) CC BY-SA.

Displayed above is the artist's rendition of a real event that had happened during that time. Leal had overheard that during a ritualistic dance that was meant to worship the Virgin Mary, her statue had fallen over, revealing a statue that was carved into the wall of the native Mexican goddess of water, which had previously been hidden. Although Fernando Leal did not receive the same amount of fame as "The Big Three", he was one of the first to start off this movement, and bring indigenous Mexican culture into the limelight.



Image 2.24 Jose Clemente Orozco, *The Trench*, 4 x 2 m Fresco 1926. (Museum of Modern Art, New York, New York) Photograph by Lsalgador82 - Own work, CC BY-SA 3.0, Link.

Depicted above are soldiers in the Mexican Revolution in a very somber presentation. While other artists focused on the hope the future after the war promised, Orozco was actually in Mexico during the war and saw all the struggles and fighting the people Mexico had to face. Orozco focused on the body language of the men in the mural, making sure that their sorrow, vulnerability, and suffering can be felt through the art. For many, Jose Clement Orozco was able to put humanity back into those affected by the war unto the public eye.



Image 2.25 Jose Clemente Orozco, *El hombre en llamas* 27 m Fresco 1939. (Hospicio Cabanas, Guadalajara, Mexico) CC BY-SA.

Depicted above is the fresco also known as “The Man of Fire”, in this surrounded by a series of arched panels, a self-sacrificing man is in the center of it all. Orozco was surrounded by the horrors of the world throughout his entire life and in this mural, we see his version of a glimmer of hope. Represented in this fresco is Mexico’s struggle with both indigenous and European forces, and trying to find a middle ground between it all.

Siqueiros' work remains under copyright. Birth of Fascism shows a woman giving birth to a monster which represents fascism in this painting. Although known for his murals, Siqueiros also created many paintings during the Mexican Muralism movement. The woman depicted is said to be a whore who is having a painful birth to a monster during a storm who wishes to be saved. To have such an ominous and painful painting be called the “birth”, it sends a very clear message of his political beliefs to the viewer.

Portrait of Bourgeoisie was David Alfaro Siqueiros’ warning to the people of the dangers of intersecting the government, capitalism, and industry. On the left, we see the burning buildings that represent the order of the past while the rest of the walls depict his fears of nature and machine intertwining. In Marxist contexts, the bourgeoisie is the class who owns most of society’s wealth and means of production, this mural portrays the artists’ concerns with how society will unravel if they continue to be the ones in power and the lower classes are continued to be ignored.

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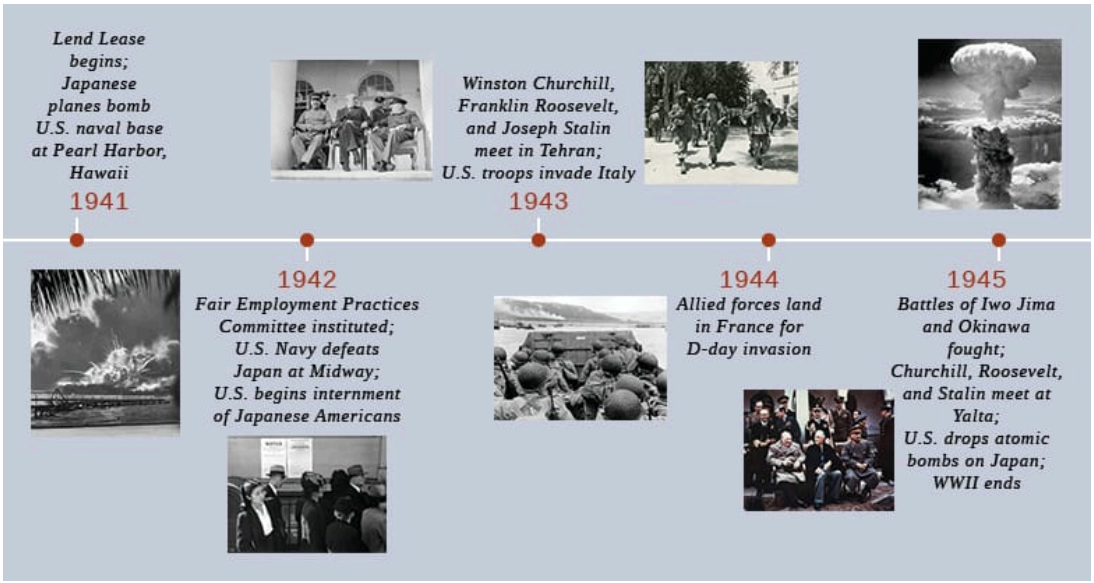
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11.2.8: World War II

WAR ERUPTS AGAIN

World War II awakened the sleeping giant of the United States from the lingering effects of the Great Depression. Although the country had not entirely disengaged itself from foreign affairs following World War I, it had remained largely divorced from events occurring in Europe until the late 1930s. World War II forced the United States to involve itself once again in European affairs. It also helped to relieve the unemployment of the 1930s and stir industrial growth. The propaganda poster above was part of a concerted effort to get Americans to see themselves as citizens of a strong, unified country, dedicated to the protection of freedom and democracy. However, the war that unified many Americans also brought to the fore many of the nation's racial and ethnic divisions, both on the frontlines—where military units, such as the one depicted in this poster, were segregated by race—and on the home front. Yet, the war also created new opportunities for ethnic minorities and women, which, in postwar America, would contribute to their demand for greater rights.

The years between the First and Second World Wars were politically and economically tumultuous for the United States and especially for the world. The Russian Revolution of 1917, Germany's defeat in World War I, and the subsequent Treaty of Versailles had broken up the Austro-Hungarian, German, and Russian empires and significantly redrew the map of Europe. President Woodrow Wilson had wished to make World War I the "war to end all wars" and hoped that his new paradigm of "collective security" in international relations, as actualized through the League of Nations, would limit power struggles among the nations of the world. However, during the next two decades, America's attention turned away from global politics and toward its own needs. At the same time, much of the world was dealing with economic and political crises, and different types of totalitarian regimes began to take hold in Europe. In Asia, an ascendant Japan began to expand its borders. Although the United States remained focused on the economic challenges of the Great Depression as World War II approached, ultimately it became clear that American involvement in the fight against Nazi Germany and Japan was in the nation's interest.



TOTALITARIASM IN EUROPE

The Nazis gained numerous followers during the Great Depression, which hurt Germany tremendously, plunging it further into economic crisis. By 1932, nearly 30 percent of the German labor force was unemployed. Not surprisingly, the political mood was angry and sullen. Hitler, a World War I veteran, promised to return Germany to greatness. By the beginning of 1933, the Nazis had become the largest party in the German legislature. Germany's president, Paul von Hindenburg, at the urging of large industrialists who feared a Communist uprising, appointed Hitler to the position of chancellor in January 1933. In the elections that took place in early March 1933, the Nazis gained the political power to pass the Enabling Act later that same month, which gave Hitler the power to make all laws for the next four years. Hitler thus effectively became the dictator of Germany and remained so long after the four-year term passed. Like Italy, Germany had become a one-party totalitarian state (Image 2.29). Nazi Germany was an anti-Semitic nation, and in 1935, the Nuremberg Laws deprived Jews, whom Hitler blamed for Germany's downfall, of German citizenship and the rights thereof.



(a) (b)

Image 2.29 Italian Fascists under the dictatorial leadership of Benito Mussolini (a, center) and German National Socialist Party leader and dictator Adolf Hitler (b) systematically dismantled democratic institutions and pushed military buildups, racial supremacy, and an aggressive nationalism in the 1920s and early 1930s.

Once in power, Hitler began to rebuild German military might. He commenced his program by withdrawing Germany from the League of Nations in October 1933. In 1936, in accordance with his promise to restore German greatness, Hitler dispatched military units into the Rhineland, on the border with France, which was an act contrary to the provisions of the Versailles Treaty. In March 1938, claiming that he sought only to reunite ethnic Germans within the borders of one country, Hitler invaded Austria. At a conference in Munich later that year, Great Britain's prime minister, Neville Chamberlain, and France's prime minister, Édouard Daladier, agreed to the partial dismemberment of Czechoslovakia and the occupation of the Sudetenland (a region with a sizable German population) by German troops (Figure 27.4). This Munich Pact offered a policy of **appeasement**, in the hope that German expansionist appetites could be satisfied without war. But not long after the agreement, Germany occupied the rest of Czechoslovakia as well.



Image 2.30 Prime Minister Neville Chamberlain arrives home in England bearing the Munich Pact agreement. The jubilant Chamberlain proclaimed that the agreement meant “peace in our time.”

Leaders in the Soviet Union, which developed its own form of brutal totalitarianism through communism, paid close attention to Hitler’s actions and public pronouncements. Soviet leader Joseph Stalin realized that Poland, part of which had belonged to Germany before the First World War, was most likely next. Although fiercely opposed to Hitler, Stalin, sobered by the French and British betrayal of Czechoslovakia and unprepared for a major war, decided the best way to protect the Soviet Union, and gain additional territory, was to come to some accommodation with the German dictator. In August 1939, Germany and the Soviet Union essentially agreed to divide Poland between them and not make war upon one another.

MILITARISM IN JAPAN

Militaristic politicians also took control of Japan in the 1930s. The Japanese had worked assiduously for decades to modernize, build their strength, and become a prosperous, respected nation. The sentiment in Japan was decidedly pro-capitalist, and the Japanese militarists were fiercely supportive of a capitalist economy. They viewed with great concern the rise of Communism in the Soviet Union and in particular China, where the issue was fueling a civil war, and feared that the Soviet Union would make inroads in Asia by assisting China’s Communists. The Japanese militarists thus found a common ideological enemy with Fascism and National Socialism, which had based their rise to power on anti-Communist sentiments. In 1936, Japan and Germany signed the Anti-Comintern Pact, pledging mutual assistance in defending themselves against the Comintern, the international agency created by the Soviet Union to promote worldwide Communist revolution. In 1937, Italy joined the pact, essentially creating the foundation of what became the military alliance of the Axis powers.

Like its European allies, Japan was intent upon creating an empire for itself. In 1931, it created a new nation, a puppet state called Manchukuo, which had been cobbled together from the three northernmost provinces of China. Although the League of Nations formally protested Japan’s seizure of Chinese territory in 1931 and 1932, it did nothing else. In 1937, a clash between Japanese and Chinese troops, known as the Marco Polo Bridge Incident, led to a full-scale invasion of China by the Japanese. By the end of the year, the Chinese had suffered some serious defeats. In Nanjing, then called Nanking by Westerners, Japanese soldiers systematically raped Chinese women and massacred hundreds of thousands of civilians, leading to international outcry. Public sentiment against Japan in the United States reached new heights. Members of Protestant churches that were involved in missionary work in China were particularly outraged, as were Chinese Americans. A troop of Chinese American Boy Scouts in New York City’s Chinatown defied Boy Scout policy and marched in protest against Japanese aggression.

A DATE WHICH WILL LIVE IN INFAMY

By the second half of 1941, Japan was feeling the pressure of the American embargo. As it could no longer buy strategic material from the United States, the Japanese were determined to obtain a sufficient supply of oil by taking control of the Dutch East Indies. However, they realized that such an action might increase the possibility of American intervention, since the Philippines,

a U.S. territory, lay on the direct route that oil tankers would have to take to reach Japan from Indonesia. Japanese leaders thus attempted to secure a diplomatic solution by negotiating with the United States while also authorizing the navy to plan for war. The Japanese government also decided that if no peaceful resolution could be reached by the end of November 1941, then the nation would have to go to war against the United States.

The American final counterproposal to various offers by Japan was for the Japanese to completely withdraw, without any conditions, from China and enter into nonaggression pacts with all the Pacific powers. Japan found that proposal unacceptable but delayed its rejection for as long as possible. Then, at 7:48 a.m. on Sunday, December 7, the Japanese attacked the U.S. Pacific fleet at anchor in Pearl Harbor, Hawaii (Image 2.31). They launched two waves of attacks from six aircraft carriers that had snuck into the central Pacific without being detected. The attacks brought some 353 fighters, bombers, and torpedo bombers down on the unprepared fleet. The Japanese hit all eight battleships in the harbor and sank four of them. They also damaged several cruisers and destroyers. On the ground, nearly two hundred aircraft were destroyed, and twenty-four hundred servicemen were killed. Another eleven hundred were wounded. Japanese losses were minimal. The strike was part of a more concerted campaign by the Japanese to gain territory. They subsequently attacked Hong Kong, Malaysia, Singapore, Guam, Wake Island, and the Philippines.



Image 2.31 This famous shot captured the explosion of the USS Shaw after the Japanese bombed Pearl Harbor. While American losses were significant, the Japanese lost only twenty-nine planes and five miniature submarines.

Whatever reluctance to engage in conflict the American people had had before December 7, 1941, quickly evaporated. Americans' incredulity that Japan would take such a radical step quickly turned to a fiery anger, especially as the attack took place while Japanese diplomats in Washington were still negotiating a possible settlement. President Roosevelt, referring to the day of the attack as "a date which will live in infamy," asked Congress for a declaration of war, which it delivered to Japan on December 8. On December 11, Germany and Italy declared war on the United States in accordance with their alliance with Japan. Against its wishes, the United States had become part of the European conflict.

The impact of the war on the United States was nowhere near as devastating as it was in Europe and the Pacific, where the battles were waged, but it still profoundly changed everyday life for all Americans. On the positive side, the war effort finally and definitively ended the economic depression that had been plaguing the country since 1929. It also called upon Americans to unite behind the war effort and give of their money, their time, and their effort, as they sacrificed at home to assure success abroad. The upheaval caused by White men leaving for war meant that for many disenfranchised groups, such as women and African Americans, there were new opportunities in employment and wage earning. Still, fear and racism drove cracks in the nation's unified facade.

THE INVASION OF EUROPE

Preparing to engage the Nazis in Europe, the United States landed in North Africa in 1942. The Axis campaigns in North Africa had begun when Italy declared war on England in June 1940, and British forces had invaded the Italian colony of Libya. The

Italians had responded with a counteroffensive that penetrated into Egypt, only to be defeated by the British again. In response, Hitler dispatched the Afrika Korps under General Erwin Rommel, and the outcome of the situation was in doubt until shortly before American forces joined the British.

Although the Allied campaign secured control of the southern Mediterranean and preserved Egypt and the Suez Canal for the British, Stalin and the Soviets were still engaging hundreds of German divisions in bitter struggles at Stalingrad and Leningrad. The invasion of North Africa did nothing to draw German troops away from the Soviet Union. An invasion of Europe by way of Italy, which is what the British and American campaign in North Africa laid the ground for, pulled a few German divisions away from their Russian targets. But while Stalin urged his allies to invade France, British and American troops pursued the defeat of Mussolini's Italy. This choice greatly frustrated Stalin, who felt that British interests were taking precedence over the agony that the Soviet Union was enduring at the hands of the invading German army. However, Churchill saw Italy as the vulnerable underbelly of Europe and believed that Italian support for Mussolini was waning, suggesting that victory there might be relatively easy. Moreover, Churchill pointed out that if Italy were taken out of the war, then the Allies would control the Mediterranean, offering the Allies easier shipping access to both the Soviet Union and the British Far Eastern colonies.

D-DAY

A direct assault on Nazi Germany's "Fortress Europe" was still necessary for final victory. On June 6, 1944, the second front became a reality when Allied forces stormed the beaches of northern France on **D-day**. Beginning at 6:30 a.m., some twenty-four thousand British, Canadian, and American troops waded ashore along a fifty-mile piece of the Normandy coast (Image 2.32) Well over a million troops would follow their lead. German forces on the hills and cliffs above shot at them, and once they reached the beach, they encountered barbed wire and land mines. More than ten thousand Allied soldiers were wounded or killed during the assault. Following the establishment of beachheads at Normandy, it took months of difficult fighting before Paris was liberated on August 20, 1944. The invasion did succeed in diverting German forces from the eastern front to the western front, relieving some of the pressure on Stalin's troops. By that time, however, Russian forces had already defeated the German army at Stalingrad, an event that many consider the turning point of the war in Europe, and begun to push the Germans out of the Soviet Union.



Image 2.32 U.S. troops in a military landing craft approach the beach code-named "Omaha" on June 6, 1944. More than ten thousand soldiers were killed or wounded during the D-day assault along the coast of Normandy, France.

Nazi Germany was not ready to surrender, however. On December 16, in a surprise move, the Germans threw nearly a quarter-million men at the Western Allies in an attempt to divide their armies and encircle major elements of the American forces. The struggle, known as the Battle of the Bulge, raged until the end of January. Some ninety thousand Americans were killed, wounded, or lost in action. Nevertheless, the Germans were turned back, and Hitler's forces were so spent that they could never again mount offensive operations.

CONFRONTING THE HOLOCAUST

The Holocaust, Hitler's plan to kill the Jews of Europe, had begun as early as 1933, with the construction of Dachau, the first of more than forty thousand camps for incarcerating Jews, submitting them to forced labor, or exterminating them. Eventually, six extermination camps were established between 1941 and 1945 in Polish territory. Jewish men, women, and children from throughout Europe were transported to these camps in Germany and other areas under Nazi control. Although the majority of the people in the camps were Jews, the Nazis sent Roma (gypsies), gays and lesbians, Jehovah's Witnesses, and political opponents to the camps as well. Some prisoners were put to work at hard labor; many of them subsequently died of disease or starvation. Most of those sent to the extermination camps were killed upon arrival with poisoned gas. Ultimately, some eleven million people died in the camps. As Soviet troops began to advance from the east and U.S. forces from the west, camp guards attempted to hide the evidence of their crimes by destroying records and camp buildings, and marching surviving prisoners away from the sites (Image 2.33).



Image 2.33 A U.S. senator, and member of a congressional committee investigating Nazi atrocities, views the evidence first hand at Buchenwald concentration camp near Weimar, Germany, in the summer of 1945.

MY STORY

Felix L. Sparks on the Liberation of Dachau

The horrors of the concentration camps remained with the soldiers who liberated them long after the war had ended. Below is an excerpt of the recollection of one soldier.

> Our first experience with the camp came as a traumatic shock. The first evidence of the horrors to come was a string of forty railway cars on a railway spur leading into the camp. Each car was filled with emaciated human corpses, both men and women. A hasty search by the stunned infantry soldiers revealed no signs of life among the hundreds of still bodies, over two thousand in all.
> It was in this atmosphere of human depravity, degradation and death that the soldiers of my battalion then entered the camp itself. Almost all of the SS command guarding the camp had fled before our arrival, leaving behind about two hundred lower ranking members of the command. There was some sporadic firing of weapons. As we approached the confinement area, the scene numbed my senses. Dante's Inferno seemed pale compared to the real hell of Dachau. A row of small cement structures near the prison entrance contained a coal-fired crematorium, a gas chamber, and rooms piled high with naked and emaciated corpses. As I turned to look over the prison yard with un-believing eyes, I saw a large number of dead inmates lying where they has fallen in the last few hours or days before our arrival. Since all of the bodies were in various stages of decomposition, the stench of death was overpowering. The men of the 45th Infantry Division were hardened combat veterans. We had been in combat almost two years at that point. While we were accustomed to death, we were not able to comprehend the type of death that we encountered at Dachau.
> —Felix L. Sparks, remarks at the U.S. Holocaust Museum, May 8, 1995

YALTA AND PREPARING FOR VICTORY

The last time the Big Three met was in early February 1945 at Yalta in the Soviet Union. Roosevelt was sick, and Stalin's armies were pushing the German army back towards Berlin from the east. Churchill and Roosevelt thus had to accept a number of compromises that strengthened Stalin's position in eastern Europe. In particular, they agreed to allow the Communist government installed by the Soviet Union in Poland to remain in power until free elections took place. For his part, Stalin reaffirmed his commitment, first voiced at Tehran, to enter the war against Japan following the surrender of Germany (Image 2.34). He also agreed that the Soviet Union would participate in the United Nations, a new peacekeeping body intended to replace the League of Nations. The Big Three left Yalta with many details remaining unclear, planning to finalize plans for the treatment of Germany and the shape of postwar Europe at a later conference. However, Roosevelt did not live to attend the next meeting. He died on April 12, 1945, and Harry S. Truman became president.



Image 2.34 Prime Minister Winston Churchill, President Franklin Roosevelt, and Premier Joseph Stalin made final plans for the defeat of Nazi Germany at Yalta in February 1945.

By April 1945, Soviet forces had reached Berlin, and both the U.S. and British Allies were pushing up against Germany's last defenses in the western part of the nation. Hitler committed suicide on April 30, 1945. On May 8, 1945, Germany surrendered. The war in Europe was over, and the Allies and liberated regions celebrated the end of the long ordeal. Germany was thoroughly defeated; its industries and cities were badly damaged.

The victorious Allies set about determining what to do to rebuild Europe at the Potsdam Summit Conference in July 1945. Attending the conference were Stalin, Truman, and Churchill, now the outgoing prime minister, as well as the new British prime minister, Clement Atlee. Plans to divide Germany and Austria, and their capital cities, into four zones—to be occupied by the British, French, Americans, and Soviets—a subject discussed at Yalta, were finalized. In addition, the Allies agreed to dismantle Germany's heavy industry in order to make it impossible for the country to produce more armaments.

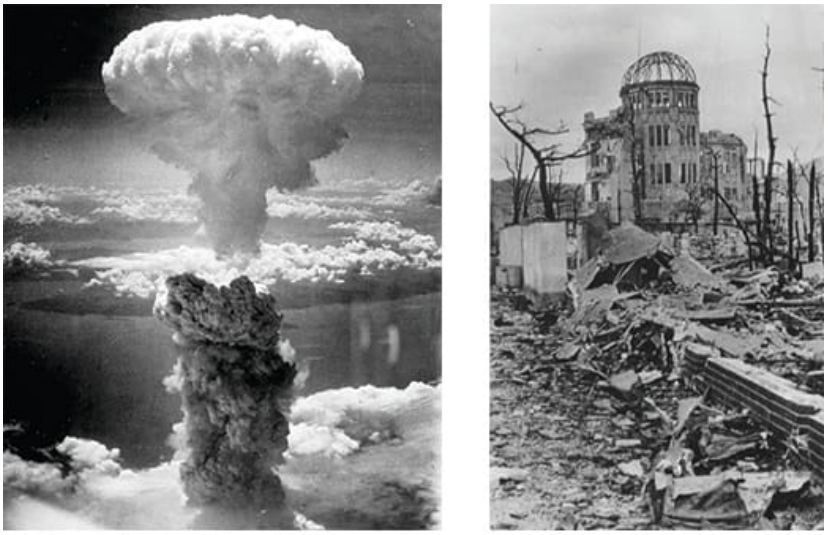
DROPPING THE ATOMIC BOMB

All belligerents in World War II sought to develop powerful and devastating weaponry. As early as 1939, German scientists had discovered how to split uranium atoms, the technology that would ultimately allow for the creation of the atomic bomb. Albert Einstein, who had emigrated to the United States in 1933 to escape the Nazis, urged President Roosevelt to launch an American atomic research project, and Roosevelt agreed to do so, with reservations. In late 1941, the program received its code name: the **Manhattan Project**. Located at Los Alamos, New Mexico, the Manhattan Project ultimately employed 150,000 people and cost some $2 billion. In July 1945, the project's scientists successfully tested the first atomic bomb.

In the spring of 1945, the military began to prepare for the possible use of an atomic bomb by choosing appropriate targets. Suspecting that the immediate bomb blast would extend over one mile and secondary effects would include fire damage, a compact city of significant military value with densely built frame buildings seemed to be the best target. Eventually, the city of

Hiroshima, the headquarters of the Japanese Second Army, and the communications and supply hub for all of southern Japan, was chosen. The city of Kokura was chosen as the primary target of the second bomb, and Nagasaki, an industrial center producing war materiel and the largest seaport in southern Japan, was selected as a secondary target.

The **Enola Gay**, a B-29 bomber named after its pilot's mother, dropped an atomic bomb known as "Little Boy" on Hiroshima at 8:15 a.m. Monday morning, August 6, 1945. A huge mushroom cloud rose above the city. Survivors sitting down for breakfast or preparing to go to school recalled seeing a bright light and then being blown across the room. The immense heat of the blast melted stone and metal, and ignited fires throughout the city. One man later recalled watching his mother and brother burn to death as fire consumed their home. A female survivor, a child at the time of the attack, remembered finding the body of her mother, which had been reduced to ashes and fell apart as she touched it. Two-thirds of the buildings in Hiroshima were destroyed. Within an hour after the bombing, radioactive "black rain" began to fall. Approximately seventy thousand people died in the original blast. The same number would later die of radiation poisoning. When Japan refused to surrender, a second atomic bomb, named Fat Man, was dropped on Nagasaki on August 9, 1945. At least sixty thousand people were killed at Nagasaki. Kokura, the primary target, had been shrouded in clouds on that morning and thus had escaped destruction. It is impossible to say with certainty how many died in the two attacks; the heat of the bomb blasts incinerated or vaporized many of the victims (Image 2.35).



(a) (b)

Image 2.35 According to estimates, the atomic bombs dropped on Hiroshima and Nagasaki (a) together killed anywhere from 125,000 to over 250,000 people. The so-called Genbaku (A-Bomb) Dome, now the Hiroshima Peace Memorial, was the only building left standing near the Hiroshima bomb's hypocenter (b).

The decision to use nuclear weapons is widely debated. Why exactly did the United States deploy an atomic bomb? The fierce resistance that the Japanese forces mounted during their early campaigns led American planners to believe that any invasion of the Japanese home islands would be exceedingly bloody. According to some estimates, as many as 250,000 Americans might die in securing a final victory. Such considerations undoubtedly influenced President Truman's decision. Truman, who had not known about the Manhattan Project until Roosevelt's death, also may not have realized how truly destructive it was. Indeed, some of the scientists who had built the bomb were surprised by its power. One question that has not been fully answered is why the United States dropped the second bomb on Nagasaki. As some scholars have noted, if Truman's intention was to eliminate the need for a home island invasion, he could have given Japan more time to respond after bombing Hiroshima. He did not, however. The second bombing may have been intended to send a message to Stalin, who was becoming intransigent regarding postwar Europe. If it is indeed true that Truman had political motivations for using the bombs, then the destruction of Nagasaki might have been the first salvo of the Cold War with the Soviet Union. And yet, other historians have pointed out that the war had unleashed such massive atrocities against civilians by all belligerents—the United States included—that by the summer of 1945, the president no longer needed any particular reason to use his entire nuclear arsenal.

THE WAR ENDS

Whatever the true reasons for their use, the bombs had the desired effect of getting Japan to surrender. Even before the

atomic attacks, the conventional bombings of Japan, the defeat of its forces in the field, and the entry of the Soviet Union into the war had convinced the Imperial Council that they had to end the war. They had hoped to negotiate the terms of the peace, but Emperor Hirohito intervened after the destruction of Nagasaki and accepted unconditional surrender. Although many Japanese shuddered at the humiliation of defeat, most were relieved that the war was over. Japan's industries and cities had been thoroughly destroyed, and the immediate future looked bleak as they awaited their fate at the hands of the American occupation forces.

The victors had yet another nation to rebuild and reform, but the war was finally over. Following the surrender, the Japanese colony of Korea was divided along the thirty-eighth parallel; the Soviet Union was given control of the northern half and the United States was given control of the southern portion. In Europe, as had been agreed upon at a meeting of the Allies in Potsdam in the summer of 1945, Germany was divided into four occupation zones that would be controlled by Britain, France, the Soviet Union, and the United States, respectively. The city of Berlin was similarly split into four. Plans were made to prosecute war criminals in both Japan and Germany. In October 1945, the United Nations was created. People around the world celebrated the end of the conflict, but America's use of atomic bombs and disagreements between the United States and the Soviet Union at Yalta and Potsdam would contribute to ongoing instability in the postwar world.

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11.3: THE SEARCH FOR MEANING AND THE BEGINNING OF GLOBALIZATION (1945-1950S)



"Defense of Albion," Paul Nash, Public domain, via Wikimedia Commons

11.3.1: The Cold War

11.3.2: Existentialism

11.3.3: Origins of Theater and Theater of the Absurd

11.3.4: Abstract Expressionism

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11.3.1: The Cold War

As World War II drew to a close, the alliance that had made the United States and the Soviet Union partners in their defeat of the Axis powers—Germany, Italy, and Japan—began to fall apart. Both sides realized that their visions for the future of Europe and the world were incompatible. Joseph Stalin, the premier of the Soviet Union, wished to retain hold of Eastern Europe and establish Communist, pro-Soviet governments there, in an effort to both expand Soviet influence and protect the Soviet Union from future invasions. He also sought to bring Communist revolution to Asia and to developing nations elsewhere in the world. The United States wanted to expand its influence as well by protecting or installing democratic governments throughout the world. It sought to combat the influence of the Soviet Union by forming alliances with Asian, African, and Latin American nations, and by helping these countries to establish or expand prosperous, free-market economies. The end of the war left the industrialized nations of Europe and Asia physically devastated and economically exhausted by years of invasion, battle, and bombardment. With Great Britain, France, Germany, Italy, Japan, and China reduced to shadows of their former selves, the United States and the Soviet Union emerged as the last two superpowers and quickly found themselves locked in a contest for military, economic, social, technological, and ideological supremacy.

FROM ISOLATION TO ENGAGEMENT

The United States had a long history of avoiding foreign alliances that might require the commitment of its troops abroad. However, in accepting the realities of the post-World War II world, in which traditional powers like Great Britain or France were no longer strong enough to police the globe, the United States realized that it would have to make a permanent change in its foreign policy, shifting from relative isolation to active engagement.

On assuming the office of president upon the death of Franklin Roosevelt, Harry Truman was already troubled by Soviet actions in Europe. He disliked the concessions made by Roosevelt at Yalta, which had allowed the Soviet Union to install a Communist government in Poland. At the Potsdam conference, held from July 17 to August 2, 1945, Truman also opposed Stalin's plans to demand large reparations from Germany. He feared the burden that this would impose on Germany might lead to another cycle of German rearmament and aggression—a fear based on that nation's development after World War I (IMAGE 3.1).

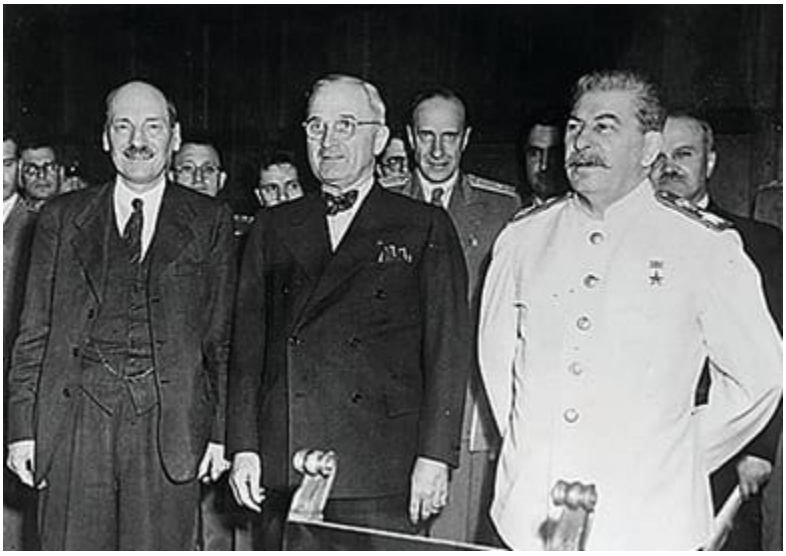


IMAGE 3.1 At the postwar conference in Potsdam, Germany, Harry Truman stands between Joseph Stalin (right) and Clement Atlee (left). Atlee became prime minister of Great Britain, replacing Winston Churchill, while the conference was taking place.

Although the United States and the Soviet Union did finally reach an agreement at Potsdam, this was the final occasion on which they cooperated for quite some time. Each remained convinced that its own economic and political systems were superior to the other's, and the two superpowers quickly found themselves drawn into conflict. The decades-long struggle between them for technological and ideological supremacy became known as the Cold War. So called because it did not include direct military confrontation between Soviet and U.S. troops, the Cold War was fought with a variety of other weapons: espionage and

surveillance, political assassinations, propaganda, and the formation of alliances with other nations. It also became an arms race, as both countries competed to build the greatest stockpile of nuclear weapons, and also competed for influence in poorer nations, supporting opposite sides in wars in some of those nations, such as Korea and Vietnam.

CONTAINMENT ABROAD

In February 1946, George Kennan, a State Department official stationed at the U.S. embassy in Moscow, sent an eight-thousand-word message to Washington, DC. In what became known as the "**Long Telegram**," Kennan maintained that Soviet leaders believed that the only way to protect the Soviet Union was to destroy "rival" nations and their influence over weaker nations. According to Kennan, the Soviet Union was not so much a revolutionary regime as a totalitarian bureaucracy that was unable to accept the prospect of a peaceful coexistence of the United States and itself. He advised that the best way to thwart Soviet plans for the world was to contain Soviet influence—primarily through economic policy—to those places where it already existed and prevent its political expansion into new areas. This strategy, which came to be known as the policy of containment, formed the basis for U.S. foreign policy and military decision making for more than thirty years. As Communist governments came to power elsewhere in the world, American policymakers extended their strategy of containment to what became known as the domino theory under the Eisenhower administration: Neighbors to Communist nations, so was the assumption, were likely to succumb to the same allegedly dangerous and infectious ideology. Like dominoes toppling one another, entire regions would eventually be controlled by the Soviets. The demand for anti-Communist containment appeared as early as March 1946 in a speech by Winston Churchill, in which he referred to an Iron Curtain that divided Europe into the "free" West and the Communist East controlled by the Soviet Union. The commitment to containing Soviet expansion made necessary the ability to mount a strong military offense and defense. In pursuit of this goal, the U.S. military was reorganized under the National Security Act of 1947. This act streamlined the government in matters of security by creating the National Security Council and establishing the Central Intelligence Agency (CIA) to conduct surveillance and espionage in foreign nations. It also created the Department of the Air Force, which was combined with the Departments of the Army and Navy in 1949 to form one Department of Defense.

The Truman Doctrine in Europe, the end of World War II witnessed the rise of a number of internal struggles for control of countries that had been occupied by Nazi Germany. Great Britain occupied Greece as the Nazi regime there collapsed. The British aided the authoritarian government of Greece in its battles against Greek Communists. In March 1947, Great Britain announced that it could no longer afford the cost of supporting government military activities and withdrew from participation in the **Greek civil war**. Stepping into this power vacuum, the United States announced the Truman Doctrine, which offered support to Greece and Turkey in the form of financial assistance, weaponry, and troops to help train their militaries and bolster their governments against Communism. Eventually, the program was expanded to include any state trying to withstand a Communist takeover.

The Truman Doctrine thus became a hallmark of U.S. Cold War policy. In 1947, Great Britain, which had assumed responsibility for the disarming of German troops in Greece at the end of World War II, could no longer afford to provide financial support for the authoritarian Greek government, which was attempting to win a civil war against Greek leftist rebels. President Truman, unwilling to allow a Communist government to come to power there, requested Congress to provide funds for the government of Greece to continue its fight against the rebels. Truman also requested aid for the government of Turkey to fight the forces of Communism in that country. He said: At the present moment in world history nearly every nation must choose between alternative ways of life. The choice is too often not a free one. Should we fail to aid Greece and Turkey in this fateful hour, the effect will be far reaching to the West as well as to the East. The seeds of totalitarian regimes are nurtured by misery and want. They spread and grow in the evil soil of poverty and strife. They reach their full growth when the hope of a people for a better life has died. We must keep that hope alive. The free peoples of the world look to us for support in maintaining their freedoms. If we falter in our leadership, we may endanger the peace of the world—and we shall surely endanger the welfare of our own nation. Great responsibilities have been placed upon us by the swift movement of events. I am confident that the Congress will face these responsibilities squarely.

By 1946, the American economy was growing significantly. At the same time, the economic situation in Europe was disastrous. The war had turned much of Western Europe into a battlefield, and the rebuilding of factories, public transportation systems, and power stations progressed exceedingly slowly. Starvation loomed as a real possibility for many. As a result of these conditions, Communism was making significant inroads in both Italy and France. These concerns led Truman, along with Secretary of State George C. Marshall, to propose to Congress the European Recovery Program, popularly known as the Marshall Plan. Between its implantation in April 1948 and its termination in 1951, this program gave $13 billion in economic aid to European nations.

Truman's motivation was economic and political, as well as humanitarian. The plan stipulated that the European nations had to work together in order to receive aid, thus enforcing unity through enticement, while seeking to undercut the political popularity of French and Italian Communists and dissuading moderates from forming coalition governments with them. Likewise, much of the money had to be spent on American goods, boosting the postwar economy of the United States as well as the American cultural presence in Europe. Stalin regarded the program as a form of bribery. The Soviet Union refused to accept aid from the Marshall

Plan, even though it could have done so, and forbade the Communist states of Eastern Europe to accept U.S. funds as well. Those states that did accept aid began to experience an economic recovery.

MY STORY

The youngest child of a Pennsylvania businessman and Democrat, George C. Marshall chose a military career. He attended the Virginia Military Institute, was a veteran of World War I, and spent the rest of his life either in the military or otherwise in the service of his country, including as President Truman's Secretary of State. He was awarded the Nobel Peace Prize in 1953, the only soldier to ever receive that honor. Below is an excerpt of his remarks as he accepted the award. During World War II, George C. Marshall was responsible for expanding the 189,000-member U.S. Army into a modern, fighting force of eight million by 1942. As Secretary of State under Truman, he proposed the European Recovery Program to aid European economies struggling after the war



IMAGE 3.2 During World War II, George C. Marshall was responsible for expanding the 189,000-member U.S. Army into a modern, fighting force of eight million by 1942. As Secretary of State under Truman, he proposed the European Recovery Program to aid European economies struggling after the war.

> There has been considerable comment over the awarding of the Nobel Peace Prize to a soldier. I am afraid this does not seem as remarkable to me as it quite evidently appears to others. I know a great deal of the horrors and tragedies of war. Today, as chairman of the American Battle Monuments Commission, it is my duty to supervise the construction and maintenance of military cemeteries in many countries overseas, particularly in Western Europe. The cost of war in human lives is constantly spread before me, written neatly in many ledgers whose columns are gravestones. I am deeply moved to find some means or method of avoiding another calamity of war. Almost daily I hear from the wives, or mothers, or families of the fallen. The tragedy of the aftermath is almost constantly before me. I share with you an active concern for some practical method for avoiding war. . . . A very strong military posture is vitally necessary today. How long it must continue I am not prepared to estimate, but I am sure that it is too narrow a basis on which to build a dependable, long-enduring peace. The guarantee for a long continued peace will depend on other factors in addition to a moderated military strength, and no less important. Perhaps the most important single factor will be a spiritual regeneration to develop goodwill, faith, and understanding among nations. Economic factors will undoubtedly play an important part. Agreements to secure a balance of power, however disagreeable they may seem, must likewise be considered. And with all these there must be wisdom and the will to act on that wisdom.

SHOWDOWN IN EUROPE

The lack of consensus with the Soviets on the future of Germany led the United States, Great Britain, and France to support joining their respective occupation zones into a single, independent state. In December 1946, they took steps to do so, but the Soviet Union did not wish the western zones of the country to unify under a democratic, pro-capitalist government. The Soviet Union

also feared the possibility of a unified West Berlin, located entirely within the Soviet sector. Three days after the western allies authorized the introduction of a new currency in Western Germany—the Deutsche Mark—Stalin ordered all land and water routes to the western zones of the city Berlin to be cut off in June 1948. Hoping to starve the western parts of the city into submission, the Berlin blockade was also a test of the emerging U.S. policy of containment.

Unwilling to abandon Berlin, the United States, Great Britain, and France began to deliver all needed supplies to West Berlin by air (IMAGE 3.3). In April 1949, the three countries joined Canada and eight Western European nations to form the North Atlantic Treaty Organization (NATO), an alliance pledging its members to mutual defense in the event of attack. On May 12, 1949, a year and approximately two million tons of supplies later, the Soviets admitted defeat and ended the blockade of Berlin. On May 23, the Federal Republic of Germany (FRG), consisting of the unified western zones and commonly referred to as West Germany, was formed. The Soviets responded by creating the German Democratic Republic, or East Germany, in October 1949.American C-47 transport planes (a) are loaded with staged supplies at a French airport before taking off for Berlin. Residents of Berlin wait for a U.S. plane (b) carrying needed supplies to land at Tempelhof Airport in the American sector of the city.

CONTAINMENT AT HOME

In 1949, two incidents severely disrupted American confidence in the ability of the United States to contain the spread of Communism and limit Soviet power in the world. First, on August 29, 1949, the Soviet Union exploded its first atomic bomb—no longer did the United States have a monopoly on nuclear power. A few months later, on October 1, 1949, Chinese Communist Party leader Mao Zedong announced the triumph of the Chinese Communists over their Nationalist foes in a civil war that had been raging since 1927. The Nationalist forces, under their leader Chiang Kai-shek, departed for Taiwan in December 1949.



IMAGE 3.3 American C-47 transport planes (a) are loaded with staged supplies at a French airport before taking off for Berlin. Residents of Berlin wait for a U.S. plane (b) carrying needed supplies to land at Templehof Airport in the American sector of the city.

Immediately, there were suspicions that spies had passed bomb-making secrets to the Soviets and that Communist sympathizers in the U.S. State Department had hidden information that might have enabled the United States to ward off the Communist victory in China. Indeed, in February 1950, Wisconsin senator Joseph McCarthy, a Republican, charged in a speech that the State Department was filled with Communists. Also in 1950, the imprisonment in Great Britain of Klaus Fuchs, a German-born physicist who had worked on the Manhattan Project and was then convicted of passing nuclear secrets to the Soviets, increased American fears. Information given by Fuchs to the British implicated a number of American citizens as well. The most infamous trial of suspected American spies was that of Julius and Ethel Rosenberg, who were executed in June 1953 despite a lack of evidence against them. Several decades later, evidence was found that Julius, but not Ethel, had in fact given information to the Soviet Union.

Fears that Communists within the United States were jeopardizing the country's security had existed even before the victory of Mao Zedong and the arrest and conviction of the atomic spies. Roosevelt's New Deal and Truman's Fair Deal were often criticized as "socialist," which many mistakenly associated with Communism, and Democrats were often branded Communists

by Republicans. In response, on March 21, 1947, Truman signed Executive Order 9835, which provided the Federal Bureau of Investigation with broad powers to investigate federal employees and identify potential security risks. State and municipal governments instituted their own loyalty boards to find and dismiss potentially disloyal workers.

In addition to loyalty review boards, the House Committee on Un-American Activities (HUAC), established in 1938 to investigate suspected Nazi sympathizers, after World War II also sought to root out suspected Communists in business, academia, and the media. HUAC was particularly interested in Hollywood because it feared that Communist sympathizers might use motion pictures as pro-Soviet propaganda. Witnesses were subpoenaed and required to testify before the committee; refusal could result in imprisonment. Those who invoked Fifth Amendment protections, or were otherwise suspected of Communist sympathies, often lost their jobs or found themselves on a blacklist, which prevented them from securing employment. Notable artists who were blacklisted in the 1940s and 1950s include composer Leonard Bernstein, novelist Dashiell Hammett, playwright and screenwriter Lillian Hellman, actor and singer Paul Robeson, and musician Artie Shaw.

TO THE TRENCHES AGAIN

Just as the U.S. government feared the possibility of Communist infiltration of the United States, so too was it alert for signs that Communist forces were on the move elsewhere. The Soviet Union had been granted control of the northern half of the Korean peninsula at the end of World War II, and the United States had control of the southern portion. The Soviets displayed little interest in extending its power into South Korea, and Stalin did not wish to risk confrontation with the United States over Korea. North Korea's leaders, however, wished to reunify the peninsula under Communist rule. In April 1950, Stalin finally gave permission to North Korea's leader Kim Il Sung to invade South Korea and provided the North Koreans with weapons and military advisors.

On June 25, 1950, troops of the North Korean People's Democratic Army crossed the thirty-eighth parallel, the border between North and South Korea. The first major test of the U.S. policy of containment in Asia had begun, for the domino theory held that a victory by North Korea might lead to further Communist expansion in Asia, in the virtual backyard of the United States' chief new ally in East Asia—Japan. The United Nations (UN), which had been established in 1945, was quick to react. On June 27, the UN Security Council denounced North Korea's actions and called upon UN members to help South Korea defeat the invading forces. As a permanent member of the Security Council, the Soviet Union could have vetoed the action, but it had boycotted UN meetings following the awarding of China's seat on the Security Council to Taiwan instead of to Mao Zedong's People's Republic of China.

On June 27, Truman ordered U.S. military forces into South Korea. They established a defensive line on the far southern part of the Korean peninsula near the town of Pusan. A U.S.-led invasion at Inchon on September 15 halted the North Korean advance and turned it into a retreat (IMAGE 3.4). As North Korean forces moved back across the thirty-eighth parallel, UN forces under the command of U.S. General Douglas MacArthur followed. MacArthur's goal was not only to drive the North Korean army out of South Korea but to destroy Communist North Korea as well. At this stage, he had the support of President Truman; however, as UN forces approached the Yalu River, the border between China and North Korea, MacArthur's and Truman's objectives diverged. Chinese premier Zhou Enlai, who had provided supplies and military advisors for North Korea before the conflict began, sent troops into battle to support North Korea and caught U.S. troops by surprise. Following a costly retreat from North Korea's Chosin Reservoir, a swift advance of Chinese and North Korean forces and another invasion of Seoul, MacArthur urged Truman to deploy nuclear weapons against China. Truman, however, did not wish to risk a broader war in Asia. MacArthur criticized Truman's decision and voiced his disagreement in a letter to a Republican congressman, who subsequently allowed the letter to become public. In April 1951, Truman accused MacArthur of insubordination and relieved him of his command. The Joint Chiefs of Staff agreed, calling the escalation MacArthur had called for "the wrong war, at the wrong place, at the wrong time, and with the wrong enemy." Nonetheless, the public gave MacArthur a hero's welcome in New York with the largest ticker tape parade in the nation's history.

After the initial invasion of South Korea by the North Korean People's Democratic Army, the United Nations established a defensive line in the southern part of the country. The landing at Inchon in September reversed the tide of the war and allowed UN forces under General Douglas MacArthur to retake the city of Seoul, which had fallen to North Korean troops in the early days of the war. By July 1951, the UN forces had recovered from the setbacks earlier in the year and pushed North Korean and Chinese forces back across the thirty-eighth parallel, and peace talks began. However, combat raged on for more than two additional years. The primary source of contention was the fate of prisoners of war. The Chinese and North Koreans insisted that their prisoners be returned to them, but many of these men did not wish to be repatriated. Finally, an armistice agreement was signed on July 27, 1953. A border between North and South Korea, one quite close to the original thirty-eighth parallel line, was agreed upon. A demilitarized zone between the two nations was established, and both sides agreed that prisoners of war would be allowed to choose whether to be returned to their homelands. Five million people died in the three-year conflict. Of these, around 36,500 were U.S. soldiers; a majority were Korean civilians.

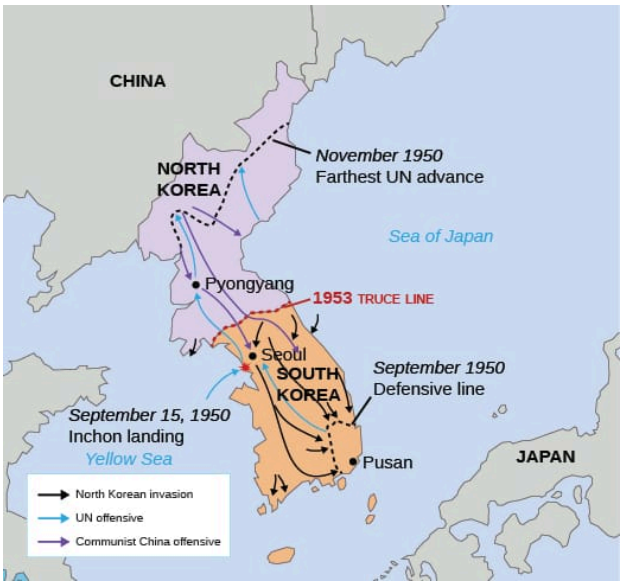


IMAGE 3.4 North Korean forces moved back across the thirty-eighth parallel.

As the war in Korea came to an end, so did one of the most frightening anti-Communist campaigns in the United States. After charging the U.S. State Department with harboring Communists, Senator Joseph McCarthy had continued to make similar accusations against other government agencies. Prominent Republicans like Senator Robert Taft and Congressman Richard Nixon regarded McCarthy as an asset who targeted Democratic politicians, and they supported his actions. In 1953, as chair of the Senate Committee on Government Operations, McCarthy investigated the Voice of America, which broadcast news and pro-U.S. propaganda to foreign countries, and the State Department's overseas libraries. After an aborted effort to investigate Protestant clergy, McCarthy turned his attention to the U.S. Army. This proved to be the end of the senator's political career. From April to June 1954, the Army-McCarthy Hearings were televised, and the American public, able to witness his use of intimidation and innuendo firsthand, rejected McCarthy's approach to rooting out Communism in the United States (IMAGE 3.5). In December 1954, the U.S. Senate officially condemned his actions with a censure, ending his prospect for political leadership.



IMAGE 3.5 Senator Joseph McCarthy (left) consults with Roy Cohn (right) during the Army-McCarthy hearings. Cohn, a lawyer who worked for McCarthy, was responsible for investigating State Department libraries overseas for "subversive" books.

One particularly heinous aspect of the hunt for Communists in the United States, likened by playwright Arthur Miller to the witch hunts of old, was its effort to root out gay men and lesbians employed by the government. Many anti-Communists, including McCarthy, believed that gay men, referred to by Senator Everett Dirksen as "lavender lads," were morally weak and thus were particularly likely to betray their country. Many also believed that lesbians and gay men were prone to being blackmailed by Soviet

agents because of their sexual orientation, which at the time was regarded by psychiatrists as a form of mental illness.

Joy at the ending of World War II was quickly replaced by fears of conflict with the Soviet Union. The Cold War heated up as both the United States and Soviet Union struggled for world dominance. Fearing Soviet expansion, the United States committed itself to assisting countries whose governments faced overthrow by Communist forces and gave billions of dollars to war-torn Europe to help it rebuild. While the United States achieved victory in its thwarting of Soviet attempts to cut Berlin off from the West, the nation was less successful in its attempts to prevent Communist expansion in Korea. The development of atomic weapons by the Soviet Union and the arrest of Soviet spies in the United States and Britain roused fears in the United States that Communist agents were seeking to destroy the nation from within. Loyalty board investigations and hearings before House and Senate committees attempted to root out Soviet sympathizers in the federal government and in other sectors of American society, including Hollywood and the military.

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11.3.2: Existentialism

PHILOSOPHY AND LITERATURE

Existentialism is a philosophical and literary movement that first was popularized in France soon after World War II by figures such as Jean-Paul Sartre and Albert Camus. The roots of this movement can be traced back to the religious writings of Blaise Pascal in the seventeenth century and those of Søren Kierkegaard in the nineteenth century. The common thread that unites existentialists is a focus on existence, particularly the concrete existence of individual human beings. Unlike rationalist thinkers such as René Descartes and G.W. F. Hegel, existentialists reject the premise that human beings are primarily rational creatures who live in an ordered, well-designed universe. They also do not believe that the answers to life's challenges can be solved through thoughtful consideration and reasoned deliberation. Instead, existentialists view human beings as creatures whose reason is subordinate to human passions and anxieties, and who exist in an irrational, absurd, and insignificant universe. In such a universe, existentialists argue, one struggles to become the best person one can be given one's religious, historical, cultural, economic, and personal circumstances.

Existentialists emphasize the human being's place in a complex set of circumstances in order to highlight the uniqueness and individuality within each of us. They stress the role of the human body in all of our acts and decisions, arguing that the mind cannot exist without the body (in contrast to the majority of rationalists, who assert that the mind is separate from the body). In addition, existentialists consider whether absolute individual freedom is possible; and if so, what the consequences of such freedom might be for our sense of responsibility to ourselves, to others, and to God. They also consider the consequences of the existence or nonexistence of God, and what either possibility means for our sense of freedom and responsibility. More than anything, existentialists reflect on human beings' anxiety over and dread of death, and consider the consequences to our individual lives of coming to terms with the inevitability of death.

Jean-Paul Sartre (1905–1980) is the public face of existentialism. His works, both fictional and philosophical, resoundingly affirm the existentialist priority of concrete, situated, and historical human existence. He stresses the value of choice, responsibility, and authenticity in human self-fashioning. Sartre was awarded the Nobel Prize in Literature in 1964 – an honor he refused because he maintained that it conflicted with his professional, personal, and political commitments. This unit will introduce you to Sartre's contributions to existentialist philosophy while simultaneously highlighting Sartre's place in the movement's history. In particular, you will explore how Sartre expanded on existentialist themes dealt with by his predecessors – for example, the notions of authenticity, anxiety, and freedom.

Albert Camus (1913–1960) was an Algerian writer and intellectual who refused to be called a philosopher because he did not believe that human reason was capable of systematizing human experience in all of its nuances. He was a friend and, later, a critic of Sartre, and his works manifest concerns similar to those of Sartre. Camus was awarded the Nobel Prize in Literature in 1957. In this unit, you will explore Camus' existentialism through an examination of his book *The Stranger* and his essay "The Myth of Sisyphus" (both published in 1942), which highlight the absurdities of human existence and, interestingly enough, the absurdity of existentialism itself if the philosophy is taken to an extreme. You also will develop an appreciation of the manner in which Camus represents the synthesis of existentialist thinking since Pascal.

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11.3.3: Origins of Theater and Theater of the Absurd

QUALITIES OF THEATER



IMAGE 3.6 45th Street, in the heart of the Broadway Theatre District, New York City. Photograph by UpstateNYer - Own work, CC BY-SA 3.0, Link

Theatre, along with music and dance, has been labeled a fine art as well as a performing art; it can be found in performing arts centers and taught in colleges and departments of fine art. But these terms lead to larger issues. By the twentieth century, educational programs had been broken down into classifications, all of which were historically tied to economic class. In many cultures of the ancient world, work was done by slaves. Consequently, physical labor was imagined to be degrading and associated with a lack of nobility. The Romans, for example, called any activity where money changed hands the vulgar arts (*vulgares artes*) or sordid arts (*sordidæ artes*), also translated as "dirty arts." By the Middle Ages, the designation changed. The term *mechanical arts* was adopted to mean skilled activities accomplished by manual labor. In the seventeenth century, **useful arts** appeared, and with the arrival of the machine age in the nineteenth century, it was replaced with *industrial arts*, a term still in use today.

In the ancient world and beyond, proof of high status was having lei- sure time to pursue self-improvement of the mind or to serve the public good. Therefore, philosophy, history, languages, math, and science were given the term **liberal arts** ("arts befitting a freeman"). Now the term simply means subjects separate from science and technology and implies an education that is not particularly specialized. Therefore "liberal," in this sense, is not a political term and is not meant to contrast any "conservative" mode of thought.

The third branch, separate from *useful* and *liberal*, was given the term *fine arts*. Coined in the eighteenth century, it was meant to include sculpture, painting, music, and poetry. Later, the performing arts were added along with disciplines such as printmaking, photography, and collage. "Fine" was not intended to suggest art that was "acceptable" or "delicate"—it was supposed to classify artistic endeavors that were beautiful for their own sake and not compromised by serving any practical function. In other words, a craftsman could make a stunningly beautiful cabinet, but once it stored clothes, it ceased to be art. An architect could design a building that was a pleasure to behold, but since it provided shelter, his work was considered only useful. Clearly, the ex-change of money and the association with leisure time has been abandoned as a dividing line between fine and useful art. However, the remaining concept of beauty for its own sake leaves us with a variety of conflicts, questions, and ambiguities. Many works communicate images or use material that we may not regard as beautiful. Still, we would not hesitate to label them as art. Theatre deals in conflict, sometimes using subject matter that can make some feel uncomfortable. Does it cease to be art when no pleasurable feeling is derived from it? Many would argue that even though the arts do not serve any domestic function, they can be extremely useful as a means of interpreting our world and spiritually nourishing our lives. Is that not useful? When does an object or performance stop being artistic and start being art? Are there rules that must be satisfied or is it simply in the eye of

the beholder? Does the quality of something determine if it qualifies as art? To ask and engage with these sorts of questions is to practice **aesthetics**, a branch of philosophy that deals with beauty and taste.

So what separates theatre from the other arts? What are the qualities particular to theatre that, collectively, make it unique? Theatre certainly deals in the **imitation** of human action. We can trace the origins of theatrical practice in the Western world to the citizens of the Greek city-state of Athens in the fifth century BCE. Theatre began with *dithyrambs*, a chorus of fifty men with a leader who told stories about a fertility god named Dionysus through song and dance. Eventually, innovations were made such as performers imitating individual characters. In addition, the chorus was greatly reduced and changed to represent the men or women of a city where a play took place. Presented at festivals, this form became what we know today as Greek tragedy.

Sitting in the audience was Aristotle. The student of the philosopher Plato, he could be called our first drama critic. His collected notes form the basis for a treatise called *Poetics* (dated between 335 and 322 BCE), which described what he thought were the components of a good tragedy. He began by defining his subject, calling it "the imitation of an action that is good and also complete in itself and of some magnitude." This could be interpreted as requiring that drama artfully depict the actions of someone; have a beginning, middle, and end; and be of an appropriate length. Independently, an Indian critic named Bharata came to a similar conclusion in a text called the *Natyashastra*. Written some- time between 300 BCE and 300 CE in a now-dead language called San- skrit, he defined drama as "an imitation of people's demeanor, attitudes, conditions, and joys and sorrows."

Here, both authors speak to a fundamental aspect of humanity. It is our nature to imitate the actions of others—psychological studies con- firm that imitation is a major part of our social development. Mimicry strengthens the bond between parent and child. Newborns copy the facial movements of their parents. Toddlers learn to speak by imitating and sifting through the sounds they hear. When we observe an action, it has been shown that the neurons in our brain respond as if we were performing the same action. Our capacity for empathy is based on this hardwired ability. In acting classes, one of the most common exercises to get scene partners to connect emotionally is called mirroring. Actors are paired, facing each other, and one performs all of the physical movements of the other until they are told to switch leaders. Duplicating actions is the fastest way to get two people to reach synchronicity.

Our skill in patterning behavior is also one of the reasons that actors—and the theatre in general—have often been greeted with suspicion throughout history. Even though psychologists have established that children as young as twelve months can recognize the concept of pretense, there has always been a belief that viewing or participating in fictional worlds can warp our moral core, regardless of age. In 1999, two teenagers entered Columbine High School in Colorado and killed twelve students and a teacher before ending their own lives. Soon after, many tried to tie their violent behavior to the playing of video games.

Theatre has other qualities that, collectively, make it distinct from other art forms. The economics of producing plays is one reason theatre is no longer a mass medium. Film and television can reach greater audiences because their product can be broadcast and played simultaneously on millions of screens. Additionally, computers can now stream the same con- tent on demand. Theatre can never be as profitable or match the scale of these mediums. However, its resistance to duplication is what makes it special. Live performance is **immediate**. When you read a novel or watch a recorded television program, you have total control over the experience by varying your tempo of reading or stopping and starting altogether. The theatrical experience, however, is relentless. It pushes your focus from place to place, forcing you to reflect on the events on the fly, during intermissions, or after the show. That is the reason it is **ephemeral**. Performances can have no true reproduction. Anyone who has participated in the creation of theatre can attest to the strange, emotional moment when the run of a show has ended, sets are removed, and nothing remains but an empty stage. In dressing rooms and backstage walls of many theatres, you will find lines from shows scribbled by actors, a poignant attempt to live beyond the temporary world of a production run. While it is true that performances can be captured on film or video, the true experience of live theatre cannot be truly duplicated. Once it is finished, it lives only in memory.

This transitory quality of theatre is due to the **dynamic between the actor and the audience**. There is a feedback loop—energy is exchanged. Each produces signals that are perceived by the other, which, in turn, can profoundly affect how the performance evolves. This is more difficult to perceive in serious drama but is especially evident in comedy, where laughter influences the delivery and timing of lines or the intensity of an individual performance. Actors complain of tough or dead audiences and celebrate the ones that seem to take an emotional journey with them, inspiring them to make bolder choices.

The idea of pretending that the audience is not present is a relatively new one. In many theatrical traditions, actors commonly spoke directly to their audiences. Readers of Shakespeare often ignore that his famous soliloquys, monologues in which a single character shares his or her innermost thoughts, are direct appeals to the audience. The audience members become characters in the play, confidants who can seemingly solve the problems they are being asked to hear.

This relationship between actors and audiences has changed over the centuries. In many theatrical traditions, the audience has been a much more influential "actor" in the performance. In eighteenth- century France and England, wealthy patrons

could sit right on the stage in full view. As much as we complain about the annoyances of cell phone use and texting during performances today, to a nineteenth-century audience, our behavior would seem downright passive. It was common practice for people to vocalize their criticism by booing and hissing at villains during their entrances or heckling actors when it was thought a performance was subpar. Vocal reactions to onstage action built to such a crescendo that newspapers often complained of theatrical rowdyism.

Other cultures have a more casual relationship between actor and audience. For example, in some puppet theatre traditions like the *wayang kulit* in Indonesia, shows are played from evening until dawn, and it is common practice for spectators to move about, talk, and feast during the show. Nevertheless, actors and audiences are ultimately partners. Theatre's primary strength comes from the fact that it is a medium of imagination that depends on the *suggestion* of reality rather than slavish photorealism.

THE THEATRE OF THE ABSURD

The plays of Samuel Beckett, Arthur Adamov, and Eugene Ionesco have been performed with astonishing success in France, Germany, Scandinavia, and the English-speaking countries. This reception is all the more puzzling when one considers that the audiences concerned were amused by and applauded these plays fully aware that they could not understand what they meant or what their authors were driving at.

At first sight these plays do, indeed, confront their public with a bewildering experience, a veritable barrage of wildly irrational, often nonsensical goings-on that seem to go counter to all accepted standards of stage convention. In these plays, some of which are labeled "anti-plays," neither the time nor the place of the action are ever clearly stated. (At the beginning of Ionesco's *The Bald Soprano* the clock strikes seventeen.) The characters hardly have any individuality and often even lack a name; moreover, halfway through the action they tend to change their nature completely. Pozzo and Lucky in Beckett's *Waiting* for *Godot,* for example, appear as master and slave at one moment only to return after a while with their respective positions mysteriously reversed. The laws of probability as well as those of physics are suspended when we meet young ladies with two or even three noses (Ionesco's *Jack or the Submission,* or a corpse that has been hidden in the next room that suddenly begins to grow to monstrous size until a giant foot crashes through the door onto the stage (Ionesco's *Amédée).* As a result, it is often unclear whether the action is meant to represent a dream world of nightmares or real happenings. Within the same scene the action may switch from the night- marish poetry of high emotions to pure knock-about farce or cabaret, and above all, the dialogue tends to get out of hand so that at times the words seem to go counter to the actions of the characters on the stage, to degenerate into lists of words and phrases from a dictionary or traveler's conversation book, or to get bogged down in endless repetitions like a phonograph record stuck in one groove. Only in this kind of demented world can strangers meet and discover, after a long and polite conversation and close cross-questioning, that, to their immense surprise, they must be man and wife as they are living on the same street, in the same house, apartment, room, and bed (Ionesco's The *Bald Soprano).* Only here can the whole life of a group of characters revolve around the passionate discussion of the aesthetics and economics of pinball machines (Adamov's *Ping-Pong).* Above all, everything that happens seems to be beyond rational motivation, happening at random or through the demented caprice of an unaccountable idiot fate. Yet, these wildly extravagant tragic farces and farcical tragedies, although they have suffered their share of protests and scandals, do arouse interest and are received with laughter and thoughtful respect. What is the explanation for this curious phenomenon?

The most obvious, but perhaps too facile answer that suggests itself is that these plays are prime examples of "pure theatre." They are living proof that the magic of the stage can persist even outside, and divorced from, any framework of conceptual rationality. They prove that exits and entrances, light and shadow, contrasts in costume, voice, gait and behavior, pratfalls and embraces, all the manifold mechanical interactions of human puppets in groupings that suggest tension, conflict, or the relaxation of tensions, can arouse laughter or gloom and conjure up an atmosphere of poetry even if devoid of logical motivation and unrelated to recognizable human characters, emotions, and objectives.



IMAGE 3.7 Actors from the Doon School performing a scene from Samuel Beckett's WAITING FOR GODOT. Photograph by Merlaysamuel - Own work, CC BY-SA 3.0, Link

But this is only a partial explanation. While the element of "pure theatre" and abstract stagecraft is certainly at work in the plays concerned, they also have a much more substantial content and meaning. Not only *do* all these plays make sense, though perhaps not obvious or conventional sense, they also give expression to some of the basic issues and problems of our age, in a uniquely efficient and meaningful manner, so that they meet some of the deepest needs and unexpressed yearnings of their audience.

The three dramatists that have been grouped together here would probably most energetically deny that they form anything like a school or movement. Each of them, in fact, has his own roots and sources, his own very personal approach to both form and subject matter. Yet they also clearly have a good deal in common. This common denominator that characterizes their works might well be described as the element of *the absurd*. ("Absurd is that which has no purpose, or goal, or objective"), the definition given by Ionesco in a note on Kafka, certainly applies to the plays of Beckett and Ionesco as well as those of Arthur Adamov up to his latest play, *Paolo Paoli,* when he returned to a more traditional form of social drama.

Each of these writers, however, has his own special type of absurdity: in Beckett it is melancholic, colored by a feeling of futility born from the disillusionment of old age and chronic hopelessness; Adamov's is more active, aggressive, earthy, and tinged with social and political overtones; while Ionesco's absurdity has its own fantastic knock-about flavor of tragical clowning. But they all share the same deep sense of human isolation and of the irremediable character of the human condition.

As Arthur Adamov put it in describing how he came to write his first play, *la Parodie* (1947):

> I began to discover stage scenes in the most commonplace everyday events. [One day I saw] a blind man begging; two girls went by without seeing him, singing: "I closed my eyes; it was marvelous!" This gave me the idea of showing on stage, as crudely and as visibly as possible, the loneliness of man, the absence of communication among human beings.

Looking back at his earliest effort (which he now regards as unsuccessful) Adamov defines his basic idea in it, and a number of subsequent plays, as the idea "that the destinies of all human beings are of equal futility, that the refusal to live (of the character called N.) and the joyful acceptance of life (by the employee) both lead, by the same path, to inevitable failure, total destruction. "It is the same futility and pointlessness of human effort, the same impossibility of human communication which Ionesco expresses in ever new and ingenious variations. The two old people making conversation with the empty air and living in the expectation of an orator who is to pronounce profound truths about life, but turns out to be deaf and dumb (*The Chairs*), are as sardonically cruel a symbol of this fundamentally tragic view of human existence as Jack (*Jack or the Submission*), who stubbornly resists the concerted urgings of his entire family to subscribe to the most sacred principle of his clan-which, when his resistance finally yields to their entreaties, turns out to be the profound truth: "I love potatoes with bacon" ("J'adore les pommes de terre au lard").

The Theatre of the Absurd shows the world as an incomprehensible place. The spectators see the happenings on the stage entirely from the outside, without ever understanding the full meaning of these strange patterns of events, as newly arrived visitors might watch life in a country of which they have not yet mastered the language. The confrontation of the audience with

characters and happenings which they are not quite able to comprehend makes it impossible for them to share the aspirations and emotions depicted in the play. Brecht's famous "Verfremdungseffekt" (alienation effect), the inhibition of any identification between spectator and actor, which Brecht could never successfully achieve in his own highly rational theatre, really comes into its own in the Theatre of the Absurd. It is impossible to identify oneself with characters one does not understand or whose motives remain a closed book, and so the distance between the public and the happenings on the stage can be maintained. Emotional identification with the characters is replaced by a puzzled, critical attention. For while the happenings on the stage are absurd, they yet remain recognizable as somehow related to real life with its absurdity, so that eventually the spectators are brought face to face with the irrational side of their existence. Thus, the absurd and fantastic goings-on of the Theatre of the Absurd will, in the end, be found to reveal the irrationality of the human condition and the illusion of what we thought was its apparent logical structure

If the dialogue in these plays consists of meaningless clichés and the mechanical, circular repetition of stereotyped phrases--how many meaningless clichés and stereotyped phrases do we use in our day-to-day conversation? If the characters change their personality halfway through the action, how consistent and truly integrated are the people we meet in our real life? And if people in these plays appear as mere marionettes, helpless puppets without any will of their own, passively at the mercy of blind fate and meaningless circumstance, do we, in fact, in our over organized world, still possess any genuine initiative or power to decide our own destiny? The spectators of the Theatre of the Absurd are thus confronted with a grotesquely heightened picture of their own world: a world without faith, meaning, and genuine freedom of will. In this sense, the Theatre of the Absurd is the true theatre of our time

The theatre of most previous epochs reflected an accepted moral order, a world whose aims and objectives were clearly present to the minds of all its public, whether it was the audience of the medieval mystery plays with their solidly accepted faith in the Christian world order or the audience of the drama of Ibsen, Shaw, or Hauptmann with their unquestioned belief in evolution and progress. To such audiences, right and wrong were never in doubt, nor did they question the then accepted goals of human endeavor. Our own time, at least in the Western world, wholly lacks such a generally accepted and completely integrated world picture. The decline of religious faith, the destruction of the belief in automatic social and biological progress, the discovery of vast areas of irrational and unconscious forces within the human psyche, the loss of a sense of control over rational human development in an age of totalitarianism and weapons of mass destruction, have all contributed to the erosion of the basis for a dramatic convention in which the action proceeds within a fixed and self-evident framework of generally accepted values. Faced with the vacuum left by the destruction of a universally accepted and unified set of beliefs, most serious playwrights have felt the need to fit their work into the frame of values and objectives expressed in one of the contemporary ideologies: Marxism, psychoanalysis, aestheticism, or nature worship. But these, in the eyes of a writer like Adamov, are nothing but superficial rationalizations which try to hide the depth of man's predicament, his loneliness and his anxiety. Or, as Ionesco puts it:

> As far as I am concerned, I believe sincerely in the poverty of the poor, I deplore it; it is real; it can become a subject for the theatre; I also believe in the anxieties and serious troubles the rich may suffer from; but it is neither in the misery of the former nor in the melancholic of the latter, that I, for one, find my dramatic subject matter. Theatre is for me the outward projection onto the stage of an inner world; it is in my dreams, in my anxieties, in my obscure desires, in my internal contradictions that I, for one, reserve for myself the right of finding my dramatic subject matter. As I am not alone in the world, as each of us, in the depth of his being, is at the same time part and parcel of all others, my dreams, my desires, my anxieties, my obsessions do not belong to me alone. They form part of an ancestral heritage, a very ancient storehouse which is a portion of the common property of all mankind. It is this, which, transcending their outward diversity, reunites all human beings and constitutes our profound common patrimony, the universal language.

In other words, the commonly acceptable framework of beliefs and values of former epochs which has now been shattered is to be replaced by the community of dreams and desires of a collective unconscious. And, to quote Ionesco again:

> ...the new dramatist is one ... who tried to link up with what is most ancient: new language and subject matter in a dramatic structure which aims at being clearer, more stripped of inessentials and more purely theatrical; the rejection of traditionalism to rediscover tradition; a synthesis of knowledge and invention, of the real and imaginary, of the particular and the universal, or as they say now, of the individual and the collective...by expressing my deepest obsessions, I express deepest humanity. I become one with all others, spontaneously, over and above all the barriers of caste and different psychologies. I express my solitude and become one with all other solitudes.

What is the tradition with which the Theatre of the Absurd-at first sight the most revolutionary and radically new movement-is trying to link itself? It is in fact a very ancient and a very rich tradition, nourished from many and varied sources: the verbal exuberance and extravagant inventions of Rabelais, the age-old clowning of the Roman mimes and the Italian Commedia dell'Arte, the knock-about humor of circus clowns like Grock; the wild, archetypal symbolism of English nonsense verse, the baroque horror of Jacobean dramatists like Webster or Tourneur, the harsh, incisive and often brutal tones of the German drama of Grabbe,

Biichner, Kleist, and Wedekind with its delirious language and grotesque inventiveness; and the Nordic paranoia of the dreams and persecution fantasies of Strindberg.

All these streams, however, first came together and crystallized in the more direct ancestors of the present Theatre of the Absurd. Of these, undoubtedly the first and foremost is Alfred Jarry (1873-1907), the creator of *Ubu Roi*, the first play which clearly belongs in the category of the Theatre of the Absurd. *Ubu Roi*, first performed in Paris on December 10, 1896, is a Rabelaisian nonsense drama about the fantastic adventures of a fat, cowardly, and brutal figure, *le père* Ubu, who makes himself King of Poland, fights a series of Falstaffian battles, and is finally routed. As if to challenge all accepted codes of propriety and thus to open a new era of irreverence, the play opens with the defiant expletive, "*Merdre*!" which immediately provoked a scandal. This, of course, was what Jarry had intended. *Ubu*, in its rollicking Rabelaisian parody of a Shakespearean history play, was meant to confront the Parisian bourgeois with a monstrous portrait of his own greed, selfishness, and philistinism: "As the curtain went up I wanted to confront the public with a theatre in which, as in the magic mirror. . . of the fairy tales... the vicious man sees his reflection with bulls' horns and the body of a dragon, the projections of his viciousness...." But Ubu is more than a mere monstrous exaggeration of the selfishness and crude sensuality of the French bourgeois. He is at the same time the personification of the grossness of human nature, an enormous belly walking on two legs. That is why Jarry put him on the stage as a monstrous potbellied figure in a highly stylized costume and mask-a mythical, archetypal externalization of human instincts of the lowest kind. Thus, Ubu, the false king of Poland, pretended doctor of the pseudoscience of Pataphysics, clearly anticipates one of the main characteristics of the Theatre of the Absurd, its tendency to externalize and project outwards what is happening in the deeper recesses of the mind. Examples of this tendency are: the disembodied voices of "monitors" shouting commands at the hero of Adamov's *La Grande et la Petite Manoeuvre* which concretizes his neurotic compulsions; the mutilated trunks of the parents in Beckett's *Endgame* emerging from ashcans-the ashcans of the main character's subconscious to which he has banished his past and his conscience; or the proliferations of fungi that invade the married couple's apartment in Ionesco's *Amédée* and express the rottenness and decay of their relationship. All these psychological factors are not only projected outwards, they are also, as in Jarry's *Ubu Roi*, grotesquely magnified and exaggerated. This scornful rejection of all subtleties is a reaction against the supposed finesse of the psychology of the naturalistic theatre in which everything was to be inferred between the lines. The Theatre of the Absurd, from Jarry onwards, stands for explicitness as against implicit psychology, and in this resembles the highly explicit theatre of the Expressionists or the political theatre of Piscator or Brecht.



IMAGE 3.8 The set design for LES MAMELLES DE TIRESIAS. Photograph by Sylvain Lhermitte - personnel, CC BY-SA 3.0, Link

To be larger and more real than life was also the aim of Guillaume Apollinaire (1880-1918), the great poet who was one of the seminal forces in the rise of Cubism and who had close personal and artistic links with Jarry. If Apollinaire labeled his play *Les Mamelles de Tiresias* a "*drame surrealiste,*" he did not intend that term, of which he was one of the earliest users, in the sense in which it later became famous. He wanted it to describe a play in which everything was larger than life, for he believed in an art which was to be "modern, simple, rapid, with the shortcuts and enlargements that are needed to shock the spectator."' In the prologue to *Les Mamelles de Tiresias*, a grotesque pamphlet purportedly advocating an immense rise in the French birth rate, Apollinaire makes the Director of the Company of Actors who perform the play, define his ideas:

For the theatre should not be an imitation of reality

It is right that the dramatist should use
All the illusions at his disposal...
It is right that he should let crowds speak, or inanimate objects
If he so pleases
And that he no longer has to reckon
With time and space
His universe is the play
Within which he is God the Creator
Who disposes at will
Of sounds gestures movements masses colors
Not merely in order
To photograph what is called a slice of life
But to bring forth life itself and all its truth...

Accordingly, in *Les Mamelles de Tiresias* the whole population of Zanzibar, where the scene is laid, is represented by a single actor; and the heroine, Thérèse, changes herself into a man by letting her breasts float upwards like a pair of toy balloons. Although *Les Mamelles de Tiresias* was not a surrealist work in the strictest sense of the term, it clearly foreshadowed the ideas of the movement led by André Breton. Surrealism in that narrower, technical sense found little expression in the theatre. But Antonin Artaud (1896-1948), another major influence in the development of the Theatre of the Absurd, did at one time belong to the Surrealist group, although his main activity in the theatre took place after he had broken with Breton. Artaud was one of the most unhappy men of genius of his age, an artist consumed by the most intense passions; poet, actor, director, designer, immensely fertile and original in his inventions and ideas, yet always living on the borders of sanity and never able to realize his ambitions, plans, and projects.

Artaud, who had been an actor in Charles Dullin's company at the Atelier, began his venture into the realm of experimental theatre in a series of productions characteristically sailing under the label *Théâtre Alfred Jarry* (1927-29). But his theories of a new and revolutionary theatre only crystallized after he had been deeply stirred by a performance of Balinese dancers at the Colonial Exhibition of 1931. He formulated his ideas in a series of impassioned manifestoes later collected in the volume *The Theatre and Its Double* (1938), which continues to exercise an important influence on contemporary French theatre. Artaud named the theatre of his dreams *Théâtre de la Cruauté*, a theatre of cruelty, which, he said, "means a theatre difficult and cruel above all for myself." "Everything that is really active is cruelty. It is around this idea of action carried to the extreme that the theatre must renew itself." Here too the idea of action larger and more real than life is the dominant theme. "Every performance will contain a physical and objective element that will be felt by all. Cries, Wails, Apparitions, Surprises, *Coups de Théâtre* of all kinds, the magical beauty of costumes inspired by the model of certain rituals...." The language of the drama must also undergo a change: "It is not a matter of suppressing articulate speech but of giving to the words something like the importance they have in dreams." In Artaud's new theatre "not only the obverse side of man will appear but also the reverse side of the coin: the reality of imagination and of dreams will here be seen on an equal footing with everyday life."



IMAGE 3.9 Ily Abdy playing Beatrice Cenci from Artaud's adaptation of CENCI. Photograph by Unknown — https://gallica.bnf.fr/

ark:/12148/bd6t5750474s/f22.item, Domaine public, Lien

Artaud's only attempt at putting these theories to the test on the stage took place on May 6, 1935 at the Folies-Wagram. Artaud had made his own adaptation ("after Shelley and Stendhal") of the story of the *Cenci*, that sombre Renaissance story of incest and patricide. It was in many ways a beautiful and memorable performance, but full of imperfections and a financial disaster which marked the beginning of Artaud's eventual descent into despair, insanity, and abject poverty. Jean-Louis Barrault had some small part in this venture and Roger Blin, the actor and director who later played an important part in bringing Adamov, Beckett, and Ionesco to the stage, appeared in the small role of one of the hired assassins

Jean-Louis Barrault, one of the most creative figures in the theatre of our time, was in turn, responsible for another venture which played an important part in the development of the Theatre of the Absurd. He staged André Gide's adaptation of Franz Kafka's novel, *The Trial*, in 1947 and played the part of the hero K. himself. Undoubtedly this performance which brought the dreamworld of Kafka to a triumphant unfolding on the stage and demonstrated the effectiveness of this particular brand of fantasy in practical theatrical terms exercised a profound influence on the practitioners of the new movement. For here, too, they saw the externalization of mental processes, the acting out of nightmarish dreams by schematized figures in a world of torment and absurdity. The dream element in the Theatre of the Absurd can also be traced, in the case of Adamov, to Strindberg, acknowledged by him as his inspiration at the time when he began to think of writing for the theatre. This is the Strindberg of *The Ghost Sonata*, *The Dream Play* and of *To Damascus*. (Adamov is the author of an excellent brief monograph on Strindberg.)

But if Jarry, Artaud, Kafka, and Strindberg can be regarded as the decisive influences in the development of the Theatre of the Absurd, there is another giant of European literature that must not be omitted from the list-James Joyce, for whom Beckett at one time is supposed to have acted as helper and secretary. Not only is the Nighttown episode of *Ulysses* one of the earliest examples of the Theatre of the Absurd-with its exuberant mingling of the real and the nightmarish, its wild fantasies and externalizations of subconscious yearnings and fears, but Joyce's experimentation with language, his attempt to smash the limitations of conventional vocabulary and syntax has probably exercised an even more powerful impact on all the writers concerned it is in its attitude to language that the Theatre of the Absurd is most revolutionary.



IMAGE 3.9 A French promotional poster for a Jean Louis Barrault performance. Photograph by Carl van Vechten — Van Vechten Collection at Library of Congress, Domaine public, Lien

It deliberately attempts to renew the language of drama and to expose the barrenness of conventional stage dialogue. Ionesco once described how he came to write his first play. (Cf. his "The Tragedy of Language," TDR, Spring, 1960.) He had decided to take English lessons and began to study at the Berlitz school. When he read and repeated the sentences in his phrase book, those petrified corpses of once living speech, he was suddenly overcome by their tragic quality. From them he composed his first play, *The Bald Soprano*. The absurdity of its dialogue and its fantastic quality springs directly from its basic ordinariness. It exposes the emptiness of stereotyped language; "what is sometimes labeled the absurd," Ionesco says, "is only the denunciation of the ridiculous nature of a language which is empty of substance, made up of clichés and slogans ... ." Such a language has atrophied; it has ceased to be the expression of anything alive or vital and has been degraded into a mere conventional token of human intercourse, a mask for genuine meaning and emotion.

That is why so often in the Theatre of the Absurd the dialogue becomes divorced from the real happenings in the play and is even put into direct contradiction with the action. The Professor and the Pupil in Ionesco's *The Lesson* "seem" to be going through a repetition of conventional school book phrases, but behind this smoke screen of language the real action of the play pursues an entirely different course with the Professor, vampire-like, draining the vitality from the young girl up to the final moment when he plunges his knife into her body. In Beckett's *Waiting for Godot* Lucky's much vaunted philosophical wisdom is revealed to be a flood of completely meaningless gibberish that vaguely resembles the language of philosophical argument. And in Adamov's remarkable play, *Ping-Pong*, a good deal of the dramatic power lies in the contrapuntal contrast between the triviality of the theme-the improvement of pinball machines-and the almost religious fervor with which it is discussed. Here, in order to bring out the full meaning of the play, the actors have to act against the dialogue rather than with it, the fervor of the delivery must stand in a dialectical contrast to the pointlessness of the meaning of the lines. In the same way, the author implies that most of the fervent and passionate discussion of real life (of political controversy, to give but one example) also turns around empty and meaningless clichés. Or, as Ionesco says in an essay on Antonin Artaud:

As our knowledge becomes increasingly divorced from real life, our culture no longer contains ourselves (or only contains an insignificant part of ourselves) and forms a "social" context in which we are not integrated. The problem thus becomes that of again reconciling our culture with our life by making our culture a living culture once more. But to achieve this end we shall first have to kill the "respect for that which is written"... it becomes necessary to break up our language so that it may become possible to put it together again and to reestablish contact with the absolute, or as I should prefer to call it, with multiple realities.

This quest for the multiple reality of the world which is real because it exists on many planes simultaneously and is more than a mere unidirectional abstraction is not only in itself a search for a reestablished poetical reality (poetry in its essence expressing reality in its ambiguity and multidimensional depth); it is also in close accord with important movements of our age in what appear to be entirely different fields: psychology and philosophy. The dissolution, devaluation, and relativization of language is, after all, also the theme of much of present-day psychology, which has shown what in former times was regarded as a rational expression of logically arrived at conclusions to be the mere rationalization of subconscious emotional impulses. Not everything we say means what we intend it to mean. And likewise, in present-day Logical Positivism a large proportion of all statements is regarded as devoid of conceptual meaning and merely emotive. A philosopher like Ludwig Wittgenstein, in his later phases, even tried to break through what he regarded as the opacity, the misleading nature of language and grammar; for if all our thinking is in terms of language, and language obeys what after all are the arbitrary conventions of grammar, we must strive to penetrate to the real content of thought that is masked by grammatical rules and conventions. Here, too, then is a matter of getting behind the surface of linguistic clichés and of finding reality through the break-up of language.

In the Theatre of the Absurd, therefore, the real content of the play lies in the action. Language may be discarded altogether, as in Beckett's *Act Without Words* or in Ionesco's *The New Tenant*, in which the whole sense of the play is contained in the incessant arrival of more and more furniture so that the occupant of the room is, in the end, literally drowned in it. Here the movement of objects alone carries the dramatic action, the language has become purely incidental, less important than the contribution of the property department. In this, the Theatre of the Absurd also reveals its anti-literary character, its endeavor to link up with the pre-literary strata of stage history: the circus, the performances of itinerant jugglers and mountebanks, the music hall, fairground barkers, acrobats, and also the robust world of the silent film. Ionesco, in particular, clearly owes a great deal to Chaplin, Buster Keaton, the Keystone Cops, Laurel and Hardy, and the Marx Brothers. And it is surely significant that so much of successful popular entertainment in our age shows affinities with the subject matter and preoccupation of the avant garde Theatre of the Absurd. A sophisticated, but nevertheless highly popular, film comedian like Jacques Tati uses dialogue merely as a barely comprehensible babble of noises, and also dwells on the loneliness of man in our age, the horror of over mechanization and over organization gone mad. Danny Kaye excels in streams of gibberish closely akin to Lucky's oration in *Waiting for Godot*. The brilliant and greatly liked team of British radio (and occasionally television) comedians, the Goons, have a sense of the absurd that resembles Kafka's or Ionesco's and a team of grotesque singers like "Les Freres Jacques" seems more closely in line with the Theatre of the Absurd than with the conventional cabaret.

Yet the defiant rejection of language as the main vehicle of the dramatic action, the onslaught on conventional logic and unilinear conceptual thinking in the Theatre of the Absurd is by no means equivalent to a total rejection of all meaning. On the contrary, it constitutes an earnest endeavor to penetrate deeper layers of meaning and to give a truer, more complex, picture of reality in avoiding the simplification which results from leaving out all the undertones, overtones, and inherent absurdities and contradictions of any human situation. In the conventional drama every word means what it says, the situations are clearcut, and at the end all conflicts are tidily resolved. But reality, as Ionesco points out in the passage we have quoted, is never like that; it is multiple, complex, many-dimensional and exists on a number of different levels at one and the same time. Language is far too straightforward an instrument to express all this by itself. Reality can only be conveyed by being acted out in all its complexity. Hence, it is the theatre, which is multidimensional and more than merely language or literature, which is the only instrument to express the bewildering complexity of the human condition. The human condition being what it is, with man small, helpless, insecure, and unable ever to fathom the world in all its hopelessness, death, and absurdity, the theatre has to confront him with

the bitter truth that most human endeavor is irrational and senseless, that communication between human beings is well-nigh impossible, and that the world will forever remain an impenetrable mystery. At the same time, the recognition of all these bitter truths will have a liberating effect: if we realize the basic absurdity of most of our objectives we are freed from being obsessed with them and this release expresses itself in laughter.

Moreover, while the world is being shown as complex, harsh, and absurd and as difficult to interpret as reality itself, the audience is yet spurred on to attempt their own interpretation, to wonder what it is all about. In that sense they are being invited to school their critical faculties, to train themselves in adjusting to reality. As the world is being represented as highly complex and devoid of a clear-cut purpose or design, there will always be an infinite number of possible interpretations. As Apollinaire points out in his Preface to *Les Mamelles de Tiresias*: "None of the symbols in my play is very clear, but one is at liberty to see in it all the symbols one desires and to find in it a thousand senses-as in the Sibylline oracles." Thus, it may be that the pinball machines in Adamov's *Ping-Pong* and the ideology which is developed around them stand for the futility of political or religious ideologies that are pursued with equal fervor and equal futility in the final result. Others have interpreted the play as a parable on the greed and sordidness of the profit motive. Others again may give it quite different meanings. The mysterious transformation of human beings into rhinos in Ionesco's latest play, *The Rhinoceros*, was felt by the audience of its world premiere at Duesseldorf (November 6, 1959) to depict the transformation of human beings into Nazis. It is known that Ionesco himself intended the play to express his feelings at the time when more and more of his friends in Rumania joined the Fascist Iron Guard and, in effect, left the ranks of thin skinned humans to turn themselves into moral pachyderms. But to spectators less intimately aware of the moral climate of such a situation than the German audience, other interpretations might impose themselves: if the hero, Bérenger, is at the end left alone as the only human being in his native town, now entirely inhabited by rhinos, they might regard this as a poetic symbol of the gradual isolation of man growing old and imprisoned in the strait jacket of his own habits and memories. Does Godot, so fervently and vainly awaited by Vladimir and Estragon, stand for God? Or does he merely represent the ever elusive tomorrow, man's hope that one day something will happen that will render his existence meaningful? The force and poetic power of the play lie precisely in the impossibility of ever reaching a conclusive answer to this question.

Here we touch the essential point of difference between the conventional theatre and the Theatre of the Absurd. The former, based as it is on a known framework of accepted values and a rational view of life, always starts out by indicating a fixed objective towards which the action will be moving or by posing a definite problem to which it will supply an answer. Will Hamlet revenge the murder of his father? Will Iago succeed in destroying Othello? Will Nora leave her husband? In the conventional theatre the action always proceeds towards a definable end. The spectators do not know whether that end will be reached and how it will be reached. Hence, they are in suspense, eager to find out what will happen. In the Theatre of the Absurd, on the other hand, the action does not proceed in the manner of a logical syllogism. It does not go from A to B but travels from an unknown premise X towards an unknowable conclusion Y. The spectators, not knowing what their author is driving at, cannot be in suspense as to how or whether an expected objective is going to be reached. They are not, therefore, so much in suspense as to what is going to happen next (although the most unexpected and unpredictable things do happen) as they are in suspense about what the next event to take place will add to their understanding of what is happening. The action supplies an increasing number of contradictory and bewildering clues on a number of different levels, but the final question is never wholly answered. Thus, instead of being in suspense as to what will happen next, the spectators are, in the Theatre of the Absurd, put into suspense as to what the play may mean. This suspense continues even after the curtain has come down. Here again the Theatre of the Absurd fulfills Brecht's postulate of a critical, detached audience, who will have to sharpen their wits on the play and be stimulated by it to think for themselves, far more effectively than Brecht's own theatre. Not only are the members of the audience unable to identify with the characters, they are compelled to puzzle out the meaning of what they have seen. Each of them will probably find his own, personal meaning, which will differ from the solution found by most others. But he will have been forced to make a mental effort and to evaluate an experience he has undergone. In this sense, the Theatre of the Absurd is the most demanding, the most intellectual theatre. It may be riotously funny, wildly exaggerated and oversimplified, vulgar and garish, but it will always confront the spectator with a genuine intellectual problem, a philosophical paradox, which he will have to try to solve even if he knows that it is most probably insoluble.

In this respect, the Theatre of the Absurd links up with an older tradition which has almost completely disappeared from Western culture: the tradition of allegory and the symbolical representation of abstract concepts personified by characters whose costumes and accoutrements subtly suggested whether they represented Time, Chastity, Winter, Fortune, the World, etc. This is the tradition which stretches from the Italian *Trionfo* of the Renaissance to the English Masque, the elaborate allegorical constructions of the Spanish *Auto sacramenta*l down to Goethe's allegorical processions and masques written for the court of Weimar at the turn of the eighteenth century. Although the living riddles the characters represented in these entertainments were by no means difficult to solve, as everyone knew that a character with a scythe and an hourglass represented Time, and although the characters soon revealed their identity and explained their attributes, there was an element of intellectual challenge which stimulated the audience in the moments between the appearance of the riddle and its solution and which provided them with the pleasure of having solved a puzzle. And what is more, in the elaborate allegorical dramas like Calder6n's *El Gran Teatro del Mundo* the subtle interplay of

allegorical characters itself presented the audience with a great deal to think out for themselves. They had, as it were, to translate the abstractly presented action into terms of their everyday experience; they could ponder on the deeper meaning of such facts as death having taken the characters representing Riches or Poverty in a Dance of Death equally quickly and equally harshly, or that Mammon had deserted his master Everyman in the hour of death. The dramatic riddles of our time present no such clear-cut solutions. All they can show is that while the solutions have evaporated the riddle of our existence remains-complex, unfathomable, and paradoxical.

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11.3.4: Abstract Expressionism

Abstract Expressionism is a school of painting that flourished after World War II until the early 1960s, characterized by the view that art is nonrepresentational and chiefly improvisational. Abstract Expressionism develops out of many different ideas and influences. Some of these influences come from contact between the New York based artists who meet leading European artists who have escaped from war-torn Europe arriving in New York. World War II begins in Europe in the late-1930s lasting until 1945. Other major ideas and influences that result in Abstract Expressionism are due to uniquely American traits, ideas, and circumstances in the United States. Many Abstract Expressionists of the time used both Color Field and Action Painting to complete their work.

Abstract Expressionism included works of drawing, painting, print, and sculpture that were focused on the physical properties of the medium used as opposed to pictorial narrative, although not all of them were without reference to the figure or the phenomenal world altogether. Other artists associated with Abstract Expressionism used less sense of representation in their work. Included in the category were Jackson Pollock and Mark Rothko. Abstract Expressionist artists were more concerned with artistic process and formal means than with the creation of narrative pictures. In examining a small cross section of work by the Abstract Expressionist artists, we can see that it may not be appropriate, after all, to call this a stylistic category, as there is not really a stream of visual similarities among them; rather, they are characterized as much by their freedom from the constraints of stylistic rules and their lack of unifying visual features.

Each of the leading Abstract Expressionist artists has individual ideas, influences, concerns, and techniques in making their artworks. We should analyze their individual motivations and influences as well as understanding what larger ideas associated with Abstract Expressionism as a broader style is evident in their work. It shaped their understanding of painting itself as a struggle between self-expression and the chaos of the subconscious. Surrealism was an original influence on the themes and concepts of the Abstract Expressionists. Although the American painters were uneasy with the overt Freudian symbolism of the European movement, they were still inspired by its interests in the unconscious, as well as its strain of primitivism and preoccupation with mythology. Many were particularly interested in the ideas of the Swiss psychiatrist Carl Jung, who believed that elements of a collective unconscious had been handed down through the ages by means of archetypal symbols, or primordial images, which had become recurrent motifs.

A movement of abstract painting that emerged in New York City during the mid-1940s and attained singular prominence in American art in the following decade; also called action painting and the New York school. Jackson Pollock 's turbulent yet elegant abstract paintings, which were created by spattering paint on huge canvases placed on the floor, brought abstract expressionism before a hostile public. Willem de Kooning 's first one-man show in 1948 established him as a highly influential artist. Other important artists involved with the movement included Hans Hofmann , Robert Motherwell , and Mark Rothko ; among other major abstract expressionists were such painters as Clyfford Still , Theodoros Stamos, Adolph Gottlieb, Helen Frankenthaler, Lee Krasner, and Esteban Vicente.

Many works of art come out of a personal decision to put a feeling, idea, or concept into visual form. Since feelings vary widely, the resulting art takes a wide range of forms. This approach to art comes from the individual's delight in the experience. Doodling comes to mind as one very basic example of such delight. Pollock's Abstract Expressionist works, also known as action paintings, are much more than doodles, though they may resemble such on the surface. They were the result of many levels of artistic thought but on a basic level were a combination of delight in the act of painting and in the personal discovery that act enabled.

IMAGE 3.10 Jackson Pollock (American, 1912-1956), Autumn Rhythm, 1950, enamel paint on canvas, 105 x 207 in., may be viewed at Metropolitan Museum of Art.

PERFORMANCE ART: WHEN ART INTERSECTS WITH LIFE

Many people associate performance art with highly publicized controversies over government funding of the arts, censorship, and standards of public decency. Indeed, at its worst, performance art can seem gratuitous, boring or just plain weird. But, at its best, it taps into our most basic shared instincts: our physical and psychological needs for food, shelter, sex, and human interaction; our individual fears and self-consciousness; our concerns about life, the future, and the world we live in. It often forces us to think about issues in a way that can be disturbing and uncomfortable, but it can also make us laugh by calling attention to the absurdities in life and the idiosyncrasies of human behavior.

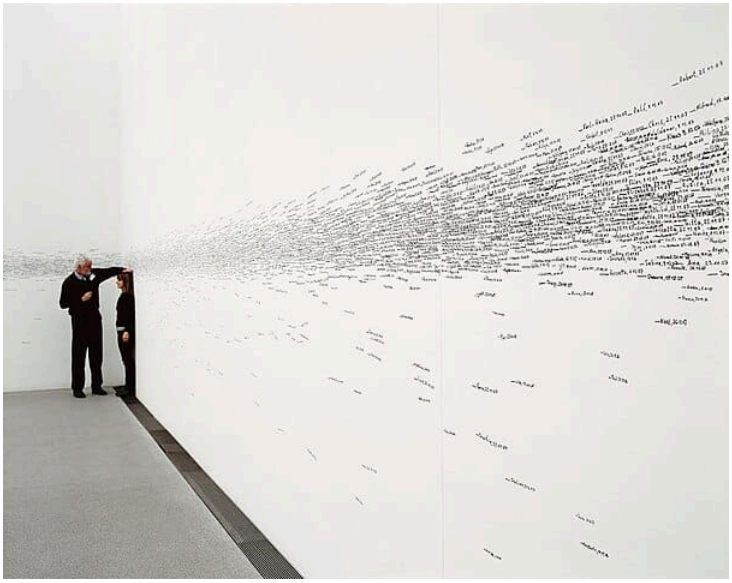


Figure 11.3.4.1: Copy and Paste Caption here. (Copyright; author via source)

IMAGE 3.11 Roman Ondák, Measuring the Universe, 2007, shown enacted at MoMA, 2009 CC BY-SA. Photograph by Roman Ondak - Own work, CC BY-SA 4.0, Link

Performance art differs from traditional theater in its rejection of a clear narrative, use of random or chance-based structures, and direct appeal to the audience. The art historian RoseLee Goldberg writes:

Historically, performance art has been a medium that challenges and violates borders between disciplines and genders, between private and public, and between everyday life and art, and that follows no rules.

Although the term encompasses a broad range of artistic practices that involve bodily experience and live action, its radical connotations derive from this challenge to conventional social mores and artistic values of the past.

HISTORICAL SOURCES

While performance art is a relatively new area of art history, it has roots in experimental art of the late 19th and early 20th centuries. Echoing utopian ideas of the period's avant-garde, these earliest examples found influences in theatrical and music performance, art, poetry, burlesque and other popular entertainment. Modern artists used live events to promote extremist beliefs, often through deliberate provocation and attempts to offend bourgeois tastes or expectations. In Italy, the anarchist group of Futurist artists insulted and hurled profanity at their middle-class audiences in hopes of inciting political action.

Following World War II, performance emerged as a useful way for artists to explore philosophical and psychological questions about human existence. For this generation, who had witnessed destruction caused by the Holocaust and atomic bomb, the body offered a powerful medium to communicate shared physical and emotional experience. Whereas painting and sculpture relied on expressive form and content to convey meaning, performance art forced viewers to engage with a real person who could feel cold and hunger, fear and pain, excitement and embarrassment—just like them.

ACTION & CONTINGENCY

Some artists, inspired largely by Abstract Expressionism, used performance to emphasize the body's role in artistic production. Working before a live audience, Kazuo Shiraga of the Japanese Gutai Group made sculpture by crawling through a pile of mud. Georges Mathieu staged similar performances in Paris where he violently threw paint at his canvas. These performative approaches to making art built on philosophical interpretations of Abstract Expressionism, which held the gestural markings of action painters as visible evidence of the artist's own existence. Bolstered by Hans Namuth's photographs of Jackson Pollock in his studio, moving dance-like around a canvas on the floor, artists like Shiraga and Mathieu began to see the artist's creative act as equally important, if not more so, to the artwork produced. In this light, Pollock's distinctive drips, spills and splatters appeared as a mere remnant, a visible trace left over from the moment of creation.

Shifting attention from the art object to the artist's action further suggested that art existed in real space and real time. In New York, visual artists combined their interest in action painting with ideas of the avant-garde composer John Cage to blur the line between art and life. Cage employed chance procedures to create musical compositions such as 4'33". In this (in)famous piece, Cage used the time frame specified in the title to bracket ambient noises that occurred randomly during the performance. By effectively calling attention to the hum of fluorescent lights, people moving in their seats, coughs, whispers, and other ordinary sounds, Cage transformed them into a unique musical composition.

THE PRIVATE MADE POLITICAL

Drawing on these influences, new artistic formats emerged in the late 1950s. Environments and Happenings physically placed viewers in commonplace surroundings, often forcing them to participate in a series of loosely structured actions. Fluxus artists, poets, and musicians likewise challenged viewers by presenting the most mundane events—brushing teeth, making a salad, exiting the theater—as forms of art. A well-known example is the "bed-in" that Fluxus artist Yoko Ono staged in 1969 in Amsterdam with her husband John Lennon. Typical of much performance art, Ono and Lennon made ordinary human activity a public spectacle, which demanded personal interaction and raised popular awareness of their pacifist beliefs.

In the politicized environment of the 1960s, many artists employed performance to address emerging social concerns. For feminist artists in particular, using their body in live performance proved effective in challenging historical representations of women, made mostly by male artists for male patrons. In keeping with past tradition, artists such as Carolee Schneemann, Hannah Wilke and Valie Export displayed their nude bodies for the viewer's gaze; but, they resisted the idealized notion of women as passive objects of beauty and desire. Through their words and actions, they confronted their audiences and raised issues about the relationship of female experience to cultural beliefs and institutions, physical appearance, and bodily functions including menstruation and childbearing. Their ground-breaking work paved the way for male and female artists in the 1980s and 1990s, who similarly used body and performance art to explore issues of gender, race and sexual identity.

WHERE IS IT?

Throughout the mid-twentieth century, performance has been closely tied to the search for alternatives to established art forms, which many artists felt had become fetishized as objects of economic and cultural value. Because performance art emphasized the artist's action and the viewer's experience in real space and time, it rarely yielded a final object to be sold, collected, or exhibited. Artists of the 1960 and 70s also experimented with other "dematerialized" formats including Earthworks and Conceptual Art that resisted commodification and traditional modes of museum display. The simultaneous rise of photography and video, however, offered artists a viable way to document and widely distribute this new work.

Performance art's acceptance into the mainstream over the past 30 years has led to new trends in its practice and understanding. Ironically, the need to position performance within art's history has led museums and scholars to focus heavily on photographs and videos that were intended only as documents of live events. In this context, such archival materials assume the art status of the original performance. This practice runs counter to the goal of many artists, who first turned to performance as an alternative to object-based forms of art. Alternatively, some artists and institutions now stage re-enactments of earlier performances in order to recapture the experience of a live event. In a 2010 retrospective exhibition at New York's Museum of Modern Art, for example, performers in the galleries staged live reenactments of works by the pioneering performance artist Marina Abramovic, alongside photographs and video documentation of the original performances.

DON'T TRY THIS AT HOME

New strategies, variously described as situations, relational aesthetics, and interventionist art, have recently begun to appear. Interested in the social role of the artist, Rirkrit Tiravanija stages performances that encourage interpersonal exchange and shared conversation among individuals who might not otherwise meet. His performances have included cooking traditional Thai dinners in museums for viewers to share, and relocating the entire contents of a gallery's offices and storage rooms, including the director at his desk, into public areas used to exhibit art. Similar to performance art of the past, such approaches engage the viewer and encourage their active participation in artistic production; however, they also speak to a cultural shift toward interactive modes of communication and social exchange that characterize the 21st century.

GUTAI JAPANESE MODERNISM

From early on, originality was the buzzword and motto of Gutai art. As the group's leader, Yoshihara Jirō, repeated time and again:

“Create what has not been done before!” At the same time, originality is also a fundamental notion in the conventional division of creative labor between center and periphery, according to which “innovation takes place in the center and is disseminated to the periphery.” Hence, to decenter modernism, as Tiampo puts it, “we must first decenter originality.”

Despite its outlandish results in the eyes of its contemporaries, Gutai’s relentless search for originality, as Tiampo demonstrates, must be understood within the context of the pressing issues that affected Japanese cultural politics after the country’s defeat in the Second World War. Having lived through the fascist militarization that accompanied Japan’s imperialistic expansion in East Asia, Yoshihara embraced postwar values of individuality and subjective autonomy as antidotes to the prewar ideology of *kokutai*, or the national body: “Radically subverting the wartime image of the nation’s body (*kokutai*) in the immediate postwar period, the carnal body (*nikutai*) emerged as a site of expression and as the root source of desire and subjective autonomy (*shutaisei*).” As Tiampo argues, Gutai’s emphasis on creative originality cannot be dissociated from this embrace of subjective autonomy and individuality as fundamental political values in postwar Japan. Nonetheless, it is also worth noting that Yoshihara’s embrace of individual creativity—not to mention Gutai’s distance from the social struggles of 1950s and 1960s Japan—simultaneously set the group apart from a more collective, class-based understanding of *shutaisei* as well as from the leftist politics of their contemporaries in Tokyo and elsewhere in Japan.

Japan's postwar artists have hated what they see as Western cultural imperialism. They've also fallen in love with the vulgarity and excess of American culture. Since the Gutai explosion, Japan's contemporary art has run fender with just about everyone else's. In the 1960's there were social protest works and obsessions with the human body, raucous figurative paintings in the 1980s and elaborate video installations in the 1990s. And this emulation business has been a two-way street. The Guggenheim Museum SoHo survey of Japanese Art After 1945 : Scream Against the Sky" (1994-1995) aroused intense curiosity and some controversy. This first-ever major exhibition of Japanese modern art in the U.S. shows that many of today's art movements had their origins in japan. The purpose here is to explore a little further into the first avant-garde movement, the Gutai group after World War II in japan. "Japanese Art After 1945: Scream Against the Sky" Whether those who are aficionados of modern art or merely curious beginners, this exhibition is a milestone. Such blockbuster exhibitions as "Japan des avant-gardes 1910-1970" in Paris, and “Against Nature : Japanese Art in the Eighties" which toured the U.S., were essential for grasping the fundamental elements of Japanese avant-garde art, movement offered information about artwork that gave rise to extraordinary phenomena. In impact and importance, the exhibition at the Guggenheim Museum SoHo might be compared with the New York Armory Show in 1913 : modern art's first major show in the U.S. The American art world got their first look at artwork by Picasso, Braque, Kandinsky and Matisse. Furthermore, Duchamp' s renowned Nude Descending a Staircase created a commotion. In the catalog essay for the Japanese Art After 1945, the curator Alexandra Munroe said that "Modernism and the concept of avant garde art are Western ideas that Japan received from abroad.” But just before the exhibition opened, she stated, “A lot of the work in the show might seem to look like American abstract expressionism and conceptual art, but it really comes out of another culture." In fact, she is of two minds about this show. In other words, "this exhibition presents a significant argument that world-class art has been wrongly over-looked.” This exhibition engages me in dialogue. First, it asks what the originality of art is. In general, Zen, Wabi-Sabi, calligraphy and elements of Buddhism have been taken to explain Japanese art or to show relationships with more or less large areas of these artworks. Japanese art and these words might just be one of the partially successful approaches, but they might also bring in misleading analyses for Japanese art. Now we must reconsider the originality of Japanese modern art. The Gutai and Japanese Modernism "Anyone who regarded Japanese contemporary art as a watered-down version of Western modernism has a surprise in store." Many of the artists in the exhibition, especially the Gutai artists had been pioneers in styles, for example “conceptual art, performance art and body art, all of which ·America and Europe tend to claim as their own”. Especially, the Gutai group was frequently cited as the first truly radical postwar art movement in Japan. Its performance centered works, theatrical events and multimedia environments had enormous influence on both Japan and other countries, primarily through photo-documentation in a periodical that was the group's first production and gave the Gutai group its name. The Gutai Japanese-English magazine, which ran for twelve issues between 1955 and 1965, helped to introduce their artworks abroad and led to a series of their exhibitions. There was no doubt that in Europe, the periodical was instrumental in initiating an exchange between the Japanese and European avant-gardes. The effect of Japanese modernism was "a bit more than a time-lag appropriation of Western art works. This was a real tense time period as they tried to resolve itself here." In the early 1950' s, a boom of international loan exhibitions began in Japan. According to Munroe, until 1954, "the Salon de mai survey of contemporary French painting and one-person shows of works by Henri Matisse, Pablo Picasso, George Rouault, and Ossip Zadkine all traveled to Japan. Rapid, successive exposure to contemporary art was also facilitated by a deluge of international and domestic art magazines that were available after years of censorship." Munroe quoted a comment by a Japanese critic, Shuzo Takiguchi in order to indicate the japanese artists had been starved of Western modern art: Perhaps we haven't completely digested the movements and principles of Western art.

Japanese contemporary art must exist in our guts and bones. This is where everything begins. Is it possible that we do not yet understand our very own substance? As Takig uchi stated above, "starting from zero" was no academic theory, but everyday imperative. A traumatic shock was seared into the consciousness of the people of Japan by two atomic bombs. At the same

time, "Japanese postwar artists hated what they saw in Western cultural imperialism. They also fell in love with the vulgarity and excess of American culture." Consequently, they veered between trying to revive and make art, for instance : traditional ceramics, and "art with dripped paint or Coca Cola logos." Munroe stated that Jiro Yoshiwara, founder of the 1950's ground-breaking Gutai movement, "promoted a bold and spirited anti-academicism." Yoshiwara exhorted its followers to "Create what has never existed before!" Yoshiwara, also stated this vision in the first issue of the Gutai magazine, "The art of the present represents freedom for those living in this severe time .... Our profound wish is to concretely prove that our spirits are free." He defined art-making as the symbolization of freedom, an individual soul, a destructive rite to create something new. The group was founded in 1954 by artists proclaiming their freedom from the oppressive Japanese government during World War II. It was based in Nishinomiya city (Hyogo prefecture) in the western region of Japan. "The noun gutai literally means 'concreteness· ... Using this name, Gutai signified concrete enactments of individual character, emotion, and thought in opposition to cerebral and abstract aesthetics. The Gutai artists sought radical new means for expressing the historical crisis. Some artists took abstract expressionism and pushed it further into space. They applied paint with their bare feet, broke bottles on canvas and even painted with remote-control devices. "As apolitical and anarchic, they melded Western and Eastern thinking and set both gently askew,"said the critic Holland Cotter in the New York Times. The artworks of Kazuo Shiraga remind us of both Zen notions of chance and action paintings when he threw away his brushes and began to paint Pollock-like abstractions with his feet. On the other hand, he anticipates postmodernist preoccupation with bizarre media in his painting incorporating bore hide in his canvas. Atsuko Tanaka's Electric dress (1956), a kind of ritual wear made of colored electric lights and bells, which includes an electronic switching system to control the individual bulbs and "seems to be a witty emblem of both the lure and the danger of technology." Cotter said, in his review, that the wearer looked fantastic and very sophisticated but risked electrocution. The Gutai as an Influential Pioneer of Contemporary Art The Gutai group was an influential pioneer to late 1950's happenings and performance arts of the 1960's, a fact acknowledged by Allan Kaprow. Kaprow wrote that "did not know of the Gutai movement until 1959 and did not see photographs of events until 1963." The Gutai group anticipated the Happenings and performance art of New York. ""Their activities were staed in an article entitled "Japanese Innovators" by Ray Falk, which reported how the Gutai artists brought action into their artwork, turning it into theater. Eighteen members of the Gutai group exhibited twenty-eight paintings as the sixth Gutai exhibition at Martha jackson Gallery, New York in the fall of 1958, and these Gutai exhibitions traveled to other American venues. The seventh Gutai exhibition in 1959 was held in Turin, initiating a long-lasting appreciation of Gutai work in Italy. The Gutai exhibitions were consequently held in Austria, France, Holland and Germany during the 1960's as late as 1965-67, the Museum of Modern Art in New York organized "The New Japanese Painting and Sculpture": which included many Gutai artists and the show toured seven other U.S. museums.

By not just framing personal body gestures, but going beyond them; painting with their feet for example. Setting down his canvas of dribbles and drips, Kanayama went beyond Jackson Pollock not through wrist flicks, but by attaching his brush to a small toy robot. Murakami hurled glass jars of paint against rocks in front of canvas : we can see shards of glass embedded in the paint. Shozo Shimamoto was inspired by an early encounter with artworks of Zen artist-monk Nantenbo Toju (1839- 1926) Yoshiwara often took fellow members of the Gutai group to see Nantenbo"s famous fusuma paintings at the Kaisei Temple in Nishinomiya. Shimamoto was shocked by Nantenbo"s large works which had been executed with an oversize, heavy brush that required all the artist's energy to act. Since Nantenbo had completed the sequence of strokes in each ideogram, the weight of black ink and his energy caused huge splashes of ink to be thrown across the surface, making a visible record of his physical struggle with his materials. Shimamoto attempted to incorporate the factors of time, space and their interaction-the idea of the artwork as a locus of the movement of the body- into his artwork in various ways. His early artwork such as Hole of ca. 1950 represents a record of the powerful motions of the artist : he pierced the surface of the paper with a pencil again and again. His later paintings, such as work of 1960, and some related photo-documented events took this action orientation a stage further by underlining a random painting process. Like Mura-kami, Shimamoto flung a bottle filled with enamel paint against a rock located in the center of a large sheet of canvas : the resulting painting involved impact-generated sprays of viscous paint in which glass fragments were embedded. The founder of the Gutai group, Yoshiwara Nantcnbo. Ink Paintings of Danmw was the most conventional abstract painter in it. Munroe said of Yoshiwara, "his interests remained more formal and spiritual. Besides his abiding interest in modern European abstraction, he was actively involved with Shiryu Morita and the avant-garde calligraphy movement." Shiryu Morita was also influenced by Nantenbo whom mentioned before. After 1962, Yoshiwara tended to concentrate on executing a series of circle paintings stimulated by Zen notion for ten years. This artwork "represents void and substance, emptiness and completion, and the union of painting, calligraphy, and meditation." ln the tradition of Zen monk-artists, Yoshiwara repeatedly practiced his circle paintings as a form of spiritual discipline while pursuing the realization of a perfect form of modern abstract painting. "I am grateful that however big the space know that one circle can fill it, will complete the picture. It save me from having to think what to draw on every canvas. I am only left with dealing with what kind of circle will be made. Or, with what kind of circle I will make .... It is up to me as to whether I have come to an understanding with my circles and myself." A primary motive behind the Gutai group's assimilation of Eastern and Western ideas, as well as behind the group's earnest recognition of the theory of l"informe l that Tapie championed for them, was the desire to be seen as energetic participants in an international art world. On the other hand, most of postwar Japanese artists often followed the Western art styles. "The Japanese themselves were worried about being provincial, at the same time, were looking for their own identity as artists : some ambitious artists, such as On Kawara chose to

live outside Japan." But this is not the whole story. "Japanese culture also equipped artists with means to infuse certain general themes of international postwar art with great conviction." Some art critics commented that Japanese art just followed Western art until now. But, perhaps we can say that the Gutai group's ideas were simultaneous with Western avant-garde movements and that the Gutai artists were drawing from their own culture rather than adopting foreign modes of art movements. During 1950's and early 60's, many Japanese artists and critics discussed the relationship between Western contemporary art and Japanese art. After some survey blockbuster exhibitions of Western contemporary art were held in japan, the debate appeared prominently.

We should notice that Japanese art has parallels Western contemporary art of the time. Under these conditions, the Gutai follows: While debates about the nature of Gutai art are far from resolved, Gutai's radical achievements in the context of Japanese modernism are now recognized as historical fact. Not coincidentally, Gutai's overdue recognition as Japan's primary 'original avant-garde movement' has occurred as part of a national revisionist effort to establish a history of Japanese modernism independent from the Euro-American narrative. Conclusion After World War II , the prominence of the Gutai group helped other Japanese artists find "fresh and rough-hewn ways of working." In the 1960's and 70's, there were expressions of "anti-art, inter-media, conceptual, and metaphysical art forms." In addition, there were new paintings and sculptures in the 1980's and video installations and computer-generated artworks in the 1990's. The Gutai artists broke their conventional identity and established their own identity as international an art movement. The Gutai artists left clues for followers to set up a vital exchange between Japan and the West. While searching for a contemporary identity, the Gutai artists, by inspiring Western avant-garde ideas into Japanese notion, turned theory artists were able to grasp and develop it. The curator, Munroe identified the Gutai group as wasteland into a rich field in the art world.

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11.4: LIBERATION AND EQUALITY (1960-ONWARD)



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Pvt. Charles Alston with his art student and cousin, Romare Bearden (right), discussing one of his paintings, Cotton Workers, in 1944. Both were members of the 372nd Infantry Regiment stationed in New York City. Photograph by Unknown author or not provided - U.S. National Archives and Records Administration, Public Domain, Link

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11.4.1: Quest for Equality

1960S AND THE AMERICAN DREAM

The 1960s was a decade of hope, change, and war that witnessed an important shift in American culture. Citizens from all walks of life sought to expand the meaning of the American promise. Their efforts helped unravel the national consensus and laid bare a far more fragmented society. As a result, men and women from all ethnic groups attempted to reform American society to make it more equitable. The United States also began to take unprecedented steps to exert what it believed to be a positive influence on the world. At the same time, the country's role in Vietnam revealed the limits of military power and the contradictions of U.S. foreign policy. The posthumous portrait of John F. Kennedy captures this mix of the era's promise and defeat. His election encouraged many to work for a better future, for both the middle class and the marginalized. Kennedy's running mate, Lyndon B. Johnson, also envisioned a country characterized by the social and economic freedoms established during the New Deal years. Kennedy's assassination in 1963, and the assassinations five years later of Martin Luther King, Jr. and Robert F. Kennedy, made it dramatically clear that not all Americans shared this vision of a more inclusive democracy.

Against the backdrop of the Cold War, Americans dedicated themselves to building a peaceful and prosperous society after the deprivation and instability of the Great Depression and World War II. Dwight D. Eisenhower, the general who led the United States to victory in Europe in 1945, proved to be the perfect president for the new era. Lacking strong conservative positions, he steered a middle path between conservatism and liberalism, and presided over a peacetime decade of economic growth and social conformity. In foreign affairs, Eisenhower's New Look policy simultaneously expanded the nation's nuclear arsenal and prevented the expansion of the defense budget for conventional forces.

WE LIKE IKE

After Harry Truman declined to run again for the presidency, the election of 1952 emerged as a contest between the Democratic nominee, Illinois governor Adlai Stevenson, and Republican Dwight D. Eisenhower, who had directed American forces in Europe during World War II (Image 4.1). Eisenhower campaigned largely on a promise to end the war in Korea, a conflict the public had grown weary of fighting. He also vowed to fight Communism both at home and abroad, a commitment he demonstrated by choosing as his running mate Richard M. Nixon, a congressman who had made a name for himself by pursuing Communists, notably former State Department employee and suspected Soviet agent Alger Hiss.



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IMAGE 4.1 Dwight D. Eisenhower was the perfect presidential candidate in 1952. He had never before run for office or even cast a vote, and thus had no political record to be challenged or criticized.

In 1952, Eisenhower supporters enthusiastically proclaimed “We Like Ike,” and Eisenhower defeated Stevenson by winning 54 percent of the popular vote and 87 percent of the electoral vote. When he assumed office in 1953, Eisenhower employed a leadership style he had developed during his years of military service. He was calm and willing to delegate authority regarding domestic affairs to his cabinet members, allowing him to focus his own efforts on foreign policy. Unlike many earlier presidents, such as Harry Truman, Eisenhower was largely nonpartisan and consistently sought a middle ground between liberalism and conservatism. He strove to balance the federal budget, which appealed to conservative Republicans, but retained much of the New Deal and even expanded Social Security. He maintained high levels of defense spending but, in his farewell speech in 1961, warned about the growth of the military-industrial complex, the matrix of relationships between officials in the Department of Defense and executives in the defense industry who all benefited from increases in defense spending. He disliked the tactics of Joseph McCarthy but did not oppose him directly, preferring to remain above the fray. He saw himself as a leader called upon to do his best for his country, not as a politician engaged in a contest for advantage over rivals.

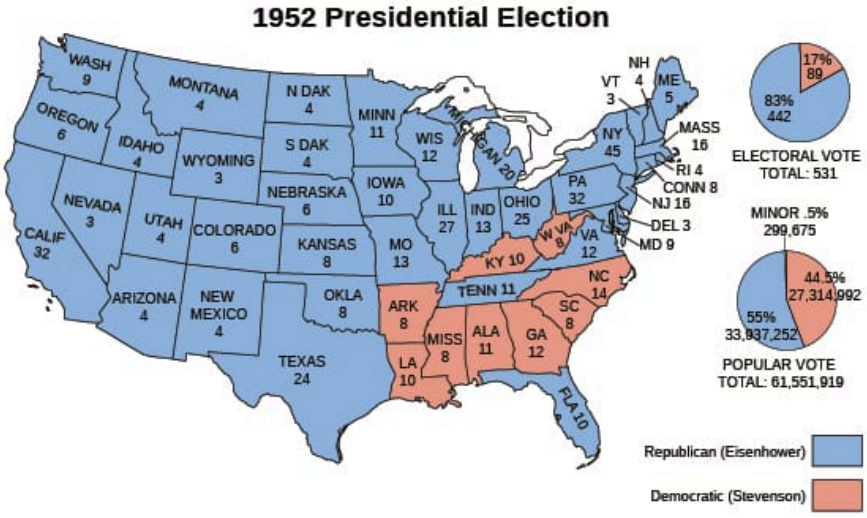


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IMAGE 4.2 The above map shows the resounding victory of Dwight D. Eisenhower over Adlai Stevenson in the 1952 election. Stevenson carried only the South, where Whites had voted for Democratic Party candidates since the time of the Civil War.

In keeping with his goal of a balanced budget, Eisenhower switched the emphasis in defense from larger conventional forces to greater stockpiles of nuclear weapons. His New Look strategy embraced nuclear “massive retaliation,” a plan for nuclear response to a first Soviet strike so devastating that the attackers would not be able to respond. Some labeled this approach “Mutually Assured Destruction” or MAD.

Part of preparing for a possible war with the Soviet Union was informing the American public what to do in the event of a nuclear attack. The government provided instructions for building and equipping bomb shelters in the basement or backyard, and some cities constructed municipal shelters. Schools purchased dog tags to help identify students in the aftermath of an attack and showed children instructional films telling them what to do if atomic bombs were dropped on the city where they lived.

AMERICANA

“A Guide for Surviving Nuclear War”

To prepare its citizens for the possibility of nuclear war, in 1950, the U.S. government published and distributed informative pamphlets such as “A Guide for Surviving Nuclear War” excerpted here.

> Just like fire bombs and ordinary high explosives, atomic weapons cause most of their death and damage by blast and heat. So first let’s look at a few things you can do to escape these two dangers. Even if you have only a second’s warning, there is one important thing you can do to lessen your chances of injury by blast: Fall flat on your face. More than half of all wounds are the result of being bodily tossed about or being struck by falling and flying objects. If you lie down flat, you are least likely to be thrown about. If you have time to pick a good spot, there is less chance of your

> being struck by flying glass and other things. If you are inside a building, the best place to flatten out is close against the cellar wall. If you haven't time to get down there, lie down along an inside wall, or duck under a bed or table. . . .If caught out-of-doors, either drop down alongside the base of a good substantial building—avoid flimsy, wooden ones likely to be blown over on top of you—or else jump in any handy ditch or gutter. When you fall flat to protect yourself from a bombing, don't look up to see what is coming. Even during the daylight hours, the flash from a bursting A-bomb can cause several moments of blindness, if you're facing that way. To prevent it, bury your face in your arms and hold it there for 10 to 12 seconds after the explosion. . . .If you work in the open, always wear full-length, loose-fitting, light-colored clothes in time of emergency. Never go around with your sleeves rolled up. Always wear a hat—the brim could save you a serious face burn.

Government and industry allocated enormous amounts of money to the research and development of more powerful weapons. This investment generated rapid strides in missile technology as well as increasingly sensitive radar. Computers that could react more quickly than humans and thereby shoot down speeding missiles were also investigated. Many scientists on both sides of the Cold War, including captured Germans such as rocket engineer Werner von Braun, worked on these devices. An early success for the West came in 1950, when Alan Turing, a British mathematician who had broken Germany's Enigma code during World War II, created a machine that mimicked human thought. His discoveries led scientists to consider the possibility of developing true artificial intelligence.

However, the United States often feared that the Soviets were making greater strides in developing technology with potential military applications. This was especially true following the Soviet Union's launch of Sputnik (IMAGE 4.3), the first manmade satellite, in October 1957. In September 1958, Congress passed the National Defense Education Act, which pumped over $775 million into educational programs over four years, especially those programs that focused on math and science. Congressional appropriations to the National Science Foundation also increased by $100 million in a single year, from $34 million in 1958 to $134 million in 1959. One consequence of this increased funding was the growth of science and engineering programs at American universities.



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IMAGE 4.3 The launch of the Soviet satellite Sputnik frightened many in the United States, who feared that Soviet technology had surpassed their own. To calm these fears, Americans domesticated Sputnik, creating children's games based on it and using its shape as a decorative motif.

In the diplomatic sphere, Eisenhower pushed Secretary of State John Foster Dulles to take a firmer stance against the Soviets to reassure European allies of continued American support. At the same time, keenly sensing that the stalemate in Korea had cost Truman his popularity, Eisenhower worked to avoid being drawn into foreign wars. Thus, when the French found themselves fighting Vietnamese Communists for control of France's former colony of Indochina, Eisenhower provided money but not troops. Likewise, the United States took no steps when Hungary attempted to break away from Soviet domination in 1956. The United States also refused to be drawn in when Great Britain, France, and Israel invaded the Suez Canal Zone following Egypt's nationalization of the canal in 1956. Indeed, Eisenhower, wishing to avoid conflict with the Soviet Union, threatened to impose economic sanctions on the invading countries if they did not withdraw.

SUBURBANIZATION

Although the Eisenhower years were marked by fear of the Soviet Union and its military might, they were also a time of peace and prosperity. Even as many Americans remained mired in poverty, many others with limited economic opportunities, like African Americans or union workers, were better off financially in the 1950s and rose into the ranks of the middle class. Wishing to build the secure life that the Great Depression had deprived their parents of, young men and women married in record numbers and purchased homes where they could start families of their own. In 1940, the rate of homeownership in the United States was 43.6 percent. By 1960, it was almost 62 percent. Many of these newly purchased homes had been built in the new suburban areas that began to encircle American cities after the war. Although middle-class families had begun to move to the suburbs beginning in the nineteenth century, suburban growth accelerated rapidly after World War II.

Several factors contributed to this development. During World War II, the United States had suffered from a housing shortage, especially in cities with shipyards or large defense plants. Now that the war was over, real estate developers and contractors rushed to alleviate the scarcity. Unused land on the fringes of American cities provided the perfect place for new housing, which attracted not only the middle class, which had long sought homes outside the crowded cities, but also blue-collar workers who took advantage of the low-interest mortgages offered by the GI Bill.

An additional factor was the use of prefabricated construction techniques pioneered during World War II, which allowed houses complete with plumbing, electrical wiring, and appliances to be built and painted in a day. Employing these methods, developers built acres of inexpensive tract housing throughout the country. One of the first developers to take advantage of this method was William Levitt, who purchased farmland in Nassau County, Long Island, in 1947 and built thousands of prefabricated houses. The new community was named Levittown.

Levitt's houses cost only $8,000 and could be bought with little or no down payment. The first day they were offered for sale, more than one thousand were purchased. Levitt went on to build similar developments, also called Levittown, in New Jersey and Pennsylvania (IMAGE 4.4). As developers around the country rushed to emulate him, the name Levittown became synonymous with suburban tract housing, in which entire neighborhoods were built to either a single plan or a mere handful of designs. The houses were so similar that workers told of coming home late at night and walking into the wrong one. Levittown homes were similar in other ways as well; most were owned by White families. Levitt used restrictive language in his agreements with potential homeowners to ensure that only Whites would live in his communities.



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IMAGE 4.4 This aerial view of Levittown, Pennsylvania, reveals acres of standardized homes. The roads were curved to prevent cars from speeding through the residential community that was home to many young families.

In the decade between 1950 and 1960, the suburbs grew by 46 percent. The transition from urban to suburban life exerted profound effects on both the economy and society. For example, fifteen of the largest U.S. cities saw their tax bases shrink significantly in the postwar period, and the apportionment of seats in the House of Representatives shifted to the suburbs and

away from urban areas.

The development of the suburbs also increased reliance on the automobile for transportation. Suburban men drove to work in nearby cities or, when possible, were driven to commuter rail stations by their wives. In the early years of suburban development, before schools, parks, and supermarkets were built, access to an automobile was crucial, and the pressure on families to purchase a second one was strong. As families rushed to purchase them, the annual production of passenger cars leaped from 2.2 million to 8 million between 1946 and 1955, and by 1960, about 20 percent of suburban families owned two cars. The growing number of cars on the road changed consumption patterns, and drive-in and drive-through convenience stores, restaurants, and movie theaters began to dot the landscape. The first McDonalds opened in San Bernardino, California, in 1954 to cater to drivers in a hurry.

As drivers jammed highways and small streets in record numbers, cities and states rushed to build additional roadways and ease congestion. To help finance these massive construction efforts, states began taxing gasoline, and the federal government provided hundreds of thousands of dollars for the construction of the interstate highway system (IMAGE 4.5). The resulting construction projects, designed to make it easier for suburbanites to commute to and from cities, often destroyed urban working-class neighborhoods. Increased funding for highway construction also left less money for public transportation, making it impossible for those who could not afford automobiles to live in the suburbs.



Figure 11.4.1.1: Copy and Paste Caption here. (Copyright; author via source)

IMAGE 4.5 In the late 1940s, a network of newly constructed highways connected suburban Long Island with Manhattan. The nation's new road network also served a military purpose; interstate highways made it easier to deploy troops in the event of a national emergency.

THE ORGANIZATION MAN

As the government poured money into the defense industry and into universities that conducted research for the government, the economy boomed. The construction and automobile industries employed thousands, as did the industries they relied upon: steel, oil and gasoline refining, rubber, and lumber. As people moved into new homes, their purchases of appliances, carpeting, furniture, and home decorations spurred growth in other industries. The building of miles of roads also employed thousands. Unemployment was low, and wages for members of both the working and middle classes were high.

Following World War II, the majority of White Americans were members of the middle class, based on such criteria as education, income, and home ownership. Even most blue-collar families could afford such elements of a middle-class lifestyle as new cars, suburban homes, and regular vacations. Most African Americans, however, were not members of the middle class. In 1950, the median income for White families was $20,656, whereas for Black families it was $11,203. By 1960, when the average White family earned $28,485 a year, Black people still lagged behind at $15,786; nevertheless, this represented a more than 40 percent increase in African American income in the space of a decade.

While working-class men found jobs in factories and on construction crews, those in the middle class often worked for corporations that, as a result of government spending, had grown substantially during World War II and were still getting larger. Such corporations, far too large to allow managers to form personal relationships with all of their subordinates, valued conformity to company rules and standards above all else. In his best-selling book The Organization Man, however, William H. Whyte criticized the notion that conformity was the best path to success and self-fulfillment.

Conformity was still the watchword of suburban life: Many neighborhoods had rules mandating what types of clotheslines could be used and prohibited residents from parking their cars on the street. Above all, conforming to societal norms meant marrying young and having children. In the post-World War II period, marriage rates rose; the average age at first marriage dropped to twenty-three for men and twenty for women. Between 1946 and 1964, married couples also gave birth to the largest generation in U.S. history to date; this baby boom resulted in the cohort known as the baby boomers. Conformity also required that the wives of both working- and middle-class men stay home and raise children instead of working for wages outside the home. Most conformed to this norm, at least while their children were young. Nevertheless, 40 percent of women with young children and half of women with older children sought at least part-time employment. They did so partly out of necessity and partly to pay for the new elements of "the good life"—second cars, vacations, and college education for their children.

The children born during the baby boom were members of a more privileged generation than their parents had been. Entire industries sprang up to cater to their need for clothing, toys, games, books, and breakfast cereals. For the first time in U.S. history, attending high school was an experience shared by the majority, regardless of race or region. As the baby boomers grew into adolescence, marketers realized that they not only controlled large amounts of disposable income earned at part-time jobs, but they exerted a great deal of influence over their parents' purchases as well. Madison Avenue began to appeal to teenage interests. Boys yearned for cars, and girls of all ethnicities wanted boyfriends who had them. New fashion magazines for adolescent girls, such as Seventeen, advertised the latest clothing and cosmetics, and teen romance magazines, like Copper Romance, a publication for young African American women, filled drugstore racks. The music and movie industries also altered their products to appeal to affluent adolescents who were growing tired of parental constraints.

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11.4.2: The Civil Rights Movement

The Civil Rights Movement (1955–1968) refers to the social movements led by African Americans in the United States aimed at exposing rampant (and often legalized) racial discrimination and achieving equal rights and liberation for African Americans. While Congress played a role by passing the Civil Rights Act of 1964, the Voting Rights Act of 1965, and the Civil Rights Act of 1968, the actions of numerous civil rights groups were instrumental in forging new paths, pioneering new protest techniques and strategies, and achieving breakthrough successes for equal rights among the races.

The movement was characterized by major campaigns of civil resistance. During the 1960s, acts of nonviolent protest and civil disobedience produced crisis situations between activists and government authorities. Federal, state, and local governments, not to mention local businesses and communities, often responded immediately and violently to these situations in ways that highlighted the inequities faced by African Americans.

Perhaps the most famous of the civil rights-era demonstrations was the March on Washington for Jobs and Freedom, held in August 1963, on the 100th anniversary of Abraham Lincoln's Emancipation Proclamation. Its purpose was to pressure President Kennedy to act on his promises regarding civil rights. The date was also the 8th anniversary of the brutal racist murder of fourteen-year-old Emmett Till in Money, Mississippi. As the enormous crowd gathered outside the Lincoln Memorial and spilled across the National Mall, Martin Luther King, Jr. delivered his most famous speech. In "I Have a Dream," King called for an end to racial injustice in the United States and envisioned a harmonious, integrated society. The speech marked a high point of the civil rights movement and established the legitimacy of its goals. However, it did not prevent white terrorism or dismantle white supremacy, nor did it permanently sustain the tactics of nonviolent civil disobedience.

The passage of Civil Rights Act of 1964 banned discrimination based on "race, color, religion, or national origin" in employment practices and public accommodations. The Voting Rights Act of 1965 restored and protected voting rights for African Americans that had been imposed upon since the Civil War, and the Immigration and Nationality Services Act of 1965 dramatically opened up entry into the U.S. for immigrants outside of traditional European groups. The Fair Housing Act of 1968 banned discrimination in the sale or rental of housing. African Americans re-entered politics in the South, and across the country young people were inspired to action.

Between 1964 and 1968, there were 329 protests in 257 cities across the nation. In 1965, a traffic stop set in motion a chain of events that culminated in violence in Watts, an African American neighborhood in Los Angeles. Thousands of businesses were destroyed, and, by the time the violence ended, 34 people were dead, most of them African Americans killed by the Los Angeles police and the National Guard.

Frustration and anger lay at the heart of these protests. Despite the programs of the Great Society, essentials such as good healthcare, job opportunities, and safe housing were abysmally lacking in urban African American neighborhoods in cities throughout the country, including in the North and West, where discrimination was less overt but just as crippling. In the eyes of many protesters, the federal government either could not or would not end their suffering, and most existing civil rights groups and their leaders had been unable to achieve significant results toward racial justice and equality. Disillusioned, many African Americans turned to those with more radical ideas about how best to obtain equality and justice.

Black Power was made most public by the Black Panther Party, which was founded by Huey Newton and Bobby Seale in Oakland, California, in 1966 . This group followed the ideology of Malcolm X using a "by-any-means necessary" approach to stopping inequality. Unlike Carmichael and the Nation of Islam, most Black Power advocates did not believe African Americans needed to separate themselves from white society. The Black Panther Party believed African Americans were as much the victims of capitalism as of white racism. Accordingly, the group espoused Marxist teachings and called for jobs, housing, and education, as well as protection from police brutality and exemption from military service in their Ten Point Program. Their militant attitude and advocacy of armed self-defense attracted many young men but also led to many encounters with the police, which sometimes included arrests and even shootouts

During the 1960s, the federal government, encouraged by both genuine concern for the dispossessed and the realities of the Cold War, had increased its efforts to protect civil rights and ensure equal economic and educational opportunities for all. However, most of the credit for progress toward racial equality in the United States lies with grassroots activists. Indeed, it was campaigns and demonstrations by ordinary people that spurred the federal government to action. Although the African American civil rights movement was the most prominent of the crusades for racial justice, other ethnic minorities also worked to seize their piece of the American dream during the promising years of the 1960s. Many were influenced by the African American cause and often

used similar tactics.

CHANGE FROM THE BOTTOM UP

For many people inspired by the victories of Brown v. Board of Education and the Montgomery Bus Boycott, the glacial pace of progress in the segregated South was frustrating if not intolerable. In some places, such as Greensboro, North Carolina, local NAACP chapters had been influenced by Whites who provided financing for the organization. This aid, together with the belief that more forceful efforts at reform would only increase White resistance, had persuaded some African American organizations to pursue a "politics of moderation" instead of attempting to radically alter the status quo. Martin Luther King Jr.'s inspirational appeal for peaceful change in the city of Greensboro in 1958, however, planted the seed for a more assertive civil rights movement.

On February 1, 1960, four sophomores at the North Carolina Agricultural & Technical College in Greensboro—Ezell Blair, Jr., Joseph McNeil, David Richmond, and Franklin McCain—entered the local Woolworth's and sat at the lunch counter. The lunch counter was segregated, and they were refused service as they knew they would be. They had specifically chosen Woolworth's, because it was a national chain and was thus believed to be especially vulnerable to negative publicity. Over the next few days, more protesters joined the four sophomores. Hostile Whites responded with threats and taunted the students by pouring sugar and ketchup on their heads. The successful six-month-long Greensboro sit-in initiated the student phase of the African American civil rights movement and, within two months, the sit-in movement had spread to fifty-four cities in nine states (IMAGE 4.6).



Figure 11.4.2.1: Copy and Paste Caption here. (Copyright; author via source)

IMAGE 4.6 Businesses such as this one were among those that became targets of activists protesting segregation. Segregated businesses could be found throughout the United States; this one was located in Ohio. (credit: Library of Congress)

In the words of grassroots civil rights activist Ella Baker, the students at Woolworth's wanted more than a hamburger; the movement they helped launch was about empowerment. Baker pushed for a "participatory Democracy" that built on the grassroots campaigns of active citizens instead of deferring to the leadership of educated elites and experts. As a result of her actions, in April 1960, the Student Nonviolent Coordinating Committee (SNCC) formed to carry the battle forward. Within a year, more than one hundred cities had desegregated at least some public accommodations in response to student-led demonstrations. The sit-ins inspired other forms of nonviolent protest intended to desegregate public spaces. "Sleep-ins" occupied motel lobbies, "read-ins" filled public libraries, and churches became the sites of "pray-ins."

Students also took part in the 1961 "freedom rides" sponsored by the Congress of Racial Equality (CORE) and SNCC. The intent of the African American and White volunteers who undertook these bus rides south was to test enforcement of a U.S. Supreme Court decision prohibiting segregation on interstate transportation and to protest segregated waiting rooms in southern terminals. Departing Washington, DC, on May 4, the volunteers headed south on buses that challenged the seating order of Jim Crow segregation. Whites would ride in the back, African-Americans would sit in the front, and on other occasions, riders of different races would share the same bench seat. The freedom riders encountered little difficulty until they reached Rock Hill, South Carolina, where a mob severely beat John Lewis, a freedom rider who later became chairman of SNCC (IMAGE 4.7). The danger increased as the riders continued through Georgia into Alabama, where one of the two buses was firebombed outside the town

of Anniston. The second group continued to Birmingham, where the riders were attacked by the Ku Klux Klan as they attempted to disembark at the city bus station. The remaining volunteers continued to Mississippi, where they were arrested when they attempted to desegregate the waiting rooms in the Jackson bus terminal.



Figure 11.4.2.1: Copy and Paste Caption here. (Copyright; author via source)

IMAGE 4.7 Civil rights activists Bayard Rustin, Andrew Young, Rep. William Fitts Ryan, James Farmer, and John Lewis (l to r) in a newspaper photograph from 1965.

FREE BY ’63 (OR ’64 OR ’65)

The grassroots efforts of people like the Freedom Riders to change discriminatory laws and longstanding racist traditions grew more widely known in the mid-1960s. The approaching centennial of Abraham Lincoln’s Emancipation Proclamation spawned the slogan “Free by ’63” among civil rights activists. As African Americans increased their calls for full rights for all Americans, many civil rights groups changed their tactics to reflect this new urgency.

Perhaps the most famous of the civil rights-era demonstrations was the March on Washington for Jobs and Freedom, held in August 1963, on the one hundredth anniversary of Abraham Lincoln’s Emancipation Proclamation. Its purpose was to pressure President Kennedy to act on his promises regarding civil rights. The date was the eighth anniversary of the brutal racist murder of fourteen-year-old Emmett Till in Money, Mississippi. As the crowd gathered outside the Lincoln Memorial and spilled across the National Mall (IMAGE 4.8), Martin Luther King, Jr. delivered his most famous speech. In “I Have a Dream,” King called for an end to racial injustice in the United States and envisioned a harmonious, integrated society. The speech marked the high point of the civil rights movement and established the legitimacy of its goals. However, it did not prevent White terrorism in the South, nor did it permanently sustain the tactics of nonviolent civil disobedience.



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IMAGE 4.8 During the March on Washington for Jobs and Freedom (a), a huge crowd gathered on the National Mall (b) to hear the speakers. Although thousands attended, many of the march's organizers had hoped that enough people would come to Washington to shut down the city.

Other gatherings of civil rights activists ended tragically, and some demonstrations were intended to provoke a hostile response from Whites and thus reveal the inhumanity of the Jim Crow laws and their supporters. In 1963, the Southern Christian Leadership Conference (SCLC) led by Martin Luther King, Jr. mounted protests in some 186 cities throughout the South. The campaign in Birmingham that began in April and extended into the fall of 1963 attracted the most notice, however, when a peaceful protest was met with violence by police, who attacked demonstrators, including children, with fire hoses and dogs. The world looked on in horror as innocent people were assaulted and thousands arrested. King himself was jailed on Easter Sunday, 1963, and, in response to the pleas of White clergymen for peace and patience, he penned one of the most significant documents of the struggle—"Letter from a Birmingham Jail." In the letter, King argued that African Americans had waited patiently for more than three hundred years to be given the rights that all human beings deserved; the time for waiting was over.

DEFINING AMERICAN

Letter from a Birmingham Jail

By 1963, Martin Luther King, Jr. had become one of the most prominent leaders of the civil rights movement, and he continued to espouse nonviolent civil disobedience as a way of registering African American resistance against unfair, discriminatory, and racist laws and behaviors. While the campaign in Birmingham began with an African American boycott of White businesses to end discrimination in employment practices and public segregation, it became a fight over free speech when King was arrested for violating a local injunction against demonstrations. King wrote his "Letter from a Birmingham Jail" in response to an op-ed by eight White Alabama clergymen who complained about the SCLC's fiery tactics and argued that social change needed to be pursued gradually. The letter criticizes those who did not support the cause of civil rights:

> In spite of my shattered dreams of the past, I came to Birmingham with the hope that the White religious leadership in the community would see the justice of our cause and, with deep moral concern, serve as the channel through which our just grievances could get to the power structure. I had hoped that each of you would understand. But again I have been disappointed. I have heard numerous religious leaders of the South call upon their worshippers to comply with a desegregation decision because it is the law, but I have longed to hear White ministers say follow this decree because integration is morally right and the Negro is your brother. In the midst of blatant injustices inflicted upon the Negro, I have watched White churches stand on the sideline and merely mouth pious irrelevancies and sanctimonious trivialities. In the midst of a mighty struggle to rid our nation of racial and economic injustice, I have heard so many ministers say, "Those are social issues with which the Gospel has no real concern," and I have watched so many churches commit themselves to a completely other-worldly religion which made a strange distinction between body and soul, the sacred and the secular.

Since its publication, the “Letter” has become one of the most cogent, impassioned, and succinct statements of the aspirations of the civil rights movement and the frustration over the glacial pace of progress in achieving justice and equality for all Americans.

Some of the greatest violence during this era was aimed at those who attempted to register African Americans to vote. In 1964, SNCC, working with other civil rights groups, initiated its Mississippi Summer Project, also known as Freedom Summer. The purpose was to register African American voters in one of the most racist states in the nation. Volunteers also built “freedom schools” and community centers. SNCC invited hundreds of White middle-class students, mostly from the North, to help in the task. Many volunteers were harassed, beaten, and arrested, and African American homes and churches were burned. Three civil rights workers, James Chaney, Michael Schwerner, and Andrew Goodman, were killed by the Ku Klux Klan. That summer, civil rights activists Fannie Lou Hamer, Ella Baker, and Robert Parris Moses formally organized the Mississippi Freedom Democratic Party (MFDP) as an alternative to the all-White Mississippi Democratic Party. The Democratic National Convention’s organizers, however, would allow only two MFDP delegates to be seated, and they were confined to the roles of nonvoting observers.

The vision of Whites and African Americans working together peacefully to end racial injustice suffered a severe blow with the death of Martin Luther King, Jr. in Memphis, Tennessee, in April 1968. King had gone there to support sanitation workers trying to unionize. In the city, he found a divided civil rights movement; older activists who supported his policy of nonviolence were being challenged by younger African Americans who advocated a more militant approach. On April 4, King was shot and killed while standing on the balcony of his motel. Within hours, the nation’s cities exploded with violence as angry African Americans, shocked by his murder, burned and looted inner-city neighborhoods across the country (IMAGE 4.9). While Whites recoiled from news about the riots in fear and dismay, they also criticized African Americans for destroying their own neighborhoods; they did not realize that most of the violence was directed against businesses that were not owned by Black people and that treated African American customers with suspicion and hostility.



Figure 11.4.2.1: Copy and Paste Caption here. (Copyright; author via source)

IMAGE 4.9 Many businesses, such as those in this neighborhood at the intersection of 7th and N Streets in NW, Washington, DC, were destroyed in riots that followed the assassination of Martin Luther King, Jr.

BLACK FRUSTRATION, BLACK POWER

The episodes of violence that accompanied Martin Luther King Jr.’s murder were but the latest in a string of urban riots that had shaken the United States since the mid-1960s. Between 1964 and 1968, there were 329 riots in 257 cities across the nation. In 1964, riots broke out in Harlem and other African American neighborhoods. In 1965, a traffic stop set in motion a chain of events that culminated in riots in Watts, an African American neighborhood in Los Angeles. Thousands of businesses were destroyed, and, by the time the violence ended, thirty-four people were dead, most of them African Americans killed by the Los Angeles police and the National Guard. More riots took place in 1966 and 1967.

Frustration and anger lay at the heart of these disruptions. Despite the programs of the Great Society, good healthcare, job opportunities, and safe housing were abysmally lacking in urban African American neighborhoods in cities throughout the country, including in the North and West, where discrimination was less overt but just as crippling. In the eyes of many rioters, the federal

government either could not or would not end their suffering, and most existing civil rights groups and their leaders had been unable to achieve significant results toward racial justice and equality. Disillusioned, many African Americans turned to those with more radical ideas about how best to obtain equality and justice.

Within the chorus of voices calling for integration and legal equality were many that more stridently demanded empowerment and thus supported Black Power. Black Power meant a variety of things. One of the most famous users of the term was Stokely Carmichael, the chairman of SNCC, who later changed his name to Kwame Ture. For Carmichael, Black Power was the power of African Americans to unite as a political force and create their own institutions apart from White-dominated ones, an idea also espoused in the 1920s by political leader and orator Marcus Garvey. Like Garvey, Carmichael became an advocate of Black separatism, arguing that African Americans should live apart from Whites and solve their problems for themselves. In keeping with this philosophy, Carmichael expelled SNCC's White members. He left SNCC in 1967 and later joined the Black Panthers (see below).

Long before Carmichael began to call for separatism, the Nation of Islam, founded in 1930, had advocated the same thing. In the 1960s, its most famous member was Malcolm X, born Malcolm Little (IMAGE 4.10).The Nation of Islam advocated the separation of White Americans and African Americans because of a belief that African Americans could not thrive in an atmosphere of White racism. Indeed, in a 1963 interview, Malcolm X, discussing the teachings of the head of the Nation of Islam in America, Elijah Muhammad, referred to White people as "devils" more than a dozen times. Rejecting the nonviolent strategy of other civil rights activists, he maintained that violence in the face of violence was appropriate.



(a) (b)

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IMAGE 4.10 Stokely Carmichael (a), one of the most famous and outspoken advocates of Black Power, is surrounded by members of the media after speaking at Michigan State University in 1967. Malcolm X (b) was raised in a family influenced by Marcus Garvey and persecuted for its outspoken support of civil rights. While serving a stint in prison for armed robbery, he was introduced to and committed himself to the Nation of Islam. (credit b: modification of work by Library of Congress)

In 1964, after a trip to Africa, Malcolm X left the Nation of Islam to found the Organization of Afro-American Unity with the goal of achieving freedom, justice, and equality "by any means necessary." His views regarding Black-White relations changed somewhat thereafter, but he remained fiercely committed to the cause of African American empowerment. On February 21, 1965, he was killed by members of the Nation of Islam. Stokely Carmichael later recalled that Malcolm X had provided an intellectual basis for Black Nationalism and given legitimacy to the use of violence in achieving the goals of Black Power.

DEFINING AMERICAN

The New Negro

In a roundtable conversation in October 1961, Malcolm X suggested that a "New Negro" was coming to the fore. The term and concept of a "New Negro" arose during the Harlem Renaissance of the 1920s and was revived during the civil rights

movements of the 1960s.

> I think there is a new so-called Negro. We don't recognize the term 'Negro' but I really believe that there's a new so-called Negro here in America. He not only is impatient. Not only is he dissatisfied, not only is he disillusioned, but he's getting very angry. And whereas the so-called Negro in the past was willing to sit around and wait for someone else to change his condition or correct his condition, there's a growing tendency on the part of a vast number of so-called Negroes today to take action themselves, not to sit and wait for someone else to correct the situation. This, in my opinion, is primarily what has produced this new Negro. He is not willing to wait. He thinks that what he wants is right, what he wants is just, and since these things are just and right, it's wrong to sit around and wait for someone else to correct a nasty condition when they get ready.

Unlike Stokely Carmichael and the Nation of Islam, most Black Power advocates did not believe African Americans needed to separate themselves from White society. The Black Panther Party, founded in 1966 in Oakland, California, by Bobby Seale and Huey Newton, believed African Americans were as much the victims of capitalism as of White racism. Accordingly, the group espoused Marxist teachings, and called for jobs, housing, and education, as well as protection from police brutality and exemption from military service in their Ten Point Program. The Black Panthers also patrolled the streets of African American neighborhoods to protect residents from police brutality, yet sometimes beat and murdered those who did not agree with their cause and tactics. Their militant attitude and advocacy of armed self-defense attracted many young men but also led to many encounters with the police, which sometimes included arrests and even shootouts, such as those that took place in Los Angeles, Chicago and Carbondale, Illinois.

The self-empowerment philosophy of Black Power influenced mainstream civil rights groups such as the National Economic Growth Reconstruction Organization (NEGRO), which sold bonds and operated a clothing factory and construction company in New York, and the Opportunities Industrialization Center in Philadelphia, which provided job training and placement—by 1969, it had branches in seventy cities. Black Power was also part of a much larger process of cultural change. The 1960s composed a decade not only of Black Power but also of Black Pride. African American abolitionist John S. Rock had coined the phrase "Black Is Beautiful" in 1858, but in the 1960s, it became an important part of efforts within the African American community to raise self-esteem and encourage pride in African ancestry. Black Pride urged African Americans to reclaim their African heritage and, to promote group solidarity, to substitute African and African-inspired cultural practices, such as handshakes, hairstyles, and dress, for White practices. One of the many cultural products of this movement was the popular television music program Soul Train, created by Don Cornelius in 1969, which celebrated Black culture and aesthetics (IMAGE 4.11).



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IMAGE 4.11 When the Jackson Five appeared on Soul Train, each of the five brothers sported a large afro, a symbol of Black Pride in the 1960s and 70s.

THE MEXICAN AMERICAN FIGHT FOR CIVIL RIGHTS

The African American bid for full citizenship was surely the most visible of the battles for civil rights taking place in the United States. However, other minority groups that had been legally discriminated against or otherwise denied access to economic and educational opportunities began to increase efforts to secure their rights in the 1960s. Like the African American movement, the Mexican American civil rights movement won its earliest victories in the federal courts. In 1947, in Mendez v. Westminster, the U.S. Court of Appeals for the Ninth Circuit ruled that segregating children of Hispanic descent was unconstitutional. In 1954, the same year as Brown v. Board of Education, Mexican Americans prevailed in Hernandez v. Texas, when the U.S. Supreme Court extended the protections of the Fourteenth Amendment to all ethnic groups in the United States.

The highest-profile struggle of the Mexican American civil rights movement was the fight that Cesar Chavez (IMAGE 4.12) and Dolores Huerta waged in the fields of California to organize migrant farm workers. In 1962, Chavez and Huerta founded the National Farm Workers Association (NFWA). In 1965, when Filipino grape pickers led by Filipino American Larry Itliong went on strike to call attention to their plight, Chavez lent his support. Workers organized by the NFWA also went on strike, and the two organizations merged to form the United Farm Workers. When Chavez asked American consumers to boycott grapes, politically conscious people around the country heeded his call, and many unionized longshoremen refused to unload grape shipments. In 1966, Chavez led striking workers to the state capitol in Sacramento, further publicizing the cause. Martin Luther King, Jr. telegraphed words of encouragement to Chavez, whom he called a "brother." The strike ended in 1970 when California farmers recognized the right of farm workers to unionize. However, the farm workers did not gain all they sought, and the larger struggle did not end.



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IMAGE 4.12 Cesar Chavez was influenced by the nonviolent philosophy of Indian nationalist Mahatma Gandhi. In 1968, he emulated Gandhi by engaging in a hunger strike.

The equivalent of the Black Power movement among Mexican Americans was the Chicano Movement. Proudly adopting a derogatory term for Mexican Americans, Chicano activists demanded increased political power for Mexican Americans, education that recognized their cultural heritage, and the restoration of lands taken from them at the end of the Mexican-American War in 1848. One of the founding members, Rodolfo "Corky" Gonzales, launched the Crusade for Justice in Denver in 1965, to provide jobs, legal services, and healthcare for Mexican Americans. From this movement arose La Raza Unida, a political party that attracted many Mexican American college students. Elsewhere, Reies López Tijerina fought for years to reclaim lost and illegally expropriated ancestral lands in New Mexico; he was one of the co-sponsors of the Poor People's March on Washington in 1967.

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Joshua Farrington, Norman W. Powell, Gwen Graham, Lisa Day, & Ogechi E. Anyanwu, eds., Slavery to Liberation: The African American Experience (Richmond, Kentucky: Eastern Kentucky University, 2019). OER 2 Go [oer2go.org]

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11.4.3: The Women’s Rights Movement

Second-wave feminism distinguished itself from earlier women's movements in that it expanded to include issues of sexuality, family, and reproductive rights. In contrast to earlier women's movements, the second wave of feminism in the 1960s broadened the debate of women's rights to encompass a wider range of issues, including sexuality, family, the workplace, reproductive rights, de facto inequalities, and official legal inequalities. Second-wave feminism radically changed the face of western culture, leading to marital rape laws, the establishment of rape crisis and battered women's shelters, significant changes in custody and divorce law, and widespread integration of women into sports activities and the workplace.

In 1963, President Kennedy selected a special committee to research and release a report detailing discrimination against women in every aspect of American life, and outlined plans to achieve equality among genders. Specific recommendations for women in the workplace included fair hiring practices, paid maternity leave, and affordable childcare. The Equal Pay Act at this time proposed, but had no way of enforcing, equality of pay for men and women performing equal work.

Not all were young women engaged in social protest. Many were older, married women who found the traditional roles of housewife and mother unfulfilling. In 1963, writer and feminist Betty Friedan published The Feminine Mystique in which she contested the post-World War II belief that it was women’s destiny to marry and bear children. The perfect nuclear family image depicted and strongly marketed at the time, she wrote, did not reflect happiness and was rather degrading for women. Friedan’s book was a best-seller and began to raise the consciousness of many women who agreed that homemaking in the suburbs sapped them of their individualism and left them unsatisfied.

On the national scene, the civil rights movement was creating a climate of protest and claiming rights and new roles in society for people of color. Women played significant roles in organizations fighting for civil rights like SNCC and SDS. However, they often found that those organizations, enlightened as they might be about racial issues or the war in Vietnam, could still be influenced by patriarchal ideas of male superiority. Two members of SNCC, Casey Hayden and Mary King, presented some of their concerns about their organization’s treatment of women in a document entitled “On the Position of Women in SNCC.” Stokely Carmichael responded that the appropriate position for women in SNCC was “prone.”

Just as the abolitionist movement made nineteenth-century women more aware of their lack of power and encouraged them to form the first women’s rights movement, the protest movements of the 1960s inspired many White and middle-class women to create their own organized movement for greater rights. Not all were young women engaged in social protest. Many were older, married women who found the traditional roles of housewife and mother unfulfilling. In 1963, writer and feminist Betty Friedan published The Feminine Mystique in which she contested the post-World War II belief that it was women’s destiny to marry and bear children. Friedan’s book was a best-seller and began to raise the consciousness of many women who agreed that homemaking in the suburbs sapped them of their individualism and left them unsatisfied.

The Civil Rights Act of 1964, which prohibited discrimination in employment on the basis of race, color, national origin, and religion, also prohibited, in Title VII, discrimination on the basis of sex. Ironically, protection for women had been included at the suggestion of a Virginia congressman in an attempt to prevent the act’s passage; his reasoning seemed to be that, while a White man might accept that African Americans needed and deserved protection from discrimination, the idea that women deserved equality with men would be far too radical for any of his male colleagues to contemplate. Nevertheless, the act passed, although the struggle to achieve equal pay for equal work continues today.

Medical science also contributed a tool to assist women in their liberation. In 1960, the U.S. Food and Drug Administration approved the birth control pill, freeing women from the restrictions of pregnancy and childbearing. Women who were able to limit, delay, and prevent reproduction were freer to work, attend college, and delay marriage. Within five years of the pill’s approval, some six million women were using it.

The pill was the first medicine ever intended to be taken by people who were not sick. Even conservatives saw it as a possible means of making marriages stronger by removing the fear of an unwanted pregnancy and improving the health of women. Its opponents, however, argued that it would promote sexual promiscuity, undermine the institutions of marriage and the family, and destroy the moral code of the nation. By the early 1960s, thirty states had made it a criminal offense to sell contraceptive devices.

In 1966, the National Organization for Women (NOW) formed and proceeded to set an agenda for the feminist movement (IMAGE 4.13). Framed by a statement of purpose written by Friedan, the agenda began by proclaiming NOW’s goal to make possible women’s participation in all aspects of American life and to gain for them all the rights enjoyed by men. Among the specific goals

was the passage of the Equal Rights Amendment (yet to be adopted).



IMAGE 4.13 Early members of NOW discuss the problems faced by American women. Betty Friedan is second from the left. (credit: Smithsonian Institution Archives)

More radical feminists, like their colleagues in other movements, were dissatisfied with merely redressing economic issues and devised their own brand of consciousness-raising events and symbolic attacks on women's oppression. The most famous of these was an event staged in September 1968 by New York Radical Women. Protesting stereotypical notions of femininity and rejecting traditional gender expectations, the group demonstrated at the Miss America Pageant in Atlantic City, New Jersey, to bring attention to the contest's—and society's—exploitation of women. The protestors crowned a sheep Miss America and then tossed instruments of women's oppression, including high-heeled shoes, curlers, girdles, and bras, into a "freedom trash can." News accounts famously, and incorrectly, described the protest as a "bra burning."

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11.4.4: LGBTQIA+ History

Combined with the sexual revolution and the feminist movement of the 1960s, the counterculture helped establish a climate that fostered the struggle for gay and lesbian rights. Many gay rights groups were founded in Los Angeles and San Francisco, cities that were administrative centers in the network of U.S. military installations and the places where many gay men suffered dishonorable discharges. The first postwar organization for homosexual civil rights, the Mattachine Society, was launched in Los Angeles in 1950. The first national organization for lesbians, the Daughters of Bilitis, was founded in San Francisco five years later. In 1966, the city became home to the world's first organization for transsexual people, the National Transsexual Counseling Unit, and in 1967, the Sexual Freedom League of San Francisco was born. Through these organizations and others, gay and lesbian activists fought against the criminalization and discrimination of their sexual identities on a number of occasions throughout the 1960s, employing strategies of both protests and litigation.

DEFINITION OF TERMS

In the 1970s, gay replaced homosexual as the term of choice from within the community. Initially, gay was predominantly used as an umbrella term meaning both gay and lesbian people. When the phrases gay rights movement and gay liberation movement are used, it refers to the fight for gay and lesbian rights. As the 1970s progressed, lesbian activists preferred to be identified as lesbians, rather than gay or gay women. Outside of the broader meaning of the term gay in "gay rights movement" and "gay liberation movement" or in organizational names from the 1970s (such as the Gay Liberation Front and National Gay Task Force), when the term gay is used in this text it refers specifically to gay men. Although the term LGBTQ (lesbian, gay, bisexual, transgender, and queer) has been used throughout the text, it is not a term people used in 1970s. Transgender and bisexual activism emerged in the 1970s, but each functioned on the outskirts of the gay liberation movement. In fact, in this era, transgender and bisexual activists often faced discrimination from gay and lesbian communities. Transgender is used in this text as an umbrella term that covers all people whose gender identity, expression, or behavior differs from those typically associated with the sex they were at birth. Queer was considered a derogatory term in the 1970s, unlike the positive all-inclusive meaning it has today. (page 60)

LGBTQ REPRESENTATION

LGBTQ Representation dates back to the earliest human civilizations. However, gay and lesbian communities only started to gain visibility in America with the development of industrialized urban centers in the late 1800s, most notably in New York. In 1903, New York police, under pressure from religious morality groups, conducted the first known raid targeting gay men. The Armed Services launched its first known investigation of homosexual behavior in 1919, with a probe into the activities of its cadets in Newport, Rhode Island. Although the military had a long history of persecuting homosexual activity dating back to the Revolutionary War, the Armed Services only officially made consensual sodomy a criminal offense in 1920. Alcohol prohibition from 1920 to 1933 saw a period of greater freedom for LGBTQ people. Illegal speakeasies allowed LGBTQ people relatively safe places to congregate away from police intervention. Performers such as Gene Malin, Ma Rainey (IMAGE 4.14), and Bessie Smith openly espoused gay and lesbian identities, while female impersonators such as Julian Eltinge became popular international performers. Books with gay, lesbian, and transgender themes such as Virginia Woolf's Orlando and Radclyffe Hall's Well of Loneliness garnered wide popularity. Annual drag-queen balls drew thousands of participants in New York, while smaller balls gained popularity across the nation.



IMAGE 4.14 Ma Rainey. Photograph by Unknown author - https://www.nytimes.com/2019/06/12/obituaries/ma-rainey-overlooked.html, Public Domain, Link

STONEWALL REBELLION 1969

During the 1960s, police departments across the nation enforced state bans on serving alcohol to LGBTQ people by raiding bars suspected of serving LGBTQ patrons. So when New York City police entered the LGBTQ-serving Stonewall Inn in the early hours of June 28, 1969, they expected the typical routine of shutting down the bar and arresting selected patrons. But when arrested patrons resisted and a threatening crowd gathered, police retreated back into the bar for protection. By the time that police reinforcements arrived, a riot had erupted in the streets that would continue for nights to follow. The moment would come to symbolize the beginning of the gay liberation movement. The next year, commemorative marches and "gay-ins" were organized in San Francisco, New York, Chicago, and Los Angeles to coincide with the anniversary of the riot. New York's march, which started small with tens of people, grew to hundreds then to thousands as it entered Central Park. A Los Angeles contingent enlisted the help of the American Civil Liberties Union to acquire a city permit; it became the first LGBTQ march sanctioned by a city government. These marches developed into an annual event, grew in size and participation, and soon spread across the nation and the world in cities small and large as a reminder and celebration of the Stonewall Riots of 1969.

AIDS ACTIVISM

The first cases of what would later be termed Acquired Immune Deficiency Syndrome (AIDS) were reported in 1981 when young men in three major United States cities were hospitalized with cases of extremely rare, deadly opportunistic infections. Within fifteen years, AIDS would become the leading cause of death for Americans aged 25-44. Now it is known that the human immunodeficiency virus (HIV), the virus that causes AIDS, is a blood-borne, sexually transmitted disease that cannot be acquired via casual contact. But in the early 1980s, all anyone knew was that this new illness was fatal. The ambiguity was a recipe for panic and blame. Because the first reported cases of disease were among gay men, public opinion pigeonholed the burgeoning epidemic as a "gay plague." The stigma of homosexuality remained strong in the 1980s, a decade which began with no federal or statewide anti-discrimination laws in place to protect the civil rights of LGBTQ people. This prejudice seemed to be a primary cause of the relative inaction of the federal government to address the epidemic. From June 1981 to June 1982, the Centers for Disease Control and Prevention (CDC) spent $1 million on AIDS, which by October 1982, had stricken 634 Americans and killed 260. Across the same time frame, the CDC spent $9 million on Legionnaires' disease, which had caused fewer than 50 deaths. Even more troubling, because of the long incubation period, it was estimated that a quarter of a million Americans were infected by the time of the first deaths. Some gay men reacted to the sudden appearance of AIDS in the community with denial. Scant public health warnings and virtually absent media attention gave rise to theories that the new disease didn't actually exist or couldn't be spread by sexual contact. The early inability of scientists to find the cause of the disease contributed to the confusion. Doctors and activists who spoke of a coming cataclysm were distrusted and dismissed for exaggerating the threat. Many gay men felt that authorities were trying to put them back in the closet and reverse the hard-won battles for acceptance and visibility.

Rob Epstein and Jeffrey Friedman directed the 1989 documentary entitled “Common Threads: Stories from the Quilt” that gave an account of the early days of AIDS activism in America. The bottom of the promotional poster reads: “Why is Reagan silent about AIDS? What is really going on with the Center for Disease Control, the Federal Drug Administration, and the Vatican? Gays and lesbians are not expendable… Use your power…Vote…Boycott…Defend yourselves…Turn anger, fear, pain into action.” A pink triangle was the symbol used to mark gays in Nazi concentration camps.

ACT UP and the AIDS Crisis

In 1981, doctors began to identify the disease that would come to be known as HIV/AIDS in young gay men in Los Angeles, New York City, and San Francisco. Because of high rates of infection in gay communities and misconceptions about the disease’s origin and transmission, public perception conceived of AIDS as a “gay plague.” By the end of 1986, 11,932 AIDS-related deaths had been reported in the United States and the disease was spreading rapidly across demographics and through multiple forms of transmission. However, the US government had done little to advance education and prevention.

In March 1987, gay rights advocate Larry Kramer and an initial group of approximately 300 activists formed the AIDS Coalition To Unleash Power (ACT UP) in meetings at the Lesbian and Gay Community Services Center in New York. Angered by US government homophobia that led to inaction and mismanagement of the AIDS Crisis, ACT UP sought to improve the quality of medical and social services for persons with HIV/AIDS and raise international awareness about the disease and its devastating impact. Tactics included non-violent protests, targeted demands, and poster campaigns. Major urban areas with large LGBTQ populations, like New York and San Francisco, became centers of ACT UP work, but active chapters organized in a loose network appeared in cities across the country in the late 1980s and early 1990s. Working alongside—and sometimes in tension with—other AIDS-awareness projects like the NAMES Project AIDS Memorial Quilt, ACT UP was known for its radical protest strategies. Targets of these protests included numerous politicians, the Center for Disease Control (CDC), and the US Food and Drug Administration (FDA).

By the early 1990s, the original ACT UP network was splintered by internal political conflict, but its impact was clear. Through its advocacy, the organization had helped to lower the price of drugs, transform the FDA’s approval process for them, include patients with AIDS in new drug trials, diminish the social stigma of AIDS, and educate people about prevention. This work supported medical advances that, by the mid-1990s, helped reduce the number of AIDS-related deaths for persons infected with HIV. This primary source set uses documents, photographs, posters, and other promotional materials to tell the story of ACT UP during the AIDS Crisis of the late 1980s and early 1990s.

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11.4.5: The Vietnam War

As early as 1967, critics of the war in Vietnam had begun to call for the repeal of the Gulf of Tonkin Resolution, which gave President Johnson the authority to conduct military operations in Vietnam in defense of an ally, South Vietnam. Nixon initially opposed the repeal efforts, claiming that doing so might have consequences that reached far beyond Vietnam. Nevertheless, by 1969, he was beginning troop withdrawals from Vietnam while simultaneously looking for a “knockout blow” against the North Vietnamese. In sum, the Nixon administration was in need of an exit strategy.

The escalation of the war, however, made an easy withdrawal increasingly difficult. Officially, the United States was the ally and partner of the South Vietnamese, whose “hearts and minds” it was trying to win through a combination of military assistance and economic development. In reality, however, U.S. soldiers, who found themselves fighting in an inhospitable environment thousands of miles from home to protect people who often resented their presence and aided their enemies, came to regard the Vietnamese as backward, cowardly people and the government of South Vietnam as hopelessly inefficient and corrupt. Instead of winning “hearts and minds,” U.S. warfare in Vietnam cost the lives and limbs of U.S. troops and millions of Vietnamese combatants and civilians (IMAGE 4.16).



IMAGE 4.16 U.S. soldiers in Hue in 1968 during the Tet Offensive. The frustrating experience of fighting the seemingly unwinnable war left many soldiers, and the public in general, disillusioned with the government.

For their part, the North Vietnamese forces and the National Liberation Front in South Vietnam also used brutal tactics to terrorize and kill their opponents or effectively control their territory. Political assassinations and forced indoctrination were common. Captured U.S. soldiers frequently endured torture and imprisonment.

MY LAI

Racism on the part of some U.S. soldiers and a desire to retaliate against those they perceived to be responsible for harming U.S. troops affected the conduct of the war. A war correspondent who served in Vietnam noted, “In motivating the GI to fight by appealing to his racist feelings, the United States military discovered that it had liberated an emotion over which it was to lose control.” It was not unusual for U.S. soldiers to evacuate and burn villages suspected of shielding Viet Cong fighters, both to deprive the enemy of potential support and to enact revenge for enemy brutality. Troops shot at farmers’ water buffalo for target practice. American and South Vietnamese use of napalm, a jellied gasoline that sticks to the objects it burns, was common. Originally developed to burn down structures during World War II, in Vietnam, it was directed against human beings as well, as had occurred during the Korean War.

DEFINING AMERICAN: VETNAM VETERANS AGAINST THE WAR

Many U.S. soldiers disapproved of the actions of their fellow troops. Indeed, a group of Vietnam veterans formed the organization Vietnam Veterans Against the War (VVAW). Small at first, it grew to perhaps as many as twenty thousand members. In April 1971, John Kerry, a former lieutenant in the U.S. Navy and a member of VVAW, testified before the U.S. Senate Committee on Foreign Relations about conditions in Vietnam based on his personal observations:

> I would like to talk on behalf of all those veterans and say that several months ago in Detroit we had an investigation at which over 150 honorably discharged, and many very highly decorated, veterans testified to war crimes committed in Southeast Asia. These were not isolated incidents but crimes committed on a day-to-day basis with the full awareness of officers at all levels of command. . . . They relived the absolute horror of what this country, in a sense, made them do. They told stories that at times they had personally raped, cut off ears, cut off heads . . . randomly shot at civilians, razed villages . . . and generally ravaged the countryside of South Vietnam in addition to the normal ravage of war and the normal and very particular ravaging which is done by the applied bombing power of this country. . . . We could come back to this country, we could be quiet, we could hold our silence, we could not tell what went on in Vietnam, but we feel because of what threatens this country, not the reds [Communists], but the crimes which we are committing that threaten it, that we have to speak out.
> —John Kerry, April 23, 1971

On March 16, 1968, men from the U.S. Army's Twenty-Third Infantry Division committed one of the most notorious atrocities of the war. About one hundred soldiers commanded by Captain Ernest Medina were sent to destroy the village of My Lai, which was suspected of hiding Viet Cong fighters. Although there was later disagreement regarding the captain's exact words, the platoon leaders believed the order to destroy the enemy included killing women and children. Having suffered twenty-eight casualties in the past three months, the men of Charlie Company were under severe stress and extremely apprehensive as they approached the village. Two platoons entered it, shooting randomly. A group of seventy to eighty unarmed people, including children and infants, were forced into an irrigation ditch by members of the First Platoon under the command of Lt. William L. Calley, Jr. Despite their proclamations of innocence, the villagers were shot (IMAGE 4.17). Houses were set on fire, and as the inhabitants tried to flee, they were killed with rifles, machine guns, and grenades. The U.S. troops were never fired upon, and one soldier later testified that he did not see any man who looked like a Viet Cong fighter.

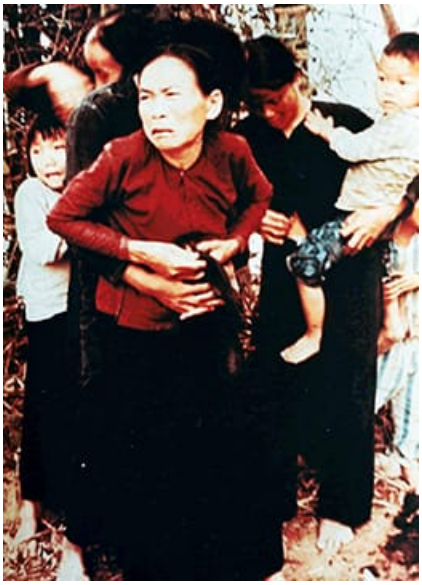


IMAGE 4.17 Vietnamese civilians in My Lai await their fate. They were shot a few minutes after this 1968 photograph was taken.

The precise number of civilians killed that day is unclear: The numbers range from 347 to 504. None were armed. Although not all the soldiers in My Lai took part in the killings, no one attempted to stop the massacre before the arrival by helicopter of Warrant Officer Hugh Thompson, who, along with his crew, attempted to evacuate women and children. Upon returning to his base, Thompson immediately reported the events taking place at My Lai. Shortly thereafter, Medina ordered Charlie Company to cease fire. Although Thompson's crewmembers confirmed his account, none of the men from Charlie Company gave a report, and a cover-up began almost immediately. The army first claimed that 150 people, the majority of them Viet Cong, had been killed

during a firefight with Charlie Company.

Hearing details from friends in Charlie Company, a helicopter gunner by the name of Ron Ridenhour began to conduct his own investigation and, in April 1969, wrote to thirty members of Congress, demanding an investigation. By September 1969, the army charged Lt. Calley with premeditated murder. Many Americans were horrified at the graphic footage of the massacre; the incident confirmed their belief that the war was unjust and not being fought on behalf of the Vietnamese people. However, nearly half of the respondents to a Minnesota poll did not believe that the incident at My Lai had actually happened. U.S. soldiers could not possibly do such horrible things, they felt; they were certain that American goals in Vietnam were honorable and speculated that the antiwar movement had concocted the story to generate sympathy for the enemy.

Calley was found guilty in March 1971, and sentenced to life in prison. Nationwide, hundreds of thousands of Americans joined a “Free Calley” campaign. Two days later, President Nixon released him from custody and placed him under him house arrest at Fort Benning, Georgia. In August of that same year, Calley’s sentence was reduced to twenty years, and in September 1974, he was paroled. The only soldier convicted in the massacre, he spent a total of three-and-a-half years under house arrest for his crimes.

BATTLES AT HOME

As the conflict wore on and reports of brutalities increased, the antiwar movement grew in strength. To take the political pressure off himself and his administration, and find a way to exit Vietnam “with honor,” Nixon began the process of Vietnamization, turning more responsibility for the war over to South Vietnamese forces by training them and providing American weaponry, while withdrawing U.S. troops from the field. At the same time, however, Nixon authorized the bombing of neighboring Cambodia, which had declared its neutrality, in an effort to destroy North Vietnamese and Viet Cong bases within that country and cut off supply routes between North and South Vietnam. The bombing was kept secret from both Congress and the American public. In April 1970, Nixon decided to follow up with an invasion of Cambodia.

The invasion could not be kept secret, and when Nixon announced it on television on April 30, 1970, protests sprang up across the country. The most tragic and politically damaging occurred on May 1, 1970, at Kent State University in Ohio. Violence erupted in the town of Kent after an initial student demonstration on campus, and the next day, the mayor asked Ohio’s governor to send in the National Guard. Troops were sent to the university’s campus, where students had set fire to the ROTC building and were fighting off firemen and policemen trying to extinguish it. The National Guard used teargas to break up the demonstration, and several students were arrested (IMAGE 4.18).



(a) (b)

IMAGE 4.18 On April 30, 1970, Richard Nixon announces plans for the Cambodia Campaign (a), provoking protests on college campuses across the country. Within days, the governor of Ohio had called in the National Guard in response to student demonstrations at Kent State University. Bill Whitbeck, who was a student majoring in photo illustration at Kent State University in May 1970, captured this image (b) on campus on May 3, one day before the shootings that would result in four student deaths. (credit b: modification of work by Bill Whitbeck)

Tensions came to a head on May 4. Although campus officials had called off a planned demonstration, some fifteen hundred to two thousand students assembled, throwing rocks at a security officer who ordered them to leave. Seventy-seven members of the National Guard, with bayonets attached to their rifles, approached the students. After forcing most of them to retreat, the

troops seemed to depart. Then, for reasons that are still unknown, they halted and turned; many began to fire at the students. Nine students were wounded; four were killed. Two of the dead had simply been crossing campus on their way to class. Peace was finally restored when a faculty member pleaded with the remaining students to leave.

News of the Kent State shootings shocked students around the country. Millions refused to attend class, as strikes were held at hundreds of colleges and high schools across the United States. On May 8, an antiwar protest took place in New York City, and the next day, 100,000 protesters assembled in Washington, DC. Not everyone sympathized with the slain students, however. Nixon had earlier referred to student demonstrators as "bums," and construction workers attacked the New York City protestors. A Gallup poll revealed that most Americans blamed the students for the tragic events at Kent State.

On May 15, a similar tragedy took place at Jackson State College, an African American college in Jackson, Mississippi. Once again, students gathered on campus to protest the invasion of Cambodia, setting fires and throwing rocks. The police arrived to disperse the protesters, who had gathered outside a women's dormitory. Shortly after midnight, the police opened fire with shotguns. The dormitory windows shattered, showering people with broken glass. Twelve were wounded, and two young men, one a student at the college and the other a local high school student, were killed.

PULLING OUT OF THE QUAGMIRE

Ongoing protests, campus violence, and the expansion of the war into Cambodia deeply disillusioned Americans about their role in Vietnam. Understanding the nation's mood, Nixon dropped his opposition to a repeal of the Gulf of Tonkin Resolution of 1964. In January 1971, he signed Congress's revocation of the notorious blanket military authorization. Gallup polls taken in May of that year revealed that only 28 percent of the respondents supported the war; many felt it was not only a mistake but also immoral.

Just as influential as antiwar protests and campus violence in turning people against the war was the publication of documents the media dubbed the Pentagon Papers in June 1971. These were excerpts from a study prepared during the Johnson administration that revealed the true nature of the conflict in Vietnam. The public learned for the first time that the United States had been planning to oust Ngo Dinh Diem from the South Vietnamese government, that Johnson meant to expand the U.S. role in Vietnam and bomb North Vietnam even as he stated publicly that he had no intentions of doing so, and that his administration had sought to deliberately provoke North Vietnamese attacks in order to justify escalating American involvement. Copies of the study had been given to the New York Times and other newspapers by Daniel Ellsberg, one of the military analysts who had contributed to it. To avoid setting a precedent by allowing the press to publish confidential documents, Nixon's attorney general, John Mitchell, sought an injunction against the New York Times to prevent its publication of future articles based on the Pentagon Papers. The newspaper appealed. On June 30, 1971, the U.S. Supreme Court held that the government could not prevent the publication of the articles.

Realizing that he must end the war but reluctant to make it look as though the United States was admitting its failure to subdue a small Asian nation, Nixon began maneuvering to secure favorable peace terms from the North Vietnamese. Thanks to his diplomatic efforts in China and the Soviet Union, those two nations cautioned North Vietnam to use restraint. The loss of strong support by their patrons, together with intensive bombing of Hanoi and the mining of crucial North Vietnamese harbors by U.S. forces, made the North Vietnamese more willing to negotiate.

Nixon's actions had also won him popular support at home. By the 1972 election, voters again favored his Vietnam policy by a ratio of two to one. On January 27, 1973, Secretary of State Henry Kissinger signed an accord with Le Duc Tho, the chief negotiator for the North Vietnamese, ending American participation in the war. The United States was given sixty days to withdraw its troops, and North Vietnam was allowed to keep its forces in places it currently occupied. This meant that over 100,000 northern soldiers would remain in the South—ideally situated to continue the war with South Vietnam. The United States left behind a small number of military advisors as well as equipment, and Congress continued to approve funds for South Vietnam, but considerably less than in earlier years. So the war continued, but it was clear the South could not hope to defeat the North.

As the end was nearing, the United States conducted several operations to evacuate children from the South. On the morning of April 29, 1975, as North Vietnamese and Viet Cong forces moved through the outskirts of Saigon, orders were given to evacuate Americans and South Vietnamese who had supported the United States. Unable to use the airport, helicopters ferried Americans and Vietnamese refugees who had fled to the American embassy to ships off the coast. North Vietnamese forces entered Saigon the next day, and the South surrendered.

The war had cost the lives of more than 1.5 million Vietnamese combatants and civilians, as well as over 58,000 U.S. troops. But the war had caused another, more intangible casualty: the loss of consensus, confidence, and a sense of moral high ground in the American political culture.

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11.4.6: Hippies and the Counterculture

By the 1960s, a generation of White Americans raised in prosperity and steeped in the culture of conformity of the 1950s had come of age. However, many of these baby boomers (those born between 1946 and 1964) rejected the conformity and luxuries that their parents had provided. These young, middle-class Americans, especially those fortunate enough to attend college when many of their working-class and African American contemporaries were being sent to Vietnam, began to organize to fight for their own rights and end the war that was claiming the lives of so many.

THE NEW LEFT

By 1960, about one-third of the U.S. population was living in the suburbs; during the 1960s, the average family income rose by 33 percent. Material culture blossomed, and at the end of the decade, 70 percent of American families owned washing machines, 83 percent had refrigerators or freezers, and almost 80 percent had at least one car. Entertainment occupied a larger part of both working- and middle-class leisure hours. By 1960, American consumers were spending $85 billion a year on entertainment, double the spending of the preceding decade; by 1969, about 79 percent of American households had black-and-white televisions, and 31 percent could afford color sets. Movies and sports were regular aspects of the weekly routine, and the family vacation became an annual custom for both the middle and working class.

Meanwhile, baby boomers, many raised in this environment of affluence, streamed into universities across the nation in unprecedented numbers looking to "find" themselves. Instead, they found traditional systems that forced them to take required courses, confined them to rigid programs of study, and surrounded them with rules limiting what they could do in their free time. These young people were only too willing to take up Kennedy's call to action, and many did so by joining the civil rights movement. To them, it seemed only right for the children of the "greatest generation" to help those less privileged to fight battles for justice and equality. The more radical aligned themselves with the New Left, activists of the 1960s who rejected the staid liberalism of the Democratic Party. New Left organizations sought reform in areas such as civil rights and women's rights, campaigned for free speech and more liberal policies toward drug use, and condemned the war in Vietnam.

One of the most prominent New Left groups was Students for a Democratic Society (SDS). Organized in 1960, SDS held its first meeting at the University of Michigan, Ann Arbor. Its philosophy was expressed in its manifesto, the Port Huron Statement, written by Tom Hayden and adopted in 1962, affirming the group's dedication to fighting economic inequality and discrimination. It called for greater participation in the democratic process by ordinary people, advocated civil disobedience, and rejected the anti-Communist position held by most other groups committed to social reform in the United States.

SDS members demanded that universities allow more student participation in university governance and shed their entanglements with the military-industrial complex. They sought to rouse the poor to political action to defeat poverty and racism. In the summer of 1964, a small group of SDS members moved into the uptown district of Chicago and tried to take on racism and poverty through community organization. Under the umbrella of their Economic Research and Action Project, they created JOIN (Jobs or Income Now) to address problems of urban poverty and resisted plans to displace the poor under the guise of urban renewal. They also called for police review boards to end police brutality, organized free breakfast programs, and started social and recreational clubs for neighborhood youth. Eventually, the movement fissured over whether to remain a campus-based student organization or a community-based development organization.

During the same time that SDS became active in Chicago, another student movement emerged on the West Coast, when actions by student activists at the University of California, Berkeley, led to the formation of Berkeley's Free Speech Movement in 1964. University rules prohibited the solicitation of funds for political causes by anyone other than members of the student Democratic and Republican organizations, and restricted advocacy of political causes on campus. In October 1964, when a student handing out literature for CORE refused to show campus police officers his student ID card, he was promptly arrested. Instantly, the campus police car was surrounded by angry students, who refused to let the vehicle move for thirty-two hours until the student was released. In December, students organized a massive sit-in to resolve the issue of political activities on campus. While unsuccessful in the short term, the movement inspired student activism on campuses throughout the country.

A target of many student groups was the war in Vietnam (IMAGE 4.19). In April 1965, SDS organized a march on Washington for peace; about twenty thousand people attended. That same week, the faculty at the University of Michigan suspended classes and conducted a 24-hour "teach-in" on the war. The idea quickly spread, and on May 15, the first national "teach-in" was held at 122 colleges and universities across the nation. Originally designed to be a debate on the pros and cons of the war, at Berkeley, the

teach-ins became massive antiwar rallies. By the end of that year, there had been antiwar rallies in some sixty cities.



IMAGE 4.19 Students at the University of Wisconsin-Madison protested the war in Vietnam in 1965. Their actions were typical of many on college campuses across the country during the 1960s. (credit: “Yarnalgo”/Flickr)

AMERICANA

BLUE JEANS: THE UNIFORM OF NONCONFORMIST RADICALISM

Overwhelmingly, young cultural warriors and social activists of the 1960s, trying to escape the shackles of what they perceived to be limits on their freedoms, adopted blue jeans as the uniform of their generation. Originally worn by manual laborers because of their near-indestructibility, blue jeans were commonly associated with cowboys, the quintessential icon of American independence. During the 1930s, jeans were adopted by a broader customer base as a result of the popularity of cowboy movies and dude ranch vacations. After World War II, Levi Strauss, their original manufacturer, began to market them east of the Mississippi, and competitors such as Wrangler and Lee fought for a share of the market. In the 1950s, youths testing the limits of middle-class conformity adopted them in imitation of movie stars like James Dean. By the 1960s, jeans became even more closely associated with youthful rebellion against tradition, a symbol available to everyone, rich and poor, Black and White, men and women.

The counterculture developed in the United States in the late 1960’s, coinciding with America's involvement in Vietnam. It was characterized by the rejection of conventional social norms, in this case, the social and gender norms of the Eisenhower era 1950’s. The counterculture youth rejected the cultural standards of their parents, specifically regarding racial segregation, gender roles, marital relationships, and initial widespread support for the Vietnam War.

As the 1960s progressed, widespread tensions developed in American society that tended to flow along generational lines regarding the war in Vietnam, race relations, sexual mores, women's rights, traditional modes of authority, and a materialist interpretation of the American Dream. Unconventional appearance, music, drugs, communitarian experiments, and sexual liberation were hallmarks of the sixties counterculture.

Hippies became the largest countercultural group in the United States. The counterculture reached its peak in the 1967 "Summer of Love," when thousands of young people flocked to the Haight-Ashbury district of San Francisco. The counterculture lifestyle integrated many of the ideals of the time, including peace, love, harmony, music, and mysticism. Meditation, yoga, and psychedelic drugs were often embraced as routes to expanding one's consciousness.

Musicians who exemplified this era include The Beatles, The Grateful Dead, Jefferson Airplane, Jimi Hendrix, The Doors, The Rolling Stones, Neil Young, Bob Dylan, Janis Joplin, and Pink Floyd. New forms of musical presentation also played a key role in spreading the counterculture, mainly large outdoor rock festivals. The occurred from August 15–18, 1969, with the Woodstock Music Festival held in Bethel, New York. During this weekend festival, 32 of rock and psychedelic rock's most popular acts

performed live outdoors to an audience of half a million people.

The counterculture movement divided the country. To some Americans, the movement reflected American ideals of free speech, equality, world peace, and the pursuit of happiness. To others, it reflected a destructive assault on America's traditional moral order. In an effort to quash the movement, government authorities banned the psychedelic drug LSD, restricted political gatherings, and tried to enforce bans on what they considered obscenity in books, music, theater, and other media.

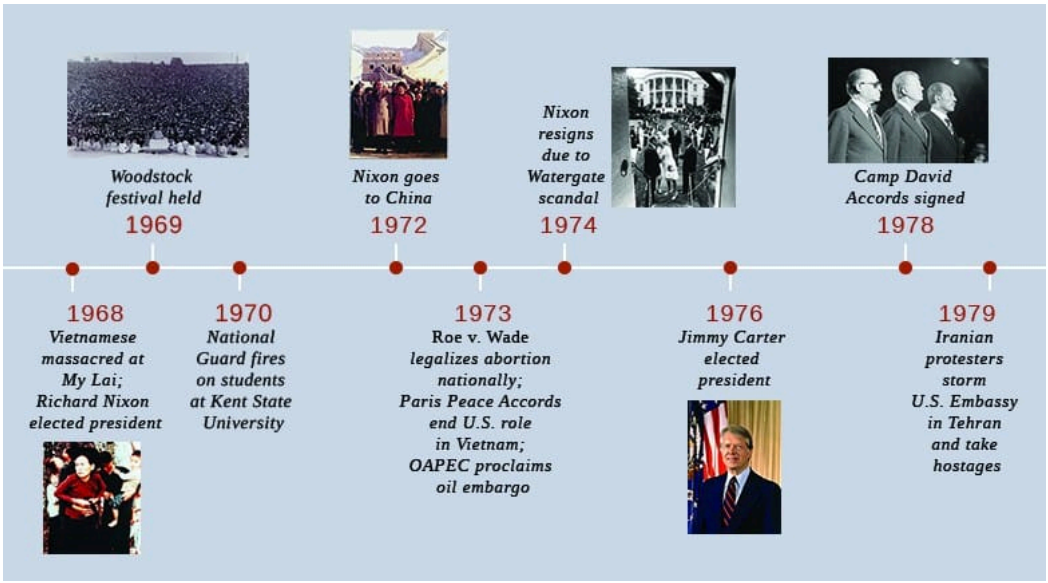


IMAGE 4.20 The 1960s and 70s saw many cultural and diplomatic changes for the United States.

The political divisions that plagued the United States in the 1960s were reflected in the rise of identity politics in the 1970s. As people lost hope of reuniting as a society with common interests and goals, many focused on issues of significance to the subgroups to which they belonged, based on culture, ethnicity, sexual orientation, gender, and religion.

In the late 1960s and early 1970s, many young people came to embrace a new wave of cultural dissent. The counterculture offered an alternative to the bland homogeneity of American middle-class life, patriarchal family structures, self-discipline, unquestioning patriotism, and the acquisition of property. In fact, there were many alternative cultures.

“Hippies” rejected the conventions of traditional society. Men sported beards and grew their hair long; both men and women wore clothing from non-Western cultures, defied their parents, rejected social etiquettes and manners, and turned to music as an expression of their sense of self. Casual sex between unmarried men and women was acceptable. Drug use, especially of marijuana and psychedelic drugs like LSD and peyote, was common. Most hippies were also deeply attracted to the ideas of peace and freedom. They protested the war in Vietnam and preached a doctrine of personal freedom to be and act as one wished.

Some hippies dropped out of mainstream society altogether and expressed their disillusionment with the cultural and spiritual limitations of American freedom. They joined communes, usually in rural areas, to share a desire to live closer to nature, respect for the earth, a dislike of modern life, and a disdain for wealth and material goods. Many communes grew their own organic food. Others abolished the concept of private property, and all members shared willingly with one another. Some sought to abolish traditional ideas regarding love and marriage, and free love was practiced openly. One of the most famous communes was The Farm, established in Tennessee in 1971. Residents adopted a blend of Christian and Asian beliefs. They shared housing, owned no private property except tools and clothing, advocated nonviolence, and tried to live as one with nature, becoming vegetarians and avoiding the use of animal products. They smoked marijuana in an effort to reach a higher state of consciousness and to achieve a feeling of oneness and harmony.

Music, especially rock and folk music, occupied an important place in the counterculture. Concerts provided the opportunity to form seemingly impromptu communities to celebrate youth, rebellion, and individuality. In mid-August 1969, nearly 400,000 people attended a music festival in rural Bethel, New York, many for free (IMAGE 4.21). They jammed roads throughout the state, and thousands had to be turned around and sent home. Thirty-two acts performed for a crowd that partook freely of marijuana, LSD, and alcohol during the rainy three-day event that became known as Woodstock (after the nearby town) and became the cultural touchstone of a generation. No other event better symbolized the cultural independence and freedom of Americans

coming of age in the 1960s.



IMAGE 4.21 The crowd at Woodstock greatly exceeded the fifty thousand expected. Mark Goff covered Woodstock as a young freelance reporter for Kaleidoscope, a Milwaukee-based alternative newspaper, and captured this image of Swami Satchidananda, who declared music "'the celestial sound that controls the whole universe" at the opening ceremony.

MY STORY:

GLENN WEISER ON ATTENDING WOODSTOCK

On the way to Woodstock, Glenn Weiser remembers that the crowds were so large they essentially turned it into a free concert:

> As we got closer to the site [on Thursday, August 14, 1969] we heard that so many people had already arrived that the crowd had torn down the fences enclosing the festival grounds (in fact they were never put up to begin with). Everyone was being allowed in for free. . . .
>
> Early on Friday afternoon about a dozen of us got together and spread out some blankets on the grass at a spot about a third of the way up the hill on stage right and then dropped LSD. I took Orange Sunshine, a strong, clean dose in an orange tab that was perhaps the best street acid ever. Underground chemists in southern California had made millions of doses, and the nation was flooded with it that summer. We smoked some tasty black hashish to amuse ourselves while waiting for the acid to hit, and sat back to groove along with Richie Havens.
>
> In two hours we were all soaring, and everything was just fine. In fact, it couldn't have been better—there I was with my beautiful hometown friends, higher than a church steeple and listening to wonderful music in the cool summer weather of the Catskills. After all, the dirty little secret of the late '60s was that psychedelic drugs taken in a pleasant setting could be completely exhilarating.
> —Glenn Weiser, "Woodstock 1969 Remembered"

AMERICAN INDIAN PROTEST

As the young, primarily white men and women who became hippies strove to create new identities for themselves, they borrowed liberally from other cultures, including that of Native Americans. At the same time, many Native Americans were themselves seeking to maintain their culture or retrieve elements that had been lost. In 1968, a group of American Indian activists, including Dennis Banks, George Mitchell, and Clyde Bellecourt, convened a gathering of two hundred people in Minneapolis, Minnesota, and formed the American Indian Movement (AIM) (IMAGE 4.22). The organizers were urban dwellers frustrated by decades of poverty and discrimination. In 1970, the average life expectancy of Native Americans was forty-six years compared to the national average of sixty-nine. The suicide rate was twice that of the general population, and the infant mortality rate was the highest in the country. Half of all Native Americans lived on reservations, where unemployment reached 50 percent. Among those in cities, 20 percent lived below the poverty line.



(a)



(b)

IMAGE 4.22 This teepee was erected on the National Mall near the Washington Monument as part of an AIM demonstration (a). Note that the AIM flag (b) combines a Native American silhouette with the peace sign, the ubiquitous symbol of the 1960s and '70s.

On November 20, 1969, a small group of Native American activists landed on Alcatraz Island (the former site of a notorious federal prison) in San Francisco Bay. They announced plans to build an American Indian cultural center, including a history museum, an ecology center, and a spiritual sanctuary. People on the mainland provided supplies by boat, and celebrities visited Alcatraz to publicize the cause. More people joined the occupiers until, at one point, they numbered about four hundred. From the beginning, the federal government negotiated with them to persuade them to leave. They were reluctant to accede, but over time, the occupiers began to drift away of their own accord. Government forces removed the final holdouts on June 11, 1971, nineteen months after the occupation began.

DEFINING AMERICAN:

PROCLAMATION TO THE GREAT WHITE FATHER AND ALL HIS PEOPLE

In occupying Alcatraz Island, American Indian activists sought to call attention to their grievances and expectations about what America should mean. At the beginning of the nineteen-month occupation, Mohawk Richard Oakes delivered the following proclamation:

> We, the native Americans, re-claim the land known as Alcatraz Island in the name of all American Indians by right of discovery. We wish to be fair and honorable in our dealings with the Caucasian inhabitants of this land, and hereby offer the following treaty: We will purchase said Alcatraz Island for twenty-four dollars ($24) in glass beads and red cloth, a precedent set by the White man's purchase of a similar island about 300 years ago. . . . We feel that this so-called Alcatraz Island is more than suitable for an Indian Reservation, as determined by the White man's own standards. By this we mean that this place resembles most Indian reservations in that:
>
> 1. It is isolated from modern facilities, and without adequate means of transportation.
> 2. It has no fresh running water.
> 3. It has inadequate sanitation facilities.
> 4. There are no oil or mineral rights.
> 5. There is no industry and so unemployment is very great.
> 6. There are no health care facilities.
> 7. The soil is rocky and non-productive; and the land does not support game.
> 8. There are no educational facilities.
> 9. The population has always exceeded the land base.
> 10. The population has always been held as prisoners and kept dependent upon others.

> Further, it would be fitting and symbolic that ships from all over the world, entering the Golden Gate, would first see Indian land, and thus be reminded of the true history of this nation. This tiny island would be a symbol of the great lands once ruled by free and noble Indians.

The next major demonstration came in 1972 when AIM members and others marched on Washington, DC—a journey they called the “Trail of Broken Treaties”—and occupied the offices of the Bureau of Indian Affairs (BIA). The group presented a list of demands, which included improved housing, education, and economic opportunities in Native American communities; the drafting of new treaties; the return of Native lands; and protections for Native religions and culture.

The most dramatic event staged by AIM was the occupation of the community of Wounded Knee, South Dakota, in February 1973. Wounded Knee, on the Pine Ridge Indian Reservation, had historical significance: It was the site of an 1890 massacre of members of the Lakota tribe by the U.S. Army. AIM went to the reservation following the failure of a group of Oglala to impeach the tribal president Dick Wilson, whom they accused of corruption and the use of strong-arm tactics to silence critics. AIM used the occasion to criticize the U.S. government for failing to live up to its treaties with native peoples.

The federal government surrounded the area with U.S. marshals, FBI agents, and other law enforcement forces. A siege ensued that lasted seventy-one days, with frequent gunfire from both sides, wounding a U.S. marshal as well as an FBI agent, and killing two Native Americans. The government did very little to meet the protesters’ demands. Two AIM leaders, Dennis Banks and Russell Means, were arrested, but charges were later dismissed. The Nixon administration had already halted the federal policy of termination and restored millions of acres to tribes. Increased funding for Native American education, healthcare, legal services, housing, and economic development followed, along with the hiring of more Native American employees in the BIA.

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11.4.7: The Birth of Rock 'n' Roll, Pop Culture, and Mass Media

With a greater generational consciousness than previous generations, the baby boomers sought to define and redefine their identities in numerous ways. Music, especially rock and roll, reflected their desire to rebel against adult authority. Other forms of popular culture, such as movies and television, sought to entertain, while reinforcing values such as religious faith, patriotism, and conformity to societal norms.

ROCKING AROUND THE CLOCK

In the late 1940s, some White country musicians began to experiment with the rhythms of the blues, a decades-old musical genre of rural southern Black people. This experimentation led to the creation of a new musical form known as rockabilly, and by the 1950s, rockabilly had developed into rock and roll. Rock and roll music celebrated themes such as young love and freedom from the oppression of middle-class society. It quickly grew in favor among American teens, thanks largely to the efforts of disc jockey Alan Freed, who named and popularized the music by playing it on the radio in Cleveland, where he also organized the first rock and roll concert, and later in New York.

The theme of rebellion against authority, present in many rock and roll songs, appealed to teens. In 1954, Bill Haley and His Comets provided youth with an anthem for their rebellion—"Rock Around the Clock" (IMAGE 4.23). The song, used in the 1955 movie Blackboard Jungle about a White teacher at a troubled inner-city high school, seemed to be calling for teens to declare their independence from adult control.



(a)



(b)

IMAGE 4.23 The band Bill Haley and His Comets (a) was among the first to launch the new genre of rock and roll. Their hit song "Rock Around the Clock" supposedly caused some teens to break into violent behavior when they heard it. Chuck Berry (b) was a performer who combined rhythm and blues and rock and roll. He dazzled crowds with guitar solos and electrifying performances.

Haley illustrated how White artists could take musical motifs from the African American community and achieve mainstream success. Teen heartthrob Elvis Presley rose to stardom doing the same. Thus, besides encouraging a feeling of youthful rebellion, rock and roll also began to tear down color barriers, as White youths sought out African American musicians such as Chuck Berry and Little Richard (IMAGE 4.23).

While youth had found an outlet for their feelings and concerns, parents were much less enthused about rock and roll and the values it seemed to promote. Many regarded the music as a threat to American values. When Elvis Presley appeared on The Ed Sullivan Show, a popular television variety program, the camera deliberately focused on his torso and did not show his swiveling hips or legs shaking in time to the music. Despite adults' dislike of the genre, or perhaps because of it, more than 68 percent of

the music played on the radio in 1956 was rock and roll.

HOLLYWOOD ON THE DEFENSIVE

At first, Hollywood encountered difficulties in adjusting to the post-World War II environment. Although domestic audiences reached a record high in 1946 and the war's end meant expanding international markets too, the groundwork for the eventual dismantling of the traditional studio system was laid in 1948, with a landmark decision by the U.S. Supreme Court. Previously, film studios had owned their own movie theater chains in which they exhibited the films they produced; however, in United States v. Paramount Pictures, Inc., this vertical integration of the industry—the complete control by one firm of the production, distribution, and exhibition of motion pictures—was deemed a violation of antitrust laws.

The HUAC hearings also targeted Hollywood. When eleven "unfriendly witnesses" were called to testify before Congress about Communism in the film industry in October 1947, only playwright Bertolt Brecht answered questions. The other ten, who refused to testify, were cited for contempt of Congress on November 24. The next day, film executives declared that the so-called "Hollywood Ten" would no longer be employed in the industry until they had sworn they were not Communists (IMAGE 4.24). Eventually, more than three hundred actors, screenwriters, directors, musicians, and other entertainment professionals were placed on the industry blacklist. Some never worked in Hollywood again; others directed films or wrote screenplays under assumed names.



IMAGE 4.24 One of the original Hollywood Ten, director Edward Dmytryk publicly announced he had once been a Communist and, in April 1951, answered questions and "named names" before the House Committee on Un-American Activities.

Hollywood reacted aggressively to these various challenges. Filmmakers tried new techniques, like CinemaScope and Cinerama, which allowed movies to be shown on large screens and in 3-D. Audiences were drawn to movies not because of gimmicks, however, but because of the stories they told. Dramas and romantic comedies continued to be popular fare for adults, and, to appeal to teens, studios produced large numbers of horror films and movies starring music idols such as Elvis. Many films took espionage, a timely topic, as their subject matter, and science fiction hits such as Invasion of the Body Snatchers, about a small town whose inhabitants fall prey to space aliens, played on audience fears of both Communist invasion and nuclear technology.

THE TRIUMPH OF TELEVISION

By far the greatest challenge to Hollywood, however, came from the relatively new medium of television. Although the technology had been developed in the late 1920s, through much of the 1940s, only a fairly small audience of the wealthy had access to it. As a result, programming was limited. With the post-World War II economic boom, all this changed. In 1950, there were just under 4 million households with a television set, or 9 percent of all U.S. households. Five years later, that number had grown to over 30 million, or nearly 65 percent of all U.S. households (IMAGE 4.25).



IMAGE 4.25 An American family relaxes in front of their television set in 1958. Many gathered not only to watch the programming but also to eat dinner. The marketing of small folding tray tables and frozen “TV dinners” encouraged such behavior.

Various types of programs were broadcast on the handful of major networks: situation comedies, variety programs, game shows, soap operas, talk shows, medical dramas, adventure series, cartoons, and police procedurals. Many comedies presented an idealized image of White suburban family life: Happy housewife mothers, wise fathers, and mischievous but not dangerously rebellious children were constants on shows like Leave It to Beaver and Father Knows Best in the late 1950s. These shows also reinforced certain perspectives on the values of individualism and family—values that came to be redefined as “American” in opposition to alleged Communist collectivism. Westerns, which stressed unity in the face of danger and the ability to survive in hostile environments, were popular too. Programming for children began to emerge with shows such as Captain Kangaroo, Romper Room, and The Mickey Mouse Club designed to appeal to members of the baby boom.

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11.4.8: New Modern Art Movements

Pop art and Minimalism follow Abstract Expressionism in the 1950s and ‘60s. Both styles develop as a reaction against the subjective intensity and physical aspects associated with Abstract Expressionism. Pop art responds by celebrating recognizable subject matter drawn from the everyday, the commercial, and the commonplace and rejecting the emphasis on abstraction. Minimalism responds by focusing on the formal aspects of the artwork, rejecting the idea of the individual gesture of the artist and the subjective expressionistic focus of Abstract Expressionism in favor of establishing a different relationship between art, its viewer and the space both occupy.

AFTER ABSTRACTION

James Rosenquist, House of Fire, 1981, oil on canvas, 78 inches x 17 feet, 6 inches. shows a red background. On the right is an upside down paper bag of groceries. In the center is a red bucket hanging through a turquoise window frame. On the right is an array of lipsticks in various shades of red and pink. The piece can be viewed at Met Museum of Art.

Both styles push the language of modernism to its conclusion meaning that with them, the language of modern art has now been completely and successfully explored. With Pop art, we see the merging of the realms of art and popular culture, art and technology, and art and commercialism that began with the Impressionists and Post-Impressionists and that continued to define modern art in different ways over the 20th Century. With Minimalism, we see the final explorations of the possibilities of strict geometric and non-representational abstraction that here harnesses the space beyond the gallery’s wall or sculptural pedestal to re-define the boundaries of art beyond the two and three-dimensional.

What follows these two styles in the 1970s is called Post-Modern because it comes after modernism and uses the visual languages of modernism as seen in the various art styles we have studied but in different ways or for different reasons.

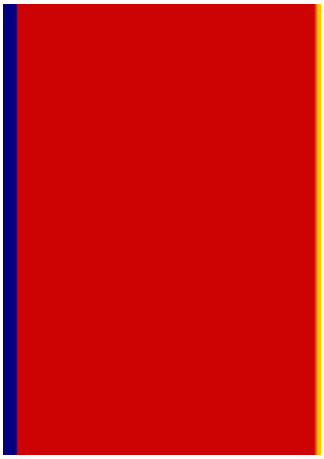


IMAGE 4.27 Who's Afraid of Red, Yellow, and Blue I Minimalist artwork by Barnett Newman - WikiArt [www.wikiart.org], Public Domain, Link.



IMAGE 4.28 Andy Warhol, CC BY-SA 2.0, via Wikimedia Commons

At first glance, Pop Art might seem to glorify popular culture by elevating soup cans, comic strips and hamburgers to the status of fine art on the walls of museums. But, then again, a second look may suggest a critique of the mass marketing practices and consumer culture that emerged in the United States after World War II. Andy Warhol's Gold Marilyn Monroe (1962) clearly reflects this inherent irony of Pop. The central image on a gold background evokes a religious tradition of painted icons, transforming the Hollywood starlet into a Byzantine Madonna that reflects our obsession with celebrity. Notably, Warhol's spiritual reference was especially poignant given Monroe's suicide a few months earlier. Like religious fanatics, the actress's fans worshipped their idol; yet, Warhol's sloppy silk-screening calls attention to the artifice of Marilyn's glamorous façade and places her alongside other mass-marketed commodities like a can of soup or a box of Brillo pads.

"Pop Art" first emerged in Great Britain, which suffered great economic hardship after the war. In the late 1940s, artists of the "Independent Group," first began to appropriate idealized images of the American lifestyle they found in popular magazines as part of their critique of British society.

Pop Art's origins, however, can be traced back even further. In 1917, Marcel Duchamp asserted that any object could be art, as long as the artist intended it as such. Artists of the 1950s built on this notion to challenge boundaries distinguishing art from real life, in disciplines of music and dance, as well as visual art. Robert Rauschenberg's desire to "work in the gap between art and life," for example, led him to incorporate such objects as bed pillows, tires and even a stuffed goat in his "combine paintings" that merged features of painting and sculpture. Likewise, Claes Oldenberg created The Store, an installation in a vacant storefront where he sold crudely fashioned sculptures of brand-name consumer goods. These "Proto-pop" artists were, in part, reacting against the rigid critical structure and lofty philosophies surrounding Abstract Expressionism, the dominant art movement of the time; but their work also reflected the numerous social changes taking place around them.

The years following World War II saw enormous growth in the American economy, which, combined with innovations in technology and the media, spawned a consumer culture with more leisure time and expendable income than ever before. The manufacturing industry that had expanded during the war now began to mass-produce everything from hairspray and washing machines to shiny new convertibles, which advertisers claimed all would bring ultimate joy to their owners. Significantly, the development of television, as well as changes in print advertising, placed new emphasis on graphic images and recognizable brand logos.

As the decade progressed, artists shifted away from painting towards the use of industrial techniques. Warhol began making silkscreens, before removing himself further from the process by having others do the actual printing in his studio, aptly named "The Factory." Similarly, Oldenburg abandoned his early installations and performances, to produce the large-scale sculptures of cake slices, lipsticks, and clothespins that he is best known for today.

The influence that TV exerted on increasing numbers of people was a major subject for the pop artists of the early sixties. For a brief time John F. Kennedy raised the spirits of America and Europe. He was the first TV President, and the public identified with him because of TV. His "New Frontier" culture also became a popular priority. And his establishment of the National Endowment for the Arts and Jackie Kennedy united fashion and culture with her media image.

Pop artists typically worked in a passive detachment from the spiritual. They commented on everyday life in a very morbid sense, not connecting emotionally with their art.

Andy Warhol is probably the most famous figure in Pop Art. Warhol attempted to take Pop beyond an artistic style to a lifestyle, and his work often displays a lack of human affectation that dispenses with the irony and parody of many of his peers. Warhol's artwork ranges in many forms of media including hand drawing, painting, printmaking, photography, silk screening, sculpture, film, and music. New York's Museum of Modern Art hosted a Symposium on Pop Art in December 1962 during which artists like Warhol were attacked for giving in to consumerism. Throughout the decade it became increasingly clear that there had been a profound change in the culture of the art world, and that Warhol was at the center of that shift. Eventually, he moved from hand painting to silk-screen printing, removing the handmade element altogether. The element of detachment reached such an extent at the height of Warhol's fame that he had several assistants producing his silk-screen multiples.



IMAGE 4.29 Andy Warhol – “Marilyn Pop Art" by Kelly DeLay is licensed under CC BY 2.0

Of equal importance to American pop art is Roy Lichtenstein. His work defines the basic premise of pop art better than any other through parody. Selecting the old-fashioned comic strip as subject matter, Lichtenstein produced hard-edged, precise compositions that documented mass culture while simultaneously creating soft parodies. Lichtenstein used oil and Magna paint in his best known works, such as Drowning Girl (1963), which was appropriated from the lead story in DC Comics’ Secret Hearts #83. His characteristic style featured thick outlines, bold colors and Ben-Day dots to represent certain colors, as if created by photographic reproduction. Lichtenstein’s contribution to Pop Art merged popular and mass culture with the techniques of fine art while injecting humor, irony, and recognizable imagery and content into the final product. The paintings of Lichtenstein, like the works of many other pop artists, shared a direct attachment to the commonplace image of American popular culture while treating the subject matter in a cool, impersonal manner. This detached style illustrated the idealization of mass production and its inherent anonymity.

Minimalism in art and music was an effort to create a form with a minimum of material and process. That means that one of Donald Judd’s cube-shaped sculptures was reduced to the simple form of a cube, and nothing more. Minimal Music was similar in that an entire musical work could be composed from a very simple tune with only three notes, as opposed to lush and rich orchestrated songs.

Artists in the 1960s and 1970s who explored reductive notions found a new way to embody their ideas in visual form. These artists explored the reductive tradition with highly experimental three dimensional work. This new approach to art was eventually called Minimal Art. A diverse group of artists were at one point or another during their careers classified as minimalists.

The name Minimal was applied to this style because the art seemed to have a minimal amount of art content. It certainly did not represent objects and people as Pop Art did nor did it seem to have any of the emotional or expressive characteristics of Abstract Expressionism. In fact, it was usually so simple that it seemed to lack complexities even under the surface. The minimal artists were more interested in pure shape, color, and texture of the object and how it related to the viewer in space. The work was often placed on the floor, instead of a pedestal, to occupy the visitor’s space and ensure that their attention was captured.

The Minimalists created work which drew in the viewer to participate and contemplate what its meaning or purpose was to

themselves. They were interested in how a space could be transformed or altered by their art. The artists also went so far as to dismiss themselves from the art making process itself and sometimes the physical piece was made by technicians in factories, who followed a set of instructions or diagrams with precision.

Overall, the Minimalists were interested in continuity and order. They were interested in what comes next and what the final piece was as a whole. Their work did not refer to any other subject matter, because that would designate it as inferior to what it represented. This belief is the basis of why their work was often titled as "Untitled." For these artists, the meaning of the art could no longer be found within the piece they made, and was defined instead by its surroundings. This was a cool, cerebral approach to art that often implied that the idea was more important than the object, a line of thinking that eventually led to Conceptual Art.

Minimal Music is composed with a bare minimum of structure. These composers have produced a collective body of work that relies heavily on simplified progressions and melodies. Filled with repetitiveness in rhythms, these musicians worked to reduce the excesses of expression and historical reference they found to be overly abundant in much contemporary classical music. A key element of the minimalist music being showcased in this unit is the development of hypnotic rhythms. While this also occurred in the music of the 19th century composers, Laurie Anderson, Steve Reich and Phillip Glass had modern technology to conjure up mesmerizing rhythms in new ways.

CONTEMPORARY PORTRAITS

Kehinde Wiley (b. 1977, USA) is a contemporary portrait painter. In his work, he refers back to poses and other compositional elements used by earlier masters in much the same way that Trumbull did in his portrait of George Washington. Wiley means for his viewers to recognize the earlier work he has borrowed from in creating his painting, to make comparisons between the two, and to layer meaning from the earlier work into his own. Due to the strong contrasts between the sitters in Wiley's paintings and those who posed for the earlier portraitists, however, this comparison often makes for a complex interweaving of meanings. It is based upon an 1847 marble work of the same name by French sculptor Auguste Clésinger (1814-1883, France). When Clésinger's flagrantly sensual nude was exhibited, the public and critics alike were scandalized, and fascinated. It was not uncommon in European and American art of the nineteenth century to use the subject of the work as justification for depicting the female nude.

For example, if the subject was a moral tale or a scene from classical mythology, that was an acceptable reason for showing a nude figure. In Clésinger's sculpture, the pretext for the woman's indecent writhing was the snake bite, which, coupled with the roses surrounding the woman, was meant to suggest an allegory of love or beauty lost in its prime rather than simply a salacious depiction of a nude. Unfortunately, the model was easily recognized as a real person, Apollonie Sabatier, a courtesan who was the writer Charles Baudelaire's mistress and well known among artists and writers of the day. Clésinger defended his sculpture as an artful study of the human form but, having used the features and body of a contemporary woman, his sculpture's viewers objected to the image as too real. Wiley's painting is the opposite: it is clearly intended to be a portrait of one individual, but he is clothed and inexplicably lying with his back to the viewer while turning to look over his shoulder. In his painting, Wiley retains the extended arms, and twisted legs and torso of Clésinger's figure, but the sculpted woman's thrown back head and closed eyes are replaced by the man's turned head and mildly quizzical gaze.

Wiley takes that pose and its meanings—indecency, exposure, vulnerability, powerlessness— and uses them in a context that seemingly makes no sense when the subject is a fully clothed black male. Or does it? By using the conventions for depicting the female nude, Wiley asks us to examine the following: what happens when the figure is clothed—with a suggestion of eroticism in the glimpse of brown skin and white briefs above his low-riding jeans; what happens when a young man gazes at the viewer with an unguarded expression of open inquisitiveness; and what happens when a black male presents his body in a posture of weakness, potentially open to attack? The artist uses these juxtapositions of meaning to challenge our notions of identity and masculinity. By expanding his visual vocabulary to include traditions in portraiture going back hundreds of years, Wiley paints a young black man at odds with contemporary conventions of (male) physicality and sexuality.

ASSEMBLAGE ART

Assemblage Art is a process whereby compositions are created in two and three dimensional representations by combining found objects. These found objects were often considered to be trivial, with no prescribed meaning, though once assembled together, the artist creates new meaning while evoking wholly new sensations and feelings. While similar to the process of collage, it is distinct in its deliberate inclusion of non-art materials.

The origin of the term assemblage can be traced back to the early 1950s, when French artist Jean Dubuffet created a series of collages of butterfly wings titled "assemblages d'empreintes." However, the origin of the artistic practice dates to the early 20th century, as both Marcel Duchamp and Pablo Picasso, as well as others, worked with found objects for many years prior to it

becoming an accepted artistic medium in the mid 20th century.

In 1961, the exhibition “The Art of Assemblage” was featured at the Museum of Modern Art in New York City. The exhibition showcased the work of early 20th century European artists such as Braque, Dubuffet, Marcel Duchamp, Picasso, and Kurt Schwitters alongside Americans Man Ray, Joseph Cornell, Robert Mallary, and Robert Rauschenberg. It also included lesser-known American West Coast assemblage artists such as George Herms, Bruce Conner, and Edward Kienholz. William C. Seitz, the curator of the exhibition, described assemblages as preformed natural or manufactured materials, objects, or fragments not originally intended as art.

Robert Rauschenberg is a significant proponent of assemblage art. Rauschenberg picked up trash and found objects that interested him on the streets of New York City and brought these back to his studio where they could become integrated into his work. These works, which he called “combines,” served as instances in which the delineated boundaries between art, sculpture, and the everyday were broken down so that all were present in a single work of art. Technically “combines” refers to Rauschenberg’s work from 1954 to 1962, but the impetus to combine both painting materials and everyday objects such as clothing, urban debris, and taxidermied animals continued throughout his artistic life.

PHOTOREALISM



IMAGE 4.30 Chuck Close 2" by iainr is licensed under CC BY-NC 2.0

Photorealism or super-realism is a genre of art that began in the late 1960s, encompassing painting, drawing, and other graphic media in which an artist studies a photograph and then attempts to reproduce the image as realistically as possible.

Photorealism, also known as super-realism or hyper-realism, is a genre of art that makes use of photography to create a highly realistic art work in another medium. The term was first applied in America during the late 1960s. Like pop art, photorealism was a reactionary movement that stemmed from the overwhelming abundance of photographic media, which by the mid 20th century had grown into such a massive phenomenon that it threatened to lessen the value of imagery in art. While pop artists were primarily pointing out the absurdity of the imagery that dominated mass culture—such as advertising, comic books, and mass-produced cultural objects—photorealists aimed to reclaim and exalt the value of the image.

Photorealist painters gather imagery and visual information through photographs, which are transferred onto canvas either by slide projection or the traditional grid. The resulting images are often direct copies of the photograph, usually on an increased scale. Stylistically, this results in painted compositions that are tight and precise, often with an emphasis on imagery that requires a high level of technical prowess and virtuosity to simulate; for example, reflections in surfaces and embellished, man-made environments.

The first generation of American photorealists included such painters as Richard Estes, Ralph Goings, Chuck Close, Charles Bell, Audrey Flack, Don Eddy, Robert Bechte, and Tom Blackwell.

HIP-HOP

The development of Rock and Roll music in the 1950s and aspects of Rock music in the 1960s can be compared to the emergence and development of Rap and Hip Hop music in the 1980s, certainly in relation to the African American communities.

In the 1950s, white radio stations and record companies wanted to capitalize on and manipulate the a so-called “Black sound” without actually having African Americans perform the music. In the 1960s, record companies including Motown, which was owned and managed by African Americans, tried to capitalize on the appeal that Black music had to the White audience and tailored their music to a largely White group of fans. But by the time that Rap and Hip Hop developed, things in the music world had changed dramatically.

In the 1980s, the Hip Hop music industry wanted to have a sound that was entirely their own with no appropriations or limitations. Hip Hop music was produced by African Americans. Unlike Motown, record labels like Def Jam, Bad Boy, and Death Row did not cater to a White audience at all, although the music eventually found a large audience among White people, and has become one of the most popular types of music in recent years.

The influence of Hip Hop on Rock has been intense and some of the most interesting music of the early twenty-first century is either rap, based on rap, or influenced by rap. Although we use the terms “Rap” and “Hip Hop” interchangeably, Rap is strictly a form of rhythmic speaking in rhyme, which in the world of music goes all the way back to the rhyming “jive talk” of the Bebop Jazz musicians. But in Hip Hop, the backing music for “Rapping” is often collaged from samples of other recorded songs. Hip-Hop deconstructs familiar sounds and songs from earlier music, and builds those sounds into entirely new, often unpredictable songs. James Brown, Sly Stone, and George Clinton of Parliament/ Funkadelic are early influences on Hip-Hop.

Rap began in 1971, in the Bronx, with Kool Herc, who was from Jamaica. At block parties, Kool Herc appropriated two turntables as an electronic instrument, actually moving two turntables by hand and mixing samples from two records to create an entirely new sound, while he rapped the lyrics. The “break”, or instrumental part of the record was played repeatedly and this became his background music. Since he did not think that Americans would receive Reggae widely, he used the break from American Funk musicians, like James Brown. He also employed dancers, who became known as Break Dancers or b-boys.

When another early Rap artist, Grandmaster Flash, heard Kool Herc perform, he set out to prove he was better and he started stretching the break, created new sounds by scratching the records and sometimes playing them backwards. Like John Cage and Jimi Hendrix, he pushed the sounds that a turntable, a needle and a record could make. He could not Rap, so he got together a group called the Furious Five to Rap to his scratching. Eventually, the first Rap group to have a hit record was the Sugarhill Gang.

Afrika Bambaadaa (IMAGE 4.31) from the South Bronx was an important influence in Hip Hop, as well. In his youth, Bambaadaa was a founding member of the Bronx River Projects area street gang, known later as the Black Spades. Bambaadaa’s life would soon change after a trip to Africa and after seeing the Michael Caine film Zulu. He changed his name to Afrika Bambaadaa Aasim and set out to redirect the energy of street gangs towards positive community roles, which became known as The Zulu Nation.

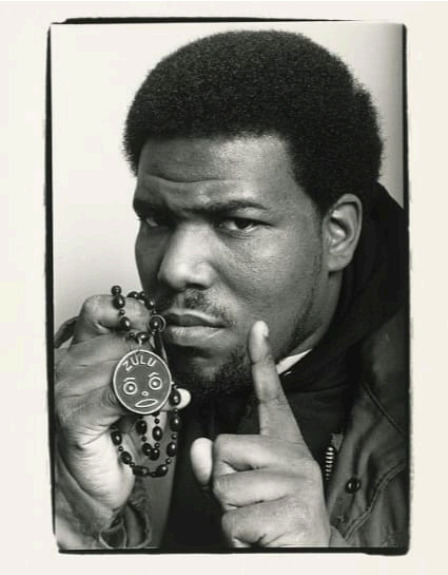


IMAGE 4.31 Afrika Bambaadaa. Photo taken by artist Laura Levine. Smithsonian National Portrait Gallery

These early Rap groups are now called “Old School.” As Rap developed, elements from Rock music such as electric guitars and intense drumbeats were introduced by Run-D.M.C., which was the first hardcore Rap group, and the earlier scratching was replaced by sampling, an electronic pulling of sounds from earlier music. Public Enemy developed a very sophisticated sampling technique, which often was based on a blend of white noise, strong beats, and unrecognizable samples. Just as importantly, or more so, they introduced social and political elements from the Black community into their music.

STREET ART

An international art star, Keith Haring and his work have often been characterized as quintessentially of the eighties—an embodiment of the decade’s street art, hip hop, and urban energy in New York. While his career involved a diverse range of art making—painting, drawing, performance, video, murals, and art merchandising—his subway drawings stand among his most well-known and celebrated work.

Haring drew over 5,000 chalk drawings over a five-year period, from 1980 to 1985, in New York City subway stations (visit the Keith Haring Foundation website to see his work year by year). Since the beginning of his career, Haring was determined to create art that could be for everyone, both through an accessible style and by locating his work in easily reachable, public locations. Creating art on the street meant that a bigger audience could see his work, outside of the more insular space of an art gallery.

PREVIOUS STREET ART

Haring’s subway drawings were not his first intervention into public, urban space. In New York City, early in 1980, he began to subtly alter street advertisements, such as one for Chardón Jeans, in which he blocked out letters, so the ad read “hard on Jeans.” He also posted small collages on street lamps made up of images appropriated from print media and bits of painted paper. In the summer of 1980, Haring made more overtly political collages by cutting and rearranging headlines from the New York Post, to say things like “REAGAN SLAIN BY HERO COP” and “POPE KILLED FOR FREED HOSTAGE.” He xeroxed these works by the hundreds and posted them all over the city in an effort to undermine the political conservatism of the period. These early experiments helped set the stage for Haring’s subway drawings.

In late 1980, Haring noticed that New York City subway’s blank advertising spaces were covered with black matte paper when advertising subscriptions expired. He immediately purchased some chalk, and started drawing. Over the next five years, this became a daily, repetitive obsession: he would ride the subway, look for these empty spaces of black paper, and draw quickly—without any preparation—and then leave on the next train. Through incessant repetition,Haring’s subway drawings allowed him to perfect his highly recognizable reduced linear vocabulary, and to create an inventory of images. Simplification was practical: he needed to complete his drawings as fast as possible to avoid being arrested. He created characters, such as the barking dog and the radiating baby, which he drew on flat planes with no spatial depth, often with only a horizon line or a staircase to suggest space. Drawn close to the surface like cartoons, his images had immediacy and impact, and could carry multiple meanings through various combinations.

The radiant baby, for example, could represent birth or purity, but could also be read as a symbol of nuclear energy or bodily corruption depending on what he drew around it. Haring intentionally sanitized the subject matter of his subway drawings, leaving out any explicit sexual and political imagery. He wanted his audience, which included children, to enjoy his works. This made his drawings more ambiguous to an extent, but also more outwardly positive and universal in theme. This work, though, while seemingly straightforward, did incorporate some darker references, including generalized themes of oppression and the abuse of power (image below left), but these were often simplified to such an extent that they remained open to multiple interpretations.



Image 4.32 Keith Haring, *Untitled (Subway Drawing)*, 1982, chalk on paper @ Keith Haring Foundation

GRAFFITI SCENE

Haring's arrival in New York coincided with graffiti's peak in 1978-79, when artists covered subway cars, walls, and storefront gates throughout the city. Haring's well-defined style benefited from graffiti, which offered lessons in how to make graphic images visible in a cluttered urban environment and stressed the importance of motion, speed, and improvisation. Haring never considered himself to be a graffiti artist however. His subway drawings significantly differed from graffiti in location, timing, and medium. Haring often used white chalk and worked during the day so that he could interact with his audience. In contrast, graffiti artists usually used spray paint or markers, working at night. Graffiti encompassed a subculture at the social margins of New York City that excluded artists like Haring both racially and socio-economically.

DOWNTOWN ARTS SCENE

Other artists of Haring's generation worked within the public spaces of New York City to create and display art including Jean-Michel Basquiat, Kenny Scharf, Barbara Kruger, Jenny Holzer, and Richard Hambleton. In addition the artist collectives Colab, Fashion Moda, Gran Fury, and Group Material used the street as canvas. Like Haring, these artists experimented with alternate distribution systems to expand their reach outside of the commercial art world. Through posters, billboards, or small sculptures, or by engaging the community through artist-run events, pop-up exhibition spaces, or activist demonstrations, these downtown artists (like Haring) regularly put their art and ideas on the street to be enjoyed, and to inform and involve the public. Their intention was inclusion, rather than to alienate or confuse.

BURGOENING CELEBRITY

Haring drew several works of art every day, over many years in the New York City subway, a system used by millions of people. While he made his subway drawings for free, they proved to be a promotional tool that catapulted him into the public spotlight and helped launch his gallery career. In effect, he co-opted spots meant for advertising and campaigned for himself. His drawing was also performative—often attracting an audience captivated by his quick actions and improvisation. He promoted his subway work in other media, including one instance in which a friend taped one of his arrests by the MTA police, which was then featured on CBS News on a nationwide special. He also designed buttons illustrating his characters and gave away thousands to subway riders. Attached to shirts and bags, these buttons enhanced the visibility of his work.

In 1982, Haring joined the Tony Shafrazi gallery, but continued to work in the subway. This was a strategy he used throughout his career: operating in both the contemporary art world and in public spaces. His gallery career helped to fund his time making street art for free, and they both reinforced his public presence. Eventually, Haring's popularity meant that his work in the subways became so valuable that people began to steal panels as soon as he drew them, ending this phase of his work. He continued to create art for all through posters and prints, merchandising, and large scale public murals in cities around the world.

Before Haring became a worldwide celebrity, however, he was a local celebrity—generating his first fame through his subway drawings.

JEAN MICHAEL BASQUAIT



Image 4.33 Jean-Michel Basquiat, Horn Players, 1983, acrylic and oilstick on three canvas panels mounted on wood supports, 243.8 x 190.5 cm (The Broad Art Foundation) © The Estate of Jean-Michel Basquiat

Jean-Michel Basquiat's 1983 painting Horn Players shows us all the main stylistic features we have come to expect from this renowned American artist. In addition to half-length portraits on the left and right panels of this triptych (a painting consisting of three joined panels), the artist has included several drawings and words—many of which Basquiat drew and then crossed out. On each panel we also notice large swaths of white paint, which seem to simultaneously highlight the black background and obscure the drawings and/or words beneath. Most notable perhaps is the preponderance of repeated words like "DIZZY," "ORNITHOLOGY," "PREE" and "TEETH" that the artist has scattered across all three panels of this work.

CHARLIE PARKER AND DIZZY GILLESPIE

Despite the seeming disorder of the composition, however, it is clear that the main subjects of Horn Players are two famous jazz musicians—the saxophonist Charlie Parker and the trumpeter Dizzy Gillespie, who Basquiat has depicted in both linguistic and visual portraits. On the left of the canvas, the artist has drawn the figure of Parker, holding his saxophone which emits several hot pink musical notes and distorted waves of sound. We see Dizzy Gillespie in the right panel, who holds a silent instrument alongside his torso. The words "DOH SHOO DE OBEE" that float to the left of the figure's head call to mind the scat (wordless improvisational) singing Gillespie often performed onstage.

Many of the words Basquiat has written on the canvas relate specifically to Charlie Parker, but they make sense only for those viewers with some knowledge of the musician's life. For example, the literal meaning of "ORNITHOLOGY" is "the study of birds," but this is also the title of a famous composition by Parker, who named the tune (first recorded in 1946) in reference to his own nickname "Bird." The words "PREE" and "CHAN" that we see written above and below the saxophonist's portrait refer to Parker's infant daughter and common-law wife, respectively.

BASQUIAT AND WORD PLAY



Image 4.34 Jean-Michel Basquiat posing next to SAMO graffiti

This kind of wordplay is a characteristic that extends across most of Jean-Michel Basquiat's work. One of the most recognizable features of the artist's more than 2000 paintings and drawings is the overwhelming abundance of written words on the canvas. The art historian Robert Farris Thompson once declared: "It's as if he were dripping letters." Before his success as a painter, Basquiat was famous for writing on the walls of lower Manhattan as a teenager when he and a high school friend, Al Diaz, left cryptic messages in spray paint under the name "SAMO" (an acronym for "Same Old Shit") from 1977 until 1979.

As SAMO, Basquiat and Diaz wrote maxims, jokes, and prophecies in marker and spray paint on subway trains throughout New York City (particularly the "D" train, which ran between downtown Manhattan and Basquiat's home in Brooklyn), as well as on the walls and sidewalks in the SoHo and Tribeca neighborhoods. Many of the locations where SAMO writings were to be found were in close proximity to prominent art galleries. Combined with these strategic positions, phrases like "SAMO AS AN END TO PLAYING ART" or "SAMO FOR THE SO-CALLED AVANT-GARDE" presented the "SAMO" persona as outside the commercial art world and critical of it. In fact, even after relinquishing the SAMO persona and emerging to the art world as Jean-Michel Basquiat, the artist remained an outsider to the mainstream art world, despite his meteoric rise on the art auction block.

THE BLACK PICASSO

Basquiat went from SAMO"to commercial success at warp speed in the early 1980s. He first exhibited (still under the name SAMO) at the Times Square Show—an exhibition in June 1980 that marked the genesis of the eighties art movement. He was later invited to exhibit in Link(opens in new window) [New York] [New York], a group show of sixteen hundred works by 119 artists that opened at P.S. 1 on Valentine's Day. The show was affectionately called "The Armory Show" of the 1980s (the original Armory Show in 1913 was the first large exhibition of international modern art in America).

Almost immediately afterward, the young Basquiat (at this point just 20 years old) was invited to exhibit in his first solo show in Modena, Italy. The gallerist Annina Nosei, who showed more established artists like David Salle and Richard Prince, agreed to represent Basquiat, who had a one-man show at her gallery the next year. That same year, Basquiat had exhibitions in Los Angeles, Zurich, Rome, and Rotterdam and became the youngest artist invited to participate in Documenta 7 (an international contemporary art exhibition that takes place every five years). By 1983 the average sale price of Basquiat's work had increased by 600 percent, and his popularity (both in the auction house and in popular culture) persists even today. You can buy his images on shirts and hats from popular retail outlets and his large paintings sell at auction for more than $20 million.

Based on his meteoric success, critics referred to Jean-Michel Basquiat as "the black Picasso." The nickname was complicated for Basquiat, who never embraced it, but was nevertheless concerned with his own place within art history. He often relied on textbooks and other sources for his visual material; most biographies of the artist note his reliance on the medical textbook Gray's Anatomy (a gift from the artist's mother when Basquiat was hospitalized as a child) for the anatomical drawings and references

we see on many of his surfaces. Basquiat also appropriated the work of Leonardo, Edouard Manet, and Pablo Picasso into his own compositions. These appropriations were in part an homage to the great painters Basquiat admired, but they also were a way for Basquiat to rewrite art history and insert himself into the canon.



Image 4.35 Pablo Picasso, Three Musicians, 1921, oil on canvas, 200.7 x 222.9 cm (The Museum of Modern Art)

Looking again at Horn Players, for example, reveals several connections to Picasso's Three Musicians. Basquiat's use of the triptych format—a popular device for the artist in this period—echoes the triple subjects of the Picasso image. The figure of Parker in Basquiat's composition is also reproduced in the same position as the standing figure (playing the clarinet) in Picasso's work.



Image 4.36 Right: Jean-Michel Basquiat, Horn Players (detail), 1983, acrylic and oilstick on three canvas panels mounted on wood supports, 243.8 x 190.5 cm (The Broad Art Foundation) © The Estate of Jean-Michel Basquiat; left: Pablo Picasso, Three Musicians (detail), 1921, oil on canvas, 200.7 x 222.9 cm (The Museum of Modern Art)

The central panel of Basquiat's canvas, which does not show a portrait of an identifiable musician like the other two panels, but instead a distorted head with roughly outlined features, suddenly comes into focus via its comparison with Three Musicians. Here Picasso references in paint, his earlier experiments with paper collage especially in rendering the face and head of his central figure, whose jawline dramatically extends beyond what is anatomically possible to create an abstract, bulbous shape. Basquiat's central figure bears a similar protrusion—this time from the top of the head—which he fills in with hatch marks that are suggestive

of the patterning of Picasso's "collaged" paper. Once again, Basquiat seems to be speaking in code. This time, we are being asked not only to draw upon our knowledge of music history but of modern painting to fully understand his work.

BASQUIAT'S MUSICIANS

Musicians were a popular subject for Basquiat, who himself played briefly in a noise band called Gray—likely a reference to the Gray's Anatomy textbook. Jazz musicians began to appear in the artist's paintings around 1982; references to jazz musicians or recordings appear in more than thirty large-format paintings and twenty works on paper. Charlie Parker and Dizzy Gillespie are the two musicians who appear most frequently, both as figures in the paintings and through linguistic references to their work. The artist painted canvases with figures playing the trumpet, the saxophone, and the drums. He also devoted several canvases to replicating the labels of jazz records or the discographies of musicians.

Many scholars have connected Basquiat's interest in jazz to a larger investment in African American popular culture (for example, he also painted famous African American athletes) but an alternative explanation is that the young Basquiat looked to jazz music for inspiration and for instruction, much in the same way that he looked to the modern masters of painting. Parker, Gillespie, and the other musicians of the bebop era infamously appropriated both the harmonic structures of jazz standards, using them as a structure for their own songs, and repeated similar note patterns across several improvisations. Basquiat used similar techniques of appropriation throughout his career as a painter.

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11.4.9: Metamodernism

On social media platforms and discussion forums today, you're likely to encounter many memes. The term meme has been colloquially adopted by internet culture to refer to a variety of media, such as images, videos, and gifs, that most typically express some kind of joke referencing culture at large. While internet memes had rather simple beginnings, they have evolved to become increasingly more self-referential, self-conscious, and complex. More recently, our memes have begun to express nihilistic, absurdist truths about human experience, while maintaining the humorous nature of the medium. Memes have become a language of humor through which we can relate to each other; they represent the prevailing structure of feeling of our time, which is characterized by the oscillation between ironic expression and the quest for optimism. In this essay, I will analyze the medium of memes through the lens of metamodernism – the name proposed for the overarching cultural movement of the moment – and within this analysis, I will consider the positive and negative implications of meme culture as it is evolving today.

DEFINING METAMODERNISM

In order to explain the cultural movement of today, metamodernism, we first need to understand what came before it: modernism and postmodernism. From what I've learned throughout my research, it is extremely difficult to try to define the prevailing mode of thought for a period of time. Modernism and postmodernism are notoriously difficult to define, and the exact beginnings and ends of modernism and postmodernism are not agreed upon unanimously by theorists. The descriptions of modernism and postmodernism that I offer in this section are simplified, and they capture merely the general aspects of each movement.

Modernism is generally considered to have begun following WWI. This time represented a period of immense loss and violence, and essentially hopelessness. Notions of faith and tradition were being undermined by all of the death that occurred in the war. People were left feeling alienated and were unable to find meaning or resonance in the prevailing philosophies, which were generally optimistic. During this time, literature, art, and philosophy centered around creating a new way to find resonance and meaning in the world. This manifested in art and literary movements such as surrealism and cubism, which sought to see the world from perspectives of honest experience (Modernism). Additionally, a new value was given to reason and science, as they were seen to offer definitive and objective meaning to everything. Modernists thought that science led to the truth of all experience and that it would bring cultures together because of its universality (Modernism vs. Postmodernism). To characterize modernism succinctly, during the period there was a high level of sincerity and conviction in how people understood truth in the world.

By contrast, postmodernism, which began in the mid-1900s, emphasized skepticism and thought of truth as subjective and not at all definitive. Postmodernism rejected the idea that objective reality was universal and thought that the sentiments of modernism represented a very naïve way to view truth the world. To postmodernists, the narratives and philosophies of the modern period were "myths" created by humanity, and while these myths were not discounted entirely, they were no longer seen as absolute truth. Additionally, art, television, and literature tended to be characterized by parody and irony (Modernism vs. Postmodernism).

Postmodernism has been criticized by many as being self-defeating and purposeless at a certain point. Author David Foster Wallace criticized postmodernism for its overuse of irony in his essay "E Unibus Pluram: Television and U.S. Fiction:"

'Irony has only emergency use. Carried over time, it is the voice of the trapped who have come to enjoy their cage.' This is because irony, entertaining as it is, serves an almost exclusively negative function. It's critical and destructive, a ground-clearing. [...] I find gifted ironists sort of wickedly fun to listen to at parties, but I always walk away feeling like I've had several radical surgical procedures. And as for actually driving cross-country with a gifted ironist, or sitting through a 300-page novel full of nothing but trendy sardonic exhaustion, one ends up feeling not only empty but somehow...oppressed." (Wallace 67)

Wallace characterizes overuse of irony as hollowing and ultimately purposeless, as it pokes fun at sincerity and definitive meaning, and thus ends up eschewing it altogether. It follows from Wallace's analysis of the effects of postmodernism that eventually, we will need to escape from the echo chamber of irony and meaninglessness, and many theorists think we have begun to emerge from this through metamodernism.

The term metamodernism was coined by Mas'ud Zavarzadeh in 1975, but it has been adopted by many theorists to describe the current mode of thought, beginning in the 1990s. The prefix "meta" refers to notions of being "with," "between," and "beyond," and this prefix is employed in this term because metamodernism is largely defined by its relation to modernism and postmodernism. Timotheus Vermeulen and Robin van den Akker, in "Notes on Metamodernism," explain the structure of feeling of metamodern thought, particularly in terms of the art it produces: "[metamodernism] is characterized by the oscillation between a typically

modern commitment and a markedly postmodern detachment" (2). In other words, metamodern thought oscillates between sincerity and irony, simultaneously striking a sort of balance between modern and postmodern thought and transcending the two movements to become its own period. One of the epigraphs at the beginning of "Notes on Metamodernism," from art critic Jerry Saltz, captures the essence of the structure of thought that characterizes metamodernism:

I'm noticing a new approach to artmaking in recent museum and gallery shows. [...] It's an attitude that says, I know that the art I'm creating may seem silly, even stupid, or that it might have been done before, but that doesn't mean this isn't serious. At once knowingly self-conscious about art, unafraid, and unashamed, these young artists not only see the distinction between earnestness and detachment as artificial; they grasp that they can be ironic and sincere at the same time, and they are making art from this compound-complex state of mind. (Saltz, in Vermeulen & van den Akker 2)

Although Saltz's observations are in direct reference to fine art, his commentary upon the outlook that comes with metamodern thought and discourse is precise, and, I think, applicable to the attitude of the movement in general. Metamodernism is self-referential and wholly self conscious. It is a way of thinking that pokes fun at itself while still embracing the idea that there is meaning to things. Like modernism, metamodernism does not lose track of the idea that there may be meaning in the world, but unlike modernism, it does not try to definitively state what that meaning may be. Then, much like postmodernism, metamodernism embraces a level of cynicism about the world, but, again, it does not abandon the idea that there may be some greater meaning somewhere. Metamodernism is reminiscent of absurdist philosophy in the way it embraces a seeming lack of meaning, but then finds meaning within the very lack of it. Emerging from a period of postmodernism, when irony and cynicism prevailed, metamodernism makes sense because it indirectly seeks to reconstruct the philosophies of sincerity of the modern period (Abramson). With this understanding of the sentiments of metamodernism, we can move into defining memes and understanding how they reflect structures of feeling.

NEW SINCEREITY AND MODERNISM

Interest in sincerity has fluctuated over the past few decades, and its presence or absence has been taken as one of the defining features of different periods and of poetic styles. Tracing some of these fluctuations will help untangle the implications of the term "New" Sincerity. In general, sincerity has been described as "a congruence between avowal and actual feeling", as Lionel Trilling wrote, adding that with reference to art, sincerity came to be viewed as less than desirable in the modern period. Sincerity is about speaking truthful words and impressions, and it is seemingly unmediated, but can be viewed as performative. For Trilling, it differs from authenticity in that authenticity is about being true to the self and can be traced back to identity. We might recall that for J. L. Austin, sincerity was a prime condition for a "performative utterance". Performativity comes to us through Austin but also, of course, Judith Butler who described it as "reiterative and citational", an effect that produces what it names. Performativity works by repetition. In a poem, sincerity is performed and repeated as an impression that defies our inability to conclude whether, for example, the sadness associated with mice is genuine.

In literary and cultural criticism at large, the fluctuation between irony and sincerity as a contemporary phenomenon is captured in the term metamodernism which, like Konstantinou's postirony, seeks to understand what happens beyond postmodernism. Metamodernism has been discussed as an umbrella term for New Sincerity, among other "developments" and "social registers". A particularly pivotal definition of metamodernism is offered by Van den Akker and Vermeulen, who describe it as "a structure of feeling that emerges from, and reacts to, the postmodern as much as it is a cultural logic that corresponds to today's stage of global capitalism." According to Van den Akker and Vermeulen,

[m]etamodernism oscillates between what we may call – but what of course cannot be reduced to – postmodern and pre-postmodern (and often modern) predilections: between irony and enthusiasm, between sarcasm and sincerity, between eclecticism and purity, between deconstruction and construction and so forth.

The focus of the concept, then, is constantly in motion, without settling in one end or the other. In this understanding, metamodernism is a periodizing term, but it also points to particular tonal tensions, like those between the related term pairs of irony/enthusiasm and sarcasm/sincerity.

Metamodernism, Van den Akker and Vermeulen propose, focuses on cultivating "a sense of earnestness and hope" as opposed to the "cynical attitude towards reality" that dominated the 1990s. They situate metamodernism between modernism and postmodernism instead of positing it as a direct descendant of these periods. More recently, in a conference keynote delivered at the AHRC Metamodernism Network Conference in 2019, Van den Akker pointed out the need to keep reconsidering the concept of metamodernism, instead of treating existing definitions as fixed. Metamodernism is, indeed, a fluid term. Nick Bentley, for his part, argues that metamodernism as many critics have discussed it is not so much a fully-fledged "literary category" that could stake claim on a post-postmodernism that differs significantly from postmodernism. Rather, according to Bentley,

metamodernism can be associated with literary works that take a step away from the "fragmentation and deconstruction and the implied disassociation and factional disruptions" that have burdened postmodernism, although it does not fully denounce these aspects. Several accounts of metamodernism agree in maintaining that postmodernism involved a disillusionment which easily manifested in irony, and that we are now, in a certain sense, past this, turning instead towards exploring earnestness amidst lingering irony. Building on Bentley's argument, then, I take metamodernism as a concept that does not quite show a radical break with postmodernist uncertainty, but flirts with such a move, prone to sincerity while compelled to live with an awareness of irony's pervasiveness.

New Sincerity has often been viewed as a subcategory of metamodernism, and its relation to modernism/postmodernism is a contentious issue, like that of metamodernism itself. In line with accounts that associate metamodernism with modernism, Robin Vogelzang suggests that "we might read the New Sincerity as a new take on modernism". For Konstantinou, New Sincerity is a subcategory of "relational art" which, in turn, is a subcategory of the aforementioned metamodernist concept "postirony". Relational art, he argues, "draws attention to the gap between reader and writer, showing the difficulty of deciding whether an utterance is ironic or sincere in the absence of tonal or affective cues, staging the author's failure to communicate". Indeed, as Lasky's poems fluctuate between sincerity and irony, they emphasise the gap between reader and writer, along with the poem's speaker, through focussing on the power relations between them.

DEFINING CULTURAL MEMES

The term meme was first introduced by Richard Dawkins, an ethologist and evolutionary biologist, in 1976, in his book The Selfish Gene (Dawkins). Finding himself dissatisfied with proposed explanations for human behavior, as he believed that they relied too much upon genes to explain the evolution of culture, Dawkins decided to use the gene as an analogy for explaining culture, and not as an explanation itself. The genetic principle that Dawkins's analysis of culture rests upon is "the law that all life evolves by the differential survival of replicating entities" (Dawkins). Dawkins believes that this law is observable in a sense other than genetic evolution in our world:

I think that a new replicator has recently emerged on this very planet. It is staring us in the face. It is still in its infancy, still drifting clumsily about in its primeval soup, but already it is achieving evolutionary change at a rate that leaves the old gene panting far behind. (Dawkins)

Dawkins clarifies that this "soup" is human culture, and the replicating entities within it are to be called memes, rather than genes. The word meme is an abbreviation of the Greek word "mimeme," meaning "something imitated," or "something copied" (Hiskey). According to Dawkins, memes can refer to "tunes, ideas, catch-phrases, clothes fashions, ways of making pots or of building arches." From how I've learned to understand them, memes can refer to almost anything within culture: any kind of concept, idea, or family of ideas, but not to physical entities. Physical entities can be vehicles for memes and can have memes that revolve around them, however. Memes can refer to the ideas that circulate around popular culture phenomena, such as movies, books, and items advertised on television. To return to Dawkins's more simplistic examples, memes can also refer simply to units of cultural knowledge, such as the best way to construct a sturdy table.

Dawkins employs the example of the idea of God to examine how memes mirror genes. The idea of God is ancient, and "we don't know how it arose in the meme pool. Probably it originated many times by independent 'mutation'" (Dawkins). Memes parallel genes in the sense that they can come into existence randomly, and then spread from person to person within a culture through various media. The meme of God originally replicated through forms of art, such as music and stories, and the reason for its high survival value as a meme is its psychological appeal; the idea of God is comforting in the face of existential anguish, injustice, and hopelessness (Dawkins). Other memes survive for different reasons, but ultimately their survival comes down to their advantageousness within a culture.

A BRIEF HISTORY OF INTERNET MEMES

It has been difficult to determine the first instance of the word meme used in reference to the internet, but the first two that I could find are from 1998: the first is in a paper titled "The Internet and Memetics" by Garry Marshall, and the second is a website called Memepool, a community forum. In "The Internet and Memetics," Marshall proposes that memetics and memes are an effective tool of analysis of the workings of the internet. Marshall uses the word meme to describe units of information that are communicated across the internet. Marshall writes "The consequence of the availability of both e-mail and the World Wide Web is that the Internet is, for its users, an ideal medium for the spread, replication and storage of memes" (Marshall). Although Marshall may not have been referring to internet memes in the image- and humor based way that we understand them today, this paper could be what served to popularize the term and its use in reference to the internet. Conversely, the website Memepool used

the term meme to refer to interesting, obscure, or humorous articles and images, which is very similar to how the term is used colloquially today (Nagy).

Today, internet memes refer to a specific medium through which information is conveyed, primarily on the internet. Internet memes, because of their wide scope, are difficult to define, but in "The Language of Internet Memes," Patrick Davison offers a definition: "An Internet meme is a piece of culture, typically a joke, which gains influence through online transmission" (Davison). That internet memes are most often humorous in nature is what most clearly differentiates the definition from Dawkins' original definition of memes. Although it is not specified in Davison's definition, I think that internet memes also differ from cultural memes in the sense that they tend to take the form of specific media, such as text, videos, gifs, and most frequently, images. Whereas cultural memes are noncorporeal, amorphous ideas that are transmitted through culture, internet memes are very closely tied to the media through which they are transmitted and could thus be said to be more "tangible" than cultural memes. Of course, internet memes can also refer to intangible ideas themselves but used colloquially, the term typically refers to pieces of media.

THE EVOLUTION OF MEMES AND MEME PLATFORMS

Although internet memes can take the form of many different media, I will focus on image-based memes in this analysis. The base images that internet memes consist of are most often taken from some element of popular culture, such as TV shows, YouTube videos, movies, advertisements, books, comics, and illustrations. Most often, and toward the beginning of meme culture, these images reference something commonly recognized or understood in popular culture. These images can stand alone, but they most often incorporate text in some way. The text can be a direct reference to the image itself; for example, a meme that is a still from a music video might have lyrics included as text, but the text can also be a commentary upon the image, so that the image serves as a "reaction" to whatever is expressed through the text. Most image based memes are based on meme "formats," which are templates that users employ to make new memes that branch off of an original meme. As meme formats are used, the joke of the original meme evolves, and memes made with the format become more self-referential and therefore more niche. Meme formats can combine and evolve together, and they can become a commentary upon the medium itself, resulting in a meme that would likely be incomprehensible to someone unaware of the meme's evolutionary history. The Drake meme in Image 4.37 is an example of a self-conscious meme that makes fun of itself, and it is an amalgamation of three different references to meme formats. The most obvious reference is to the Drake meme template, which is typically just the first two boxes of this meme, but it also imitates the meme format of the expanding brain, which is used to indicate some kind of transcendence of understanding. At the very end, it references Elon Musk, whose supposed elusive presence on the internet has become a meme. The meme is complex and absurd, and it would be extremely difficult to understand the joke that it is making without having a prior understanding of the culture's evolution.



Image 4.37 Self-referential meme posted to Reddit, titled "Drake has a big brain."

While most of today's memes emerge from some reference to popular culture, some of the earliest internet memes existed mostly on their own: they arose from the mind of one person, and according to Dawkins's analysis, are independent mutations. For example, the Hampster [sic] Dance and its accompanying song, popularized in 1999, is a single-serving website created by

Deidre LeCarte called Hampton's Hamster House (Hampster Dance). LeCarte made the website in honor of her pet hamster, so the website and its meaning really only made sense to her, and perhaps people who knew her. Despite not referencing anything known to the general public, the meme rose in popularity as it was spread largely through e-mail, and it is widely known now because of artists who remixed the song that played on the website (Hampster Dance). Although a few early internet memes arose this way, it is not the norm for the memes of today.

Most internet memes, current and past, have evolved from memes circulating in the general popular culture for many years. For instance, concepts and ideas surrounding Star Wars have been cultural memes since the first film of the franchise was released in 1977. It is speculated that the first internet meme referencing Star Wars is an image of Admiral Ackbar with the text "It's a Trap!" overlaying it, posted in the early 2000s. The image was popularly used as a reaction "to warn others of a potential bait-and-switch prank ahead" (It's A Trap!). Since this Admiral Ackbar internet meme, if it was the first to reference the franchise, Star Wars images, concepts, and lore are used to create thousands of memes. On Reddit, there are communities devoted solely to Star Wars memes, such as r/PrequelMemes. Star Wars is just one example of an element of popular culture that has evolved to have a significant presence within meme culture online, and it would be near impossible to detail them all. Many other movies, television shows, and music have also contributed significantly to the meme pool online and have subcultures and communities that center around them exclusively.

One of the earliest genres of memes that have retained their popularity over the years can be classified as "relatable" memes. These memes are deemed relatable because they speak to something many people can identify with, and these memes are popular because, as Dawkins wrote about the meme of God, they are psychologically comforting in a sense. When you see other people making memes about experiences you can relate to, you feel less alone.

While the earliest internet memes spread primarily through email forwarding and sites like Memepool, their presence is ubiquitous today due to the multitude of platforms through which they can be disseminated. Some of these platforms include Facebook, Instagram, Twitter, YouTube, 4chan, Reddit, iFunny, and 9GAG. Each platform has its own "rules" for the types of memes that are typically posted, and subsequently, each platform has a different reputation surrounding its meme culture. Platforms like Reddit, iFunny, and 9GAG allow users to preserve anonymity, as usernames typically do not include any personal details. This anonymity also applies to Facebook, Instagram, and YouTube to an extent, but it is more typical for users of these platforms to include personal details. 4chan is unique in that it is a platform that eschews profiles and usernames entirely; all posts are made anonymously, and posts are only identified by numbers. 4chan's complete anonymity allows users to be less cautious about the content they post, and as a result, the platform is infamous for offensive and shocking content. The reputations of each platform differ, and these reputations are largely determined by what users of one platform think about other platforms. For instance, Reddit users have made a meme out of Instagram users "stealing" memes from Reddit. Redditors will occasionally overtly make memes

in sizes or in files not conducive to Instagram so that Instagram users cannot repost them on the platform, and the central humor of these memes comes from poking fun at Instagram users. As memes evolve, new subcultures and subdivisions of memes develop. Some of these subdivisions include Dank memes, Deep-Fried memes, Wholesome memes, Political memes, Normie memes, and many more, all of which have their own associations and "rules" regarding what constitutes their content. Divisions of memes can narrow even further; an example is a community on Reddit called r/bonehurtingjuice, which stemmed from a Winnie the Pooh meme and centers around making memes that deliberately misunderstand the intended use of a format (bonehurtingjuice).

"THE MEDIUM IS NOT THE MESSAGE"

In this book, Postman contemplates the medium of television. His central thesis is that the medium of television is inherently one of entertainment, and then, using Marshall McLuhan's aphorism "the medium is the message," Postman explains that everything that is conveyed through television is automatically received by people as entertainment. This becomes problematic when people receive information about politics, world events, and other pressing matters through the medium of television. Because people watch television for entertainment purposes, news broadcasters are incentivized to sensationalize the news to make it more entertaining, and politicians are incentivized to make themselves and their ideas come across in a favorable light on television. Honesty and rationality are thus sacrificed in the name of good television and ratings (Postman).

If we are to apply Postman's analysis of the medium of television to memes, we might come to a similar conclusion – that memes are inherently a medium of entertainment, of humor. Memes are bite-sized and need to convey something that entertains people quickly and that encourages people to show the meme to others, to increase its popularity and to get more upvotes on a given platform. This means that memes that are relatable or provocative are likely to get a lot of attention. It makes sense, then, that memes that traverse controversial subject matter are so popular, it is because of their shock value. Either way, if

the meme is received positively or negatively, it will get a reaction out of people, either of which brings more attention to the meme. Additionally, memes are hard to trace, especially on platforms that give users anonymity, such as Reddit, 4Chan, and even Instagram, Twitter and Facebook if the meme creator chooses not to disclose their personal information. Memes are constantly reposted on different platforms, which makes it extremely difficult to trace who made the original meme. This disconnection from the meme creator's identity makes it a lot easier to post memes that are controversial since anonymity largely prevents any real risk to the individual.

There is an inherent contradiction when memes traverse controversial subject matter: the seriousness of the content of the memes conflicts with the medium itself. Because of this inherent contradiction, I think that many genres of memes represent a metamodern mode of discourse. Memes that make a statement about something larger oscillate between sincerity and irony: they are poking fun at something, but still acknowledging that the object of humor is something serious. The meaning of the meme becomes this strange interstitial entity, then, existing between truth and satire. In one sense, memes can bring attention to serious topics that should be discussed, like mental illness, but in another, memes can be seen to minimize the seriousness of things and can potentially be harmful in this way. This is especially so if memes are used to advance a political agenda because most people will not take the time to check facts to know if the information presented in the meme is correct. Social media platforms do not encourage critical thinking, as they, too, are ultimately media of entertainment and are usually accessed during idle time.

MEMES, METAMODERNISM AND THE 2016 PRESENIDENTIAL ELECTION

Donald Trump's 2016 campaign to become the President of the United States of America rests upon principles of metamodernism and relates to meme culture in multiple ways. In Michael Moore's documentary Fahrenheit 11/9, an interpretation of the processes leading up to Trump's presidential run, nomination as the Republican Party's candidate, and eventual election to office is detailed. Moore argues that Trump's initial run for president was a joke – a farce to get back at NBC for paying Gwen Stefani, a judge on the television show The Voice, more than they were paying him for his involvement with the show The Apprentice. Moore states that Trump paid extras fifty dollars to be his supporters and that Trump hoped NBC would acknowledge his improvisational skills in faking a presidential announcement (Moore). After this, Moore plays a montage of racist and politically ignorant lines that Trump delivered at this first, and according to Moore, artificial rally, and we are informed that NBC cut ties with Donald Trump due to his comments. Moore says,

[Trump's] plan backfired. He was now out of a job. Though he had no real plans to run for president, his sons encouraged him to go ahead with the two rallies that he had booked and paid for. As he looked around at the adoring masses, a crowd the size of which he'd never seen before, he had his epiphany. Maybe running for president wasn't such a bad idea after all. (Moore)

After Moore presents his argument, he plays a clip from an ABC Newscast during the presidential race: a pundit says, "We be better be ready for the fact that [Trump] might be leading the Republican ticket" and George Stephanopoulos replies, laughing along with everyone else, "I know you don't believe that." TV news programs and American citizens dismissed the legitimacy of Trump's campaign, passing it off as a joke that would never lead to his election.

Of course, the interpretation of Donald Trump's election that Moore sets forth in the documentary is merely speculative, and it rests on supposed premises that only Trump can confirm or deny. However, Moore's argument presents a view of Trump's campaign as one of ambiguity, of the public's (and perhaps Trump's) inability to discern whether the campaign was real or not. Based upon Moore's view that Trump orchestrated the rallies for publicity purposes, it can be argued that Trump himself was unsure about his intentions as he garnered more support and the possibility of actually running seemed more feasible. Thus, if we are to take Moore's lens, Trump's campaign began as a metamodern joke: to American citizens and the media, his campaign oscillated between the absurdity of the star of The Apprentice vying for a seat of political power and the seeming legitimacy that comes with a campaign rally. It was a contradictory situation. Even without the lens of Moore's interpretation, the mere facts of Trump's campaign – that he is not a politician, but a reality TV star, and that he held campaign rallies – is metamodern in essence because the public was unsure of his sincerity in running.

Beyond the metamodern oscillation that was at the core of Trump's campaign, Trump's election to the office of the President of the United States is tied to meme culture. The "Make America Great Again" slogan became a political statement and a meme itself, but further, one of the reasons Trump was elected may very well have been memes. In 2018, the Senate Intelligence Committee found that Russian online operators created accounts on Facebook, Instagram, and Twitter to undermine Democratic candidate Hillary Clinton's campaign, and to strengthen Republican candidate Donald Trump's. Some of the groups targeted were Bernie Sanders supporters, Black Lives Matter supporters, veterans, LGBTQ supporters, and conservatives (Keating. The accounts first posted mostly truthful videos, images, and memes of relevant political and social issues and values, such as police brutality and homelessness. The reason for this was to make the accounts appear legitimate and trustworthy and to appeal to values

and beliefs of certain groups of people (Keating). After establishing a semblance of credibility and a following, the accounts posted memes to encourage division in the country and encouraged people to take sides on issues and to view political issues as inherently dichotomous. The accounts took advantage of people's trust via extremely consumable propaganda that had been tailored to fit their specific views.

This instance of propaganda being used to manipulate American politics is an extreme example of how memes can influence people, but it is also an example of why media literacy is more important now than ever. We must be aware of how our media can be used against us without our knowledge, and this is why understanding memes as an interstitial, metamodern medium is crucial. Despite this risk, it is possible that memes can also operate in the opposite way: that rather than being used to divide people, memes can unite communities.

MEMES AS COMMUNITIES OF SUPPORT

Since the 1970s, a nationally representative survey called Monitoring the Future has been conducted to analyze the "behaviors, attitudes, and values" of teenagers. In 2012 and 2013, there was a significant increase in teenagers who experienced symptoms of depression, feelings of hopelessness, and loneliness, and there was also a decrease in overall happiness. It is not a coincidence that also in 2012, the percentage of Americans who owned smartphones rose above 50%. (Twenge).

The ubiquity of smartphones and social media has led to an increase in the fragmentation of social interaction. Teens, and people in general, on average, spend far more time on social media than they do interacting with people and building in-person relationships (Fottrell). This applies especially to Millennials and Gen Zers, who grew up with social media as it has evolved. Social media urges us to compare our lives to idealized pictures, to feel we are missing out, we're too poor, or we're not attractive enough. Social media encourages dissatisfaction with one's life, and when this is compounded with less actual social interaction, it's not surprising that rates of depression have increased. This is why it is interesting that memes that deal with mental illness are so popular. Mental illness memes are ultimately just a subset of relatable memes, which are popular because they connect us with other people. Thus, memes that deal with mental illness have that same popularity – they speak to emotions people feel, but ones that they might not feel comfortable talking about openly with their friends. At this point in my research, I thought that the best approach would be to look to the Millennials and Gen Zers who are immersed in meme culture to consider how memes can facilitate community. An Instagram meme creator, Cori Hartwig, who goes by the username manicpixiememequeen, explained how making memes became a creative outlet that helped her deal with depression at a Stanford University panel:

Over time, I wove a narrative around my own mental health issues and personal life through creating memes, and I shared my content with an audience who, shockingly, understood my narrative in their own personal ways. Currently, I have over 97,000 followers on Instagram, which is absolutely wild. Clearly, I'm not the only person in the world struggling with mental health issues or having some difficulty navigating our weird and absurd world. While my brain loves to tell me

that no one else really understands and then I perceive isolation, the evidence against this is in the numbers – my audience, the engagement on the posts, the hundreds of messages I receive from people across the globe telling me that they relate so much to my page and they're grateful for the content I make. (Hartwig)

Amato continues, explaining that she witnesses conversations in the comments sections on her posts, where people discuss their personal issues and offer mental health resources to each other. She insists that mental illness memes are not detrimental and that using humor as a way to convey one's emotion generates the awareness and conversation that needs to happen.

I also decided to interview my younger brother, Glen, who is a seasoned memer, about what he thinks memes do for his generation. I have witnessed Glen go through difficult periods as a result of mental health issues, and I wanted to know how meme culture may have affected him. Glen explained to me that he knows his generation has the worst mental health in history, that because of the lack of social interaction, and because of growing up during a period of constant war, heavily divided politics, an unprecedented wealth disparity, and an environmental crisis, he feels his generation doesn't know what to do with their lives. He said "comedy is deeply rooted in fear and sadness," and his generation "laughs to make themselves feel better." He went on, "with this huge partisan divide, with our memes we're creating a pseudo-union. The state of our union is more united online than it is in reality." He told me he likes memes because they don't force you to pick a side, unlike the politics of our day – "memes are funny and that's my only stance," he said (Nevling). Memes represent a welcome interstitial medium in a society characterized by division – the sincere and ironic poles of memes transcend division and create a new type of meaning that resonates with Millennials and Gen Zers. Glen went on to say that memes helped him get things off his chest. When he wasn't seeing a therapist, he made memes about mental health and consumed a lot of them, as well, and he knows that a lot of his friends do the same (Nevling).

MEMES AS A REFLECTION OF A STRUCTURE OF FEELING

I think it is clear that in a generation dominated by the internet, it is important to form community where one can, given that smartphones and social media are not likely to disappear. Hearing the words of my brother, I was saddened to learn that he feels his generation is characterized by hopelessness and apathy – but I think they're transcending this through the language of memes that has developed. The memes Millennials and Gen Zers are making may be humorous, but they also speak to collective observations, conclusions, and emotions. Even though they are often nihilistic and dark, there is something undeniably sincere and ultimately hopeful about the way these younger generations make memes and about how they express themselves through the medium.

I think that the only times we have to worry about memes are when we begin to disregard their interstitial, metamodern nature, and when we start to use them to inform us about current events. Internet literacy and critical thinking in the age of the Internet are incredibly important, and we need to be conscious of the implications of the medium of memes when we consume them. If we consume and create memes responsibly, they have the power to speak to truths about our culture, to unite us in a socially fragmented society, and ultimately, to transcend the irony and cynicism of postmodernism.

Memes are a metamodern medium, and metamodernism is an inherently optimistic movement. It celebrates absurdity and never lets go of the idea that our lives are meaningful, regardless of whether or not we ever truly discover that meaning. Through shared sentiments of nihilism, absurdity, and hopelessness, Millennials and Gen Zers are creating new ways to relate to one another, to build community. Xela Quintana, in a piece for Logos, beautifully explains metamodernism's connection to the younger generations' prevailing mode of thought:

"[Metamodernism] is the acceptance that we have a limited control over our fate, loved ones [and] career, but [it] does not lead to despondence. It guides to liberation."

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11.4.10: Punk Rock Revolution

Modernism vs. Postmodernism



Image 4.38 Punk stencil. AlbertRA 6 june 2020. CC BY SA 4.0.

What began as a reaction, not a rejection, to the modernist dogma, the postmodern movement erased the idea that graphic design needed to follow the rules in order to be successful (Keedy, 1998). Modernism focused on functionality and order, while postmodernism became the poster child of deconstruction. Modernism reflected an organized, no-nonsense art of design while postmodernism came along to destroy modernist values (Keedy, 1998). What modernism lacked was personal expression and resulted in designs that lacked humanization (Outhouse, 2013). Feelings of being stifled by rules, such as Gestalt theory, is what led a new generation of designers to express themselves in unique ways. There are No Rules Postmodernism does not cover a “coherent theory or ideology, a specific set of social institutions, a bounded collectivity or any other clear-cut part of reality” (Wilterdink, 2002). Instead, it becomes a conceptual experience (Outhouse, 2013). The authenticity and deconstruction of postmodernism makes it accessible to those unfamiliar with the rules that most graphic designers follow. Postmodernism seeks to destabilize concepts such as presence and identity and diminish the univocity of meaning (Aylesworth, 2015). The design movement comprises the use of multiple weights in typography, popular culture imagery that has been deconstructed and no clear form of unity.

Anti-Establishment: The New Counterculture

With this newfound creative movement, another movement was forming in the underground music scene; punk. Postmodernism and the punk subculture of the 20th century philosophies are tied in many ways. Both movements believe in authenticity, whether it be of art or social behavior and the Punk DIY aesthetic is represented in much of the postmodern graphic design movement’s artists and work. The timelines of each movement also line up nearly perfectly. Beginning in the late 1960s, blooming by the late 1970s and evolving throughout the 1980s and 1990s, both postmodernism and punk established themselves in their respective cultures (Wilterdink, 2002).

The Punk Movement No Future

The disenfranchised youth of the late 1970s sought to express themselves in a way that derived them from conformity (Chantry, 2015). The punk movement formed as a rejection of modern ideals and the acceptance of individuals who were deemed different from society (Smith, Dines & Parkinson, 2018). Punk values stem from individual freedoms and authenticity. This subculture was true to their values and philosophies of anti-establishment and anti-authoritarianism, basically the youth did not want to be

suppressed by authority, they wanted to express themselves in ways that were not always socially acceptable (Errickson, 1999). Punks were individualists who refused to follow along to modern traditional values. They rejected authority and were strongly anti-establishment. Their dismissal of tradition is comparable to postmodernism's desire to go against the rules. The punk cultural rebellion had a large impact in the design world that critics did not believe would occur (Chantry, 2015). DIY Art Every part of punk culture is meant to be a statement and represent their philosophies, whether that be commentary on government, religion or other traditional values, punks had something to say and in the most offensive way possible. "Clothing and the use of horrific symbols as jewelry speak to their philosophy. Punks wear the sign of the anarchists (an "A" surrounded by a circle), not to necessarily say they are anarchists, but to imply that they hate the idea of organized government" (Errickson, 1999, p.13). Punk design is similar in the sense that it aims to challenge traditional forms. Fanzines became increasingly popular in the punk subculture and also faced the criticism of having ugly design. The punk aesthetic relished in having repelling visuals in their art, clothing and music (Errickson, 1999) in order to prove that they were not conformists to the traditional ideals of beauty.

Impact in the Art World

The punk culture centered around the music, it was loud, aggressive and offensive, the music is what united punks around the world. Bands like, The Ramones, the Sex Pistols and Siouxie Sous and the Banshies established the punk culture in the art world. It was against everything mainstream, but their impact on the art and music world cannot be denied. To this day, musicians emulate these artists and have pushed the punk music scene in new directions. The punk aesthetic had been adopted into late postmodern designs of the 90s thanks to designers such as Jamie Reid and David Carson. These designers adopted the no rules aesthetic of punk culture and bridged the gap between punk and postmodern (Chantry, 2015).

The distorted guitar sounds, rough recording techniques, and simple song structures of early 1970's punk bands like the Clash and the Sex Pistols have become iconic. What was once a subculture condemned by political figures like Margret Thatcher and Ronald Reagan, and occupied the dark, dingy basements of outcast friend groups, has become hugely popular with cultural relics now being sold alongside tea towels of the royal family. Now in the twentyfirst century, it remains difficult to define punk culture because of the differences in music and styles associated with the term. However, combined with its politically polarizing and anti-establishment lyrics, performances, and acts of rebellion, punk culture has become ripe for the academic spotlight subjecting it to various forms of analysis and critique. This has resulted in a whole discourse of postmodern interpretations of punk music, style, language, performance, art, and politics.

Despite this, little research is critical of linking punk's key actors, characteristics, and ideas to world politics through a postmodern lens. This article will serve to problematize postmodern attributes of punk to argue that it never really was the anti-racist, counter-hegemonic, and socio-politically resistant force many academics and participants claimed it to be. It has been found that some bands which do not have the same history of structural whiteness as those frequently spotlighted in postmodern interpretations, appear to form a counter-hegemonic culture based on lived experiences and real discourse, however, as this article will show, they too do not fit postmodern categorizations.

This article contains three sections (or verses). The first verse will introduce the concept of postmodernism and how it has been applied to not just punk, but also world politics, cultural studies, and music. Second, the connection between punk culture, music and world politics will serve to problematize attributes of punk deemed postmodern, specifically how different readings of punk culture either support or contradict the postmodern canon. Third, aspects of punk that contradict its previously ascribed postmodern attributes will be expanded upon, focusing on the culture's anti-racist mythos and individualized agency to further make the connection to world politics. This article has included quotes from punk figures under section titles so that they remain central to the argument. As oftentimes in academic punk studies, punks seem far removed from the discussion and are not treated as integral components. The quotes still serve to embody the key points made in each section and will continue to guide the reader throughout.

First Verse: Postmodern Interpretations Abound

Questioning anything and everything, to me, is punk rock. – Henry Rollins, former vocalist of Black Flag, no date. This section will introduce key concepts of postmodernism originating in the 1970s. It will specifically show how postmodernism has been applied to the concepts of world politics, cultural studies, and music. The purpose of this section is not to debate the merits of postmodernism and whether it accurately describes the contemporary state of the world. Rather, this section will serve to create a more nuanced understanding of postmodernism as a theory and cultural practice that is important and far-reaching, but nonetheless still in debate. Although this article seeks to problematize scholarship that views punk as a postmodern phenomenon (see Moore 2004; Patton, 2018), it cannot be refuted that like punk, postmodernism remains contentious in debates around world politics and popular culture. This is an important quality shared by both postmodernism and punk which will be touched upon at

the end of this section. In this article, the term “postmodern” is understood from two key tendencies.

First, it suggests a deconstruction of boundaries between “high” and “low” culture, using a practice called “bricolage” to recombine formerly incompatible styles. In cultural studies, this collapse of cultural distinctions has been attributed to the commodification of all cultural products under global capitalism (Harvey, 1989). In the music and art scene, postmodernism can be characterized by its intertextuality, or its ability to (re)create with objects and images from the past by allocating aspects from previous texts within both the modern and “original” (Jameson, 1991: 280-285).

Second, it indicates the rejection of universal vantage points for understanding the world. This is especially useful in the social sciences, where postmodernism represents the deconstruction of metanarratives found in the previous modernist canon replaced with localized, self-reflexive, and contingent analyses in the search for truth (Lyotard et al., 1984: 11-23). Furthermore, in politics, postmodernism can signify a sense of revolutionary socio-political agency based not in class politics, but in the fragmented collection of identities and differences of new social movements (Melucci et al., 1989; Gitlin, 1995). While the merits of postmodernism and its contributions to the wider social sciences and humanities are still debated upon, its defining characteristics are important for understanding why it has been applied to punk in past scholarship.

From these two central tendencies, it is clear why scholars have touched upon the seemingly intrinsic qualities that punk, a culture defined by questioning the status-quo with acts of rebellion and resistance, shares with postmodernism. In fact, they gained increasing popularity and were developed in tandem throughout much of the 1970s and 1980s (Patton: 2018, 3). However, like the concept of postmodernism itself, there has been considerable debate about punk’s postmodern attributes. Moore (2004) argues that competing tendencies within punk (e.g. nihilism, cynicism, sincerity, independence) are all reactions to the same crises of postmodern society. While others have only found partial evidence for deeming punk as postmodern because the realities of its participants are subjective and difficult to categorize as postmodern (Muggleton, 2000). The Subcultures Network, based at the University of Reading, argues that punk is best understood from its inherent points of tension like avant-gardism and popularism, artificiality and realism, or individualism and collectivism (Worley et al., 2016: 7).

From past work, it should be clear that punk does not fit neatly into a postmodern categorization. However, what makes something “postmodern” is still debated amongst the theory’s leading figures, especially for matters concerning culture and music. Kramer (2002: 13-14) argues that postmodern theory contains “a maddeningly imprecise musical concept”. To better understand what makes music “postmodern”, he suggests viewing postmodernism not as a historical period, but as an attitude that influences not only contemporary musical practices but also how we use music of past generations . Furthermore, in punk scholarship, it is similarly argued that the culture is best defined as an ongoing attitude and not a scene that temporarily occupied a certain space in time before dissolving (Furness, 2012).

Postmodernism and punk viewed as ongoing attitudes reveals a path forward to more nuanced interpretations of how the two relate. This is especially important moving forward because while definitions of postmodernism and punk remain elusive, their connection remains persistent throughout academia.



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