WORLD HISTORY A/B



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The World History A/B textbook is a compilation of:

World History - Cultures, States, and Societies to 1500 (Berger et al.), which offers a comprehensive introduction to the history of humankind from prehistory to 1500 and covers such cultures, states, and societies as Ancient Mesopotamia, Dynastic Egypt, India's Classical Age, the Dynasties of China, Archaic Greece, the Roman Empire, Medieval Africa, the Americas, and the Khanates of Central Asia.

Western Civilization - A Concise History II (Brooks), which addresses the early Middle Ages to the French Revolution in 1789 CE including the High Middle Ages, the Renaissance, the European conquest of the Americas, the Reformation, the Scientific Revolution, and the Enlightenment.

Western Civilization - A Concise History III (Brooks) covers topics including the Industrial Revolution, the politics of Europe in the nineteenth century, modern European imperialism, and the 20th century.

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1.1: Chronology

Ancient Mesopotamia

c. 10,000 BCE Beginnings of the Agricultural Revolution

c. 3500 BCE Appearance of Sumerian city-states in lower Mesopotamia

c. 3200 BCE Early use of cuneiform

c. 2900 BCE Production of bronze

2334 – 2100 BCE Akkadian Empire

c. 2000 BCE Gilgamesh first recorded in cuneiform

1792 – 1595 BCE Babylonian Empire

1792 – 1750 BCE Reign of Hammurabi

900 – 612 BCE Assyrian Empire

626 – 539 BCE New Babylonian Empire

605 – 562 BCE Reign of Nebechadnezzar

Ancient Israel

c. 1300 – 1200 BCE Israelites leave Egypt (following Moses)

c. 1050 – 1010 BCE Israelites establish a kingdom

c. 1000 – 970 BCE Reign of King David

c. 979 – 930 BCE Reign of King Solomon

931 BCE Israel divides into two kingdoms

586 – 539 BCE Babylonian captivity of Israelites

Northeast Africa (Egypt and Nubia)

c. 7000 BCE Beginnings of Agricultural Revolution in Northeast Africa

c. 6000 – 3500 BCE Desiccation of the Sahara Desert pushed people towards Nile River Valley

c. 4000 BCE Towns and villages grew along the Nile River

c. 3100 BCE Unification of Egypt

3100 – 2600 BCE Egyptian Archaic Period

2660 – 2160 BCE Egyptian Old Kingdom

2400 – 1450 BCE The Kingdom of Kerma

2040 – 1640 BCE Egyptian Middle Kingdom

1640 – 1570 BCE Egypt's Second Intermediate Period (Egypt under Hyksos Rule)

1530 – 1070 BCE Egyptian New Kingdom

1350 – 1325 BCE Amarna Period (under Pharaoh Akhenaten)

1040 – 332 BCE Egyptian Late Period

750 – 656 BCE The Kingdom of Kush ruled Egypt, creating the "Ethiopian Dynasty"

750 – 593 BCE Kingdom of Kush (with capital at Napata)

656 – 639 BCE Assyrians occupied Egypt

593 BCE Egyptian army sacked Napata, the capital of Kush

593 BCE The Kingdom of Kerma moved its capital to Meroe

525 BCE Persian conquest of Egypt

323 BCE Alexander the Great conquered Egypt/Ptolemaic Kingdom of Egypt

30 BCE Roman conquest of Egypt

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1.2: Introduction - Defining Civilization

The term **civilization** often elicits mostly idealized images of ancient empires, monumental architecture, and the luxurious lives of ruling classes. Civilization, however, is a tricky term. Recent scholars have recognized that at least seven independent civilizations emerged in different regions from 3500 to 1000 BCE. Most civilizations share common characteristics included food surpluses, higher population densities, social stratification, systems of taxation, labor specialization, regular trade, and accumulated learning (or knowledge passed down from generation to generation). The list here is not all-inclusive by any means, but it indicates the complexity of the societies.

In addition to heated debates about its exact definition, civilization can contain a value judgment. If we use the term carelessly, it seems to indicate that some societies are deemed civilized and worthy of inclusion, while others are uncivilized and thus not worth our study. Today, World Historians try to appreciate the great diversity of human experiences and consciously remove these sorts of value judgments.

This chapter focuses on early civilizations in the Fertile Crescent and Northeast Africa, which left some written records. Initially, they had economies based on farming and developed alongside rivers which allowed populations in the Fertile Crescent and Northeast Africa to grow surplus food, and supported urbanization, social stratification, labor specialization, and trade.

Note: The Middle East is a geopolitical term that commonly refers to the countries of northern Africa and southwestern Asia that are on or near the eastern edge of the Mediterranean Sea. The term came into widespread usage as a replacement of the term Near East beginning in the early 20th century, and has included different countries throughout time. This region may also be referred to as Southwest Asia. You may see either term throughout this course.

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1.3: Ancient Mesopotamia

Mesopotamia is located in an area known as the Fertile Crescent. Archeologists have found some of the earliest known sites of agricultural production here. Although much of this region received little or irregular rainfall, the Tigris and Euphrates Rivers provided large amounts of freshwater, facilitating agricultural production and the development of early civilizations. The Greeks later recognized the significance of the river systems to these ancient societies and referred to the region as "the Land between the Rivers" or **Mesopotamia.**

The Tigris and Euphrates Rivers both originate in the Taurus Mountains of eastern Anatolia and flow southward to empty into the Persian Gulf. The rivers carry and deposit silt downstream, enriching the soil. In general, the richer soils and availability of water in areas that in the north otherwise had little rain, or else towards the south had concentrated months of rainfall followed by long, dry spells, encouraged settlement near the rivers. The areas closer to the Persian Gulf, known as Lower Mesopotamia, in particular, were attractive to early settlers because they had extremely fertile soils. People built some of the earliest cities, including Uruk, Eridu, and Ur, in Lower Mesopotamia.



Map 1.3.1: The Fertile Crescent Author: User "Ras67" Source: Wikimedia Commons License: CC BY-SA 3.0

While the Tigris and Euphrates Rivers did provide water to the region, their floods were unpredictable and could even be catastrophic when they washed away entire settlements. In response, the region's residents created irrigation canals and drainage ditches to control the flow of water. They also stored water in reservoirs to use during the dry months of the year.

Additionally, in parts of Lower Mesopotamia, the courses of the rivers and their tributaries changed frequently, so people either had to move to follow the water's new path or divert a river to continue supplying water for their settlement. As regular access to water supported agricultural surpluses and population growth, people tended to fare better against the unpredictability of the floods, seasonal changes, and the rivers' changing courses when they lived in settlements capable of maintaining irrigation canals, drainage ditches, and water reservoirs.

The rivers offered another benefit to ancient Mesopotamians by facilitating trade. While people made use of local resources, like mud to build their homes, Lower Mesopotamia lacked other desired resources, including wood, stone, and precious metals. Traders brough in these resources from Assyria, Anatolia, the Levant, and areas adjacent to the Persian Gulf. Early Mesopotamians also obtained goods from as far away as what today are northern Pakistan and India. Merchants used overland routes that crossed the Iranian Plateau and sea routes, exchanging Mesopotamian products like grains and textiles for luxury goods from the east. Royal cemeteries show that by 2500 BCE Mesopotamian elites were buried with a variety of imports, including beads brought from the Indus River Valley. The rivers and the overland trade routes also facilitated communication and, with it, the sharing of ideas and technologies.



Map 1.3.2: Trade Routes in Early Mesopotamia | In the third millennium BCE, people in Lower Mesopotamia used river routes to trade northward. They also used sea routes through the Persian Gulf, and they connected with traders to the east by crossing the Iranian Plateau. Author: Corey Parson Source: Original Work License: CC BY-SA 4.0

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1.4: Sumerian City-States

Rich soils and the availability of water in the southern area, commonly known as Sumer, drew settlers. Prior to 3,000 BCE, Sumerians, whose origins remain a subject of debate, founded a number of independent cities in Lower Mesopotamia. In these cities, Sumerians had organized religions, centralized governments, social hierarchies, and access to trade networks. As these cities expanded, their leaders claimed control over adjacent territories, forming at least a dozen **city-states**, which became the basic organizational structure of Sumerian civilization in the third millennium BCE. By incorporating the surrounding territories into city-states, urban centers were able to draw on more resources.

Sumerian cities had certain characteristics in common. First, a temple complex or a ziggurat was usually the visual focus of the urban landscape. Sumerians believed that their entire city belonged to its main deity, and built a massive temple, the most important building in the city, to be the dwelling place of their city's main god or goddess. Next to these temples were built complexes that housed the priests and priestesses who served the city's deity. In addition to attending to the religious needs of the community, temples complexes also owned land, managed industries, were involved in trade, and acted as banks. Their wide-ranging roles meant that temples often had additional outbuildings, like granaries and storage sheds, in the surrounding countryside.

Sumerians were **polytheistic**, meaning they worshipped multiple gods and goddesses. Because Sumerians believed each god had a family, they also built smaller shrines and temples dedicated to these divine family members. Therefore, each city would have a number of temples while many Sumerian homes had small altars dedicated to other gods.

Sometimes, urban temples or ritual spaces were built atop a **ziggurat**, a solid rectangular tower made of sun-dried mud bricks. By the late third millennium BCE, temples in many of the Sumerian city-states were raised on platforms or else situated on a ziggurat to stress their significance to the surrounding community. The best-preserved ziggurat, the Great Ziggurat of Ur, was constructed with an estimated 720,000 baked bricks and rose to a height of about 100 feet, and was dedicated to their patron deity, the moon goddess Nanna.



Figure 1.4.1: The Great Ziggurat of Ur | Located in what is today the Dhi Qar Province of Iraq, Sumerians originally built the ziggurat in the Third Dynasty of Ur (c. 2100 BCE). It has been restored several times since, including fairly recently in the 1980s. Author: User "GDK" Source: Wikimedia Commons License: CC BY 3.0

Viewing nature as unpredictable, people brought offerings to their city's temple complexes or ziggurat, hoping to please the gods who controlled the natural forces of their world. Priests and priestesses collected and redistributed the offerings, demonstrating the vital roles they played in Sumerian society. The relatively privileged position of priests and priestesses also shows Sumerian social stratification (the development of a hierarchy) and how agricultural surpluses supported the specialization of labor. Some of the early leaders of Sumerian cities may have been "priest-kings," who attained elevated positions through their association with the temples. The later rulers of city-states definitely supported the temples, claiming to be acting on behalf of the gods who

brought divine favor to their followers.

Sumerian city-states had local rulers, who lived in large palaces. But most of these local rulers were not considered kings. Archeologists have dated the earliest known royal palaces to c. 2600 BCE. Thus, Sumerian city-states had centralized governments with secular rulers by at least that timeframe. While there does seem to have been a sense of inhabiting a shared space in Southern Mesopotamia, referred to as "the Land" in written records, city-states had distinctive identities. In part, their distinctive identities revolved around their main deity. The rulers of city-states alternately supported, competed with, and fought against one another.

The **Sumerian King List** (Figure 1.4.2), a manuscript that listed early kings and described their reigns (with some presumably fictive and exaggerated elements), provides evidence of these alliances, competition, and war. For example, it describes Enmebarages as the second to last king of the 1st Dynasty of Kish, "...who carried away as spoil the weapons of the land of Elam, became king, and reigned 900 years..."[1] Local rulers often came to power after proving themselves militarily.



Figure 1.4.2: The Sumerian King List Author: Taiwania Justo Source: Wikimedia Commons License: Public Domain

The Sumerian King List recognized only rulers who had established control over multiple city-states as kings (with the title of *lugal* in the Sumerian language) belonging to distinct dynasties. While it lasted, a dynasty generally passed down the kingship through the male line. The seat of power, held by hereditary kings, shifted from city-state to city-state with the rise and fall of dynasties through the third millennium BCE. Significantly, the Sumerian King List began its recorded history "when kingship came down from heaven," legitimizing secular kings through their association with gods. Sumerian kings led armies, collected taxes, organized labor for state projects, and meted out justice. At the top of the hierarchy and with control over multiple city-states, kings expected obedience from local rulers and their subjects, and support from the priests and priestesses of the temples.

Kings, local rulers, priests, and priestesses held influential positions in Sumerian societies. However, farmers, taken as a whole, made up an estimated 90% of the population. Other skilled people included animal-breeders, merchants, craftspeople, fishermen, doctors, soldiers, architects, and scribes. Surplus agricultural production collected as tribute as well as wealth generated by trade supported such labor specialization.

One important outcome of labor specialization was innovation in metalworking. In approximately 2900 BCE, metalworkers began producing bronze, which was stronger than copper. Stronger weapons and farming tools gave Sumerians advantages when it came to combat and agricultural production.

Social stratification is further evident as some Sumerians and even institutions, including temples, owned slaves. Slaves performed a variety of tasks like construction, weaving, agricultural and domestic labor, tending animals, and even administrative work as scribes. Some slaves were chattel slaves, meaning that society treated them as property with no rights. Usually, chattel slaves were prisoners of war or slaves bought from outside communities. If they tried to run away, the law required slaves to be returned. The more widespread type of servitude in most Sumerians societies was likely debt slavery, which was generally temporary until a debtor paid off a loan and its interest.

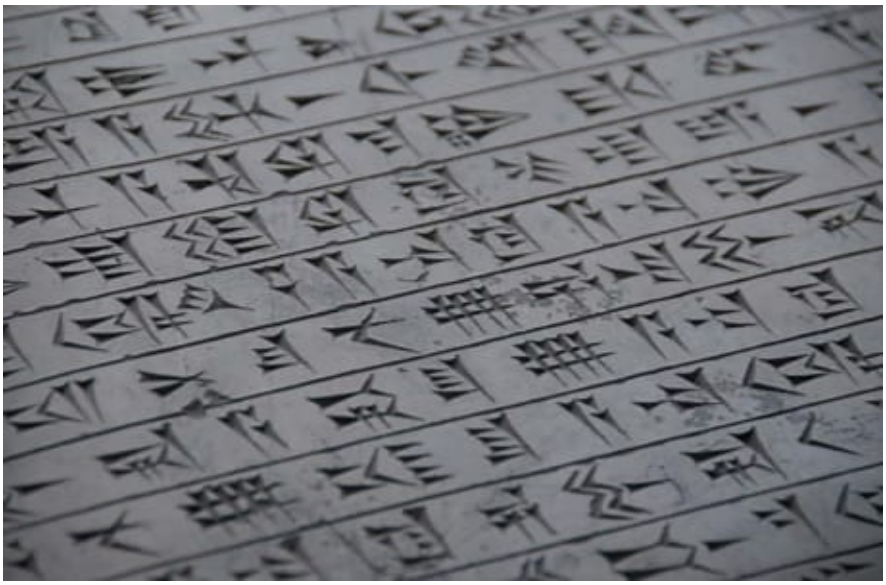


Figure 1.4.3: Cuneiform | Cuneiform script on a clay tablet currently housed at the National Archaeological Museum in Tehran. Author: A. Davey Source: Wikimedia Commons License: CC BY 2.0

Sumerians developed **cuneiform**, a written script of wedge-shaped marks, around 3200 BCE. Cuneiform was one of the earliest, if not the very first, written script in the world. Merchants, scribes, administrators, priests, and others kept written records describing financial transactions, court proceedings, administrative decisions, and architectural plans. They also wrote legends, epic poems, chants, and prayers. Most people were not literate, so scribes—who had been specially trained in scribal schools—generated many of the records.

In addition to copying written passages, scribes learned arithmetic. The Sumerians system of arithmetic was based on the number 60, which we still use to divide time into hours, minutes, and seconds. Scribes used styluses made of reed to write on clay tablets that were dried and could be stored. The discovery of cuneiform tablets has greatly aided archaeologists, but only a small percentage of the tablets found to date have been translated.

From archeological finds, scholars suspect that Sumerian cities were divided into neighborhoods by occupation and according to kinship groups, but uncertainties about specifics linger. Legal documents and tax records show that people owned property in both the cities and the countryside. Also, evidence suggests social stratification, as some Sumerians owned fairly large chunks of land, while others had much smaller plots or presumably no land at all. Wills, court proceedings, and temple documents show that land and temple offices were usually bought or else acquired through military or other service to the state.

A man inherited land, property, offices, and their attendant obligations to the state (like reoccurring military service) from his father. The eldest son seems to have frequently inherited a larger share than younger brothers and had been given control over the family home. He was tasked with performing regular rituals to honor dead ancestors, who were usually buried underneath the home. From the written documents, we also get glimpses into other aspects of Sumerian life, like marriage and divorce.

Sumerians viewed marriage as a contract between two families and, as a result, the male heads of the two families arranged a couple's marriage. Both families contributed resources to seal the union or complete the marriage contract. The man's family gave gifts or money and hosted a feast, while the woman's family amassed a dowry. Although a woman did not automatically receive an inheritance upon the death of her father, she could expect (and use the court system to make sure she got) to receive a dowry, even if it came from her father's estate after his death.

Divorce was possible but sometimes led to social ostracism or even punishment if there were accusations of misconduct, such consequences being especially the case for the woman. Records indicate that polygamy was not common, but wealthier men did keep slave-girls as concubines. Overall, Sumerians considered marriage an essential institution in that it brought families together and ensured the continuation of the family lineage.

Legends, myths, poems, and literary texts tell us about Sumerians, too. For example, we can explore their values and views of the afterlife through reading the *Epic of Gilgamesh*, a legendary king who may have lived around 2700 BCE. The epic had multiple versions and was told orally before it was first written down in cuneiform in about 2000 BCE. Following the heroic exploits of Gilgamesh and his companion, Enkidu, it emphasize the importance of values such as loyalty and humility. In one section, the

epic describes a very gloomy afterlife where “people see no light, they sit in darkness,” reflecting Mesopotamian beliefs that the afterlife was miserable for all, even those who had lived virtuously. Additionally, it portrays the environment as potentially violent and hostile as in its flood story, which in some ways resembles the account of Noah and the flood found in Genesis. Ultimately, Gilgamesh fails at his quest to find eternal life but learns to work for the glory of the gods and for worthwhile human achievements.



Figure 1.4.4: The Queen’s Lyre | The Queen’s Lyre is a reconstructed musical instrument modeled after a lyre found by archaeologist Leonard Wooley in one of the graves at the Royal Cemetery of Ur. The original instrument has been dated to c. 2500 BCE. The reconstructed instrument is held at the British Museum in London. Author: User “Fae” Source: Wikimedia Commons License: Public Domain

Cuneiform tablets with pictures of dancers and singers, as well as instruments found in graves, suggest that Sumerians placed importance on music, using it for entertainment and ritual purposes. Trying to learn more about Sumerian music, scholars and other enthusiasts have replicated these instruments and presented their best estimation of Sumerian scales and tuning. The documentary evidence suggests that hymns from the ancient Sumerian city-states were shared with later Mesopotamian empires and even spread into the Mediterranean world.

1 J.N. Postgate, Early Mesopotamia: Society and Economy at the Dawn of History, (London: Routledge, 1994): 28.

2 Ibid.

3 Excerpt from: The Epic of Gilgamesh, trans. Nancy Sandars (New York: Penguin Books, 1960), http://web.archive.org/ web/20010217041824/www.humanities.ccny.cuny.edu/...r/gilgames.htm

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1.5: Mesopotamian Empires

In the second half of the third millennium BCE, Sumerian city-states fought each other. Kings consolidated power over multiple city-states in the region. For example, King Sargon of Akkad conquered Sumerian city-states and parts of Syria, Anatolia, and Elam. In doing so, he created one of the world's first empires in approximately 2334 BCE. For generations, Mesopotamian literature celebrated the Akkadian Empire (c. 2334 – 2100 BCE) that King Sargon founded. Like the Akkadian Empire, three subsequent empires, the Babylonian Empire (c. 1792 – 1595 BCE), the Assyrian Empire (c. 900 – 612 BCE), and the Neo-Babylonian Empire (c. 605 – 539 BCE), also ruled large parts of Mesopotamia and the Fertile Crescent.

1.5.1: The Akkadian Empire (c. 2334 – 2100 BCE)

Sargon of Akkad founded the first empire in Mesopotamia. Legends about Sargon of Akkad stress that he rose from obscurity to become a famous, powerful king. However, there are different variations to the tale. A seventh century BCE Babylonian tablet describes his background as descendent of a high priestess and an anonymous father. His mother hid her pregnancy and the birth of Sargon, secreting him away in a wicker basket on a river, where he was rescued and then raised by Aqqi, a water-drawer. This version of the legend links Sargon with a more elite family through his birth-mother, a high priestess, but also shows how he had to advance himself up to king after being adopted by the rather more humble figure of a water-drawer.



Map 1.5.1: The Akkadian Empire, c. 2300 BCE Author: User "Nareklm" Source: Wikipedia License: CC BY-SA 3.0

From his allegedly humble origins, Sargon of Akkad conquered Sumerian city-states one by one, creating an **empire**, or a large territory, encompassing numerous states, ruled by a single authority. It's quite possible that Sargon of Akkad's predecessor began the process of building the empire, but Sargon is remembered for accomplishing the task. One of the reasons we attribute the empire to him is his use of public monuments. He had statues, stellae (tall, upright pillars), and other monuments built throughout his realm to celebrate his military victories and to build a sense of unity within his empire.

Archeologists have not found the empire's capital city, Akkad. However, from the available information, its potential location would be to the north of the early Mesopotamian city-states, including Ur and Sumer. Regardless, Sargon of Akkad turned the empire's capital at Akkad into one of the wealthiest and most powerful cities in the world. The city grew into a cosmopolitan center especially because of its role in trade. Akkadian rulers seized and taxed trade goods, with trade routes extending as far as India.

Sargon ruled the empire for over fifty years. His sons, grandson, and great-grandson attempted to hold the empire together. After about 200 years, attacks from neighboring peoples caused the empire to fall. After the fall of the Akkadian Empire, Hammurabi founded the next empire in the region in 1792 BCE.

1.5.2: The Babylonian Empire (1792 – 1595 BCE)

Aspiring to follow Sargon's empire, Hammurabi created the next empire in the region, the Babylonian Empire. With well-disciplined foot soldiers armed with copper and bronze weapons, he conquered Mesopotamian city-states, including Akkad and Sumer, to create an empire with its capital at Babylon. Although he had other achievements, Hammurabi is most famous for the law code etched into a stele that bears his name, the Stele of Hammurabi.



Figure 1.5.1: The Stele of Hammurabi Author: User “Mbzt” Source: Wikimedia Commons License: CC BY 3.0

The Stele of Hammurabi records a comprehensive set of laws. Codes of law existed prior to Hammurabi’s famous stele, but **Hammurabi’s Code** is still intact and has proven very influential. As seen in Figure 1.5.1, the upper part of the stele depicts Hammurabi standing in front of the Babylonian god of justice, from whom Hammurabi derives his power and legitimacy. The lower portion of the stele contains the collection of 282 laws. One particularly influential principle in the code is the law of retaliation, which demands “an eye for an eye, a tooth for a tooth.” The code listed offenses and their punishments, which often varied by social class. While symbolizing the power of the King Hammurabi, the code of law also attempted to unify people within the empire and establish common standards for acceptable behavior. An excerpt of Hammurabi’s Code appears below:

> 6. If anyone steal the property of a temple or of the court, he shall be put to death, and also the one who receives the stolen thing from him shall be put to death.
>
> 8. If any one steal cattle or sheep, or an ass, or a pig or a goat, if it belong to a god or to the court, the thief shall pay thirtyfold therefore; if they belonged to a freed man of the king he shall pay tenfold; if the thief has nothing with which to pay he shall be put to death.
>
> 15. If any one receive into his house a runaway male or female slave of the court, or of a freedman, and does not bring it out at the public proclamation of the major domus, the master of the house shall be put to death.
>
> 53. If any one be too lazy to keep his dam in proper condition, and does not so keep it; if then the dam break and all the fields be flooded, then shall he in whose dam the break occurred be sold for money, and the money shall replace the corn which he has caused to be ruined.
>
> 108. If a tavern-keeper (feminine) does not accept corn according to gross weight in payment of drink, but takes money, and the price of the drink is less than that of the corn, she shall be convicted and thrown into the water.
>
> 110. If a “sister of god” open a tavern, or enter a tavern to drink, then shall this woman be burned to death.
>
> 127. If any one “point the finger” (slander) at a sister of a god or the wife of any one, and can not prove it, this man shall be taken before the judges and his brow shall be marked. (by cutting the skin or perhaps hair)
>
> 129. If a man’s wife be surprised (in flagrante delicto) with another man, both shall be tied and thrown into the water, but

the husband may pardon his wife and the king his slaves.

137. If a man wish to separate from a woman who has borne him children, or from his wife who has borne him children: then he shall give that wife her dowry, and a part of the usufruct of field, garden, and property, so that she can rear her children. When she has brought up her children, a portion of all that is given to the children, equal as that of one son, shall be given to her. She may then marry the man of her heart.

195. If a son strike his father, his hands shall be hewn off.

196. If a man put out the eye of another man his eye shall be put out. (An eye for an eye)

197. If he break another man's bone, his bone shall be broken.

198. If he put out the eye of a freed man, or break the bone of a freed man, he shall pay one gold mina.

199. If he put out the eye of a man's slave, or break the bone of a man's slave, he shall pay one-half of its value.

202. If any one strike the body of a man higher in rank than he, he shall receive sixty blows with an ox-whip in public.

203. If a free-born man strike the body of another free-born man or equal rank, he shall pay one gold mina.

205. If the slave of a freed man strike the body of a freed man, his ear shall be cut off.[4]

Hammurabi also improved infrastructure, promoted trade, employed effective administrative practices, and supported productive agriculture. For example, he sponsored the building of roads and the creation of a postal service. He also maintained irrigation canals and facilitated trade all along the Persian Gulf. After Hammurabi's death, his successors lost territory. The empire declined, shrinking in size. The Hittites, from Anatolia, eventually sacked the city of Babylon in 1595 BCE, bringing about the official end of the Babylonian Empire.

1.5.3: The Assyrian Empire (c. 900 – 612 BCE)

The **Assyrian Empire**, which saw its height of power at the end of the first millennium to the seventh century BCE, was larger than any empire that preceded it.

Dominating the region, its well-equipped soldiers used their stronger iron weapons to extend the empire's control through Mesopotamia, Syria, parts of Anatolia, Palestine, and up the Nile into Egypt. They used siege warfare, along with battering rams, tunnels, and moveable towers, to get past the defenses of cities. The Assyrians had a large army (with perhaps as many as 150,000 soldiers) that utilized a core of infantry, a cavalry, as well as chariots. As part of their military strategy, the Assyrians purposefully tried to inspire fear in their enemies; they decapitated conquered kings, burnt cities to the ground, destroyed crops, and dismembered defeated enemy soldiers.

The Assyrians used these methods to deter potential rebellions. Meanwhile, the spoils of war, like precious metals and livestock, helped finance further military campaigns. After conquering an area, they conscripted men into their army, and employed resettlement and deportation as techniques to get laborers where they wanted them and deal with communities who opposed their regime. They also collected annual tributes that were apparently high enough to, at least occasionally, spur rebellions despite the Assyrians' reputation for violent retribution.



Map 1.5.2: The Assyrian Empire at its height. Author: User “Ningyou” Source: Wikimedia Commons License: Public Domain

In addition to its military strength, the Assyrian empire also stands out for the size of its cities and its administrative developments. The empire’s biggest cities, such as Nineveh and Assur, each had several million people living within them. Administratively, kings ruled Assyria, appointing governors to oversee provinces and delegates to keep tabs on the leaders of allied states. There were between 100 and 150 governors, delegates, and top officials entrusted by the king with ruling in his place and helping him maintain the empire.

In the later centuries, kings chose officials on the basis of merit and loyalty. Kings met with large groups of officials for rituals, festivals, and military campaigns. Ultimately, the Assyrian Empire became too large to control; rebellions occurred with more frequency and were difficult for its overextended military to quell. The empire fell after the conquest of Nineveh in 612 BCE.

1.5.4: The New Babylonian Empire (c. 626 – 539 BCE)

Lasting for less than 100 years, the New Babylonian Empire is best known for its ruler, Nebuchadnezzar II, and its great architectural projects. As described in the Hebrew Scriptures (also known as the Old Testament), **Nebuchadnezzar II,** (ruled from 605 – 562 BCE) was a ruthless leader. He gained notoriety for destroying the city of Jerusalem and deporting many of the city’s Jews to Babylon. The captive Jews suffered in exile, as they were not allowed to return to their homeland.

Nebuchadnezzar II also rebuilt Babylon with fortresses, temples, and enormous palaces by reviving elements of Sumerian and Akkadian culture. For example, he had artists restore ancient artwork and celebrated the kings of old, like Hammurabi. Nebuchadnezzar is often also credited with rebuilding the city’s ziggurat, *Etemanaki*, or the “Temple of the Foundation of Heaven and Earth.” When completed, the ziggurat rose several stories above the city and seemed to reach to the heavens. Some scholars claim that the Babylonian ziggurat was the famous Tower of Babel described in the Old Testament (Christian Bible).

The Hanging Gardens of Babylon was considered by the later Greek historian Herodotus to be one of the Seven Wonders of the World. According to legend, Nebuchadnezzar had the hanging gardens built for his wife to remind her of her distant homeland. The elaborate gardens planted on rooftops and terraces were designed so that the plants’ leaves would spill down high walls. Since definitive archaeological evidence of the Hanging Gardens of Babylon has not been found, scholars continue to debate where and if it existed. After the death of Nebuchadnezzar II, outside military pressures as well as internal conflict weakened the empire until the much larger Persian Empire conquered the New Babylonian Empire in 539 BCE.

4 “The Code of Hammurabi, c. 1780 BCE.” Ancient History Sourcebook. Fordham University. https://legacy.fordham.edu/ halsall/ancient/hamcode.asp#text

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1.6: Ancient Egypt

Ancient Egypt serves as an excellent example of a complex society with cross-cultural connections, adaption to and control over changing environments, and sophisticated political and religious developments. All of these themes are evident in an examination of the origins of Egypt. Egyptian leaders unified Upper and Lower Egypt around 3100 BCE, creating a powerful ancient state. Developments in the millennia preceding unification, including the sharing of innovations and responses to environmental change, set the stage for the emergence of the Egyptian civilization.

The people of Northeast Africa domesticated wheat and barley, two of the crops that grew and provided surpluses. Wild barley had been gathered since before 10,000 BCE. However, around 7,000 BCE, they began cultivating wheat and keeping domesticated animals, including sheep and goats. At that time, agricultural production and herding were possible in areas that are today part of the Sahara Desert. (The period was much wetter than now.)

Archaeological evidence of hearths, grinding stones, and storage silos show the growth of settlements in the ancient Sahara. The presence of crocodile bones, along with similar pottery styles, also suggests a history of contact between communities along the Nile River and the settlements farther west. However, environmental change was leading to the **desiccation** or drying out of areas not adjacent to the Nile River. By about 5,000 BCE, it was no longer possible to farm much beyond the floodplain of the Nile River. Many people adapted by moving towards the Nile River, and the Nile River became increasingly important to Egypt's populations.

The **Nile River** flows south to north. The White Nile flows steadily throughout the year and has its origins in the Great Lakes Region of East Africa. The Blue Nile originates in the Ethiopian highlands, and brings floodwaters up past the first **cataract** in the summers. (The first cataract lies roughly at Aswan on the map in Map 1.6.1.) Cataracts are generally considered impassable by boat due to their shallows, rocks, and rapids.

Comparatively, the flood plain of the Nile River is narrow, leading, especially with the desiccation of the surrounding areas, to high population densities close to the river. The winds also blow north to south, in the opposite direction of the river flow, thus facilitating trade and contact between Upper Egypt (to the south) and Lower Egypt (to the north). Egyptian views of the Nile generally recognized the river's centrality to life as demonstrated in the "Hymn to the Nile," dated to approximately 2100 BCE.



Map 1.6.1: The Path of the Nile | The White Nile originates near Lake Victoria, in the Great Lakes region of East Africa. The Blue Nile flows from the Ethiopian Highlands. Both rivers merge at Khartoum, in present day Sudan, and flow northward to empty into the Mediterranean Sea. Author: User "Hel-hama" Source: Wikimedia Commons License: CC BY-SA 3.0

From about 3600 to 3300 BCE, complex societies formed in areas adjacent to the Nile River. These communities exerted increased influence over their environments, exhibited social differentiation, and showed evidence of labor specialization. For example, people in the settlements of Naganda and Hierakonpolis in Upper Egypt cleared trees and built dykes, canals, and early irrigation systems. By about 3500 BCE, they used these methods to quadruple the amount of cleared, arable land and could

support population densities of up to one thousand people per square mile.

Recent finds at Hierakonpolis also show evidence of both social differential and specialization with separate burials for the settlement's elite, the oldest known painted tomb, and the remnants of a large-scale brewery, capable of producing up to 300 gallons of beer a day. It is believed that early leaders cemented their roles by claiming control over the environment as rainmakers or commanders of the floods. Over time, some of these leaders created **divine kingships**, asserting their right to even more power and access to resources, and claiming special relationships with, or even descent from, gods. Once Egypt was unified, pharaohs ruled as divine kings, as the personification of the gods. When things went well, the pharaohs were credited with agricultural productivity and the success of the state. There was no separation between religion and the state in ancient Egypt.

The **Palette of Narmer** (see Figure 1.6.1 and Figure 1.6.2) shows signs that King Narmer legitimized his rule, in part, by claiming a special relationship with the gods. King Narmer, who is referred to in some text as Menes, is commonly recognized as the first unifier of Upper (to the south) and Lower (to the north) Egypt in approximately 3100 BCE (see Map 1.6.2). Unification brought together Egypt from the first cataract at Aswan to the Nile Delta.

The right side in Figure 1.6.1 shows him slaying an enemy of Upper Egypt. The largest figure, Narmer is wearing the crown of Upper Egypt and beheading a rival king, while standing atop conquered enemies. The left side also shows him as a conqueror, wearing the crown of Lower Egypt and directing flag bearers to mark his victory. Religious imagery appears in the inclusion of the goddess Hathor at the top of the palette as well as the falcon, a reference to Horus, the patron god of Hierakonpolis, who later in dynastic Egypt became the god of sun and kingship.



Figure 1.6.1: Both Sides of the Palette of Narmer Author: User "Jean88" Source: Wikimedia Commons License: CC0 1.0



Figure 1.6.2: Detail of Palette of Narmer | Closeup of the left side of the Palette of Narmer. Note the larger figure of King Narmer, with celebratory flag bearers preceding him. Author: User "NebMaatRa" Source: Wikimedia Commons License: CC BY-SA 3.0

Both sides of the Palette of Narmer have some of the earliest known hieroglyphs. **Hieroglyphics** emerged as written text, combining pictograms (a pictorial symbol for a word or phrase) and phonograms (a symbol representing a sound). Tax assessment and collection likely necessitated the initial development of Hieroglyphics. Ancient Egyptians eventually used three different scripts: Hieroglyphic, Hieratic, and Demotic.

- Hieroglyphics remained the script of choice for ritual texts and record the history of Egypt's elite. For example, skilled artisans used hieroglyphs to chronicle glorified accounts of their patrons' lives on the sides of their tombs.
- The Egyptians developed Hieratic and Demotic slightly later, and used them for administrative, commercial, and many other purposes.

The Egyptian administration tended to use ink and papyrus to maintain its official records. On the other hand, literate people used ostraca, pieces of broken pottery and chips of limestone, for less formal notes and communications. Over the past decades, archaeologists have uncovered a treasure trove of ostraca that start to tell us about the lives of the literate elite and skilled craftsmen. Just like Mesopotamia, ancient Egypt had one of the oldest written scripts found anywhere in the world.

In addition to one of the earliest writing systems and Egyptian paper (papyrus), archaeologists have credited ancient Egyptians with a number of other innovations. For construction purposes, ancient Egyptians invented the ramp and lever. They also developed a 12-month calendar with 365 days, glassmaking skills, arithmetic (including one of the earliest decimal systems) and geometry, and medical procedures to heal broken bones and relieve fevers. Finally, Egyptians used stone-carving techniques and other crafting skills and tools that were shared throughout the Mediterranean.

7 "Hymn to the Nile, c. 2100 BCE." Ancient History Sourcebook Fordham University. legacy.fordham.edu/halsall/ ancient/hymn-nile.asp

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1.7: Dynastic Egypt

Scholars break dynastic Egypt into three main periods: the Old Kingdom (c. 2660–2160 BCE), the Middle Kingdom (c. 2040 – 1640 BCE), and the New Kingdom (c. 1530–1070 BCE). There is some disagreement about the exact dates of the periods, but, in general, these spans denote more centralized control over a unified Egypt. During dynastic Egypt, pharaohs ruled a united Upper and Lower Egypt. In between these periods of centralized control were intermediate periods, during which the Egyptian pharaohs had less authority. The intermediate periods were characterized by political upheaval and military violence, the latter often at least partially resulting from foreign invasions.

Striking continuities existed in Egypt throughout the Old Kingdom, the Middle Kingdom, and the New Kingdom. Egypt had stable population numbers, consistent social stratification, pharaohs—who exercised significant power—and a unifying religious ideology, which linked the pharaohs to the gods. As Egypt transitioned from the period of unification under King Narmer to the Old Kingdom, the pharaohs and the elite became increasingly wealthy and powerful. They further developed earlier systems of tax collection, expanded the religious doctrine, and built a huge state bureaucracy.

Social distinctions and hierarchies remained fairly consistent throughout all of dynastic Egypt. Most people were rural peasant farmers. They lived in small mud huts just above the flood plain and turned over surplus agricultural produce to the state as taxes. When they weren't farming, they were expected to perform rotating service for the state, such as working on a pharaoh's tomb, reinforcing dykes, and helping in the construction of temples. The labor of the population supported the more elite and skilled classes, from the pharaoh down through the governing bureaucrats, priests, nobles, soldiers, and skilled craftspeople, especially those who worked on pyramids and tombs.

Another continuity in dynastic Egypt was the relative equality of women to men. Women in ancient Egypt had considerable legal rights and freedoms. Men and women did generally have different roles; Egyptian society charged men with providing for the family and women with managing the home and children. Society's ascribed gender roles meant that women were usually defined primarily by their husbands and children, while men were defined by their occupations. This difference could leave women more economically vulnerable than men.

Egyptian women could own property, and tax records show that they did. Egyptian women could also take cases to court, enter into legally binding agreements, and serve actively as priestesses. There were also female pharaohs, most famously Hatshepsut who ruled for twenty years in the fifteenth century BCE. One last, perhaps surprising, legal entitlement of ancient Egyptian women was their right to one-third of the property that a couple accumulated over the course of their marriage. Married women had some financial independence, which gave them options to dispose of their own property or divorce. Therefore, while women did face constraints in terms of their expected roles and had their status tied to the men in their families, they nevertheless enjoyed economic freedoms and legal rights not commonly seen in the ancient world.



Figure 1.7.1: Female figurines from ancient Egypt | These figurines show some of the everyday tasks carried out by women. They made bread, brewed beer, and prepared for family meals. Author: Andreas Praefcke Source: Wikimedia Commons License: Public Domain

There is much ongoing debate about the prevalence of slavery. The emerging consensus suggests that Egyptians increasingly used slaves from the Middle Kingdom onward. The majority of the slaves in these later dynasties were either prisoners of war or slaves brought from Asia. Slaves performed many tasks. For example, they labored in agricultural fields, served in the army, worked in construction, helped their merchant owners in shops, and were domestic servants for the Egyptian elite. Manumission (freeing a slave) was seemingly not very common, but if they were freed, former slaves were not stigmatized; instead, they were considered part of the general free population.

The Old Kingdom saw pharaohs harness their influence to build pyramids to emphasize their relationship to the divine and facilitate their ascent to the gods after their earthly deaths. Pyramids, which you can see in Figure 1.7.2, contained tombs for the pharaohs and their wives. They were marvels of engineering, built on a massive scale to honor the pharaohs and usher them into the afterlife. Pharaohs were mummified to preserve their bodies and were buried with everything considered necessary for the afterlife, including furniture, jewelry, makeup, pottery, food, wine, clothing, and sometimes even pets. The most recognizable pyramids from the Old Kingdom are the three pyramids at the Giza complex, which were built for a father (Egyptian pharaoh Khufu), and his son and grandson, who all ruled during the fourth dynasty.

The Great Pyramid of Giza, built for Pharaoh Khufu, is the largest of the three pyramids. Still largely intact today, it was the largest building in the world until the twentieth century. Over 500 feet high, it covered an area of 200 square yards, and was built with over 600 tons of limestone. The Great Pyramid of Giza took an estimated 20 years to construct and employed skilled stonemasons, architects, artists, and craftsmen, in addition to the thousands of unskilled laborers who did the heavy moving and lifting. An enormous and expensive feat, the pyramid stands as testimony to the increased social differentiation, the great power and wealth of the Egyptian pharaohs, and the significance of beliefs in the afterlife during the Old Kingdom.



Figure 1.7.2: The Great Pyramid at Giza Author: User “Jeancaffou” Source: Wikimedia Commons License: CC BY-SA 3.0

In addition to the construction of pyramids, the Old Kingdom saw increased trade and remained a relatively peaceful period. The pharaoh’s government controlled trade, which included exporting grain and gold (the latter from Nubia to the south) and importing timber, spices, ivory, and other luxury goods. During the Old Kingdom, Egypt did not have a standing army and faced few foreign military threats. Lasting almost 400 years, the Old Kingdom saw the extension of the pharaoh’s power, especially through the government’s ability to harness labor and control trade.

The power of the pharaohs began to wane in the fifth dynasty of the Old Kingdom. Continuing environmental change that led to droughts and famine, coupled with the huge expense of building pyramids likely impoverished pharaohs in the last centuries of the Old Kingdom. Additionally, the governors known as *nomes*, who administered Egypt’s 42 provinces from the fifth dynasty onward, became more independent and took over functions that had been overseen by the state. As an added blow, the pharaohs lost control of trade. While dynastic leaders still referred to themselves as pharaohs, they lacked central authority over a unified Egypt by 2180 BCE.

Following the decentralized First Intermediate Period of roughly 150 years, Pharaoh Mentohotep II reunified Egypt to found the **Middle Kingdom**. The state's bureaucratic was reorganized to control the *nomes*. The capital was moved from Thebes south to Lisht, halfway between Upper and Lower Egypt. By using military expeditions, boundaries were extended north to Lebanon and south into Nubia. With this extension of territory, Egypt had access to more trade goods, and professional merchants took a leading role in developing new trade routes. These professional merchants paid taxes to the state, supporting further consolidation of power by the pharaohs and also infrastructural improvements like irrigation. During the Middle Kingdom, the pharaohs focused less on the building of massive pyramids and more on administrative reorganization, military expeditions, and the state’s infrastructural repair.

Disputes over succession and ineffectual rulers led into the Second Intermediate Period. Most notably, Egypt was invaded from both the north and the south during this period. The Hyksos invaded from the north in 1670 BCE. They brought bronze and horse-drawn chariots, which allowed them to conquer parts of Lower Egypt and establish their own kingdom, one lasting about 100 years in the Nile Delta region. From the south, the Kingdom of Kush, based in Nubia, invaded and temporarily established control over Upper Egypt to Aswan. Thus, foreign rulers dominated much of Egypt during the Second Intermediate Period.

The **New Kingdom** began in 1530 BCE, and saw an era of Egyptian imperialism, changes in the burial practices of pharaohs, and the emergence of a brief period of state-sponsored monotheism under the Pharaoh Akhenaten. In 1530 BCE, the pharaoh who became known as Ahmose the Liberator (Ahmose I) defeated the Hyksos and continued sweeping up along the Eastern Mediterranean. By 1500 BCE, the Egyptian army had also pushed into Nubia, taking Kush southward to the fourth cataract of the Nile River (see Map 1.7.1).

As pharaohs following Ahmose I continued Egypt’s expansion, the Imperial Egyptian army ran successful campaigns in Palestine and Syria, along the Eastern Mediterranean. Furthermore, by expanding into Kush, Egypt controlled trade routes into Sub-Saharan Africa. Adopting the Hyksos’ chariot military and metal technologies contributed to the Egyptian ability to strengthen its military. Egypt maintained a large standing army and built an expansive empire during the New Kingdom.



Map 1.7.1: Egypt during its Imperialistic New Kingdom, c. 1400 BCE Author: Jeff Dahl Source: Wikimedia Commons License: CC BY-SA 3.0

During the New Kingdom, pharaohs and Egyptian elites used the Valley of Kings, located across the Nile River from Thebes, as their preferred burial site. They desired tombs that were hidden away and safe from tomb robbers. Therefore, instead of pyramids, they favored huge stone tombs built into the mountains of the Valley of the Kings. Nearly all of the tombs in the Valley of Kings were raided, so the fears of the pharaohs were well-founded. Tomb raiding was even common during dynastic Egypt. King Tutankhamen's tomb has become one familiar exception. His tomb fared unusually well over the millennia, and King Tutankhamen's image is well known to us because his tomb was found mostly intact in 1922.

Much continuity existed in religious beliefs, causing scholars to characterize Egyptian society as conservative, meaning that they shied away from change. In general, Egyptian religious beliefs emphasized unity and harmony. Throughout the dynastic period, Egyptians thought that the soul contained distinct parts.

- The *ka* was a person's lifeforce and that it separated from the body after death. The Egyptians carried out their elaborate preservation of mummies and made small tomb statues to house their *ka* after death.
- The *ba* was the unique character of the individual, which could move between the worlds of the living and the dead.
- After death, *ka* and *ba* would reunite to reanimate their *akh*, or spirit. If they observed the proper rituals and successfully passed through Final Judgment (where they recited the 42 "Negative Confessions" and the god Osiris weighed their hearts against a feather), Egyptians believed that their resurrected spirit, their *akh*, would enter the afterlife.

In contrast to Mesopotamian society, Egyptians conceptualized the afterlife as pleasant. They expected to find a place with blue skies, agreeable weather, and familiar objects and people. They also expected to complete many of the everyday tasks, such as farming, and enjoy many of the same recognizable pastimes. Throughout the centuries, the Egyptians conceptualized the afterlife as a comfortable mirror image of life.



Figure 1.7.3: Tombs at the Valley of the Kings Author: User “Karmosin” Source: Wikimedia Commons License: CC BY-SA 3.0

One change that occurred over time was the “democratization of the afterlife.” As time progressed through the Middle Kingdom and into the New Kingdom, more and more people aspired to an afterlife. No longer was an afterlife seen as possible for only the pharaoh and the elite of society. Instead, just about all sectors of society expected access, as evident in the increased use of funeral texts, like the Book of the Dead. People of varying means would slip papyrus with spells or prayers from the Book of the Dead (or a similar text) into coffins and burial chambers. They intended these spells to help their deceased loved ones make it safely through the underworld into the pleasant afterlife. Conceptualizations of the afterlife consistently emphasized its familiarity and beauty, while more people looked forward to this continued existence after their earthly deaths.



Figure 1.7.4: Golden Mask of Tutankhamun | Because his tomb was found mostly intact in 1922, King Tutankhamen (or King Tut) has become one of our most familiar images from dynastic Egypt. Author: Carsten Frenzl Source: Wikimedia Commons License: CC BY 2.0

As they developed religious doctrine and came into contact with new deities, Egyptians integrated new gods and goddesses into their religious beliefs. Like ancient Mesopotamians, Egyptians were polytheistic. Re, Osiris, Horus, and Isis, just to name a few deities in the Egyptian pantheon, stayed significant throughout dynastic Egypt. Re was the sun god, Osiris was the god of the afterworld, who also controlled nature’s cycles (like the all-important flooding of the Nile), Horus became a god of war and protection, and Isis was a goddess associated with healing and motherhood. During the Middle Kingdom, Amun, initially a patron saint of the city of Thebes and later recognized as the father of the pharaoh, was combined with Re, the sun god, to become Amun-Re the supreme god of the Egyptian pantheon. Amun-Re retained this place at the top of the Egyptian pantheon through most of the New Kingdom. One major exception occurred during the reign of Pharaoh Akhenaten.

Pharaoh Akhenaten started what is known as the **Amarna Period** which lasted from approximately 1350 to 1325 BCE. It stands out for its state-sponsored monotheism. Akhenaten moved the capital to Tell el Amarna, a new settlement in the middle of the desert that was devoted to the worship of Aten and the recognition of the pharaoh's superiority over everyone else. **Aten**, who had been one of many deities worshipped during the Middle Kingdom, was elevated to the creator god associated with sunlight, the foundation of all life. The "Great Hymn to Aten" explains the god Aten's association with the sun as, like the sun, his "rays embraced the lands" of Egypt.[8]

Akhenaten had the Great Temple of Aten built in the middle of the new capital. Unlike previous temples, this one had no roof and was open to sunlight. Akhenaten further modified Egyptian religious doctrine to identify himself as the son of Aten. According to the new religious ideology, Akhenaten alone was able to ensure access to the afterlife and communicate with Aten, the sole god. To reinforce Aten's singularity, Akhenaten withdrew financial support from temples dedicated to other deities and defaced the temples dedicated to Amun, who had previously been the most dominant Egyptian deity. The prominence of Aten and Akhenaten's exclusive access to him define the Amarna Period.

Why did Akhenaten introduce these radical changes? At least in part, Akhenaten wanted to break with the priests in Thebes who controlled the temples dedicated to Amun because he believed that these priests had become too powerful. Additionally, by taking on the role of the son of Aten and regulating entry into the afterlife, Akhenaten certainly attempted to reformulate beliefs to emphasize his own importance.

Akhenaten's radical changes were likely troubling for most of the Egyptian population. They had previously found comfort in their access to deities and their regular religious rituals. The worship of Aten as the only Egyptian god did not last more than a couple of decades, floundering after the death of Akhenaten. Pharaohs who ruled from 1323 BCE onward tried to erase the religious legacies of the Amarna Period, destroy the capital at Tell el Amarna, and remove Akhenaten from the historical record. Archaeologists have not found Akhenaten's tomb or burial place.

Some of the strongest rulers of the New Kingdom, including Ramses I and Ramses II, came to power after the Amarna Period. These pharaohs expanded Egypt's centralized administration and its control over foreign territories. However, by the twelfth century BCE, weaker rulers, foreign invasions, and the loss of territory in Nubia and Palestine indicated the imminent collapse of the New Kingdom. In the Late Period that followed (c. 1040 to 332 BCE), the Kingdom of Kush, based in Nubia, invaded and briefly ruled Egypt until the Assyrians conquered Thebes, establishing their own rule over Lower Egypt. Egyptian internal revolts and the conquest by Nubia and the Assyrian Empire left Egypt susceptible to invasion by the Persians and then eventually the 332 BCE invasion of Alexander the Great.



Figure 1.7.5: Panel with adoration Scene of Aten | Pharaoh Akhenaten with his wife and children making offerings to Aten, the divine incarnation of the sun during the monotheistic Amarna Period. Author: Jean-Pierre Dalbéra Source: Wikimedia Commons License: CC BY 2.0

The ancient Egyptians made numerous contributions to World History. We remember them for mummification, their pharaohs, and the pyramids. Certainly, in this era, Egypt stands out for its ability to produce agricultural surpluses that supported the elites, priests, and skilled craftspeople. While we tend to focus on the bureaucratic, religious, and artistic contributions of these classes, all Egyptians played crucial roles in creating and maintaining this sophisticated civilization. Additionally, the innovations

of Egyptians, such as their stone-carving techniques, hieroglyphics, the use of papyrus, their knowledge of the length of a solar year, and their construction methods, influenced the ancient world and still inspire awe. Overall, the ancient Egyptians created a vibrant civilization, while they also found comfort in the familiar and traditional.

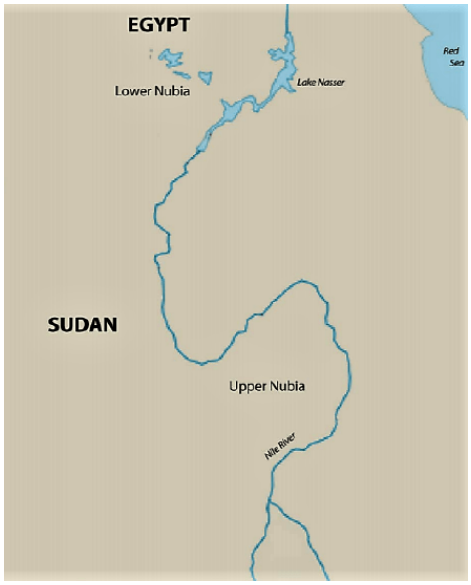
8 “The Great Hymn to Aten.” web.archive.org/web/19990221...eo/simkins/tx/ Aten.html

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1.8: Nubia- The Kingdoms of Kerma and Kush

South of Aswan, at the first cataract of the Nile River, is **Nubia**, a neighbor who had a long-term, dynamic relationship with ancient Egypt. The kingdoms of Kerma (c. 2400 BCE to 1500 BCE) and Kush (c. 1000 BCE to 300 CE) emerged along the Nile River. These kingdoms prospered especially due to their productive agriculture and the region's copious natural resources. At certain points, both Kerma and Kush were strong enough to successfully invade Egypt. The Nubians developed their own religious and cultural traditions, including a written script, Meroitic.

The origins of ancient Kerma (in present-day Sudan) are marked back to the desiccation of the Sahara Desert and the rise of dynastic Egypt. Between 5,000 and 4,000 BCE, the drying out of the region encouraged people to move closer to the Nile River. Rock paintings attest to the environmental changes in Nubia and also the development of a cattle culture. As people settled closer to the Nile River in Nubia, they brought their cattle, their agricultural traditions, and their languages, building settlements with higher population densities.



Map 1.8.1: A map of ancient Nubia Author: Mark Dingemanse and Corey Parson Source: Wikimedia Commons License: CC BY 2.5

Additionally, Egyptian elites desired ivory, animal skins, incense, and other luxury goods prompting trade between Nubia and Egypt that pre-dated the unification of Egypt. After unification, the Egyptians continued to invade Nubia to trade and raid for slaves and cattle. Nubia may have formed a state in order to control trade or protect themselves. Without Nubian records from the third millennium BCE, it is difficult to identify additional reasons why the state arose. However, archeological evidence does clearly indicate that by about 2400 BCE, Nubians had formed the Kingdom of Kerma between the third and fourth cataracts of the Nile River.

1.8.1: Kerma (c. 2400 BCE to c. 1500 BCE)

Kerma endured in Upper Nubia for almost a thousand years. Excavations at other sites (where similar pottery styles and burial sites have been found) suggest that at its height Kerma's reach may have extended more than 200 miles southward past the fifth cataract of the Nile River. So far, archaeological evidence indicates that most of the people lived in smaller villages. They grew crops like barley, and kept goats, sheep, and cattle, sending tribute to their capital. The people of Kerma also developed industries, especially in mining, metalworking, and pottery. Kerma was linked interregionally through trade to its tributary villages, to dynastic Egypt, and to sub-Saharan Africa. Egyptian pharaohs and elites wanted the gold, copper, slaves, ivory, exotic animals, and more that they obtained from Kerma.

The people of Kerma also made use of their location on the Nile and proximity to Egypt to imported textiles, jewelry, and other manufactured goods. Presumably, one reason that Nubian leaders built their ancient capital at Kerma was to oversee river trade. At the impassable cataract, boat owners unloaded their cargo and took it overland past the shallows and rocks before again

proceeding on the water. This location at the cataract gave the leaders at Kerma the chance to tax, divert, and register goods being transported between Kerma and Egypt.

Agricultural surpluses and other tributary payments supported the rulers and elites of the capital. Ditches, ramparts, and massive walls with towers were used in defense of the cities. There were also palaces within the city and on its outskirts. However, the most famous structure is the **Western Deffufa** (Figure 1.8.1) made of mud-bricks, which likely served as a temple. Two other deffufas have been at least partially excavated within the vicinity of Kerma.

Another notable archaeological find is the Eastern Cemetery, which lies a couple of miles to the east of the city. It served as the burial site for Kerma's rulers for almost a thousand years and contains over 30,000 tombs. Some of the tombs were covered with large mounds, and encircled with cattle skulls. Tombs also contain the remains of human sacrifices and other symbols of wealth and status, like jewelry made of gold and silver.



Figure 1.8.1: The Western Deffufa at Kerma Author: Walter Callens Source: Wikimedia Commons License: CC BY 2.0

It appears that Kerma was strongest when neighboring Egypt was weak. For example, during Egypt's Second Intermediate Period, Kerma successfully invaded parts of Upper Egypt and established diplomatic relations with the occupying Hyksos. Once reunified during the New Kingdom, Egypt retaliated by conquering Kerma to the fourth cataract. Then, Egypt occupied Kerma for the next 500 years. During the Egyptian occupation, the elite classes of Kerma adopted many elements of Egyptian culture, including Egyptian gods, styles of dress, Hieroglyphics, and the Egyptian language. However, scholars believe that the Nubian masses retained their own distinctive identity with their local language and customs.

1.8.2: The Kingdom of Kush

As Egypt entered its Third Intermediate Period, Nubians gradually established their independence, eventually creating a new state, the Kingdom of Kush in the eighth century BCE. The initial capital of the Kingdom of **Kush** was Napata (c. 750 BCE to 593 BCE). From Napata, the Nubians took control of Upper Egypt, establishing the "Ethiopian Dynasty," which ruled for 60 years from Thebes. Assyrian invasions destabilized the Nubian rulers in Thebes, causing the last pharaoh of the Ethiopian Dynasty to flee to Napata. Then, once strengthened, the Egyptians pushed back. The Egyptian army sacked Napata in 593 BCE and, in response, the Nubian rulers moved their capital farther south to Meroe. (See Map 1.8.1.) At this southern location, they further developed their civilization, which lasted until the fourth century CE.

With the new capital at **Meroe**, a location with well-watered farmland and some distance between it and Egypt, the Kingdom of Kush flourished. Meroe had more rainfall than Napata and was not as dependent on the Nile floods. Nubians were able to extend the areas under cultivation and grow a wider variety of crops, like cotton, sorghum, and millet. They were also able to easily graze their livestock and, as a result, during this period cattle became even more important as a symbol of their culture and wealth.

As Egypt's power declined, the people of Kush put more emphasis on their own deities and pushed Egyptian gods to the background. For example, temples devoted to a Nubian war god, Apedamak, "the Lion of the South," received more support

and even used live lions for rituals. Gold had long been mined in the region and remained important while the people of Kush continued to develop additional industries, such as iron ore and hardwoods used to make weapons and tools. Agricultural surpluses, iron, cattle, and exotic things like elephants from sub-Saharan Africa, could be traded bringing great wealth and prestige to Meroe.

The rulers of Meroe commissioned pyramids but had them built in a local style. As evident in Figure 2.14, their pyramids were smaller and had a unique shape. Kush burial practices were different than those used in dynastic Egypt, as corpses were not always mummified and were buried in the fetal position. Finally, a new locally-created written script, **Meroitic**, replaced the use of Egyptian Hieroglyphics by 300 BCE. Modern scholars have not yet translated Meroitic, and students of their culture will surely learn even more about the Kingdom of Kush once scholars have done so.

As for now, we know that very productive agriculture, local rituals and burial practices, the growth of industries, social stratification facilitated by Meroe's wealth and extensive trade networks, and the written script Meroitic, were some of the distinctive elements of the civilization at Kush.



Figure 1.8.2: Pyramids at Meroe Author: B. N. Chagny Source: Wikimedia Commons License: CC BY-SA 1.0

While the Greeks and Romans occasionally sent raiding parties into Nubia, Meroe's southern location helped isolate it from conquest. Legends also emphasize the strength of Meroe's army and the physical prowess of its soldiers. Environmental changes, internal rivalries, and the rise of Axum (a new state to the East) likely all contributed to the fairly abrupt collapse of Meroe in the fourth century CE.

Egyptian sources were generally very derogatory in their portrayal of Nubians. However, the kingdoms of Kerma and Kush were known in the ancient world for their wealth and industries. The wealth garnered through productive agriculture and trade supported a ruling class, great artists, and monumental architecture. Egyptian culture was influential, but Nubians adapted Egyptian practices to meet their own needs and sensibilities. Often entangled with Egypt and sometimes defending themselves from other invaders as well, these two kingdoms persisted for hundreds of years, creating an independent civilization along the southern stretches of the Nile River.

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1.9: Summary

Between about 4000 and 3000 BCE, civilizations emerged in the fertile river valleys of Mesopotamia and Northeast Africa. These civilizations had common elements, including food surpluses, higher population densities, social stratification, systems of taxation, labor specialization, regular trade, and written scripts.

In areas adjacent to the Tigris and Euphrates Rivers, Mesopotamians built city-states by 3500 BCE. While Sumerian traditions influenced developments throughout the region, other cities emerged and refined their own institutions and beliefs. Archaeological finds and records in the *cuneiform* script show the significance of the temple complex and religious leaders throughout Mesopotamia. Kingship, with hereditary rulers who claimed control over multiple city-states and special relationships with the gods, was just one significant political innovation in the region. History credits Sargon of Akkad with founding the first empire in Mesopotamia. Thereafter, a succession of empires rose and fell, demonstrating the dynamic nature of Mesopotamian societies.

In approximately 3100 BCE, the unification of Egypt evidenced the emergence of one civilization in Northeast Africa. To the south of Egypt, in Nubia, Africans built another civilization with the kingdoms of Kerma and Kush. The people in each of these civilizations made good use of the agriculturally productive floodplains of the Nile River. Egypt and the kingdoms in Nubia influenced one another; they traded and intermittently claimed control over each other's territory. While we may be more familiar with the pharaohs, pyramids, and religious beliefs of ancient Egypt, Nubians made their own contributions, like the Merotic script and unique architectural styles, to World History.

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2: ANCIENT INDIA

2.1: Chronology of Ancient and Medieval India
2.2: What is India? The Geography of South Asia
2.3: India's First Major Civilization - The Indus Valley Civilization (2600-1700 BCE)
2.4: India- A Quick Overview

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2.1: Chronology of Ancient and Medieval India

2600 – 1700 BCE Harappan/Indus Valley Civilization

1700 – 600 BCE Vedic Age

1700 – 1000 BCE Early Vedic Age

1000 – 600 BCE Later Vedic Age

321 – 184 BCE Mauryan Empire

c. 2nd century BCE to 3rd century CE Kushan Kingdom

c. 320 – 550 CE Gupta Empire

600 – 1300 CE Early Medieval India

1206 – 1526 CE Delhi Sultanate

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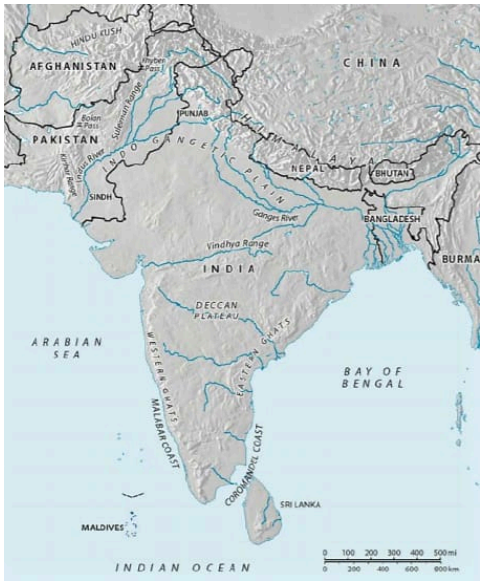
2.2: What is India? The Geography of South Asia

India's dynamic history alternated between unified empires and periods when it was composed of a shifting mosaic of regional states. This history was also impacted by influxes of migrants and invaders. In thinking about the reasons for these patterns, historians highlight the size of India and its diverse geography and peoples.

It is important to remember that **"India"** can mean different things. Today, India usually designates the nation-state of India (see Map 2.2.1). But modern India only formed in 1947 and includes much less territory than India did in ancient times. As a term, India was first invented by the ancient Greeks to refer to the **Indus River** and the lands and people beyond it. When used in this sense, India includes today's nation of Pakistan. For the purpose of studying earlier history, India can be thought of as the territory that includes at least seven countries today: India, Pakistan, Bhutan, Bangladesh, Nepal, Sri Lanka, and the Maldives. This territory is also referred to as **South Asia** or the Indian subcontinent.

The Indian subcontinent is where Indian civilization took shape, but it was not created by one people, race, or ethnic group. Rather, the history of this region was shaped by a multitude of ethnic groups who spoke many different languages and lived and moved about on diverse terrain.

Large natural boundaries define the subcontinent. Mountain ranges ring the north, and bodies of water surround the rest. To the east lies the **Bay of Bengal,** to the south the Indian Ocean, and to the west the Arabian Sea. The largest mountain range is the Himalaya, which defines India's northern and northeastern boundary. A subrange of the Himalaya—the **Hindu Kush**— sits at its western end. A ridge running from north to south defines the eastern end, dividing India from China and mainland Southeast Asia. To the northwest, the Suleiman Range and Kirthar Range complete what might seem like impassable barriers. Yet, these ranges are punctuated by a few narrow passes that connect India to Central Asia and West Asia.



Map 2.2.1: South Asia Author: Larry Israel Source: Original Work License: CC BY-SA 4.0

To the south of the mountain ranges lie the **Indo-Gangetic Plain** and the two great rivers of northern India that comprise it: the Indus River and the **Ganges River**. These rivers originate in the Himalayas and are regularly fed by snowmelt and monsoon rains. Located in the northwest, the Indus River drains into the Arabian Sea. The region comprising the upper Indus is called the **Punjab**, while the region surrounding the lower Indus is referred to as the **Sindh**. Because they could support large populations, the plains surrounding these river systems served as the heartland for India's first major states and empires.

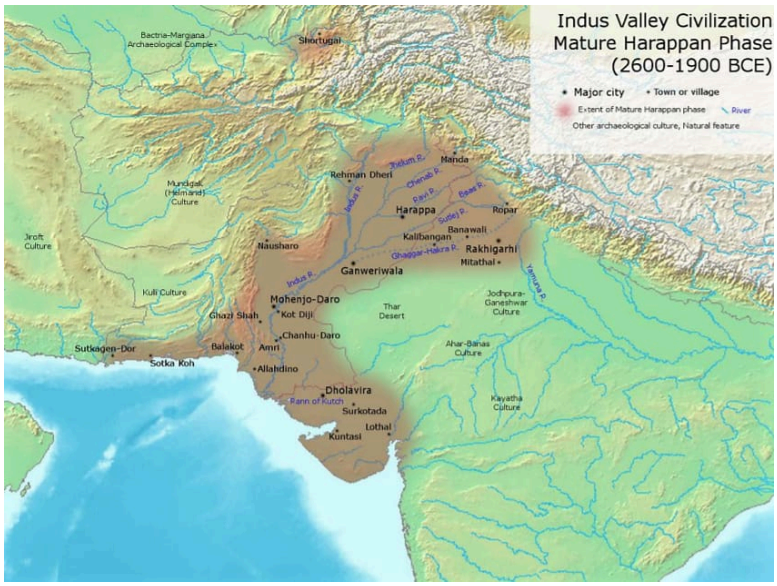
Peninsular India is an important part of the story because over time great regional kingdoms will also emerge in the south. The peninsula is divided from northern India by the Vindhya Mountains, to the south of which lies the **Deccan Plateau**. This arid plateau is bordered by two coastal ranges— the Western Ghats and Eastern Ghats. This nearly 4600 miles of coastline linked fishing and trading communities to the Indian Ocean and the rest of Afro-Eurasia. **Sri Lanka** is an island located about thirty kilometers southeast of the southernmost tip of India, and served as an important conduit for trade and cultural contacts beyond

India.

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2.3: India's First Major Civilization - The Indus Valley Civilization (2600-1700 BCE)

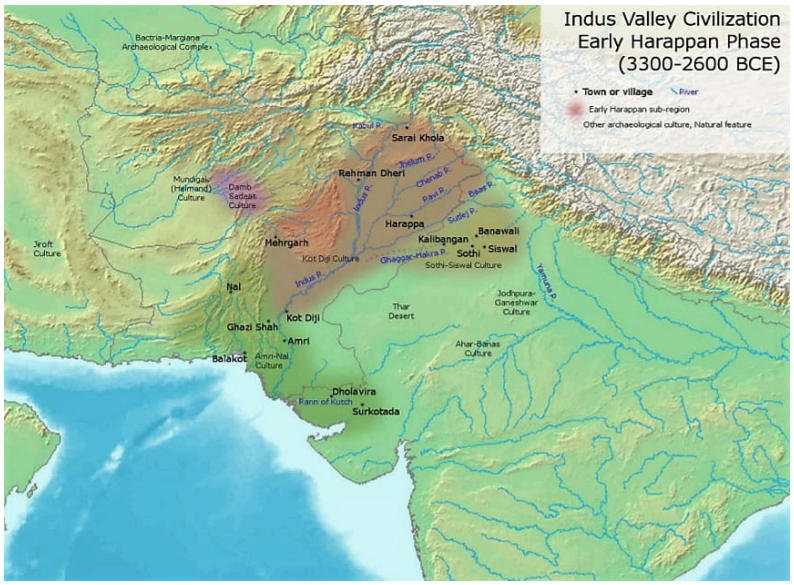
n 1920, archaeological work revealed a massive lost civilization that surpassed other major early riverine civilizations of Afro-Eurasia, such as ancient Egypt and the Mesopotamian states. The area spanned roughly a half million square miles (see Map 2.3.1). Five major cities consisted roughly of 250 acres each. One of those cities supported the **Harappan Civilization**. The region also contained fifteen thousand smaller agricultural and craft villages of about 2.5 acres each. Because the majority of these settlements were situated near the Indus River in the northwestern of the subcontinent, this region is collectively called the Indus Valley Civilization.



Map 2.3.1: Indus Valley (Harappan) Civilization | Map of important Indus Valley (Harappan) Civilization cities and towns during its most developed period. Author: User “Avantiputra7” Source: Wikimedia Commons License: CC BY-SA 3.0

Approximately c. 7000 BCE, farming and the domestication of animals began, about two thousand years after they did in the Fertile Crescent. To the west of the Indus River, along the foothills of Baluchistan, the remains of numerous small villages have been found that date back to this time (see Map 2.3.2). One of these is **Mehrgarh**. Here, villagers lived in simple mud-brick structures, grew barley and wheat, and raised cattle, sheep, and goats.

Over the course of the next three thousand years, similar Neolithic communities sprang up in northwest India and many other locations on the subcontinent. It was to the west of the Indus River and then throughout neighboring fertile plains and valleys of the Punjab and Sindh that a more complex, urban-based civilization emerged. Excavations show a pattern of development whereby settlements start looking more like towns than villages. Ground plans become larger, include the foundations of houses and streets, and are conveniently located by the most fertile land or places for trade. Similar artifacts show links between trade networks. This transitional period is dated to 5000 to 2600 BCE. The mature phase, with its full-blown cities, begins from 2600 BCE, roughly four centuries after the Sumerian city-states blossomed and Egypt was unified under one kingdom.



Map 2.3.2: Archaeological sites dating to northwest India's Neolithic period and the Indus Valley Civilization | Agricultural village societies first emerged to the west of the Indus and then spread to the Indus River and its many tributaries, as well as the Ghaggar-Hakra River (running parallel to and east of the Indus), which has since dried up. These provided the foundation for the emergence of towns and cities. Author: User "Avantiputra7" Source: Wikimedia Commons License: CC BY-SA 3.0

The ruins of **Mohenjo-Daro** and other Indus cities dating suggest a vibrant society thriving in planned and managed urban areas. These urban settlements coordinated the distribution of local surplus resources, obtained desired goods from more distant places, and turned raw materials into commodities for trade.

Located along the lower reaches of the Indus (see Figure 2.3.1), Mohenjo-Daro had an abundance of resources: fertile flood plains for agriculture, pasture for grazing domesticated animals, and waters for fishing and fowling. The city itself consisted of several mounds—elevated areas upon which structures and roads were built. A larger mound served as a core, fortified area where public functions likely took place. It contained a wall and large buildings, including a Great Bath and Great Hall. Other mounds were the location of the residential and commercial sectors of the city. Major avenues laid out on a grid created city blocks. Within a block, multistory dwellings opening up to interior courtyards were constructed out of mudbricks or bricks baked in kilns. Particular attention was paid to public sanitation. Residences not only had private wells and baths, but also toilets drained by earthenware pipes that ushered the sewage into covered drains located under the streets.



Figure 2.3.1: Great Bath at Mohenjo-Daro | View of the Great Bath at Mohenjo-Daro, an Indus Valley city located along the lower reaches of the Indus River. This section was part of the largest mound at the site. The higher structure in the rear is a Buddhist stupa dating to a later period in India's history. Author: Saqib Qayyum Source: Wikimedia Commons License: CC BY-SA 3.0

Artifacts tell of city life. Farmers and pastoralists brought their grain and stock to the city for trade or to place it in warehouses

managed by the authorities. Laborers dug the wells and collected trash from rectangular bins sitting beneath rubbish chutes. Craftsmen worked copper and tin into bronze tools, fired ceramics, and manufactured jewelry and beads out of gold, copper, semi-precious stones, and ivory. Merchants traveling near and far carried raw materials and finished goods by bullock carts or boats to the dozens of towns and cities throughout the region.



Figure 2.3.2: Indus Priest/King Statue | 17.5 cm tall sculpture found at MohenjoDaro. The dignified appearance and headband and cloak of this man suggest that he was an important political or religious leader in the city. Author: Mamoon Mengal Source: Wikimedia Commons License: CC BY-SA 1.0

Some goods also went to foreign lands. Harappan cities located along the coast of the Arabian Sea engaged in coastal shipping that brought goods as far as the Persian Gulf and the delta of the Tigris and Euphrates Rivers. In Mesopotamian city-states, Harappan seals and beads have been found, and Mesopotamian sources speak of a certain place called “Meluhha,” a land with ivory, gold, and lapis lazuli. Cities like Mohenjo-Daro were linked in networks of exchange extending in every direction.

But unlike ancient Egypt and Sumer, this civilization has not yet provided sources we can read, and this poses major problems of interpretation. True, over four thousand inscribed objects with at least four hundred different signs recurring in various frequencies have been found on clay, copper tablets, and small, square seals excavated primarily at the major cities (see Figure 2.3.1). But the heroic efforts of philologists to decipher the language have failed to yield results. Thus, some historians call this civilization proto-historic, distinguishing it from both prehistoric cultures that have no writing and historic ones with written sources that we can read.



Figure 2.3.3: Unicorn Seal | Mold from a “unicorn seal” from Mohenjo-Daro depicting a mythical animal standing over an altar or trough, with writing above. Author: User “Ismoon” Source: Wikimedia Commons License: CC0 1.0

This proto-historical state of the evidence leaves many questions concerning Harappan people’s political organization and beliefs unanswered. On the one hand, archaeological record suggests coordination in planning—cities and towns were similarly designed, fired bricks had the same dimensions, and weights were standardized. On the other hand, the ruins lack structures that can be clearly identified as palaces, temples, or large tombs. In other words, there is little evidence for either a central political authority ruling over an empire or for independent city-states.

One intriguing artifact found in Mohenjo-Daro is a small sculpture of a bearded man made of soapstone (see Figure 2.3.2). The dignified appearance suggests he may have been a priest or king, or even both. Perhaps he and other priests purified themselves in the Great Bath for ritual purposes. Yet, this is purely speculation, as the sculpture is unique. He may also have been a powerful landowner or wealthy merchant who met with others of similar status in assemblies convened in the Great Hall of the citadel. Perhaps local assemblies of just such elites governed each city.

Religious beliefs are also difficult to determine. The principal evidence consists of small artifacts such as figurines and square seals. The seals were carved out of a soft stone called steatite and then fired so they would harden. They contain images of animals and humans, typically with writing above. Mostly, they were used to imprint the identity of a merchant or authorities on goods. However, some of the images may have had religious significance. For example, hundreds of “unicorn seals” display images of a mythical animal that resembles a species of cattle (see Figure 2.3.3). These cattle are usually placed over an object variously interpreted as a trough or altar. Perhaps these were symbols of deities or animals used for sacrificial rituals. Equally as interesting are the numerous female clay figurines. These may have been used for fertility rituals or to pay homage to a goddess (see Figure 2.3.4).



Figure 2.3.4: Dancing Girl of Mohenjo-daro Author: Joe Ravi Source: Wikimedia Commons License: CC BY-SA 3.0

The Harappan civilization began to decline in 1900 BCE, and was complete two hundred years later. The towns, cities, and trade networks faded away, and the region reverted to rural conditions. Movement by tectonic plates may have led to earthquakes, flooding, and shifts in the course of the Indus. Less rainfall and deforestation may have degraded the environment's suitability for farming. All of these factors would have impacted the food supply. Consequently, urban areas and the civilization they supported were slowly starved out of existence.

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2.4: India- A Quick Overview

India's first civilization—the Harappan Civilization (2600 – 1700 BCE) emerged from it in the northwestern region of the subcontinent. As this civilization declined, Indo-Aryans migrated from Central Asia into northern India, bringing with them their Vedic religion, Sanskrit language, and pastoral and farming way of life. The era is typically called the Vedic Age (1700 – 600 BCE). As they settled down on the Indo-Gangetic Plains and interacted with indigenous peoples, new political, social, and religious institutions formed. Over the course of several centuries, the Aryan clan and tribal organization developed into kingdoms and oligarchies. Also, a simpler society composed of priests, warriors, and commoners evolved into a more complex society organized by *varnas*, a system of four hereditary social classes. Finally, the Vedic religion of the Brahmin priests evolved into Brahmanism, the earliest stage in the development of Hinduism.

A transitional period in India's history began in the sixth century and lasted until 321 BCE. Sixteen major kingdoms and oligarchies with roots in the late Vedic Age fought for control over territory in northern India. The kingdom of Magadha dominated. Accompanying this time of warring states, India entered the second stage of urbanization, as towns and cities became a prominent feature of the north. Alongside the *varnas*, the caste system began to form, organizing Indian society into a much larger number of social groups based on occupation, residence, language, and religious beliefs. Lastly, new religious ideas were put forward by the Buddha (c. 563 – 480 BCE) to challenge the dominance of Brahmanism, and Buddhist monastic communities began to form.

This transitional period ended when Chandragupta Maurya overthrew the last Magadhan dynasty in 321 BCE and established the Mauryan Empire (321 – 184 BCE). He and his successors built the first Indian state that included most of the subcontinent. Chandragupta's grandson, King Ashoka (r. 268 – 232), is famed for having tried to rule this large realm according to Buddhist principles.

For five centuries after the fall of the Mauryan Empire (c. 200 BCE – 300 CE), no one major power ruled India. Instead, the entire subcontinent saw a fairly rapid turnover of regional monarchies. Some developed along the Ganges River, while others, such as the Kushan Kingdom, were of Central Asian origins. Also, states such as the Satavahana Kingdom formed in southern India. Yet, in spite of the political instability, India was economically dynamic, as trade within and without the subcontinent flourished, and India was increasingly linked to other parts of the world in such networks of exchange as the Silk Road and Indian Ocean maritime trade. Lastly, new trends appeared in Buddhism and Hinduism, most notably a popular, devotional form of worship.

Although India remained a mosaic of states during the period 300 – 600 CE. However, historians recognize the importance of the Gupta Empire (320 – 550 CE), which included much of northern India. During the Gupta period, society and culture had matured and entered a classical age. One facet was individual achievements in literature, the arts, and the sciences. But equally as important, the lives of all members of society were now being shaped and given meaning by a political pattern, social institutions, religious traditions, and a culture with a deep history. Notions of kingship and the king's dharma, as well as political hierarchy, emerged. Social institutions developed such as the patriarchal family, *varna* and caste, and commercial associations in cities and towns. Hinduism and Buddhism shaped the religious landscape with their long literary and scriptural traditions, notions of dharma, and monastic and temple life.

Early medieval India (c. 600 – 1300 CE) contained powerful regional states, each with its unique local histories and traditions. The methods by which kings established relations with neighboring rulers and within their own lands have been described as Indian feudalism. Some kings, like the Cholas, buttressed their power by claiming to rule according to Hindu notions of dharma, by, for instance, building large Hindu temples and patronizing the Brahmins. Finally, during these centuries, Islamic rule, communities, and religion entered the South Asian landscape, changing the course of India's history.

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3: CHINA AND EAST ASIA TO THE MING DYNASTY

East Asia can be defined in two different ways. Geographically speaking, it can be defined as the eastern region of the Asian continent and the countries located there, principally China, North and South Korea, Taiwan, and Japan. But historians also define East Asia as a broader cultural realm, and include countries that both shared close historical relations with China and were impacted by China's political and legal institutions, and Confucian and Buddhist traditions. When defined in this way, Vietnam is also included. This chapter, however, as an introduction to the early history of East Asia, will focus on China, Korea, and Japan.

3.1: (Module 5) 3.10- The Yuan Dynasty

3.2: (Module 5) 3.7- The Period of Division, 220-589CE

3.3: (Module 5) 3.8- The Tang Dynasty and the Emergence of East Asia

3.4: (Module 5) 3.9- The Song Dynasty

3.5: Chronology of China and East Asia to the Ming Dynasty

3.6: Geography of East Asia

3.7: China from Neolithic Village Settlements to the Shang Kingdom

3.8: The Long Zhou Dynasty (1046- 256 BCE)

3.9: The Qin Dynasty and the Transition from Ancient to Imperial China

3.10: The Han Dynasty, 202 BCE-220 CE

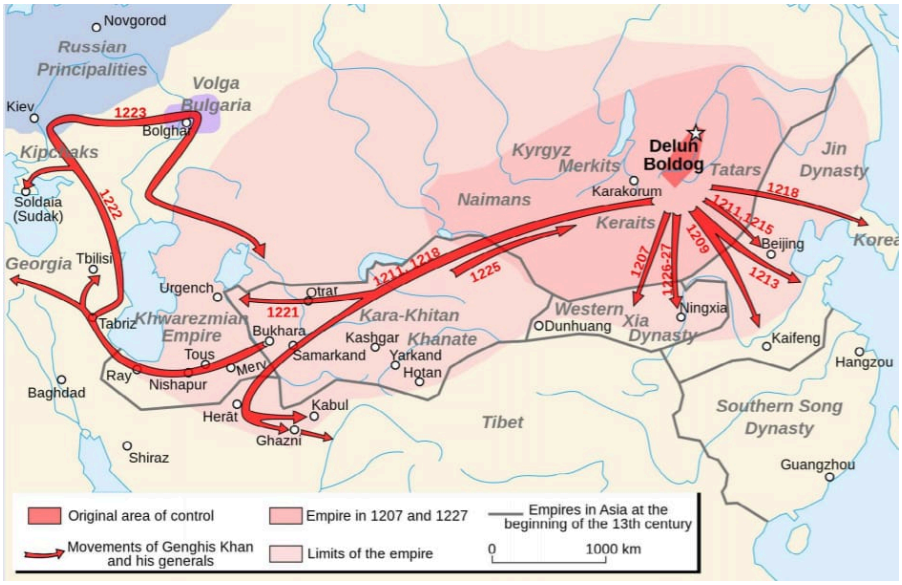
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3.1: (Module 5) 3.10- The Yuan Dynasty

Like earlier neighbors lying to the north of the Song, the **Yuan** [you-an] was also a northern conquest dynasty. The key players were steppe nomads living on the grasslands of Mongolia, known as Mongols, and their leader Genghis Khan. The story of their rise and how they created the largest territorial empire in the history of the world properly belongs to Chapter Eight--Central Asia. For this lesson, we will only provide a brief introduction.

In the twelfth century CE, the Mongols were one of many tribes of nomadic pastoralists living on the steppes of Central Asia. Since the steppe was unsuited to farming, they relied principally on their herds, but also on what they could obtain by trading with neighboring sedentary peoples. The nomads lived in temporary campsites, periodically breaking down their yurts and relocating as the seasons required. Since the tribes often fought with each other or turned to raiding, nomads were also excellent at mounted warfare. Their chieftain leaders–referred to as khans–were usually selected based on skill in battle and charisma.

Undoubtedly, the most famous khan in Central Asian history is Genghis Khan. In the late twelfth century, he accrued an army of loyal followers and began to subdue tribes across the Mongolian steppe. In 1206 CE, at a gathering of tribal leaders, he was proclaimed Universal Khan of a tribal confederation. Using a powerful military with a tight command structure, Genghis proceeded to unleash a wave of campaigning in northern China and Central Asia, thereby adding much territory to a growing Mongol Empire (see Map 3.1.1). After he died in 1227 CE, this empire was divided into four khanates, each of which went to one of his four sons as their territorial inheritance.



Map 3.1.1: Map of Mongol Empire as it expanded during the first waves of conquests, from 1207-1225 | During this first wave, not the Song Dynasty but its northern neighbor, the Jin Dynasty, was attacked Author: User “Bkkbrad” Source: Wikimedia Commons License: CC BY-SA 3.0

Tolui, Genghis Khan’s youngest son, was granted the Mongol homeland as well as territory in northern China held by the Jin Dynasty. After dying in 1232 at the young age of forty, managing Chinese territory fell to Tolui’s wife Sorghagtani Beki and her second son, **Kublai Khan** (1215 – 1294 CE). Unlike his predecessors, who largely treated the Chinese as chattel and ruthlessly exploited their towns and villages, Kublai saw the advantages of taking a more enlightened approach. With the advice of Chinese advisors, he adopted Chinese-style methods for governing China. In fact, he chose to move his capital from Mongolia to Beijing, making it the center of his khanate. In 1273, he declared the founding of the Great Yuan Dynasty. Accordingly, he asserted that the Mandate of Heaven had been transferred to him from the Song Dynasty.



Figure 3.1.1: Portrait of Kublai Khan Author: User “Yaan” Source: Wikimedia Commons License: Public Domain

The Song was located in the southern two-thirds of China, where the terrain was matted with lakes, rivers, and canals. The Mongols had little experience with naval warfare, so they turned to Chinese advisors to build a navy. Mongol cavalry boarded the ships and floated down rivers leading to the Song capital, laying siege to cities along the way. When they reached it in 1276, Kublai's generals took the capital without bloodshed. The regent to the young Song emperor worked out conditions for surrender. Hence, the Mongol Yuan Dynasty had won control over China. After Kublai died, nine of his descendants ruled as emperors until the dynasty fell to native rebellions in 1368.



Figure 3.1.2: Blue and white porcelain plate manufactured during the Yuan Dynasty Author: User “Yaan” Source: Wikimedia Commons License: Public Domain

Historians have different assessments of the Mongol Yuan rule on China. Earlier generations determined that violent Mongol conquests devastated the land and led to a population drop. The Mongol style of rule was despotic, placed Chinese in rigid occupational categories, and suspended the merit exams. Many capable men simply avoided official service and turned to other professions.

However, more recent studies offer a more positive assessment. Because Yuan rulers followed the counsel of Confucian advisors and adopted traditional Chinese methods for governing. To promote agriculture, Yuan rulers provided relief measures and promoted the formation of rural cooperatives. Also, Mongols highly valued crafts and implemented policies that greatly benefited artisans and promoted their work. Hence, arts such as textiles and ceramics flourished (see Figure 3.1.1).

While duly acknowledging the devastation caused by Mongol conquests, historians also find much merit in Mongol patronage of arts and support for constructions projects and advancements in the areas of medicine and astronomy. Most importantly, the massive Eurasian empire they forged initiated a new era of trade and contacts between Europe and China, as well as the regions lying between.

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3.2: (Module 5) 3.7- The Period of Division, 220-589CE

Like these other empires, the Han Dynasty eventually fell. China was then divided up by independent, short-lived kingdoms until 589 CE, when the Sui Dynasty reunited most of the territory once controlled by the Han. Thus, for four centuries, during what is known as the Period of Division, China was politically unstable and racked by endemic warfare. Yet, in spite of the violence, these centuries also saw vibrant cultural developments, as Buddhism became an organized institutional religion reshaping the spiritual landscape.

3.7.1: Political History–From Three Kingdoms (220 – 280 CE) and the Western Jin (265 – 317 CE) to the Northern and Southern Dynasties (317 – 589 CE)

During the second century CE, a combination of factors led to massive rebellions against the Han Dynasty by lower classes living in the countryside. Many once thriving, independent farmers who fell on hard times lost their land to powerful local families who used their political connections to amass large estates. A series of floods and droughts and the famines and epidemics they caused only worsened these farmers' plight, and the government was ineffective in providing relief. During the later Han, government revenue had fallen because local magnates kept their growing estates off the tax rolls. Also, many later Liu emperors were mere youths dominated by quarreling factions of imperial in-laws and eunuchs, so the quality of governing declined.

Desperate to escape poverty and starvation, many villagers fled their homes or joined roving bandit gangs. Some rallied behind individuals who promised the dawn of a new age, thereby becoming part of large, militarized religious societies with political goals. One was the **Yellow Turbans**, a society named after the yellow cloth members wrapped around their heads. The founder, Zhang Jue [jawng joo-eh], claimed he was a devoted follower of the legendary Daoist philosopher Laozi, who had by this time been deified and envisioned living in a Daoist heaven. Zhang instructed his followers in faith healing, established a rudimentary organization, and prophesied an impending apocalypse. This apocalypse would be followed by an age of peace when the sky would turn yellow and all would be equal. The movement grew into the tens of thousands. Some followers proclaimed 184 CE was promising, daubing the characters for that year in mud on the gates to government offices. The Yellow Turbans rebelled, and unrest spread across north China. Other similar millenarian religious movements followed.

The Han Dynasty was in crisis but lacked the strong leadership of earlier rulers. Youthful emperors were forced to rely on generals who commanded permanent standing armies around the empire as if they were private possessions. But by empowering military strongmen to suppress rebellions, Han rulers sealed the fate of the dynasty. Generals feuded amongst each other and competed to impose a military dictatorship on the court. Eventually, in 220 CE, one general deposed the Han emperor, but he failed to unite the realm because by that time the country had been divided up by three kingdoms and their rival warlords.

Within their realms, each warlord sought to strengthen his hand against the others by restoring order and establishing a functioning state. After all, they needed fighting men and revenue. **Cao Cao** (155 – 220 CE) was the most effective in achieving these goals. As the adopted son of a Han court eunuch, he eventually entered the military. As a commander, leading Han armies against the Yellow Turbans. As the dynasty fell apart, he gained control and established a dictatorship in northern China. It was his son who removed the last Han ruler and established the Wei [way] Dynasty (220 – 265 AD), one of the **Three Kingdoms** (see Map 3.2.1).



Map 3.2.1: Map of the Three Kingdoms | These took shape as the Han Dynasty ended. Cao Cao was the founder of the northern state of Wei. Author: Ian Mladjov Source: Original Work License: © Ian Mladjov. Used with permission.

As a result of the rebellions and civil wars, much land in north China had gone to waste. So Cao Cao created huge state farms where he could settle his soldiers, landless poor, and, most importantly, tribes of nomadic herders from the steppe lands to the far north who had served him as he came to power. Thus, these colonies of farmers supplied tax revenue and, as hereditary military families, soldiers for Wei armies. Such state-owned land and hereditary soldiers became the mainstays of warlord dynasties throughout this time.



Map 3.2.2: China during the Northern and Southern Dynasties | The Eastern Jin was the first of the southern dynasties, all of which had Jiankang as their capital. The north was divided up among shifting kingdoms established by non-Han chieftains. The names of these ethnic groups are indicated on the map. Author: Paul Noll Source: Original Work License: © Paul Noll. Used with permission.

The two other kingdoms, Wu and Han, were located in the south. Over the course of decades, the ruling warlords of all three states fought each other in campaigns involving much treachery and stratagem. In 263 CE, the Han kingdom fell to the invading forces of Wei commanders. But, just two years later, a powerful Wei family–the Sima– usurped the throne and changed the kingdom's name to Western Jin [jean] (265 – 317 CE). The Western Jin conquered Wu in 280 BCE, thereby bringing to an end the Three Kingdoms period.

The Western Jin had reunified China, but that unity wasn't to last. The policy of settling tribes of non-Chinese nomads in north China backfired. Among them, rebel chieftains carved out kingdoms of their own, and expanded their power all across the north.

One Xiongnu chieftain, Liu Yuan [lee-oh you-anne], even declared he was a descendant of a Han Dynasty imperial princess and therefore had the right to restore the Han Empire. His son descended on the Western Jin court at Luoyang and eventually, in 317 CE, forced it to flee east to Jiankang [jeean cawng] (today's city of Nanjing).



Figure 3.2.1: Terracotta figurine depicting a Northern Wei soldier on horseback | The Northern Wei was one of the Northern Dynasties Author: Guillaume Jacquet Source: Wikimedia Commons License: CC BY-SA 3.0

China was again divided up among competing dynasties, a state of affairs that would persist until 589 CE, during a time referred to as the **Northern and Southern Dynasties** (317 – 589). Six successive Southern Dynasties were all located at Jiankang, and had as their base of power the Yangzi River basin (see Map 3.2.2). But their rulers were usually militarily weak and lacked revenue, due to southern China's comprising a colonial frontier dominated by powerful families with large estates and private armies. These families highly valued their pedigrees, intermarried, and saw themselves as the heirs to Confucian civilization. At the southern court, they dominated high offices, thus constituting a hereditary aristocracy. The ruling family was always limited in power by their influence.

The situation was even more complex in the north. The kingdom established by Liu Yuan along the Yellow River was just one of numerous short-lived Northern Dynasties that contained non-Chinese chieftains of different ethnicities. The Liu rulers were Xiongnu, while others were of Turkic ancestry. At times, the north was divided among numerous, rival regimes. Other times, it was unified. But all of these kingdoms shared similar characteristics.

- They were ruled by military dynasts who wanted to restore the Chinese empire.
- Their armies consisted of an elite, heavily armored cavalry drawn from aristocratic military families that were supplemented by Chinese foot soldiers (see Figure 3.2.1).
- They employed educated Chinese to serve as civil officials and administer their territories.



Map 3.2.3: Map of the Sui Dynasty | Map of the Sui Dynasty, which reunified China at the end of the Period of Division. Neighboring states and peoples in Sui times, as well as the boundaries of modern China, are also indicated. Author: User "Arab Hafez" Source: Wikimedia Commons License: Public Domain

The Northern and Southern Dynasties came to an end in 589 CE after Yang Jian [yawng geean] established control over all of north China and then defeated the last southern dynasty. He ruled his new Sui [sway] Dynasty as Emperor Wen [one]. China was once again united under one dynasty (see Map 3.2.3).

3.7.2: China's Third Great Tradition: The Introduction of Buddhism to China

One notable development during the Period of Division was the introduction of Mahayana ("Great Vehicle") Buddhism into China. Beginning from the second century CE, at the end of the Han Dynasty, Buddhist merchants and monks from India and Central Asia brought their faith and scriptures to China by the Silk Roads and maritime trading routes (see Map 3.2.4). This immense impact can be compared to the Christianization of the Mediterranean region and the spread of devotional forms of Hinduism in South Asia. Historians estimated that by the time the Sui Dynasty reunited China four centuries later, China had approximately 33,000 Buddhist temples and two million monks and nuns. Buddhism had become a large-scale religious organization with these temples, clerics, and scriptures (see Figure 3.2.2), as well as a widespread popular faith capturing the imagination of common people and rulers alike.



Figure 3.2.2: Giant Buddhas Author: User "WikiLaurent" Source: Wikimedia Commons License: CC BY-SA 3.0

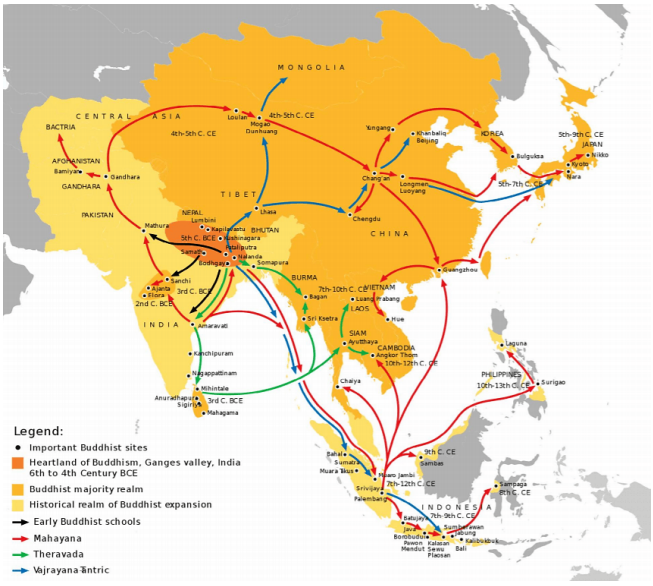
Historians have also hypothesized why this spread occurred. First of all, Buddhism clearly met a spiritual need. During the Period of Division, turmoil from rapid political change and constant warfare brought much suffering and instability to people's lives. Now, here was a religion that explained their suffering with notions of karma and rebirth and also offered hope with paths to salvation and enlightenment. Buddhism placed the world amidst visions of multiple hells and heavens where merciful Buddhas and Bodhisattvas worked for the salvation of all beings.

Buddhism appealed to people in different ways. Buddhist doctrines about the nature of reality, self, and enlightenment were

appealing because they seemed similar to concepts in Daoist philosophy. Both philosophies questioned the reality of ordinary understandings of the self and world, emphasized that our desires create an illusory world, and offered techniques for achieving liberation. Nirvana, for instance, was compared to the Dao (Daoist "Way").

For rulers, Buddhism served political purposes. Since the faith became so popular, rulers who took vows and sponsored temple construction and the ordination of monks looked good because they were upholding the dharma, that is, the Buddhist law. Some even went so far as to have monks recognize them as incarnate Buddhas. Lastly, Buddhist monks–whether foreign or Chinese–were some of the most educated people at their courts and could assist rulers with mundane matters, like international relations, but also esoteric ones, such as spells and divination. Monks won support by promising that their rituals and incantations had magical potency.

Lastly, for most people, Buddhism was a devotional religion. Buddhas and Bodhisattvas were merciful beings to be worshipped because their good karma redounded to the benefit of all beings. By going to a temple and burning incense or praying and making offerings before a Buddha statue, the faithful might have a simple wish granted: an illness cured, loved ones helped, or a better rebirth ensured.



Map 3.2.4: Expansion of Buddhism | This map shows how Buddhism spread to China and the rest of East Asia via land-based routes in Central Asia and maritime routes. Author: Gunawan Kartapranata Source: Wikimedia Commons License: CC BY-SA 3.0

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3.3: (Module 5) 3.8- The Tang Dynasty and the Emergence of East Asia

The Early Tang Dynasty

The Sui [sway] Dynasty did not last long (581 – 618 CE) and only had two emperors: Emperor Wen and Emperor Yang. Both envisioned recapturing the glory of the Han Dynasty. Thus, they engaged in many construction projects and military campaigns. Immense capital cities were built at Chang'an and Luoyang and, in order to supply them with sufficient grain, a canal system was created to connect the Yellow River to the Yangzi River. These emperors believed that Manchuria and the Korean Peninsula were properly Chinese territory, and repeatedly launched enormous military expeditions to attack the most powerful Korean kingdom. In 611 CE, Emperor Yang's ground and naval campaign required enlisting over one million combat troops and hundreds of thousands of additional men just to transport supplies. All of these campaigns met defeat.



Figure 3.3.1: Statue depicting a Tang Dynasty official holding a tablet with a report for his superiors | Giant Buddhas and other revered deities in Buddhism sculpted out of the walls of caves and cliffs in Longmen, China beginning from the Period of Division Author: User "Editor at Large" Source: Wikimedia Commons License: CC BY-SA 2.5

That very same year, the Yellow River flooded, and rebellions broke out along it. Natural disasters combined with these emperors' heavy demands led to widespread unrest, and the Sui Dynasty unraveled. Bandit leaders, local officials, and local elites took matters into their own hands by organizing their communities for self-defense. After the emperor took flight to the south, General Li Yuan [lee you-an], who was stationed along the northern border to defend against the steppe nomads, marched into Chang'an, where he declared the founding of the Tang Dynasty (618 – 907 CE). Emperor Yang's life came to an end when he was assassinated by his own men.

Like the Han Dynasty, the Tang was one of the most dynamic and long-lived dynasties in China's history. Early Tang rulers consolidated the empire internally and then engaged in military expansion (see Map 4.16). The consolidation required reestablishing solid political, economic, and military institutions. At the capital, Tang emperors had at their disposal sophisticated ministries that in turn oversaw a vast provincial and county administrative system. To serve in high office, a man usually had to come from one of a small number of highly prestigious families with illustrious family pedigrees. These families took pride in their superior education and manners and maintained their exclusiveness by intermarrying. Thus, the Tang Dynasty was dominated by an aristocracy. Nevertheless, some men from a larger pool of locally prominent families entered the civil service based on merit, by graduating from colleges located at the capitals or succeeding at civil service examinations (see Figure 3.3.1).



Map 3.3.1: The Tang Dynasty at its height in 700 CE Author: Ian Mladjov Source: Original Work License: © Ian Mladjov. Used with permission

In earlier times, empires rarely flourished without a solid agricultural foundation and revenue base. To ensure sufficient grain and labor service, Tang rulers believed that land must be equitably distributed to farmers. So they implemented the **equal fields system**, where each family was to receive an equal plot of land (adjusted for terrain and productivity) for life, as well as a smaller plot as a permanent possession. The former was for growing grain, and the latter, for hemp and mulberry trees. In exchange, each farming family had to pay a tax in grain and cloth and provide twenty days of labor service. To make this work, officials carried out censuses and land surveys and periodically redistributed land. Of course, this system was difficult to carry out in practice, but it did function well for about a century.

The Tang molded an orderly society through the use of sophisticated law codes. From ancient times, law was viewed as an expression of the will of the emperor, whose pronouncements defined illegal conduct and proper punishments for it. Also, law was critically important to maintaining order in the social and natural world. Crimes committed both by subjects and the state could disturb the cosmos and lead to natural disasters. Thus, law maintained social and cosmic harmony.

The **Tang Code** contains twelve sections. One addresses general principles; and the rest, administrative and penal law. Most of the statutes define criminal offenses and punishments. The magistrate's role was primarily to investigate and determine precisely the nature of the crime so that the proper punishment could be assigned. In Tang times, people believed that the severity of punishment should be based on the relative status of the perpetrator and victim. For instance, a crime committed against a family member was more serious than one committed against a stranger, and a crime committed against an official was more serious than one committed against a commoner. Within families, too, the status of members mattered. Whereas a father could flog his son without consequence, a son faced capital punishment should he beat his father.



Figure 3.3.2: Relief of soldier and horse from the tomb of Emperor Taizong Author: Yen Li-pen Source: Wikimedia Commons License: Public Domain

Lastly, Tang rulers established a formidable military. At first, the army consisted of six hundred militias stationed at headquarters located near the capitals and throughout the countryside, a large standing army located at the capital, and frontier garrisons strung out along the northern border. Tang rulers relied on a large number of families that maintained military traditions and provided sons for periods of service in lieu of paying taxes and providing labor service. As necessary, these men could be assembled into expeditionary armies consisting of heavy cavalry and marching infantry (see Figure 3.3.2).

Having laid these solid institutional foundations, the Tang Dynasty followed with military expansion. Offensives waged to the north divided up and subdued powerful Turkic khans and their confederations of steppe nomads. Tang imperial power was then projected deep into Central Asia, Manchuria, and northern Vietnam, making China the most dominant country in East Asia in the seventh and eighth centuries.

3.8.2: The Emergence of East Asia: The Case of Korea and Japan

In the introduction, we defined East Asia in both geographic and cultural terms, highlighting Korea and Japan. East Asia first emerges as an identifiable cultural sphere during the Tang Dynasty, when kingdoms had already emerged on the Korean Peninsula and the main islands of Japan. It was during this time that ruling elites in both of these states made extensive efforts to adapt components of the Chinese political, legal, and writing system, as well as of Chinese culture, to their own societies.

3.8.2.1: Korea's History from the Fourth Century BCE to 900 CE

We have already learned about China's history from the Han Dynasty (203 BCE – 220 CE) through the Period of Division (220 – 589 CE) and into the Tang Dynasty. During those same centuries, the first states formed on the Korean Peninsula, and historians generally organize that time into three periods: the early historical period (c. 400 BCE – 313 CE), **Three Kingdoms Period** (313 – 668 CE), and the **Silla Dynasty** (668 – 892 CE).

By the fourth century BCE, the peninsula had already long been populated by peoples who had migrated from northeast Asia and settled into agricultural villages. These people spoke languages belonging to the Altaic language family, which possibly includes Korean. This point is important because people unfamiliar with East Asia sometimes think that the languages *spoken* by Chinese, Koreans, Japanese, and Vietnamese are closely related, when in fact they are quite different. However, in ancient times, the Chinese writing system was adopted by literate elites for the purpose of writing their spoken languages. Only over time were native scripts developed out of it.

The political picture for the early historical period is complex because the peninsula and neighboring Manchuria looked like a mosaic of chiefdom confederations and petty kingdoms, each governed by elite families living in walled towns. These polities first took shape during these centuries. By the early centuries CE, three kingdoms extended from Manchuria to where Seoul lies today

(the capital of South Korea), while the southern half was divided up by confederations of chiefdoms. The most powerful kingdom was **Goguryeo** [Ko-gooryo] c. 37 BCE – 668 CE).

The Korean peninsula lies very close to China, with only Manchuria and the Yellow Sea dividing the two states. Long before Korea's early historical period, rulers of Chinese states had taken an interest in controlling both trade routes leading into this region and the peoples living there. In 108 BCE, during the Han Dynasty, Emperor Wu even sent expeditions into Manchuria and Korea. He opened up a corridor leading from China through Manchuria into the peninsula and established four commanderies to control the area (see Map 3.3.2).



Map 3.3.2: A map of Korea during the early historical period | After 108 BCE, Han China established commanderies in Korea. Lelang was one of them and was located where the capital of North Korea– Pyongyang–is today. The most powerful neighboring kingdom was Goguryeo. Mahan and Jinhan were southern tribal confederations. Author: User "Historiographer" Source: Wikimedia Commons License: CC BY-SA 3.0

But Han China by no means colonized the entirety of this northeastern region. Kingdoms and tribal confederations remained to the east and south, most notably Goguryeo. After the Han Dynasty collapsed, northern China was in turmoil and unable to control these frontiers. In 313 CE, King Mich'on of Goguryeo, in an effort to expand the size of his kingdom, seized Chinese territory. That date marked the beginning of a new stage in Korean history referred to as the **Three Kingdoms period** (313 CE – 668 CE).

The Three Kingdoms were Goguryeo, Baekje [peck-jay], and **Silla** [she-la] (see Map 3.3.3). Like Goguryeo, the early histories of Baekje and Silla date back to the early historical period, during which time they were consolidated from southern chiefdom confederations (see Map 3.3.2). Each kingdom was dominated by a warrior elite composed of the ruling and aristocratic clans. For most of the Three Kingdoms period, Goguryeo was the dominant military and political power, spreading its control over much of Manchuria and northern Korea.

During the fifth century CE, its capital was moved to Pyongyang, site of a former Han Commandery. This move made this city–the capital of North Korea today–important to Korean history. Murals on Goguryeo tombs located in the vicinity show what this kingdom's elites valued (see Figure 3.3.3). They are depicted as heavily-clad warriors fighting on horseback with bows and arrows, and swords and halberds. A cosmos depicts guardian spirits and nature gods belonging to a native Korean tradition of shamanism.

Given the geopolitical position of Korea, it is not surprising that all three kingdoms highly valued martial traditions.

- First of all, they fought with each other for control over territory and resources on the peninsula.
- Secondly, positioned as Korea is between China and Japan, those states often intruded upon peninsular conflicts.

For all these reasons, Silla, Baekje, and Goguryeo monarchs readily borrowed ideas from China that might benefit their realms and provide power. This action introduced elements of Chinese political institutions and legal traditions, as well as Buddhism and Confucianism. All of these kingdoms sent students to study in China and patronized Chinese Buddhist monks and learned Confucians who visited their courts. These visitors were knowledgeable in many fields of learning, including science and technology.

As we have seen, Buddhism not only promised salvation but also magical powers of healing, and rulers could style themselves as living Buddhas. That is why they sponsored the building of temples and formation of a Buddhist religious order. Confucianism, on the other hand, provided models of civility, courtly etiquette, and bureaucratic governance for ruling elites, and rulers could style themselves in Chinese fashion as sovereign monarchs. Hence, Confucian academies were established to train students of aristocratic families for service.



Map 3.3.3: Map of the Three Kingdoms Period in Korea, c. sixth century CE Author: User "Chris 73" Source: Wikimedia Commons License: CC BY-SA 3.0



Figure 3.3.3: Mural from a Goguryeo tomb, showing a warrior hunting Author: User "Maksim" Source: Wikimedia Commons License: Public Domain

Towards the end of the Three Kingdoms period, Silla Dynasty united the penisula.

- First, Silla rulers were particularly effective in using Chinese political practices to centralize their power. They adopted Chinese-style titles, central government agencies, and law codes; made Buddhism a state-sponsored religion; and established an academy for studying Chinese classical texts, law, medicine, and astronomy.
- Second, Silla monarchs built alliances with Tang emperors that worked to their advantage. As we have seen, the Chinese Sui Dynasty fell because Sui rulers suffered terrible defeats at the hands of the armies of the great kingdom of Goguryeo. Tang Dynasty rulers continued the invasions but also failed. For that reason, they were open to building alliances with Silla and combining their military forces. Together, they defeated Baekje in 660 and Goguryeo in 668. Much to the Tang emperor's surprise, Silla then drove out Tang forces, preventing any efforts on China's part to control the Korean peninsula. The Silla Dynasty (668 – 892 CE) thus became the first one to unify the peninsula (see Map 3.3.1).

In sum, Goguryeo and the Silla Dynasty were two of the most powerful kingdoms in ancient Korea. Their histories were deeply shaped by the intrusion of Chinese states into the region. For that reason, they can be categorized as instances of **secondary**

state formation. Throughout history, some states developed and centralized their control over a territory largely in response to the impact of a powerful neighboring state that had developed before them. As they did so, they also borrowed ideas for how states should be organized from that neighboring power, even as native traditions and language are retained.

3.8.2.2 Japan from the Yayoi Period to the Seventh Century

Those who follow the history of World War II might know that, during those years, the highest authority in Japan was Emperor Hirohito. Even today, Japan has an emperor and empress, although they no longer have any formal political power in the modern democratic nation and rather serve in a cultural and symbolic role. Interestingly, the Japanese monarchy is the oldest continuous one in the history of the world and traces its beginnings to at least the fourth century CE.

Japan's early historical development presents unique characteristics because of its geography. The island archipelago was close enough to Chinese and Korean states to borrow from them and benefit from migration and yet far enough away so that invasions were never a sudden impetus to change (see Map 4.5.1). Therefore, **secondary state formation** was largely because of the conscious choice on the part of ruling elites to adopt political ideas and cultural patterns from China and Korea.



Figure 3.3.4: An earthenware "flame pot" from the Jōmon Period, dating to c. 3000 BCE Author: User "Morio" Source: Wikimedia Commons License: CC BY-SA 3.0

In Japan, the first evidence for Paleolithic hunter-gatherers dates back to c. 30,000 BCE. In the resource-rich environments of mountainous and forested Japan, small bands of mobile, multi-generational families were able to thrive on game, shellfish, fruits, tubers, and nuts. In fact, foraging strategies were so successful that even when sedentary village communities first formed, they thrived without agriculture. This period of time is known as the **Jōmon** [joe-moan] **Period** (c. 11,000 – 500 BCE). The archaeological record reveals that foragers had settled into permanent base camps. These were hamlet communities made up of pit dwellings for homes and raised floor structures for holding community functions. Jōmon, meaning "cord-marked," refers to the type of pottery they used (see Figure 3.3.4). Uniquely, this culture invented and used pottery long before farming.



Figure 3.3.5: A reconstruction of Yoshinogari, a Yayoi Period chiefdom | It was located in northwest Kyushu and flourished c. first century BCE. Author: User "Sanjo" Source: Wikimedia Commons License: Public Domain

Farming began during the **Yayoi** [ya-yo-ee] **Period** (500 BCE – 250 CE). Most importantly, rice-paddy agriculture and dry-field farming were introduced, techniques that supported population growth and the formation of more and larger village communities. The impetus to agriculture was likely earlier experimentation with simple horticulture, a warming climate, and migration from mainland East Asia. Those migrants also brought knowledge of iron- and bronze-working; hence, tools and weapons fashioned from metals became widespread.

Japan evolved into something more substantial. Archaeologists have excavated the foundations of large settlements surrounded by moats and embankments (see Figure 3.3.5). These fortified bastions were home to up to two thousand residents and contained ceremonial centers, differentiated residences and burials, watchtowers, and palisades. Some burials contained skeletons evidencing wounds or dismemberment. Combining this evidence with clues from contemporary Chinese historical sources, specialists have concluded that, by the end of the Yayoi period, powerful chiefdoms had emerged in Japan, and they were allying with and battling each other to control trade routes and territory.



Map 3.3.4: Map depicting extent of the Yamato Kingdom c. seventh century CE Author: User "Morio" Source: Wikimedia Commons License: CC BY-SA 3.0

The late Yayoi Period clearly was a transitional phase leading to the formation of the first kingdom in Japanese history. That happened in the next stage, the **Mounded Tomb Period** (250 – 600 CE). Among the warring chiefdoms, one emerged as

dominant. Hailing from the Kinai region of Japan (see Map 4.5.1), Yamato chieftains expanded their power through force and diplomacy, and eventually forged a kingdom (see Map 3.3.4). The principal evidence for their growing power are the massive, keyhole-shaped tombs giving this period its name (see Figure 3.3.6). In fact, nearly ten thousand tombs have been identified, but the largest ones belong to the Yamato rulers, the ancestors of the long-lived Japanese imperial line. Although the large royal ones have not yet been excavated, smaller tombs containing an abundance of horse trappings, iron weapons, and armor provide evidence that mounted warfare was introduced from the Korean peninsula, perhaps accelerating the pace of state formation.



Figure 3.3.6: The Daisen Tomb in Osaka, Japan, c. fifth century | At 486 meters in length, this is the largest of the keyhole tombs. It was the burial site for a Yamato king. Author: Ministry of Land, Infrastructure and Transport Government of Japan Source: Wikimedia Commons License: © National Land Image Information (Color Aerial Photographs), Ministry of Land, Infrastructure, Transport and Tourism. Used with Permission.

As they conquered more territory, Yamato rulers devised strategies for strengthening their monarchy and incorporating leaders of the many powerful chieftain clans dominating local areas up and down the archipelago. For service at their royal court or as provincial officials, they granted them office and noble titles. In addition, in the sixth century CE, Yamato rulers began to study the great Sui (581 – 618 CE) and Tang (618 – 907 CE) Dynasties in China and to introduce reforms based upon what they learned. The next two centuries in Japanese history, the **Asuka-Nara** Period (c. 600 – 800 CE), was defined by these Chinese-style reforms, although the name itself refers to the successive locations of the royal court.



Figure 3.3.7: The Grand Shrine at Ise | This Shinto Shrine was first built c. fourth century CE in honor of the Sun Goddess Amaterasu, progenitor of the Japanese imperial line. According to legends, it contains the Amaterasu's sacred mirror, which was handed down to the first emperors. The shrine has been rebuilt many times Author: User "N yotarou" Source: Wikimedia Commons License: CC BY-SA 4.0

Prince Shōtoku [showtoe-coo] (573 – 621 CE) and **Empress Suiko** [sue-ee-ko] (r. 593 – 628) sent several embassies to the capital of China and then remodeled their capital and court. In his "Seventeen Article Constitution," Shōtoku called for the introduction of Buddhism and Confucian ethics. His articles stated that the sovereign's relation to subjects was like Heaven's to the earth, and his or her commands should thus be obeyed. Empress Suiko adopted the title "Heavenly Monarch," thus shifting the character of the monarch from a martial king to a Chinese-style sovereign. In brief, they introduced a Confucian-oriented, emperor-centered state ideology that clearly established a hierarchical system of ranks and norms for court etiquette. For the remainder of this period, other reformers and monarchs would only deepen the reforms by introducing Chinese-style law codes. These laws reshaped the government and land according to a bureaucratic and administrative structure very similar to that of Tang China.

Nevertheless, distinctly Japanese patterns remained throughout this time. First, the royally-recognized great clans of earlier times evolved into an aristocratic class that dominated the court and the upper ranks of officialdom. Secondly, in addition to establishing a council to manage the growing numbers of Buddhist temples and clerics, the court established a Council of Kami Affairs to oversee native Japanese religious traditions. That tradition is known as Shinto [sheen-toe], or the "Way of the Kami."

Shinto began in prehistoric times as reverence for kami—spirits and deities associated with natural phenomena, such as the sun or moon. Really, anything mysterious might become a kami, including a mountain, charismatic ruler, or serpent. During the Yayoi and Mounded Tomb Periods, these kami became the subjects of myths that explained their origins and powers, and shrines were erected to house sacred objects symbolizing them. By properly purifying oneself, conducting rituals, and praying to a kami, an individual could avert a disaster and ensure his own or the community's well-being. Also, clans would claim important kami as their guardian spirits and fashion stories about how their ancestors descended from them. In fact, Yamato monarchs claimed they were descended from the Sun Goddess Amaterasu, and constructed a shrine at Ise [ee-say] to house her kami body (see Figure 3.3.7). Finally, during the Asuka-Nara Period, the Yamato court developed a centralized system to keep track of and regulate Shinto shrines throughout its realm, thereby harnessing higher powers to support its claim to rule the land.

In sum, like Korea, Japan's history was highly impacted by developments in China, even as native languages, traditions, and creative adaptation remained foundational to the unique identities of each. However, Korea was far more subject to the intrusion of Chinese states in the Korean Peninsula, something that did not happen in Japan. Rather, as the first state formed on the archipelago, ruling elites looked to China for ideas as to how the kingdom might be governed. In the course of doing so, they also introduced the great tradition of Mahayana Buddhism.

3.8.3: The Decline and Collapse of the Tang Dynasty

The Tang Dynasty reached its zenith during the eighth century under the reign of Emperor Xuanzong (r. 712 – 756 CE), but then went into decline. At first, the problem was overexpansion. Tang rulers had expanded the empire's boundaries in nearly

every direction, including far into Central Asia. To defend the northwestern border, a system of regional frontier commands was established, each with its own commander and professional army. The earlier system of militias and garrisons manned by hereditary military families declined.

This decline turned out to be dangerous. After one general, An Lushan, butted heads with the emperor's chief minister, he marched his frontier army of 100,000 soldiers south to the capital, forcing the court to flee. An was eventually executed by his own men, and a Tang emperor returned to the throne, but the turmoil unleashed by this rebellion rendered the Tang Dynasty ineffective. During the ensuing turmoil, the empire shrank and Central Asia was lost (see Map 3.3.5). Also, both Tang supporters and pardoned rebels were granted military governorships, giving them control over provinces. Many then chose not to remit tax revenue to the central government, appointed their own subordinates, and designated their successors. They had, in effect, become warlords with their own loyal, regional bases.

Furthermore, as the political system decentralized in this way, the system of equitable land distribution collapsed. Thus, much like during the end of the Han Dynasty, landlords used their power and influence to build great estates. Large numbers of farmers ended up without land and survived only by joining bandit gangs or the ranks of warlord armies. When droughts and famine hit in the late ninth century, a massive rebellion broke out. The last Tang emperor was turned into a puppet by military commanders and eventually, in 907 CE, abdicated. China then entered yet another period of division until the Song Dynasty restored order in 960 CE.



Map 3.3.5: The Tang Dynasty in 800 CE | Note how Tang territory had shrunk after the An Lushan rebellion. Central Asia was now controlled by Tibetan and Turkic Uighur Empires Author: Ian Mladjov Source: Original Work License: © Ian Mladjov. Used with permission.

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3.4: (Module 5) 3.9- The Song Dynasty

After the Tang Dynasty fell, China was once again divided up by numerous, contending kingdoms. Out of this turmoil and warfare arose the Song Dynasty (960 – 1279 CE). The founder of the Song, **Zhao Kuangyin** [j-ow kwong-yeen], was a military commander and advisor to the emperor of one of these kingdoms. After the emperor's six-year-old son came to the throne, Zhao left the capital with his troops to fight enemies to the north. But just outside the capital, his troops proclaimed him emperor. He accepted when his followers promised obedience and to treat the child emperor and people living in the capital humanely.

On February 3, 960, the child was forced to abdicate, and Zhao took the throne as Emperor Taizu [tiedzoo]. The Song Dynasty saw a total of eighteen emperors and is most notable for the challenges it faced from northern conquest dynasties, economic prosperity, a **civil service examination system,** the educated elite of **scholar-officials** it created, cultural brilliance, and **footbinding**.

During the Song, China once again confronted tremendous challenges from conquests by military confederations located along the northern border. The first two northern conquest dynasties, the Liao [lee-ow] and Jin [jean], emerged on the plains of Manchuria when powerful tribal leaders organized communities of hunters, fishers, and farmers for war (see Map 3.4.1).



Map 3.4.1: The Northern Song Dynasty in 1100 CE | Note that China (in yellow, with the capital at Kaifeng) was surrounded by powerful neighbors, such as the Khitan Liao state to the north. Khitan designates an ethnic group and Liao the name of their dynasty. Author: Ian Mladjov Source: Original Work License: © Ian Mladjov. Used with permission

Halfway through the Song, the Jin Dynasty destroyed the Liao and occupied the entire northern half of China, forcing the Song court to move south (see Map 3.4.2). To rule Chinese possessions, Jin rulers even took on the trappings of Chinese-style emperors and developed a dual administrative system. Steppe tribes were ruled by a traditional military organization, while the farming population of China was governed with Chinese-style civilian administration. Thus, the Song Dynasty constantly faced the prospect of extinction and was challenged in its legitimacy by rival emperors claiming the right to rule the Chinese realm.



Map 3.4.2: China during the Southern Song Dynasty, c. 1200 CE | Another military conquest dynasty, the Jin, had destroyed the Liao Dynasty and forced the Chinese emperor to relocate his capital further south, at Lin'an. Author: Ian Mladjov Source: Original Work License: © Ian Mladjov. Used with permission.

One reason Song monarchs were able to buy peace was the extraordinary prosperity during their rule and the resulting tax revenue made available. During those centuries, China was one of the most developed country in the world. In 1100 CE, the population was one hundred million, more than all of medieval Europe combined. Flourishing agricultural production, especially rice-paddy agriculture, contributed to this growth. More drought-resistant and earlier-ripening strains of rice, combined with better technology, lead to higher yields per acre.

The productivity of farmers stimulated other industries, such as ironworking. Estimates place iron production at as high as twenty thousand tons per year. As a result, iron prices were low, and such products as spades, ploughshares, nails, axles, and pots and pans more cheaply available. Seeing its profitability, wealthy landowning and merchant families invested in metallurgy, spurring better technology. For example, bellows were worked by hydraulic machinery, such as watermills. Explosives derived from gunpowder were engineered to open mines. Similar development in the textile and ceramic industries occurred.

During the Song, China underwent a veritable economic revolution. Improvements in agriculture and industry, combined with a denser population, spurred the **commercialization** of the economy. (A commercialized economy is one that supports the pursuit of profit through the production of specialized products for markets.) For example, a farmer would choose to purchase rice from a market and then grow tea and oranges. Since markets were expanding in towns and cities and transport via land and water was now readily available, farmers could rely on merchants to market their goods across the country. To support this economic activity, the government minted billions of coins each year, as well as the world's first paper currency.

A denser population and sophisticated economy led to urbanization. At a time when London (England) had roughly fifteen thousand people, China had dozens of cities with over fifty thousand people and capitals with a half million. Song painted scrolls showing crowds of people moving through streets lined with shops, restaurants, teahouses, and guesthouses (see Figure 3.4.1).

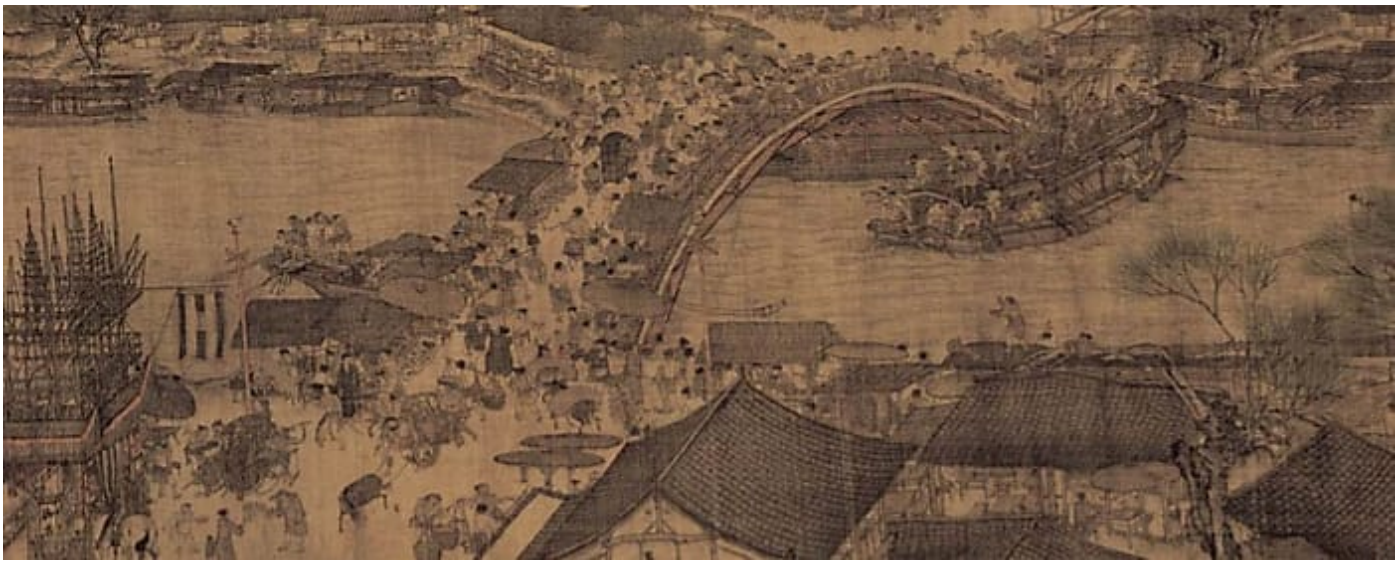


Figure 3.4.1: This section of a Song Dynasty period scroll depicts a bridge in Kaifeng, the first capital. Author: User "Zhuwq" Source: Wikimedia Commons License: Public Domain

To manage their realm, Song rulers implemented a **national civil service examination** to recruit men for office. The first Song emperor, Zhao Kuangyin, rode to power with the support of military men. Having largely unified China, he sought to restore civil governance based on Confucian principles of humaneness and righteousness. He asked the senior commanders to relinquish their commands for a comfortable retirement. They obliged. As a result, the examination system became the pre-eminent route to office. Indeed, a national school system was established to help young men prepare for and advance through it.

Thus, during the Song Dynasty, civil offices came to be dominated by men who had spent years, even decades, preparing for and passing through a complex series of exams. Hence, they were both scholars and officials. Entering this social class placed a person at the pinnacle of society, guaranteeing them prestige and wealth. These **scholar-officials**, and their Confucian worldview, dominated Chinese society until the twentieth century.

In theory, since any adult male could take the examinations, the system was meritocratic. But in reality, because they were so difficult and quotas were set, very few actually passed them. Estimates suggest that only one in one hundred passed the lowest level exam. This ratio meant that, in order to succeed, a young man had to begin memorizing long classical texts as a child and to continue his studies until he passed or gave up hope. Only affluent families could afford to support such an education.

As a part of a literary revival and to provide a curriculum for education, scholar-officials sought to reinvigorate Confucianism. The philosophical movement is known as **Neo-Confucianism**. By the Song Dynasty, Confucianism largely shaped personal behavior and social mores. Meanwhile, Buddhist and Daoist explanations of the cosmos, human nature, and the human predicament dominated the individual's spiritual outlook. NeoConfucians responded to this challenge by providing a metaphysical basis for Confucian morality and governance.

Zhu Xi (1130 – 1200), arguably the most important philosopher in later imperial Chinese history, produced a grand theory that would shape the worldview of the scholar-official class. He argued that the cosmos consists of a duality of principles and a material force composing physical things. One principle underlies the cosmos and individual principles provide the abstract reason for individual things. In human beings, principle manifests as human nature, which is wholly good and the origins of the human capacity to become moral persons. However, an individual's physical endowment obscures their good nature and leads to moral failings, which is why a rigorous Confucian curriculum of moral self-cultivation based in classical texts like Confucius' Analects is necessary. Most importantly, Zhu Xi argued, individual morality was the starting point for producing a well-managed family, orderly government, and peace throughout the world.

Furthermore, during the Song Dynasty, moveable-type printing also began to be widely used, contributing to an increase in literacy and broader exposure to these new ideas. Chinese characters were carved on wood blocks, which were then arranged in boxes that could be dipped in ink and printed on paper (see Figure 3.4.2). Books on a multitude of topics became cheaply and widely available. Other inventions that made China one of the most technologically innovative during this time include gunpowder weapons (see Figure 3.4.3) and the mariner's compass.



Figure 3.4.2: A woodblock used to print one page of classical Chinese | The characters read from top to bottom and right to left. During the Song, individual, moveable woodblocks with one character were also carved and arranged in square frames. Author: User “Vmenkov” Source: Wikimedia Commons License: CC BY-SA 3.0

The Song was truly a dynamic period in China’s history. However, some modern historians have bemoaned the fact that **footbinding** began, and see that practice as a symbol of increasing gender oppression. Scholars believe footbinding began among professional dancers in the tenth century and was then adopted by the upper classes. Over time it spread to the rest of Chinese society, only to end in the twentieth century. At a young age, a girl’s feet would be wrapped tightly with bandages so that they couldn’t grow, ideally remaining about four-inches long. That stunting made walking very difficult and largely kept women confined to their homes. Eventually, the bound foot, encased in an embroidered silk slipper, became a symbol of femininity and one of the criteria for marriageability (see Figure 3.4.4).



Figure 3.4.3: Buddhist scroll (c. 950) showing demons threatening the Buddha with a bomb and fire lance |Author: User “Vmenkov” Source: Wikimedia Commons License: CC BY-SA 3.0

During the Tang Dynasty, alchemists attempting to produce an elixir of immortality accidentally invented gunpowder when experimenting with saltpeter, sulfur, and charcoal. The earliest evidence of gunpowder is in this scroll. The fire lance is a predecessor to the gun. Gunpowder and projectiles were placed in a tube and projected at the enemy. True guns and cannons are developed during the thirteenth century, towards the end of the Song Dynasty.



Figure 3.4.4: Silk slipper for a bound foot, dating to a later Chinese dynasty. Author: User “Vassil” Source: Wikimedia Commons License: CC0 1.0

More generally, social norms and the law did place women in a subordinate position. Whereas men dominated public realms like government and business, women married at a young age and lived out most of their lives in the domestic sphere. Indeed, in earlier times, China was

- patriarchal--the law upheld the authority of senior males in the household
- patrilineal--one’s surname and family property passed down the male line
- patrilocal--a married woman moved into the spouse’s home, where she would live together with her parents-in-laws



Figure 3.4.5: Painting of ladies at the Song court preparing silk. Author: Museum of Fine Arts, Boston Source: Wikimedia Commons License: Public Domain

Some scholars have observed that ideals were not always reality. Song literature reveals that women were often in the fields working or out on city streets shopping. Among the upper classes, literacy and the ability to compose essays or poetry made a woman more marriageable. For example, Li Qingzhao [lee ching-jow] (c. 1084 – 1155) is one of China’s greatest poets (see Figure 3.4.6). She came from a prestigious scholar-official family. In her teens, Li began to compose poetry, and, over the course of her life, she produced many volumes of essays and poems. Poems to her husband even suggest mutual love and respect and treating her as an equal. In fact, throughout Chinese history, it was not unusual for women to challenge and transgress boundaries. At the highest level, during both the Han and Tang Dynasties, we find cases of empress dowagers dominating youthful heirs to the

throne and even one case of an empress declaring her own dynasty.



Figure 3.4.6: A modern statue of Li Qingzhao placed in a museum built in her honor. | The museum is located in Jinan, China, her hometown. Author: User “Gisling” Source: Wikimedia Commons License: CC BY 3.0

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3.5: Chronology of China and East Asia to the Ming Dynasty

China

8000 – 2000 BCE Neolithic Cultures in China

5000 – 3000 BCE Yangshao Culture

3000 – 1900 BCE Longshan Culture

c. 1900 – 1600 BCE Xia Dynasty

c. 1600 – 1046 BCE Shang Dynasty

1045 – 256 BCE Zhou Dynasty

1045 – 771 BCE Western Zhou

770 – 256 BCE Eastern Zhou

551 – 479 BCE Confucius

475 – 221 BCE Warring States Period

221 – 210 BCE Qin Dynasty

221 – 210 BCE First Emperor of Qin

202 BCE – 220 CE Han Dynasty

141 – 87 BCE Emperor Wu

220 – 589 CE Period of Division

220 – 280 CE Three Kingdoms Period

155 – 220 CE Cao Cao

265 – 317 CE Western Jin

317 – 589 CE Northern and Southern Dynasties

581 – 618 CE Sui Dynasty

618 – 907 CE Tang Dynasty

960 – 1279 CE Song Dynasty

1271 – 1368 CE Yuan Dynasty

1215 – 1294 CE Kublai Khan

1368 – 1644 CE Ming Dynasty

Korea

c. 400 BCE – 313 CE Early Historical Period

313 – 668 CE Three Kingdoms

c. 37 BCE – 668 CE Goguryeo Dynasty

668 – 892 CE Silla Dynasty

Japan

11,000 – 500 BCE Jōmon Period

500 BCE – 250 CE Yayoi Period

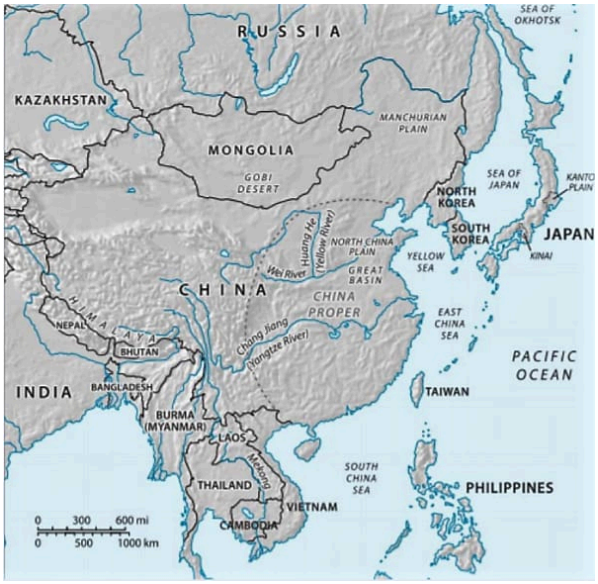
250 – 600 CE Mounded Tomb Period

600 – 800 CE Asuka-Nara Period

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3.6: Geography of East Asia

In the second millennium BCE, China's first dynasty began. Historically, the bulk of the ancient Chinese population lived in **China proper** (see Map 3.6.1). To the east, China proper is bounded by the Yellow Sea, East China Sea, and the South China Sea. To the south are the mountainous jungles of Southeast Asia. To the west and north, China is rimmed by a transitional frontier zone where land suited to agriculture gives way to mountains and plateau or vast expanses of steppe grasslands and desert. At times, the dynasties of China became actively involved in all of these neighboring areas, incorporating them directly into their expanding empires or indirectly as subordinate, tribute-paying states. Those areas included parts of the modern-day Korean Peninsula, Northeast China, Mongolia, Central Asia, and Vietnam.



Map 3.6.1: East Asia Author: Larry Israel Source: Original Work License: CC BY-SA 4.0

Within China proper, two rivers were particularly important to the formation of agricultural communities: the **Yellow River** and **Yangzi River**. The Yellow River meanders through the northern half of China, where a cool, dry climate is well-suited to wheat and millet farming. Beginning far to the west, this river meanders over dusty plateau, becomes muddied with silt, and then deposits this sediment along its middle and lower reaches. The plains surrounding these reaches are collectively referred to as the **North China Plain**. Historically, this was the heartland of Chinese civilization. However, the Yangzi River was just as important. Located in south China where the weather is relatively warmer and wetter, its long basin provided fertile soil for rice-paddy agriculture. Over time, the early dynasties expanded into and included the settled agricultural communities in this region.

Japan is an island country consisting of four main islands and many smaller ones located off the Pacific coast of the Asian continent. At 400,000 square kilometers, the terrain is more rugged, covered by mountains, and traversed by numerous rivers. Only fifteen percent of the land is suited to agriculture. Much of that was concentrated in two plains–the Kinai Plain and Kanto Plain–making them particularly important to Japan's early history. Japan is also located along the Pacific Ring of Fire, where tectonic plates composing the earth's crust frequently move and collide. That is why earthquakes and volcanic activity have been a constant threat to populations living on these islands.

The **Korean Peninsula** is the location of North and South Korea today. Prior to the twentieth century, it saw a long succession of Korean kingdoms. Extending roughly 1100 kilometers southward from the Asian landmass, the peninsula is bounded by seas to the east, west, and south, and defined by the Yalu River to the north. BBcause the peninsula lies between China to the north and west and Japan to the east, Korean dynasties have been deeply impacted by these states' histories and cultures. Like Japan, Korea is also mountainous, although coastal areas and plains located to the west and south were well-suited to agriculture.

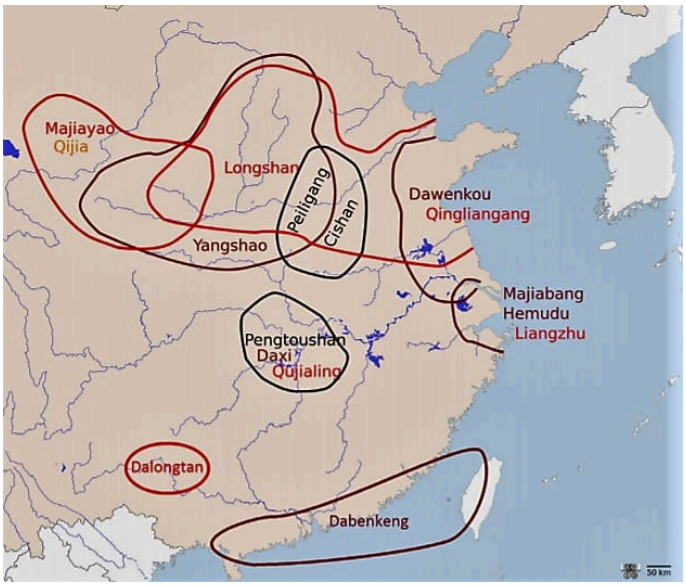
The countries of East Asia share in the region's temperate climate and summer monsoon season. During the summer months, warm and moist air originating from the Pacific flows from southeast to northwest, while during the winter months cold and dry air originating from Central Asia moves in the opposite direction. Thus, those areas of East Asia located further to the east and south are generally warmer and wetter, and for longer periods of time. This climate is well-suited to rice-paddy agriculture, and rice

consequently became the primary cereal crop in southern China, the Korean peninsula, and the islands of Japan. While growing rice is labor-intensive, this grain also offers high yields per unit of land, so it has supported population growth in these countries and, therefore, the formation of vibrant civilizations.

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3.7: China from Neolithic Village Settlements to the Shang Kingdom

Chapters Two and Three covered the development of the first major civilizations of Mesopotamia, Egypt, and India. In each case, rivers were particularly important to that process because they offered a stable supply of water for agriculture. Similarly, the first major states emerged along China's second longest river–the **Yellow River**. These states are the **Xia** [shee-ah] **Dynasty** (c. 1900 – 1600 BCE), **Shang** [shawng] **Dynasty** (1600 – 1046 BCE), and **Zhou** [joe] **Dynasty** (1045 – 256 BCE). Each of these kingdoms was ruled by a line of hereditary monarchs hailing from one lineage, which is why they are also referred to as dynasties.



Map 3.7.1: Neolithic cultures in China c. 4000 BCE | Note the location of Yangshao culture along the upper and middle reaches of the Yellow River, where nearly a thousand settlements have been identified by archaeologists. Author: Lamassu Design Source: Wikimedia Commons License: CC BY-SA 3.0

Written sources don't become available until the Shang Dynasty. So, historians have relied heavily on the archaeological record to reconstruct the process by which these states arose. Looking back at the end of the Paleolithic era (c. 10,000 BCE), East Asia was sparsely populated by bands of foragers living in temporary settlements. During the eighth millennium BCE, in China, some of these hunter-gatherers turned to domesticated cereals for a stable food supply and settled into villages so they could cultivate them. Thus, the Neolithic Age (8000 – 2000 BCE) commenced.



Figure 3.7.1: Neolithic cultures in China c. 4000 BCE | Note the location of Yangshao culture along the upper and middle reaches of the Yellow River, where nearly a thousand settlements have been identified by archaeologists. Author: Lamassu Design Source: Wikimedia Commons License: CC BY-SA 3.0

Over the course of those six millennia leading up to the Xia Dynasty, Neolithic communities became more diverse and complex. For instance, for the period 5000 – 3000 BCE, archaeologists have identified at least eight major regional Neolithic cultures located along rivers and coasts (see Map 3.7.1). One example is **Yangshao culture**, which was concentrated along the middle reaches of the Yellow River. Over one thousand sites left behind by millet-farming village communities have been discovered. Jiangzhai (c. 4000 BCE), for instance, was a moated village settlement that occupied roughly thirteen acres (see Figure 3.7.1). It was composed of related lineages and tribal in organization.

During the third millennium BCE, Yangshao culture was gradually supplanted by Longshan culture (c. 3000 – 1900 BCE), which emerged further to the east, along the middle and lower reaches of the Yellow River. In 1928, archaeologists found evidence of a culture that included the ruins of numerous walled towns with cemeteries outside (see Map 3.7.2). Their rammed-earth walls protected urban areas with public buildings, roads, and drainage systems. The cemetery's arrangement suggests that people living in the towns were buried alongside clan members, but also that some members were wealthier and more powerful. While most graves had nothing but a skeleton, others contained numerous artifacts, such as pottery and jade.



Map 3.7.2: Location of Yangshao culture (5000-3000 BCE) and Longshan culture (3000-1900 BCE) | Note that they overlapped, but also that Longshan culture came later and eventually supplanted Yangshao culture. Author: Lamassu Design Source: Wikimedia Commons License: CC BY-SA 3.0

During the third millennium BCE, population grew and some of it shifted from villages to walled towns. These walled towns developed into political and economic centers exercising control over and serving as protection for surrounding communities. Individuals with more elaborate graves were likely political and religious leaders, and served as chieftains. Hence, numerous competing chiefdoms emerged, providing the foundation for more powerful kingdoms to follow.

Ancient Chinese histories identify the first major kingdom as the **Xia Dynasty** (c. 1900 – 1600 BCE). However, lacking written evidence from the dynasty itself, specialists have been unable to definitively establish its location. Nevertheless, most agree that the Xia capital was located along the Yellow River at Erlitou [are-lee-toe] (see Map 3.7.2). At its peak of activity from 1900 – 1600 BCE, Erlitou included a central, walled palace complex (see Figure 3.7.2), workshops for the production of bronze and pottery, and elite burials containing bronze weapons and jade, suggesting a socially stratified, Bronze Age civilization and kingdom. That is why many historians identify it as the capital of the Xia Dynasty.



Figure 3.7.2: Bronze ritual vessel for heating and drinking wine found at Erlitou Author: User “Editor at Large” Source: Wikimedia Commons License: CC BY-SA 2.5

With the **Shang Dynasty** (1600 – 1046 BCE), we formally step into China’s historical period. In 1899, a Chinese scholar came across mysterious bones that were being ground up for use as medicine. He immediately recognized that the Chinese characters inscribed on them were very ancient. Subsequently, the origin of these bones was traced to fields in **Anyang** [anneyawng], China where, beginning in 1928, excavations were carried out. Similar to the discovery of the Indus Valley Civilization, a lost civilization was revealed on the North China Plain (see Map 3.7.3).



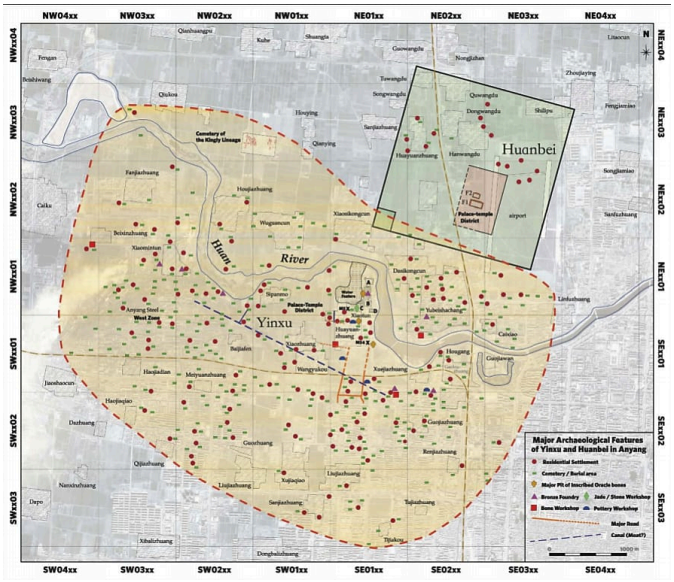
Map 3.7.3: Shang Dynasty | This map of the Shang Dynasty shows its capital (Anyang) and boundaries. The Shang centered in the North China Plain, along the lower reaches of the Yellow River. The other labels indicate names given by the Shang rulers to tribal peoples surrounding the kingdom Author: Corey Parson Source: Original Work License: CC BY-SA 4.0

The findings were substantial. A diverse array of settlements with a royal capital at the center covered nearly thirty square kilometers (see Map 3.7.4). Archaeologists have identified 53 pounded earth foundations as the floors of royal palace-temples and the ruins in their vicinity as residential areas for elites and commoners; sacrificial pits; and workshops for the production of bronze, pottery, and stone. Also, a royal cemetery with eight large tombs and dozens of smaller ones lies to the northwest. The larger graves were roughly half the size of a football field, each accessible through four ramps whose orientation to the cardinal directions gives them the appearance of crosses. Deep down at the bottom of each tomb's central shaft, wooden chambers were built to house the dead bodies of Shang kings. Dozens of human skeletons were placed above and below these, presumably as servants to accompany rulers in the afterlife. (View reconstruction of a Xia Dynasty palace at Erlitou at the following link: http:// www.waa.ox.ac.uk/XDB/images/ world/tours/china-erlitou2.jpg).



Figure 3.7.3: Royal Tomb of Lady Fu Hao | The royal tomb of Lady Fu Hao, principal consort to King Wu Ding. Shang royalty were buried with a rich assortment of personal belongings, bronzes, and servants. Author: Chris Gyford Source: Wikimedia Commons License: CC BY-SA 3.0

From 1200 to 1046 BCE, **Anyang** served as the last capital of the Shang Dynasty. It was at the center of a loosely governed territorial state located on the North China Plain. Shang kings directly governed the capital and its vicinity, but likely controlled areas farther out by building confederations with locally powerful lineage chieftains, and regularly hunting, warring, and carrying out rituals with them. Some of those leaders were directly related to the Shang kings, and some were allies by marriage.



Map 3.7.4: Shang Dynasty Site at Anyang | This map shows features of the Shang Dynasty site at Anyang, including the location of the palaces and temples of the last nine Shang kings. Yinxu is a Chinese term for Shang ruins. Author: Zhichum Jing, Ph.D. Source: Original Work License: © Anyang Work Station of the Institute of Archaeology at the Chinese Academy of Social Sciences. Used with permission.

Bones help us understand this kingdom. Most of the two hundred thousand fragments found are either turtle plastrons or scapula from cows. Interestingly, these were used for divination, which is why they are called **oracle bones** (see Figure 3.7.4). When Shang kings or their diviners sought to know the future, they would proceed to a temple erected in honor of a Shang deity or the spirits of deceased ancestors in the royal line. Before a stone tablet, they would make a statement about what might happen (for example, "It will rain," or "If we attack the Mafang [high god], Di will confer assistance on us"), and then apply heat to a hole bored into a bone until it cracked. The crack was viewed as the response from the god or spirit. The king would then determine whether or not it was auspicious, and a record would be inscribed on the bone, sometimes including the actual outcome (see Figure 3.7.5).

These artifacts indicate that the Shang elites believed that a high god Di, nature gods, and the spirits of deceased kings controlled the future. That is why Shang kings had massive bronzes cast and carried out sacrifices for them. The bronzes were filled with food and placed at the temples, literally to feed the spirits. Likewise, the sacrificial pits show that a substantial shedding of blood for these higher powers was a regular occurrence. Shang elites worshipped their ancestors and frequently divined to determine their will.



Figure 3.7.4: Cache of oracle bones found at Anyang, China Author: Xuan Che Source: Wikimedia Commons License: CC BY-SA 3.0



Figure 3.7.5: An individual scapula showing the cracks made and Chinese characters inscribed during the divination process Author: Herr Klugbeisser Source: Wikimedia Commons License: CC BY-SA 3.0

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3.8: The Long Zhou Dynasty (1046- 256 BCE)

After the Xia and Shang, the next major dynasty in Chinese history is the **Zhou Dynasty** (1045 – 256 BCE). In 1046 BCE, a Zhou king overthrew the last Shang ruler and established control over much of north China. During the **Western Zhou** (1046 – 771 BCE), Zhou kings dispatched kinsmen to territories he granted to them (see Map 3.8.1). These nobles were allowed to rule their own lands hereditarily, so long as they observed certain obligations to their king.

Over time, Zhou kings lost their ability to control these lords, and the lords became increasingly independent. In 771 BCE, in what became a telling sign of weakness, the Zhou king was murdered and his young successor was compelled to relocate farther east, to a capital closer to the heart of the North China Plain. This move marked the beginning of the Eastern Zhou (770 – 256 BCE). Over a half millennium, Zhou nobility engaged in escalating warfare with each other over matters small and large. As they did so, their lands evolved into powerful states (see Map 3.8.2). Eventually, the noble lords of the most powerful states declared themselves as kings, and fought to gain control over all of China. During the third century BCE, the Zhou Kingdom was destroyed and one of these warring states, the **Qin** [Cheen] **Dynasty**, prevailed over the rest.

But these centuries were not only marked by the growth of states and accelerating warfare between them. Burgeoning turmoil also inspired much thinking about what was needful to restore order and create a good society, as well as what defined the good life. Two major philosophical traditions emerged to address these issues: **Confucianism** and **Daoism**.

3.4.1: The Western Zhou Dynasty (1046 – 771 BCE)

In the eleventh century BCE, the Zhou state was a minor power on the western periphery of the Shang realm, located along the Wei [way] River. In 1059, upon witnessing five planets align, the Zhou ruler declared himself king and proceeded to engage in military conquests that made his kingdom a regional power. King Wen ("Cultured King") was this ruler, and revered as the founder of the Zhou dynasty. But it was his son **King Wu** ("Martial King") who brought down the Shang Dynasty. In 1046, with three-hundred chariots and 45,000 foot soldiers equipped with bronze armor and pole-mounted dagger-axes, he met and decisively defeated the last Shang king and his army.

Then, King Wu returned to his capital in the Wei River Valley, where he passed away in 1043 BCE. His young son took the throne, but was placed under the regency of Wu's capable brother, the Duke of Zhou. Now, the Zhou royal court was faced with the task of governing newly conquered territory, including the former lands of the Shang Dynasty. The king and his regent did so by implementing three policies.

- First, they established a secondary capital farther east at Luoyang [low-yawng], closer to the North China Plain.
- Second, they issued proclamations explaining to conquered peoples why they should accept Zhou rule. According to the Duke of Zhou, Heaven had decreed that Shang kings must fall and Zhou rulers should replace them. The Shang dynasty had begun with wise and benevolent rulers, but later kings were cruel and incompetent, and failed to see to the well-being of their subjects. Thus, the dynasty had lost this sanction. This political theory, which is known as the **Mandate of Heaven**, would also be used by founders of later dynasties to justify their actions, as well as by theorists to explain the rise and fall of dynasties.
- The third policy was to dispatch royal kinsmen to strategically critical locations for the purpose of establishing colonies. At their royal palaces, Zhou kings conducted ceremonies of investiture during which they sacrificed to Heaven and the spirits of deceased ancestors, held banquets, and then bestowed noble titles and grants of land upon members of the royal family and relatives by marriage. Large bronzes were cast to commemorate these occasions (see Figure 3.8.1). These kinsmen took their families, contingents of soldiers, and emblems of nobility to the granted territory and set up palaces and ancestral temples in walled towns. From there, they governed a predominantly rural population of farmers living in villages where life was not easy. Living in hovels and with little opportunity to leave their lord's manors, these farmers were required to work his lands and also to submit a portion of the harvest from their own small farms.



Figure 3.8.1: Western Zhou Bronze Ritual Vessel | A Western Zhou bronze ritual vessel with an inscription commemorating events at the court of King Wu. The king had ordered the Duke of Zhou's son to assume new roles at the Zhou royal court, and the bronze was cast to celebrate his appointments Author: User "Daderot" Source: Wikimedia Commons License: CC0 1.0

Historians call this method of governing **Zhou kinship feudalism**. Feudalism is generally a political and economic system characterized by fragmented authority, a set of obligations (usually of a military nature) between lords and vassals, and grants of land ("fiefs") by rulers in exchange for some type of service. Indeed, Zhou kings granted land and noble titles to kinsmen in exchange for obedience, periodic visits to the king's palace, tribute, and military support. However, aside from the presence of royal overseers, a hereditary lord enjoyed relative sovereignty in his own domain. The glue that held the Zhou feudal order together was deference to the king and his Mandate and reverence for their shared history–including, most importantly, the deceased spirits of their related ancestors.

Over time, Zhou kings' ability to control the noble lords diminished over time, and their prestige suffered accordingly. There were two principal reasons for this.

- Over time, ties of kinship lost their meaning. In later generations, lords simply became more interested in and identified with their own territories, and they had little sense of solidarity with distant cousins ruling neighboring feudal states. Hence, it is hardly surprising that many lords ceased to pay visits to the king's court.
- Second, Zhou kings were unable to impose their will on feuding feudal lords and were even defeated by them in several military campaigns. For example, in 771 BCE, King You [yo] was attacked by the allied forces of the lord of Shen and tribal peoples residing out west. The capital was sacked, and he was killed. Other states came to the rescue, relocating the king's son, Prince Ping, to the eastern capital at Luoyang. Zhou kings remained there for the next five hundred years, during the period called the Eastern Zhou.



Map 3.8.1: The Western Zhou Dynasty | The capital was located along the Wei River valley, at Haojing. The names of states granted by early Zhou kings to kinsmen and allies, along with their capitals, are indicated. Author: User “Philg88” Source: Wikimedia Commons License: CC BY-SA 3.0

3.4.2: The Eastern Zhou Dynasty (770 – 256 BCE) and the Warring States Period (c. 475 – 221 BCE)

Relocated to Luoyang, King Ping ruled from a much smaller royal domain surrounded by approximately 150 feudal states and their lords. No longer able to impose their will on unruly noble lineages, Zhou kings failed to maintain a semblance of peace and order throughout the realm. Instead, this warrior nobility engaged in an escalating contest for power and prestige.

After 540 wars were fought over two centuries, only fifteen states remained by 475 BCE (see Map 3.8.2). But they fought even more fiercely. Over the next 250 years, during what is referred to as the **Warring States Period** (475 – 221 BCE), these states averaged one major battle per year until, at the very end, only the state of **Qin** [cheen] remained. (The line of Zhou kings had, however, already been extinguished in 256 BCE, so that date marks the end of the Eastern Zhou Dynasty.)

As the frequency and scale of warfare escalated, and states gradually gobbled each other up, the way feudal lords governed their states and conducted military campaigns changed. Prior to the Warring States Period, Zhou kings were still accorded a level of respect, at least as symbols of unity and nominal heads of the Zhou feudal order. At this point, the many lords had no intention of toppling the king; rather, seeing his military weakness, the most powerful ones stepped in to enforce order. The first was Duke Huan of Qi [who-an of chee]. He held this title (“duke”) and fief (Qi) because his distant ancestor had served as a commander under King Wu during the Zhou founding. Now, many generations later, his state was a formidable power on the east coast. In 651 BCE, he convened an interstate meeting with other lords to discuss matters of order and security. Upon being elected as their leader, the Zhou king conferred the title of **hegemon**. In this capacity, Duke Huan had the authority to resolve disputes between nobles on behalf of the king.



Map 3.8.2: **Eastern Zhou States (fifth century)** | Map of the Eastern Zhou states as they looked during the fifth century BCE. The Zhou kingdom itself had relocated farther east, with its capital at Chengzhou. The map also highlights the state of Qin. This rising power to the west would eventually conquer all of China and establish an empire Author: User "Yug" Source: Wikimedia Commons License: CC BY-SA 3.0

Over the next two centuries, this title changed hands several times. These hegemons periodically convened interstate meetings to manage such matters as misbehaving states or foreign invasions. Attending lords cemented their agreements by swearing oaths and drinking the blood of sacrificed animals. Yet, although hegemons maintained a semblance of order, warfare remained constant because it was a way of life for the illustrious lineages of the Zhou realm.

Noble lords loved to demonstrate their prowess and raise their prestige through success in hunting and battling. A noble looked for a pretext to engage in a vendetta with another lord, at which point a battle was arranged and then carried out according to the protocols of chivalry. After announcing the impending campaign at the ancestral temple, a lord and his kinsmen, accompanied by farmer foot soldiers, would proceed in their chariots to a prearranged location and engage in a skirmish. In victory, a noble redressed matters of honor and brought glory to his ancestors, something symbolized by the mound of dead enemies placed by his ancestral temple.

However, with the onset of the Warring States Period in the fifth century BCE, the level of violence was no longer contained by the hegemon system and codes of chivalry. Both the purpose and conduct of warfare changed. Lords of the seven most powerful states lost respect for the Zhou kings and even assumed the same title, thus claiming the right to unify all of China under their rule. As opposed to serving a lesson to and resolving some dispute with another lord, these self-declared kings waged war to destroy them and take their land.

During the Warring States, rulers introduced large armies composed of mass infantry and cavalry. Soldiers were equipped with armor, crossbows, halberds, dagger-axes, and swords manufactured from bronze, iron, leather, and wood in royal workshops located at capital cities. (View the image of a Warring States Period soldier at the following link: http://brandonqindynasty.weebly.com/...9/8580061.jpeg. One description of an elite soldier states that he wears heavy armor, shoulders a large crossbow and fifty arrows, straps a halberd to his back, buckles a helmet to his head, and places a sword to his side.)

Kings also militarized their kingdoms' landscapes by building forts at strategically critical passes, walls to mark off boundaries, and watchtowers to signal the enemy's approach. Finally, these rulers no longer relied solely on close kinsmen to wage war alongside them. Rather, they created a class of military commanders and specialists whose promotion was based on their ability to produce victories in the field.

During this time, some of China's greatest military treatises were written, most notably the ***Art of War*** by Master Sun [sue-in]. Master Sun was a military commander and strategist who served the lords of the state of Wu just prior to the onset of the Warring States period (c. fifth century BCE). This manual of military strategy and tactics stresses the importance of formulating a strategy that ensures victory prior to any campaigning. Stratagem is critical. "All warfare is deception," Master Sun states. "Hence, when able to attack, we must seem unable; when using our forces, we must seem inactive; when we are near, we must make the enemy believe we are far away; when far away, we must make him believe we are near."

Prior to the Warring States Period, it was the norm for nobility to hand out land in their states to kinsmen, just as it had been for the king during the Western Zhou. This practice meant that lesser but related aristocratic lineages lived in estates across each noble's territory, while also serving as ministers at his court. For a king, however, these men might become an obstacle or pose a threat because they held this land hereditarily. Therefore, they devised better ways to control land in their realms.

Whenever new territory was added or a noble line was extinguished, kings created counties and appointed magistrates to manage the villages and towns in that area. The magistrate's job would be to register the population, maintain law and order, collect tax revenue, and conscript people for labor projects and military campaigns. Rather than give those posts to kinsmen, kings appointed men from the lower ranks of the nobility or commoners based on their loyalty and merit.

Stated more simply, Warring States Period rulers created administrative units and a civil service. Their embryonic bureaucracies included such features as a system of official posts, salaries paid in grain and gifts, administrative codes, and methods for measuring a servant's performance. By the end of this period, largely owing to the demands of warfare, the Zhou feudal order had been supplanted by a small number of powerful territorial states with centralized monarchies. Among them, the most successful was the state of **Qin**, which eventually conquered all of China and became an empire. We return to that topic after reviewing the ideas put forward by philosophers in the context of these centuries of turmoil.

3.4.3: Philosophy in a Time of Turmoil: Confucianism and Daoism

China's three major pre-modern philosophical and religious traditions are Confucianism, Daoism, and Buddhism. The first two had their origins in the later centuries of the Eastern Zhou, while Buddhism only began to arrive from South Asia in the first century C.E. Confucianism and Daoism were both responses to the crisis presented by the breakdown of the Zhou feudal order and escalating warfare in China.

3.4.3.1: Confucius and Confucianism

Confucius lived just prior to the Warring States Period (551-479 BCE). What little we know about his life comes primarily from the *Analects*, a record of conversations Confucius held with his students compiled after he died. In later centuries, in China, Confucius was revered as a sage and teacher. In the context of his time, Confucius was a dynamic individual who believed he was mandated by Heaven to return the world to a more socially and politically harmonious time. The *Analects* not only shows a serious and learned man, but also someone capable in archery and horsemanship, who loved music and ritual, and who untiringly traveled the feudal states in the hopes of serving in a lord's retinue (see Figure 3.8.2). According to one passage, a lord once asked one of Confucius's students about his master, but the student fell silent. Later, Confucius asked him, "Why did you not say: As a man, when agitated in thought he forgets to eat, joyfully forgetting his cares, not realizing that old age is near at hand?"



Figure 3.8.2: Portrait of Confucius from the Tang Dynasty Author: User "Louis le Grand" Source: Wikimedia Commons License: Public Domain

Confucius was born to a family of minor nobility and modest means in the feudal state of Lu. His father died about the time

Confucius was born, and he was raised by his mother, who also passed away when Confucius was young. Like other young men of similar background, he had access to education and could aspire to serve in some capacity in a feudal state, perhaps at the lord's court, or as an official or soldier.

Confucius chose to become learned and seek office. To his mind, he was living at a time when civilization was collapsing and society was decaying. He believed that the nobility was honorable, observed moral codes, and upheld social standards. He thought that a golden age existed in the past and wished to transmit the ethical values of that time. However, in the course of doing so, he reinterpreted the past and imbued the virtues he stressed with rich, new meanings. Here are a few of the important statements Confucius made, and what they meant:

1. "The noble person is concerned with rightness, the small person is concerned with profit." (4.16) Confucius redefined the meaning of nobility. For him, nobility was defined not by birth but rather by character and conduct. A truly noble person is one who puts what is right before personal gain and the desire for wealth and fame.

2. "Young men should be filial at home and respectful to their elders when away from home." (1.6) Filial piety is central to Confucius's thought. He taught how a person becomes moral because a good society only develops when composed of and led by virtuous people. He saw the practice of morality in the family as the root. Should a young man learn to be respectful and reverent towards parents and elders, he will become a humane person, and humane people are far more likely to contribute in a positive way to society.

3. "The noble man does not abandon humaneness for so much as the space of a meal." (4.5) For Confucius, the highest virtue is humanity, and many of his conversations center upon defining what it is that makes a person humane. A person of humanity is, for instance, one who is capable of empathy and unselfish concern for the welfare of others. They know the golden rule: "what you would not want for yourself," he taught, "do not do to others." (15.23) Confucius emphasized that a society cannot function if people are incapable of taking others' perspectives and doing their best for them. In addition, he insisted that such virtues as humanity are most fully demonstrated when individuals observe good etiquette. Decorum was important to Confucius.

4. "Heaven has given birth to the virtue that is in me." 1 (7.22) Interpreters of Confucius have rightly noted that he is quite silent about the supernatural and what happens after death, rather emphasizing the life we have and serving others. Yet, it would be wrong to conclude that he wasn't religious in any sense, because he frequently spoke of Heaven. He believed that Heaven ordains a certain course of life for each individual, including becoming a moral person. This Heaven is less a deity than a higher moral order, a kind of beneficent presence.

5. "To govern is to rectify. If you lead the people by being rectified yourself, who will dare not be rectified?" (12.17) Confucius believed that good governing flows from good men. The first qualification for a ruler or one who serves is moral rectitude. If those who lead do so by virtue and conduct themselves according to rules of propriety, people will learn from them and develop a sense of honor and shame. Consequently, society will become more orderly.

The noble person, filial piety, humaneness, etiquette, Heaven, and government by men of virtue are just some of the ideas Confucius discussed as he traveled the feudal states seeking to advise their lords. However, he only managed to hold some minor offices in Lu and generally failed in his political aspirations. Instead, he gained an avid following of 70 students, whom he accepted regardless of their social status. After he died, they passed on his teachings, and a school of thought emerged from his teachings known as Confucianism. Those who belonged to it are **Confucians**–individuals distinguished by their commitment to the ideas articulated by Confucius, classical learning, and the value they place on character and conduct as the key to a good society and political order.

3.4.3.2: Philosophical and Institutional Daoism

During the turmoil of the Warring States period, other individuals developed a philosophy very different from Confucianism called Daoism. These Daoists largely rejected Confucian ideas about human moral development and social order as artificial constructs. Rather, they pointed to a natural condition that both individuals and society can recover, one that existed before desires trapped people in a world of strife. Their central concept is the Dao ("Way"). The Dao is mysterious: it is beyond sense-perception and yet the source of life and the universe, the ultimate truth transcending the polarities that make up life and yet pervades them, empty and yet the mother of all things.

Paradoxically, although the Dao is indescribable and can't be seen or heard, the goal of the Daoist is to accord with and follow it. But this goal won't be accomplished through more seeking and more knowledge. Rather, the mind must be emptied out, calmed,

and purified, until desires are absent and a primordial, natural condition is restored. At that point, when the individual is in accord with the ineffable Way, life becomes spontaneous, natural, and effortless.



Figure 3.8.3: An image representing basic elements of Daoist cosmology | According to that cosmology, the yin and yang (at center, black and white) arise from one underlying primordial reality, and then differentiate into powers represented by eight trigrams (whose names are indicated in Chinese on the periphery) Author: User "Pakua_with_name" Source: Wikimedia Commons License: CC BY-SA 2.5

The two most important early books belonging to this tradition are: the *Laozi* ("Old Master") and *Zhuangzi* ("Master Zhuang"). Historians believe the "Old Master" was a fictional sage invented by Warring States Period philosophers who compiled the book attributed to him. Master Zhuang, however, lived during the fourth century BCE.

In later centuries, the Daoism of these early philosophers was taken in new directions. The definition of the Way was broadened to include the idea that individuals have a spiritual essence in need of harmonizing and liberation. By so doing, one's health would be preserved and life prolonged. Daoists even entertained the idea that one could become immortal. To achieve these goals, techniques were developed, including special dietary regimens, yoga, Chinese boxing, meditation, and alchemy.

Over the course of the first millennium CE, Daoism became a popular and institutionalized religion. Daoist masters, claiming divine inspiration, composed esoteric texts for their followers that explained how the natural world originated from a primordial ether (*qi*) and its division into two polar forces: the *yin* and *yang* (see Figure 3.8.3). They presented a universe with multiple heavenly and hellish realms populated with divinities and demons. The principal purpose of these Daoists was to attend to a person's physical and psychological well-being. That involved not only teaching individual techniques for preserving the life spirit, but included the use of exorcism and faith healing to remove malevolent influences. Daoists developed communal prayers and rituals that could cure illness, free souls from hell, win blessings from heaven, and eliminate sins from the community. Eventually, a Daoist church developed, with its own ordained priesthood, temples, and monasteries.

1 These selections from the Analects are translated in De Bary and Bloom, ed., Sources of Chinese Tradition, Vol. 1: From Earliest Times to the Present, 44-63.

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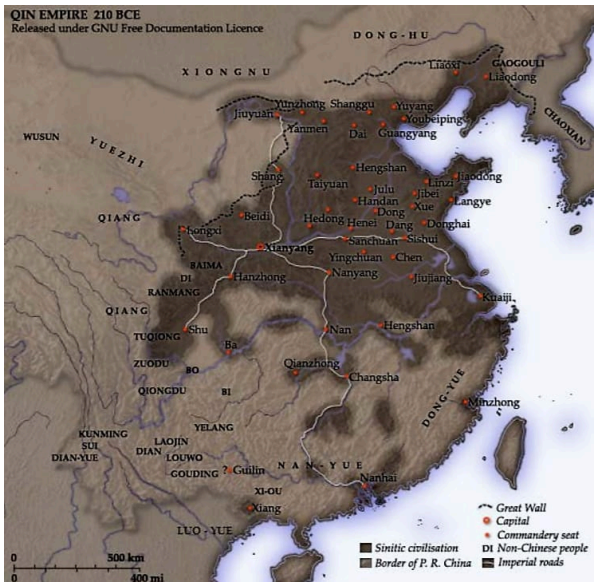
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3.9: The Qin Dynasty and the Transition from Ancient to Imperial China

In 219 BCE, while touring his realm, the **First Emperor of Qin** [cheen] (259 – 210 BCE) erected a stone tablet atop a mountain with an inscription proclaiming:

> *They [the Qin ministers] recall and contemplate the times of chaos:*
>
> *When [regional lords] apportioned the land, established their states,*
>
> *And thus unfolded the pattern of struggle.*
>
> *Attacks and campaigns were daily waged;*
>
> *They shed their blood in the open countryside. . . .*
>
> *Now today, the August Emperor has unified All-under-Heaven into one family—*
>
> *Warfare will not arise again! Disaster and harm are exterminated and erased,*
>
> *The black-headed people live in peace and stability, benefits and blessings are lasting and enduring.*[2]

Just two years prior, in 221 BCE, the First Emperor had brought the Warring States Period to a close by defeating the last remaining state. Hence, he had realized the aspirations held by the many rulers to unify the known world under one powerful monarch. By doing, the leader would initiate an age of peace and prosperity, one rooted in obedience to a sage ruler.



Map 3.9.1: The Qin Empire in 210 BCE | The capital was located along the Wei River Valley at Xianyang. Author: User "Itsmine" Source: Wikimedia Commons License: CC BY-SA 3.0

The title "First Emperor of Qin" was assumed by this conqueror only in the wake of his final victory. Having crushed the many warring kingdoms, the First Emperor did indeed create something new and more significant: an immense territorial state centrally administered from his capital by a monarch with unchallenged sovereignty (see Map 4.8). So how did his state–the Qin kingdom–prevail?

When the First Emperor inherited the Qin throne at the age of 13 in 246 BCE, he became King Zheng [jung], young ruler of the most powerful of the seven remaining Warring States. Looking back, he would understand that he had inherited a state whose origins dated back to the Western Zhou Period, when land to the west of the Zhou kings was granted as a fief to his chieftain

forbears. The Qin star first rose when a Qin lord assisted King Ping in relocating to the eastern capital during the transition from the Western to the Eastern Zhou Period (c. 770 BCE). At that time, the old Zhou heartland was granted to him, and he was elevated to the status of a regional lord, the Duke of Qin.

The Dukes of Qin were important players throughout the centuries of warfare and alliances so characteristic of the Eastern Zhou, and especially after the reforms of Duke Xiao [she-ow] (r. 361 – 338). These reforms were based on the advice of his chancellor **Shang Yang** [shawng yawng], an individual famed for being one of the founders of another major intellectual tradition that developed during the Warring States Period: **Legalism**. The legalists' goal was to devise the best techniques for organizing a state's territory and people so as to maximize a ruler's power and control in times of both war and peace. Legalists believed that the best way to do so was to concentrate authority in one central administration governed by an absolute monarch.

To these ends, Shang Yang introduced many measures. The farming population was the principal source of revenue and conscripts for the army. So he organized villages across the land into units of five families each, and made the members of each unit responsible for each other. Every member would be rewarded based on the amount of grain the unit produced or the number of severed heads returned from the battlefield. For meritorious service to the state, a unit could advance along a system of ranks, each of which bestowed certain privileges. But should any member commit a crime, everyone would be severely punished.

To make this more effective, the Qin state developed a legal code with clear lists of penalties for specific crimes, made it publicly available, and applied it uniformly to people regardless of their social status. Also, the Qin was among the most effective in establishing a civil service and county system to administer the law. A transparent set of expectations and a system of rewards and punishments helped efficiently organize a state and its administration.

After Duke Xiao's and Shang Yang's time, Qin rulers assumed the title of king and engaged in numerous battles, destroying several neighboring states. Some of these were major engagements. According to one account, after the Qin kingdom defeated the state of Zhao, a Qin general ordered 400,000 captured soldiers buried alive. Hence, King Zheng was heir to a kingdom whose success in battle derived in part from legalist reforms. In line with that tradition, he employed a legalist advisor.



Figure 3.9.1: Replica of the palace of the First Emperor of Qin Author: User "kanegen" Source: Wikimedia Commons License: CC BY 2.0

As of 230 BCE, only six other Warring States remained (see Map 3.9.1). Over the next decade, King Zheng led a series of massive campaigns each of which entailed both sides fielding over one hundred thousand soldiers. One state after another fell. By 221 BCE, the Chinese realm was unified under Qin rule.

Although the Qin Dynasty (221 – 207 BCE) was brief-lived, it had a lasting effect on China because of the stable administrative foundation it laid. The First Emperor of Qin and his advisors invented the title used by all subsequent rulers. They made newly conquered territory a part of their centralized bureaucracy. The emperor governed a land organized into a hierarchical system of commanderies (provinces that began as military outposts) and counties. His regime standardized currency and the system of writing, and issued regulations for uniform weights and measures.

The emperor was also a great builder. Over 6800 kilometers of road were laid to connect the capital at Xianyang to each province

and the northern border. Walls built by former northern states to protect against non-Chinese nomads to their north were linked together in an earlier version of the Great Wall. All of these measures served to facilitate communication and commerce across the land and, therefore, political stability and cultural unification. As a symbol of his power, the First Emperor also constructed an imposing palace (see Figure 3.9.1) and mausoleum (see Introduction). For all these reasons, historians mark Qin unification as the beginning of China's imperial era.

2 Adapted from a translation in Yuri Pines, "The Messianic Emperor: A New Look at Qin's Place in China's History," 264-265.

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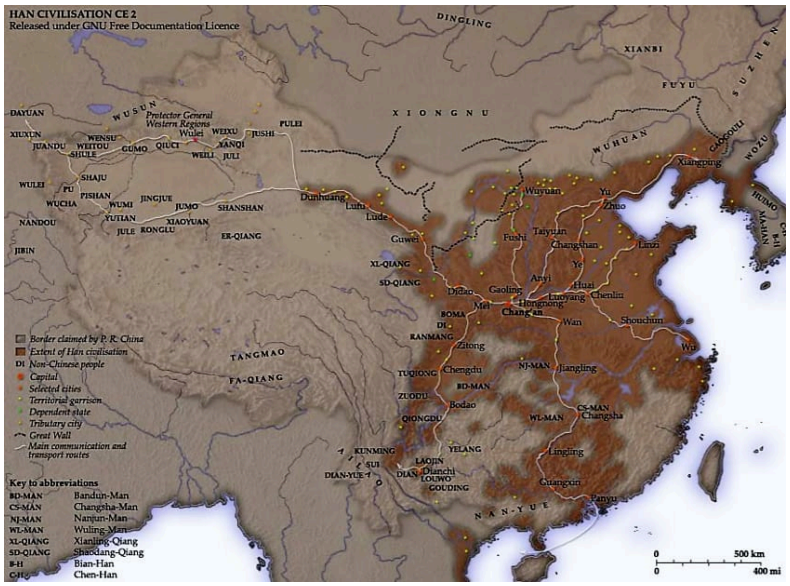
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3.10: The Han Dynasty, 202 BCE-220 CE

After the First Emperor died in 210 BCE, the Qin Empire rapidly disintegrated. Historians debate causes but highlight weak successors manipulated by the intrigues of a high minister and court eunuch; excessive demands on the population for building projects, tax revenue, and military conscription; and a climate of fear created by the harshly punitive legal system. Regardless, by 207 BCE revolts were breaking out across the land, as rebels accrued armies, seized territory, and even declared themselves kings. China then fell into a state of civil war for five years until the intervention of **Liu Bang** [lee-oh bawng] (d. 195 BCE). A former farmer and village headman who rebelled and built an army and kingdom through his military acumen and charisma, Liu Bang defeated his adversaries and declared himself emperor of a new dynasty.

3.6.1: Government and Society during the Han Dynasty

The Han Dynasty was ruled by 24 successive emperors from the Liu imperial family, and is normally divided into a Western Han (202 – 8 BCE) and Eastern Han (25 – 220 CE) because for a brief time an imperial in-law usurped the throne and established his own short-lived dynasty. Altogether, the Han Dynasty lasted 400 years, making it second in length only to the Zhou Dynasty. The Han was so important to establishing a civilization that Chinese people refer to their ethnic group as Han Chinese today. Also, after adopting the foundations laid by the Qin Dynasty, the Han further strengthened them, cementing an imperial pattern that persisted in China until the fall of the last dynasty (Qing) in 1911.



Map 3.10.1: Map of the Han Dynasty in 2 CE | During the Western Han, the capital was located at Chang'an, while during the Eastern Han, it was located at Luoyang. Note the location of the Xiongnu confederation of nomadic pastoralists living on the steppe lands to the north of China. Han China also extended control far into Central Asia in order to secure the Silk Road trade routes. Most of the dependent states and tributary cities indicated by green and orange dots were brought under the control of China during the reign of Emperor Wu. Author: Yeu Ninje Source: Wikimedia Commons License: CC BY-SA 3.0

As opposed to studying a chronology of important events during these centuries, let's consider the general picture of the political system and society of the Han Empire. Approximately 90% of the population were farmers, living out their lives in villages of a dozen to over 100 households. Some were independent farmers who owned small farms. Some tenants leased land from owners of larger farms. Others were local magnates with large estates (see Figure 3.10.1). The government relied heavily on the first group for revenue and conscription and therefore tried to keep these owner-farmers in business with low taxes, relief in times of hardship, and improvement in their agricultural methods. Unfortunately, over the course of the dynasty, many farmers fell on hard times and were forced to sell their land to powerful landlords, thus becoming their tenants or even slaves. Landlordism thus became a major social and political problem, as local great families dominated ever more dependent poor, undermining the central government's revenue base.

The remaining ten percent of the population lived in urban areas as artisans, traders, officials, garrison soldiers, etc. By some

estimates, the total population hovered at 60 million, which means about six million were urban residents. Many cities, such as the capitals of both the Western and Eastern Han, had over 100,000 residents (see Map 3.10.1). The first imperial capital, Chang'an [chawng-an] ("Forever Peace"), was a walled city with twelve gates, watchtowers, market places, residential wards, administrative buildings, and the imperial palace.

Some of the agricultural produce, manufactured goods, and raw materials in the marketplaces testify to what artisans and traders were busy making, buying, and selling: cooked meats, pickled vegetables, fish, and grains; utensils and tools made of wood, brass, and iron; lacquerware, jade, and furs; and textiles fashioned from silk and hemp. Imperial highways and lesser byways, canals, and other waterways provided the routes for moving these goods both within and beyond China. Ever suspicious of the profit motive and believing in the foundational importance of the farmer, government officials supervised city markets and established agencies to regulate the most important industries.



Figure 3.10.1: Estate of a wealthy official during the Eastern Han Dynasty, as represented in the interior of his tomb Author: User "Editor at Large" Source: Wikimedia Commons License: CC BY-SA 2.5

Commoner classes (farmers, artisans, and traders) were governed by a highly organized state and its educated, professional civil servants. For administrative purposes, the empire was eventually divided into roughly 100 commanderies and 1300 counties. 130,000 officials constituted the bureaucracy. At the lowest level, county magistrates handled such matters as tax collection, population registration, conscription for military service, law and order, and public works in the villages and towns. They submitted reports to, and took orders from, commandery level military and civil officials, who then did the same with the nine ministries of the central government. These ministries handled such matters as revenue, justice, and foreign relations. The head ministries, as well as two chancellors, routinely held audiences with the emperor to decide all policy matters. An independent branch of government, the censorate, audited the rest and reported directly to the emperor.

From the outset, the Han Dynasty inherited the Qin legalist system of government, with its emphasis on rational and efficient methods of administration and use of systems of rewards and punishments to promote order. However, early in the Han, Confucian scholars criticized Qin governing for lacking humaneness, and Han rulers increasingly saw the benefit of Confucian ideas to governing. For example, during the reign of **Emperor Wu** [woo] (r. 141 – 87 BCE), Confucius's ideas were molded into an ideology that legitimated monarchy and a hierarchical social order. Known as **Imperial Confucianism**, it simply provided a blueprint for how the political and social order should function.



Figure 3.10.2: Painting depicting paragons of filial piety on a box excavated from a Han Dynasty tomb | During the Han Dynasty, Confucian values penetrated society, especially the idea that a child should actively demonstrate their reverence and respect for parents. Author: User "PericlesofAthens" Source: Wikimedia Commons License: Public Domain

Rulers saw the benefit in having officials who were highly educated, loyal, of good character, and who understood the formalities of ritual and etiquette. In 124, an Imperial Academy so that students could be educated in classical Confucian texts, including the *Analects*. Across the country, these students were nominated by local officials based on their learnedness and virtuous conduct. Successful graduates went on to serve as officials, and carried Confucian values into society. Texts were compiled explaining good etiquette, conduct, and ritual requirements for each family member and the members of society based on their superior or subordinate status. Filial piety was celebrated in both art and texts (see Figure 3.10.2). Law codes reinforced social norms by supporting the authority of the family patriarch, division of property among sons, and arranged marriages. In brief, over the course of the Han Dynasty, Chinese increasingly identified themselves as defenders of Confucian civilization.

The emperor was at the pinnacle of both Han society and the political system. Royal authority derived from having received the Mandate of Heaven, his virtue, and his role as mediator between the celestial realms and human world; as such, he could expect his subjects' obedience and loyalty. He resided within the walls of the imperial palace at the capital city, attended by eunuchs who handled his personal needs, palace administration, and the imperial harem. Emperors had numerous consorts but also a principal wife–the empress–who held a special status and was quite influential. She usually bore the heir to the throne, but also her in-laws were an intimate part of the emperor's palace life. Often, the imperial family, imperial in-laws, eunuchs, and high officials broke apart into squabbling factions fighting for power and influence; this contention had deleterious consequences for the smooth functioning of the political system.

3.6.2: China and the Outer World during the Han Dynasty

Strengthened its political system and society, Han China also became an expansive empire, occupying and colonizing territory all along its borders. Sometimes this process was gradual. For example, as migrants and merchants moved into neighboring areas, the government followed by setting up garrisons to protect them and eventually counties with civil servants to govern them. In other cases, armies were sent to subdue unstable borders or to secure trade routes. Regardless, as the dominant power in the region, China's actions profoundly influenced and shaped the history of peoples and states in neighboring areas of Central and East Asia.

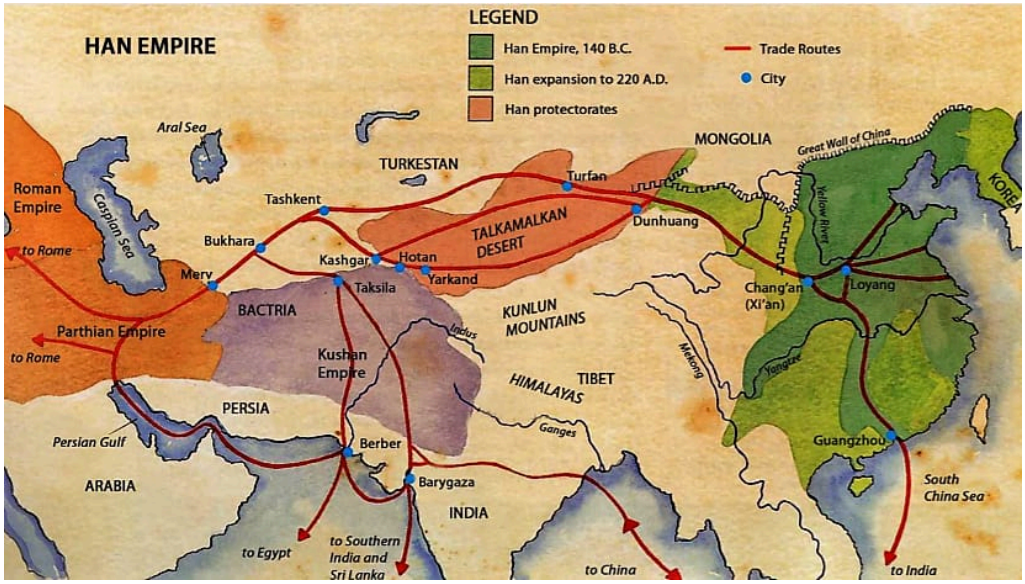
Traditionally, the biggest threats to the settled agricultural population of China came from non-Chinese nomadic pastoralists scattered about the steppe lands along the northern border (see Chapter Ten). These skilled horsemen and hunters tended their herds from horseback, resided in mobile campsites made up of yurts, and organized as tribes. These tribes usually selected the most skilled male warriors as their chieftains and also periodically organized into confederations so as to raid Chinese villages and towns (see Chapter Ten).

During the Han, the most threatening confederation was knit together by Xiongnu [she-ong-new] (see Map 3.10.1). Emperor Liu Bang sought to subdue them with his armies but was defeated and forced to pay tribute and offer imperial princesses in marriage

to their chieftains. However, Emperor Wu had a stronger government, sent massive armies of over 100,000 soldiers campaigning deep into Xiongnu territory, breaking up their confederation and forcing them to relocate. Although his armies suffered great losses, Emperor Wu established garrisons across the northern border to consolidate his gains and protect China.

As Emperor Wu brought the Xiongnu under control, he became curious about Central Asian territories lying to the west of China. Interested in finding allies that might support his efforts to control nomad confederations, he sent envoys on exploratory missions. They returned with news of trade routes extending from oasis city-states ringing the forbidding deserts of the Taklamakan Desert to countries lying beyond the Pamir Mountains. This route was one of the earliest **Silk Roads** (see Map 3.10.2). Merchants had been using camels to carry such goods as silk from China to distant civilizations while bringing back gold, horses, and various handicrafts and foodstuffs.

Beginning in 104 BCE, Emperor Wu dispatched armies to subdue the region as far as the Pamir Mountains, making the Han Dynasty overlords to Central Asian states, which were now obligated to send tribute and hostages. A frontier network of walls and watchtowers was then extended partway into the region. The Silk Roads were thus secured, and, because it could be conducted more safely, the volume of traffic grew. During the Han Dynasty, China demonstrated its intention of being a dominant player in Central Asia.



Map 3.10.2: Map of the Silk Road trade routes during the Han Dynasty Author: Wikimedia Commons User “Алый Король” and Leo Timm Source: Wikimedia Commons and The Epoch Times License: CC BY-SA 4.0

3.6.3: Conclusion: The Han Dynasty and Empires in History

The Han Empire can be compared to other empires that existed at this time in other parts of the world, such as Mauryan Empire in India, Persian Empire in the Middle East, or Roman Empire. Each empire conferred a special status on rulers, had an organized imperial administration with an educated civil service, maintained a large army to defend an expanding and increasingly well-defined territory, and developed an ideology and legal codes that justified authority and reinforced social order. Confident in the superiority of their organized governments, powerful militaries, and worldview, each of these empires proceeded to extend control over neighboring states and peoples.

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4: THE GREEK WORLD

This chapter's title refers to the Greek World, rather than Greece. While Greece is a unified country today, the territory of the present-day country was not unified under one rule until the rise of the Macedonians in the fourth century BCE. Instead, the basic unit of organization in the period covered in this chapter was the ***polis***, an independent city-state, which consisted of a walled city that controlled and protected the farmland around it. Historians estimate that close to 1,500 of these city-states dotted the ancient Greek landscape.

4.1: Chronology

4.2: Geography and Topography

4.3: Periods of Greek History

4.4: From Mythology to History

4.5: Archaic Greece

4.6: The Classical Period

4.7: Hellenistic Period

4.8: Methodology- Sources and Problem

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4.1: Chronology

c. 3300 – 1150 BCE Bronze Age

c. 1100 – 700 BCE Dark Ages

c. 700 – 480 BCE Archaic Period

480 – 323 BCE Classical Period

431 – 404 BCE The Peloponnesian War

323 – 146 BCE Hellenistic Period

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4.2: Geography and Topography

While Greece is a unified country today, the territory of the present-day country was not unified under one rule until the rise of the Macedonians in the fourth century BCE. Instead, the basic unit of organization in the period was the ***polis***, an independent city-state, which consisted of a walled city that controlled and protected the farmland around it. Historians estimate that close to 1,500 of these city-states dotted the ancient Greek landscape.

Each of these ***poleis*** (plural form of *polis*) possessed its own form of government, law-code, army, cults of patron gods, and overall culture that set it apart from the other city-states. While the two most famous *poleis*, **Athens** and **Sparta**, controlled vast territories of farmland, most city-states were quite small, with a population of just a few thousand citizens. Furthermore, the Greek world in antiquity encompassed much more than present-day Greece, extending as far as Italy in the West and the territories of modern-day Turkey and Ukraine in the East.

The geography and topography of the Greek mainland and the Mediterranean region surrounding it influenced the history of the Greek people in a number of crucial ways. First, the mountainous nature of mainland Greece, especially in the north, allowed different regions to remain somewhat isolated. The most isolated of all, Thessaly and Macedon, were viewed as uncivilized barbarians by the rest of the Greeks in the Archaic and Classical periods (one oft-mentioned example of their "barbarism" in Greek literature is that they drank their wine undiluted!) and largely kept to themselves until their rise to military prominence in the mid-fourth century BCE.

The mountains throughout the northern portion of mainland Greece isolated regions from each other, promoted regional culture, and provided tactical defenses in the face of external attacks. Most famously, the Persians learned the hard way about the challenges of navigating the Greek landscape during the second Persian invasion of Greece in 480 BCE. Indeed, the story of the 300 Spartans who fought to the death at the **Battle of Thermopylae** addresses the challenge of the Persian army trying to cross the mountains to the north of Attica in order to invade Athens by land.

The **Isthmus**, a narrow strip of land controlled by Corinth, played a similar role in separating mainland Greece from the large peninsula of the **Peloponnese**. An inland city in southern Peloponnese, Sparta conquered **Messenia**, its surrounding region, early in its history and extended political control over much of the peninsula by early fifth century BCE. Unless the interests of Sparta herself were directly involved, Sparta practiced a policy of isolation and limited military intervention in other city-states affairs and wars, a practice enabled due to Sparta's far southern location in Peloponnese.



Map 4.2.1: Map of the Ancient Greek city-states at the beginning of the Persian Wars | Historians estimate that close to 1,500 of these city-states dotted the ancient Greek landscape. Author: User "Bibi Saint-Poi" Source: Wikimedia Commons License: CC BY-SA 3.0

No less influential were the resources that the land in different regions provided for agriculture and manufacturing. Mainland Greece was notoriously unsuitable for agriculture. Growing the grain staples wheat and barley in the rocky and clay-filled soil of

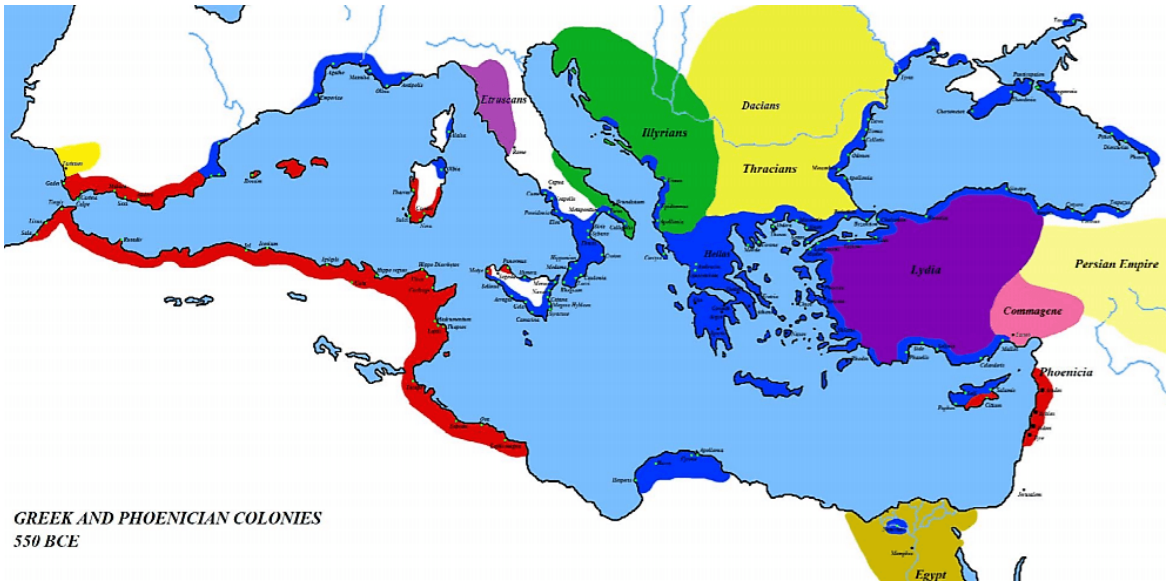
Athens was especially difficult, while the mountainous regions across the entire mainland were optimal for herding, rather than agriculture. Olive trees were one notable exception, which grew abundantly. Olive oil was ubiquitously used for eating, bathing, and lamps, and even as currency or prize for victors in athletic games. In addition, the inhabitants of Attica and Corinth used clay in their soil to develop advanced ceramic pot-making and decorating techniques. Remains of Athenian and Corinthian wares have been found at archaeological sites all over the Mediterranean, attesting to their popularity abroad.



Figure 4.2.1: Corinthian black-figure amphora, depicting the myth of Perseus and Andromeda c. 575-550 BCE, found in Cerveteri, Italy | The inhabitants of Attica and Corinth found a way to profit from the clay in their soil by developing advanced ceramic pot-making and decorating techniques. Remains of Athenian and Corinthian wares have been found at archaeological sites all over the Mediterranean, attesting to their popularity abroad. Author: User “Butko” Source: Wikimedia Commons License: CC BY-SA 2.0

Finally, precious metals were in short supply in the mainland, but the few that were available had an impact on the history of their regions. Most famously, the discovery of the silver mines at Laurion in Attica contributed to the increased prosperity of Athens in the mid-fifth century BCE.

The topography and geography of mainland Greece and the Peloponnese only tells us a part of the story. The Aegean is filled with islands, some of which remained autonomous, but most came under the control of the Athenian maritime empire in the fifth century BCE. In addition, the **Greek colonization** movement of the seventh and sixth centuries BCE resulted in the foundation of numerous Greek city-states in **Asia Minor** (modern-day Turkey), **Magna Graecia** (southern Italy), Sicily, and the Black Sea littoral.



Map 4.2.2: Map of the Greek (blue areas) and Phoenician city-states and colonies (red areas) c. 550 BCE. Author: User "Javierfv1212" Source: Wikimedia Commons License: User "Javierfv1212"

The history of the Greek world from its earliest settlements to the Roman conquest, therefore, is inextricably tied together with the history of the Mediterranean as a whole. Since the Greek areas of influence overlapped with those controlled by the Phoenicians, Persians, and eventually the Romans, interactions were unavoidable. As the modern historians Peregrine Horden and Nicholas Purcell noted, the Mediterranean was "the Corrupting Sea" whose inhabitants were like frogs around the pond, watching each other, and borrowing each other's cultural and technological achievements. As this chapter and the next will show, the Greeks and the Romans were the farthest-leaping frogs of all.

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4.3: Periods of Greek History

Today, Historians separate Greek history into particular periods, which shared specific features throughout the Greek world:

The **Bronze Age** (c. 3,300 – 1,150 BCE) – a period characterized by the use of bronze tools and weapons. In addition, two particular periods are crucial in the development of early Greece: the Minoan Age on the island of **Crete** (c. 2,000 – 1,450 BCE) and the Mycenaean period on mainland Greece (c. 1,600 – 1,100 BCE), both of them characterized by massive palaces, remnants of which still proudly stand today. The Minoan and Mycenaean civilizations had writing (dubbed **Linear A** and **Linear B**, respectively), which they used for keeping lists and palace inventories.

The **Dark Ages** (c. 1,100 – 700 BCE) – a period that is "dark" from the archaeological perspective, which means that the monumental palaces of the Mycenaean period disappear, and the archaeological record reveals general poverty and loss of culture throughout the Greek world. For instance, the Linear A and Linear B writing systems disappear. The Greeks do not rediscover writing until the invention of the Greek alphabet at the end of the Dark Ages or the early Archaic Period.

Archaic Period (c. 700 – 480 BCE) – the earliest period for which written evidence survives; this is the age of the rise of the Greek city-states, colonization, and the Persian Wars.

Classical Period (c. 480 – 323 BCE) – the period from the end of the Persian Wars to the death of **Alexander the Great**. One of the most important events during this period is the Peloponnesian War (431 – 404 BCE), which pitted Athens against Sparta, and forced all other Greek city-states to choose to join one side or the other. This period ends with the death of Alexander the Great, who had unified the Greek world into a large kingdom with himself at its helm.

Hellenistic Period (323 – 146 BCE) – the period from the death of Alexander to the Roman conquest of Greece; this is the age of the Hellenistic monarchies ruling over territories previously conquered by Alexander and his generals. Some historians end this period in 30 BCE, with the death of **Cleopatra VII**, the last surviving ruler of Egypt who was a descendant of one of Alexander's generals.

The rest of this chapter will be devoted to examining these periods in greater detail, covering chief political, military, and cultural developments.

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4.4: From Mythology to History

The terms “mythology” and “history” may seem to be direct opposites. After all, mythology refers to stories that are clearly false, of long-forgotten gods and heroes and their miraculous feats. On the other hand, history refers to actual events that involved real people. And yet, the idea that the two are opposites would have seemed baffling to a typical resident of the ancient Mediterranean world. Gods and myths were part of everyday life. Historical events could become subsumed by myths just as easily as myths could become a part of history. For instance, Gilgamesh, the hero of the Sumerian *Epic of Gilgamesh*, was a real king of Uruk, yet he also became the hero of the epic.

Yet, while the Greeks saw mythology and history as related concepts and sometimes as two sides of the same coin, one specific mythical event marked, in the eyes of the earliest known Greek historians, the beginning of the story of Greek-speaking peoples. That event was the Trojan War.

4.4.1: Homer and the Trojan War

The two earliest Greek historians, Herodotus (c. 430 BCE) and Thucydides (c. 424 BCE) began their respective histories with the Trojan War. The Homeric epics *Iliad* and *Odyssey* portray the war as an organized attack of a unified Greek army against Troy, a city in Asia Minor (see map 5.5.1). The instigating offense? The Trojan prince Paris kidnapped Helen, the most beautiful woman in the world, from her husband Menelaus, king of Sparta. This slight to Menelaus’ honor prompted Agamemnon, king of Mycenae and Menelaus’ brother, to raise an army from the entire Greek world and sail to Troy.

After a brutal ten-year siege, the Greeks resorted to a trick: they presented the Trojans with a hollow wooden horse, filled with armed soldiers. The Trojans tragically accepted the gift, which had been intended as a dedication to the goddess Athena. That same night, the armed contingent emerged from the horse, and the city finally fell to the Greeks. Picking up the story ten years after the end of the Trojan War, the *Odyssey* then told the story of Odysseus’s struggles to return home after the war and the changes that reverberated throughout the Greek world after the fall of Troy.

The Homeric epics were the foundation of Greek education in the Archaic and Classical periods. A major theme throughout both epics is personal honor, which Homeric heroes value more than the collective cause. A related theme is competitive excellence, with ***kleos*** (eternal glory) as its goal. All Greek heroes want to be the best. Thus, even while fighting in the same army, they see each other as competition. Ultimately, Achilles has to make a choice: he can live a long life and die unknown, or he can die in battle young and have everlasting glory. Finally, the Trojan War shows the Greeks’ belief that the gods were everywhere, and acted in the lives of mortals. These gods could be powerful benefactors and patrons of individuals who respected them and sought their favor, or vicious enemies, bent on destruction. Indeed, early in the *Iliad*, the god Apollo sends a plague on the Greek army at Troy, as punishment for disrespecting his priest.

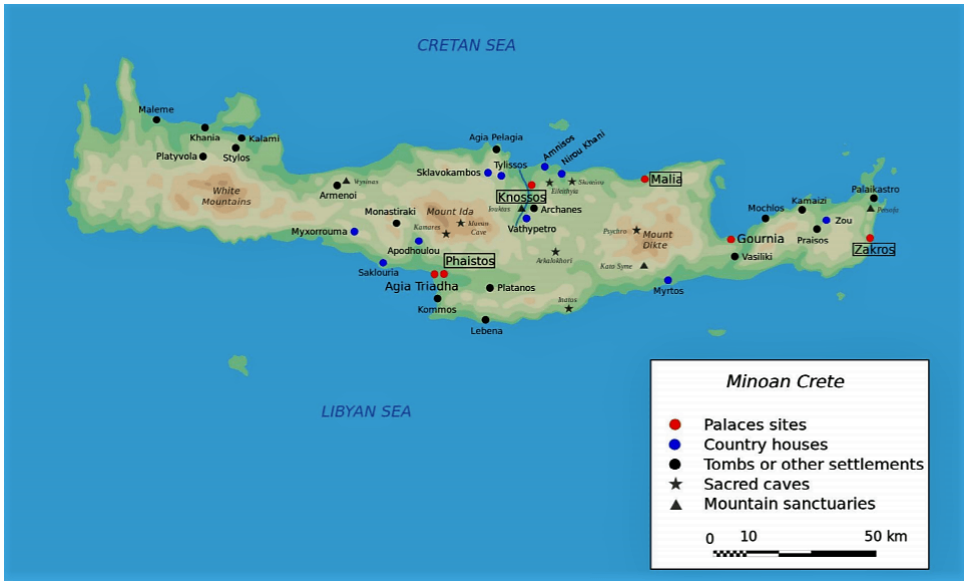
It is important to note that while the Homeric epics do not reflect the reality of the Greek world in any one period. Furthermore, they were not composed by a single poet, **Homer**. Indeed, it is possible that Homer never existed. Because the epics were composed orally by multiple bards over the period of several hundred years, they combine details about technological and other aspects of the Bronze Age with those of the Dark Ages and even the early Archaic Age. For instance, the heroes use bronze weapons side-by-side with iron. However, archaeological evidence allows historians to reconstruct to some extent a picture of the Greek world in the Bronze Age and the Dark Ages.

4.4.2: Greece in the Bronze Age, and the Dark Ages

While there were people living in mainland Greece already in the Neolithic Period, historians typically begin the study of the Greeks as a unique civilization in the Bronze Age, with the **Minoans**. The first literate civilization in Europe, the Minoans were a palace civilization that flourished on the island of **Crete** c. 2,000 – 1,450 BCE.

As befits island-dwellers, they were traders and seafarers. Indeed, the Greek historian Thucydides credits them with being the first Greeks to sail on ships. Archaeologist Sir Arthur Evans excavated Crete in the early 1900s, and dubbed the civilization Minoans, after the mythical Cretan king Minos who built a labyrinth to house the Minotaur, a monster that was half-man, half-bull. Bulls appear everywhere in surviving Minoan art, suggesting that they indeed held a prominent place in Minoan mythology and religion.

Four major palace sites survive on Crete. The most significant of them, Knossos, has been restored and reconstructed for the benefit of modern tourists.



Map 4.4.1: Map of Minoan Crete Author: User “Bibi Saint-Poi” Source: Wikimedia Commons License: CC BY-SA 3.0

Historians hypothesize that the palaces were the homes of local rulers, who protected the surrounding farmland. The palaces seem to have kept records in two different writing systems, the earliest known in Europe: the Cretan hieroglyphic and Linear A scripts. Unfortunately, neither of these systems has been deciphered, but it is likely that these were palace inventories and records pertaining to trade. The palaces had no surrounding walls, suggesting that the Cretans maintained peace with each other and felt safe from outside attacks. This sense of security proved to be a mistake. Around 1,450 BCE, the palaces were violently destroyed by invaders, possibly the **Mycenaeans** who arrived from mainland Greece. Recent discoveries also suggest that at least some of the destruction may have been the result of tsunamis that accompanied the Santorini/ Thera volcanic eruption in the 1600s BCE.



Figure 4.4.1: The Bull-Leaping Fresco from Knossos Author: User “Jebulon” Source: Wikimedia Commons License: CC0 1.0

The Mycenaeans were a palace civilization, too. Flourishing on mainland Greece c. 1,600 – 1,100 BCE, they received their name from Mycenae, the most elaborate surviving palace and the mythical home of Agamemnon, the commander-in-chief of the Greek army in the Trojan War. The archaeological excavations of graves reveal a prosperous civilization that produced elaborate pottery, bronze weapons and tools, and extravagant jewelry and other objects made of precious metals and gems. One of the most famous finds is the so-called “**Mask of Agamemnon,**” a burial mask with which one aristocrat was buried, made of hammered gold.



Figure 4.4.2: Reconstructed North Portico at Knossos Author: User “Bernard Gagnon” Source: Wikimedia Commons License: CC BY-SA 3.0

The Mycenaeans also kept palace records in a syllabic script, known as Linear B. Although related to the Cretan Linear A script, Linear B has been deciphered and identified as Greek.



Figure 4.4.3: Mask of Agamemnon, Mycenae Author: User “Xuan Che” Source: Wikimedia Commons License: CC BY 2.0

Sometime in the 1,200s BCE, the Mycenaean palaces suffered a series of attacks and were gradually abandoned over the next century. As a result, the “Dark Ages” begin. The Mycenaean Linear B script disappears, and Greek material wealth and life expectancy decline. Some contact must have remained with the rest of the Mediterranean, as shown by the emergence of the Greek alphabet, adapted from the Phoenician writing system towards the end of the Dark Ages or early in the Archaic Period.

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4.5: Archaic Greece

The Archaic period appears to have been a time of growing contacts and connections between different parts of mainland Greece. Furthermore, the establishment of overseas colonies and cities brought the Greeks to Italy and Sicily in the West, and Asia Minor and the Black Sea in the East. This period also witnessed the rise of a **Pan-Hellenic** identity, as all Greeks saw themselves connected by virtue of their common language, religion, and Homeric values. This Pan-Hellenic identity was ultimately cemented during the Persian Wars: two invasions of Greece by the Persian Empire at the end of the Archaic period.

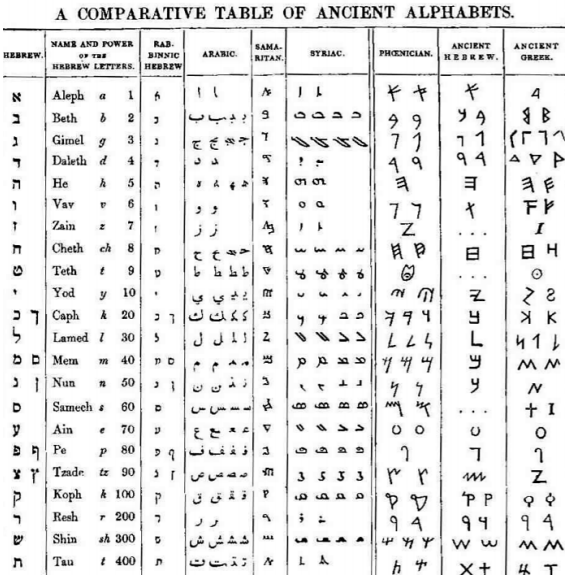


Figure 4.5.1: Comparative chart of writing systems in the Ancient Mediterranean | As this chart shows, in addition to the influence of the Phoenician alphabet on the Greek, there were close connections between the Phoenician, Egyptian, and Hebrew writing systems as well. Author: Samuel Prideaux Tregelles Source: Google Books License: Public Domain

4.5.1: Rise of the Hoplite Phalanx and the Polis

A Corinthian vase, known today as the **Chigi Vase** (mid-seventh century BCE), presents a tantalizing glimpse of the changing times from the Dark Ages to the Archaic Period. Taking up much of the decorated space on the vase is a battle scene. Two armies of warriors with round shields, helmets, and spears appear to be marching in formation towards each other in preparation for attack.

Modern scholars largely consider the vase to be the earliest artistic portrayal of the **hoplite phalanx,** a new way of fighting that spread around the Greek world in the early Archaic Age and that coincided with the rise of the *polis*, or city-state. From the early Archaic period to the conquest of the Greek world by Philip and Alexander in the late fourth century BCE, the *polis* was the central unit of organization in the Greek world.



Figure 4.5.2: “Unrolled” reconstructed image from the Chigi Vase Author: User “Phokion” Source: Wikimedia Commons License: CC BY-SA 4.0

While warfare in the *Iliad* consisted largely of duels between individual heroes, the hoplite phalanx was a new mode of fighting that did not rely on the skill of individuals. Rather, it required all soldiers in the line to work together as a whole. Armed with a helmet, spear and the round shield (*hoplon),* the soldiers were arranged in rows, possibly as much as seven deep. Each soldier carried his shield on his left arm, protecting the left side of his own body and the right side of his comrade to the left. Working together, the phalanx would execute the othismos (a mass shove) during battle, with the goal of shoving the enemy phalanx off the battlefield.

Historians do not know which came into existence first, the phalanx or the *polis*. Each *polis* was a fully self-sufficient unit of organization, with its own laws, definition of citizenship, government, army, economy, and local cults. The survival of the *polis* depended on the dedication of all its citizens to the collective well-being of the city-state. This dedication included service in the phalanx. As a result, citizenship in most Greek city-states was closely connected to military service, and women were excluded from citizenship.

Since hoplites had to provide their own armor, these citizen-militias effectively consisted of landowners. The poorer citizens were not entirely excluded from serving their city. On the Chigi Vase., an unarmed man is playing a double-reed flute (see Figure 4.5.2). Since the success of the phalanx depended on marching together in step, the flute player’s music would have been essential to ensure that everyone kept the same tempo during the march.

4.5.2: Greek Religion

One modern theory argues that the Greeks of the Archaic period built city-states around these precincts of various gods in order to live closer to them and protect them. While impossible to know for sure if this theory is true, the building of temples in cities during the Archaic period shows the increasing emphasis that the poleis were placing on religion.

Greek religion seems to have been an element of continuity from the Bronze Age to the Archaic period and beyond. The important role that the gods play in the Homeric epics attests to their prominence in the oral tradition, going back to the Dark Ages. Furthermore, names of the major gods worshipped in the Archaic period were found on the deciphered Linear B tablets:

- Zeus, king of the gods and god of weather, associated with the thunderbolt
- Hera, Zeus’ wife and patroness of childbirth
- Poseidon, god of the sea
- Hermes, messenger god and patron of thieves and merchants
- Athena, goddess of war and wisdom and patroness of women’s crafts; Ares, god of war;
- Dionysus, god of wine
- twins Apollo, god of the sun and both god of the plague and a healer, and Artemis, goddess of the hunt and the moon.

All of these gods continued to be the major divinities in Greek religion for its duration, and worshipped as patron gods of

individual cities, such as Artemis at Sparta, and Athena at Athens.

A few local cults achieved truly Pan-Hellenic appeal. One of the most famous examples is the cult of Asclepius at Epidaurus. Asclepius, son of Apollo, was a healer god, and his shrine at **Epidaurus** attracted pilgrims from all over the Greek world. Visitors suffering from illness practiced incubation, (spending the night in the temple), in the hopes of receiving a vision in their dreams suggesting a cure. In gratitude for the god's healing, some pilgrims dedicated casts of their healed body parts. Archaeological findings include a plentitude of ears, noses, arms, and feet.



Figure 4.5.3: Themis and Aegeus | The Pythia seated on the tripod and holding a laurel branch – symbols of Apollo, who was the source of her prophecies. This is the only surviving image of the Pythia from ancient Greece Author: User "Bibi Saint-Poi" Source: Wikimedia Commons License: Public Domain

Several religious festivals included athletic competitions as part of the celebration. Beginning in 776 BCE, the **Olympic Games** were held in Olympia every four years in honor of Zeus. They drew competitors from all over the Greek world, even Persia. The Pan-Hellenic appeal of the Olympics is signified by the impact that these games had on Greek politics. For instance, a truce was in effect throughout the Greek world for the duration of each Olympics. In addition, the Olympics provided a Pan-Hellenic system of dating events by Olympiads or four-year cycles.

Perhaps the most politically influential of the Pan-Hellenic cults was the oracle of Apollo at **Delphi**, established sometime in the eighth century BCE. Available for consultation only nine days a year, the oracle spoke responses to the questions asked by inquirers through a priestess, named the **Pythia**. The Pythia's responses came in the form of poetry and were notoriously difficult to interpret. Nevertheless, city-states and major rulers throughout the Greek world considered it essential to consult the oracle before embarking on any major endeavor, such as war or founding a colony.

4.5.3: Maritime Trade and Colonization

According to the historian Herodotus, sometime c. 630 BCE, the king of the small island of Thera traveled to Delphi to offer a sacrifice and consult the oracle on a few minor points. To his surprise, the oracle's response had nothing to do with his queries. Instead, the Pythia directed him to found a colony in Libya, in North Africa. Having never heard of Libya, the king ignored the advice. A seven-year drought ensued, and the Therans felt compelled to consult the oracle again. Receiving the same response as before, they finally sent out a group of colonists who eventually founded the city of Cyrene.

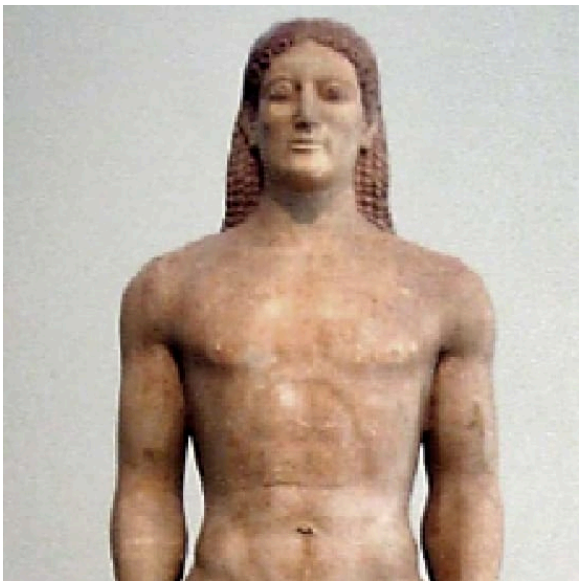


Figure 4.5.4: **Archaic kouros (youth) statue, c. 530 BC** | Note the Egyptian hairstyle and body pose. Author: User "Mountain" Source: Wikimedia Commons License: Public Domain

While this story may sound silly, it is similar to other foundation stories of Greek colonies and emphasizes the importance of the Delphic oracle. At the same time, this story leaves open the question of motive: why did so many Greek city-states of the Archaic period send out colonies to other parts of the Greek world? Archaeology and foundation legends suggest two chief reasons:

- population pressures along with shortage of productive farmland in the cities on mainland Greece
- increased ease of trade that colonies abroad facilitated

In addition to resolving these two problems, the colonies had the unforeseen impact of increasing interactions of the Greeks with the larger Mediterranean world and the ancient Near East. These interactions are visible in the so-called **Orientalizing style** of art in the Archaic period, a style the Greeks borrowed from the Middle East and Egypt.

As section 4.5.5 will show, the presence of Greek colonies in Asia Minor played a major role in bringing about the Greco-Persian Wars.

4.5.4: Aristocracy, Democracy, and Tyranny in Archaic Greece

According to later Greek historians, including Herodotus and Thucydides, most Greek *poleis* started out with a monarchical or quasimonarchical government. Over time the people gained greater representation, and an assembly of all citizens had at least some degree of political power. However, some degree of strife typically materialized between the aristocrats and the poorer elements. Taking advantage of such civic conflicts, **tyrants** came to power in most city-states for a brief period before the people banded together and drove them out, thenceforth replacing them with a more popular form of government.

Many modern historians are skeptical about the origins of some *poleis*. For example, it is questionable whether the earliest Thebans truly were born from dragon teeth Nevertheless, oral tradition suggests that city-states likely went through periods of turmoil and change in their form of government before developing a more stable constitution. This line of development accurately describes the early history of Athens, the best-documented *polis*.

In the early Archaic period, Athens largely had an aristocratic constitution. Widespread debt slavery caused significant civic strife in the city and led to the appointment of **Solon** as lawgiver for the year 594/3 BCE. Solon created a more democratic constitution. He left poetry justifying his reforms, as well as different citizens' reactions to them. Most controversial of all, Solon instituted a one-time debt-forgiveness, *seisachtheia*, which literally means "shaking off." He proceeded to divide all citizens into five classes based on income, assigning a level of political participation and responsibility to each class.

Shortly after Solon's reforms, **Peisistratus** illegally seized control of Athens and remained in power off and on from 561 to 527 BCE. He seems to have been a reasonably popular ruler who had the support of a significant portion of the Athenian population. However, his two sons, Hippias and Hipparchus, appear to have been less well-liked. Two men assassinated Hipparchus in 514

BCE. Then, in 508 BCE, the Athenians, with the help of a Spartan army, permanently drove out Hippias. In subsequent Athenian history, the two assassins, Harmodius and Aristogeiton, were considered heroes of the democracy.

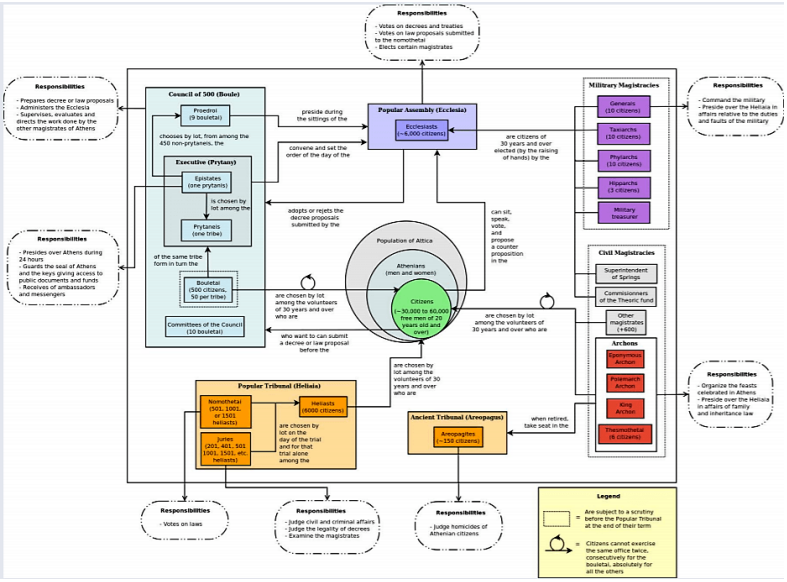


Figure 4.5.5: The structure of the Classical Athenian democracy, fourth century BCE Author: User “Mathieugp” Source: Wikimedia Commons License: CC BY-SA 3.0

Immediately following the expulsion of Hippias, Athens underwent a second round of democratic reforms, led by **Cleisthenes.** The Cleisthenic constitution remained in effect, with few changes, until the Macedonian conquest of Athens in the fourth century BCE and is considered to be the Classical **Athenian democracy**. Central to the democracy was the participation of all citizens in two types of institutions:

- the ***ekklesia***, an assembly of all citizens, which functioned as the chief deliberative body of the city
- the law-courts, to which citizens were assigned by lot as jurors.

Two chief offices, the generals and the archos, ruled over the city and were appointed for one-year terms. Ten generals were elected annually by the *ekklesia* for the purpose of leading the Athenian military forces. Finally, the leading political office each year, the nine archons, were appointed by lot (drawing, such as in a lottery) from all eligible citizens. This action exemplified the Athenians’ pride in their democracy and their belief that all Athenian citizens were equally valuable and capable of leading their city-state.

Sparta was seen by other Greek *poleis* as a very different sort of city from the rest. Ruled from an early period by two kings – one from each of the two royal houses that ruled jointly – Sparta was a true oligarchy, in which the power rested in its ***gerousia***, a council of thirty elders, whose number included the two kings. While an assembly of all citizens existed as well, its powers were much more limited than were those of the Athenian assembly. Because of much more restrictive citizenship rules, Spartan assembly of citizens would have felt as a more selective body, as Figure 4.5.6 illustrates.

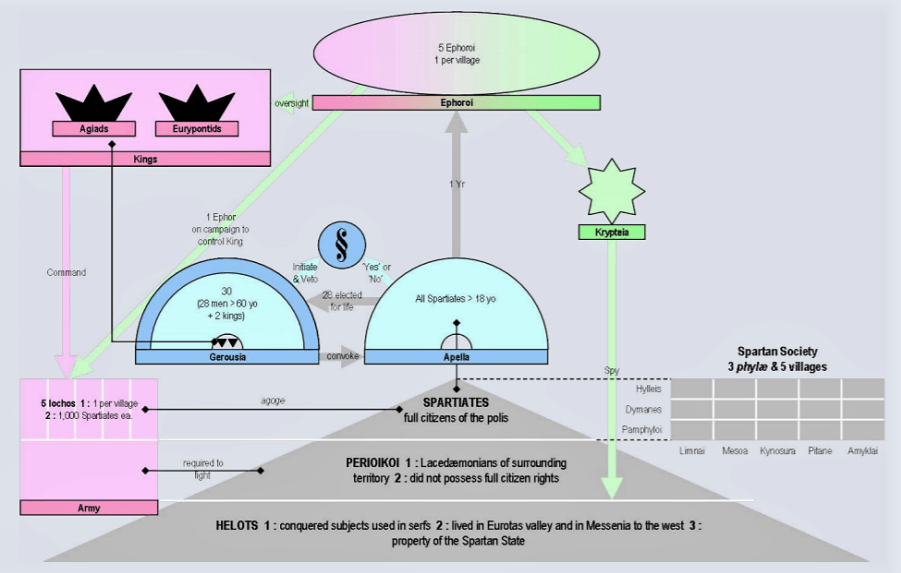


Figure 4.5.6: Structure of the Spartan Constitution Author: User "Putinovac" Source: Wikimedia Commons License: CC BY 3.0

A crucial moment in Spartan history was the city's conquest of the nearby region of Messenia in the eighth century BCE.



Map 4.5.1: Map of Sparta and the Environs Author: User "Marsyas" Source: Wikimedia Commons License: CC BY-SA 3.0

The Spartans annexed the Messenian territory to their own and made the Messenians **helots**. While the helots could not be bought or sold, they were permanently tied to the land in a status akin to medieval European serfs. The availability of helot labor allowed the Spartans to focus their attention on military training. Eventually, Sparta became the ultimate military state in the Greek world, widely respected by the other Greek *poleis* for its military prowess. Other Greeks were fascinated by such Spartan practices as the communal bringing up of all children apart from their parents and the requirement that all Spartan girls and women, as well as boys and men, maintain a strict regimen of exercise and training.

But while Athens and Sparta sound like each other's diametrical opposites, the practices of both *poleis* ultimately derived from the same belief. In order to ensure their city's survival, the citizens must place their city-state's interests above their own. A democracy simply approached this goal with a different view of citizen qualifications than did an oligarchy.

4.5.5: The Persian Wars

Despite founding colonies, the Greeks seem to have remained in a state of relatively peaceful coexistence with the rest of their

Mediterranean neighbors. In the mid-sixth century BCE, Cyrus, an ambitious king of Persia, embarked on a swift program of expansion. He ultimately consolidated the largest empire of the ancient world and earned for himself the title "**Cyrus the Great**."

Cyrus' **Achaemenid Empire** bordered the area of Asia Minor that had been previously colonized by the Greeks. This expansion brought the Persians into direct conflict with the Greeks, serving as the origin of the Greco-Persian Wars, the greatest military conflict the Greek world had known up until that point.

Over the second half of the sixth century, the Persians had taken over the region of Asia Minor, also known as Ionia, installing tyrants loyal to Persia. In 499 BCE, the Greek city-states joined forces to rebel against the Persian rule. Athens and Eretria sent military support for this Ionian Revolt, and the rebelling forces marched on the Persian capital of Sardis, burning it in 498 BCE. The revolt was finally subdued by the Persians in 493 BCE.



Map 4.5.2: The Achaemenid Empire under the rule of Cyrus Author: User "Gabagool" Source: Wikimedia Commons License: CC BY 3.0

Seeking revenge on Athens and Eretria, the Persian king **Darius** launched an expedition in 490 BCE.

Darius' forces captured Eretria in mid-summer, destroyed the city, and enslaved its inhabitants. Sailing a short distance across the bay, the Persian army then landed at Marathon. The worried Athenians sent a plea for help to Sparta. The Spartans, in the middle of a religious festival, refused to help. So, on September 12, 490 BCE, the Athenians, with only a small force of Plataeans helping, faced the much larger Persian army in the **Battle of Marathon**. The decisive Athenian victory showed the superiority of the Greek hoplite phalanx and marked the end of the first Persian invasion of Greece. Furthermore, the victory demonstrated to the rest of the Greeks that Sparta was not the only great military power in Greece.



Map 4.5.3: | **Map of the Greek World during the Persian Wars (500-479 BCE)** Author: User “Bibib Saint-poi” Source: Wikimedia Commons License: CC BY-SA 3.0

Darius died in 486 BCE. In 480 BC, his son, **Xerxes**, launched a second invasion of Greece, with an army so large that it allegedly drank entire rivers dry on its march. Led by Athens and Sparta, some seventy Greek *poleis* formed a sworn alliance to fight together against the Persians. This alliance allowed the allies to split forces strategically in order to guard against Persian attacks by both land and sea. The few Greek city-states who declared loyalty to the Persian Empire instead–most notably, Thebes–were seen as traitors for centuries to come by the rest of the Greeks.

Marching through mainland Greece from the north, the Persians first confronted the Spartans at the Battle of Thermopylae, a narrow mountain pass. In this now-legendary battle, 300 Spartans, led by their king Leonidas, successfully defended the pass for two days. Then, they were betrayed by a local and the Persians were able kill them to the last man. Although a loss for the Greeks, the Spartans were considered the heroes of Thermopylae.

The victory at Thermopylae fulfilled the old dream of Darius, as it allowed access to Athens for the Persians. A Delphic oracle stated that wooden walls will save Athens. In response, the Athenian statesman Themistocles ordered a full evacuation of the city by sending all of the city’s inhabitants to safety in a massive fleet of ships. The Persians captured and burned the mostly empty city.

The Athenians proceeded to defeat the Persian fleet at the Battle of Salamis, off the coast of Athens, turning the tide of the war in favor of the Greeks. Finally, in June of 479 BCE, the Greek forces were able to strike the two final blows, defeating the Persian forces on the same day in the Battle of Plataea (on land) and the Battle of Mycale (on sea). Xerxes was left to sail home to his diminished empire.

Seen by historians as the end-point of the Archaic Period, the Persian Wars cemented Pan-Hellenic identity. In addition, the Persian Wars showed the Greek military superiority over the Persians on both land and sea. Finally, the wars showed Athens in a new light to the rest of the Greeks. As the winners of Marathon in the first invasion and the leaders of the navy during the second invasion, the Athenians emerged from the wars as the rivals of Sparta for military prestige among the Greeks.

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4.6: The Classical Period

The story of the Greeks in the Classical Period is best described as the strife for leadership of the Greek world. First, Athens and Sparta spent much of the fifth century BCE battling each other for control of the Greek world. Then, once both were weakened, other states began attempting to fill the power vacuum. Ultimately, the Classical Period will end with the Greek world under the control of Macedon.

4.6.1: From the Delian League to the Athenian Empire

In 478 BCE, a group of Greek city-states founded the **Delian League**, with the aim of continuing to protect the Greeks in Ionia from Persian attacks. Led by Athens, the league allowed member states the option of either contributing a tax (an option that most members selected) or contributing ships for the league's navy. The treasury of the league, where the taxes paid by members were deposited, was housed on Delos.



Map 4.6.1: Map of The Athenian Empire in 431 BCE Author: User "Marsyas" Source: Wikimedia Commons License: CC BY-SA 3.0

Over the next twenty years, the Delian League gradually transformed from a loose alliance of states led by Athens to a more formal entity. The League's Athenian leadership grew to be that of an imperial leader. The few members who tried to secede from the League were subdued. Finally, in 454 BCE, the treasury of the Delian League moved to Athens. That moment marked the transformation of the Delian League into the **Athenian Empire**.

While only the Athenian side of the story survives, it appears that the Athenians' allies in the Delian League were not happy with the transformation of the alliance into a full-fledged Athenian Empire. Once the treasury of the Empire had been moved to Athens, the Athenians had used some funds from it for their own building projects, the most famous of these projects being the Parthenon, the great temple to Athena on the Acropolis.



Figure 4.6.1: Model of the Acropolis, with the Parthenon in the middle Author: User “Benson Kua” Source: Wikimedia Commons License: CC BY-SA 2.0

Pericles (c. 426 BCE - 495 BCE) was instrumental in the development of a more popular democracy in Athens. In 451 BCE, Pericles sponsored a Citizenship Decree that restricted Athenian citizenship to individuals who had two freeborn and legitimately-wed Athenian parents. These parents had also to be born of Athenian parents. In c. 449 BCE, Pericles proposed a decree that allowed the Athenians to use Delian League funds for Athenian building projects. In c. 447 BCE, he sponsored the Athenian Coinage Decree that imposed Athenian standards of weights and measures on all states that were members of the Delian League. Later in his life, Pericles famously described Athens as “the school of Hellas;” in addition to the flourishing of art and architecture, the city was a center of philosophy and drama.

The growing wealth and power of Athens led to increasingly tense relations between with others. Sparta had steadily consolidated the Peloponnesian League in this same time. In the period of 460-445 BCE, the Spartans and the Athenians engaged in a series of battles, commonly referred to as the **First Peloponnesian War**. In 445 BCE, the two sides swore to a Thirty Years Peace. However, this trust was temporary, as the Great Peloponnesian War erupted in 431 BCE.

4.6.2: The Peloponnesian War (431 – 404 BCE)

A conflict that had been bubbling under the surface for fifty years finally broke out over a seemingly minor affair. In 433 BCE, Corcyra no longer wanted to be under the control of Corinth and asked Athens for protection. The Corinthians claimed that the Athenian support of Corcyra was a violation of the Thirty Years Peace. At a subsequent meeting of the Peloponnesian League in Sparta in 432 BCE, the allies voted that the peace had been broken and so declared war against Athens.

The Spartans expected that they would march with an army to Athens, fight a decisive battle, then return home. That plan did not work. The long duration of the war was partly the result of the different strengths of the two leading powers. Athens was a naval empire, with allies scattered all over the Ionian Sea. Sparta, on the other hand, was a land-locked power with supporters chiefly in the Peloponnese and with no navy to speak of at the outset of the war.

The Peloponnesian War forced the Greek city-states to support standing armies. While sieges of cities and attacks on civilians were previously frowned upon, they became the norm by the end of the Peloponnesian War. It is important to note that Greek siege warfare during the fifth century BCE was still quite primitive, as no tools existed for ramming or otherwise damaging the city gates or walls. Furthermore, catapults, so useful for targeting a city from the outside, first came into being in 399 BCE, five years after the war had ended.



Map 4.6.2: Map of the Peloponnesian War Alliances at the Start and Contrasting Strategies, 431 BCE Author: User “Magnus Manske” Source: Wikimedia Commons License: Public Domain

Modern historians divide the Peloponnesian War into three distinct stages:

- **Archidamian War** (431 – 421 BCE) proposed the strategy of annual invasions of Attica at the beginning of the war. In 430 BCE, the crowded conditions within Athens resulted in the outbreak of a virulent plague which by some estimates killed as much as twenty-five percent of the city’s population over the following three years. Among the dead was none other than Pericles himself. Subsequent Athenian leaders were 'war-hawks'.
- **Peace of Nicias** (421-413 BCE) was supposed to be a fifty years’ peace. It allowed both sides to return to their pre-war holdings, with a few exceptions. One problem with the treaty was that several key allies of Sparta, including Corinth and Thebes, refused to do sign it. Furthermore, Athens made the disastrous decision to launch the **Sicilian Expedition,** which lead to the destruction of its navy.
- **Decelean War** (413-404 BCE) started when Spartans occupied Decelea and transformed it into a military fort. This occupation cut Athens from most supply routes, effectively crippling the Athenian economy. In 411 BCE, an oligarchic coup briefly replaced the democracy with the rule of the Four Hundred. While this oligarchy was quickly overthrown and the democracy restored, this incident highlighted the city-state's internal instability.



Map 4.6.3: Map of the Sicilian Expedition Author: User “Kenmyer” Source: Wikimedia Commons License: CC0

The Athenians had managed to rebuild a navy after the Sicilian Expedition. In 405 BCE, the Spartan general Lysander defeated

Athens in the naval battle of Aegospotami. He proceeded to besiege Athens, and the city finally surrendered in 404 BCE. The Athenian democracy was overthrown, to be replaced this time by the Spartan-sanctioned oligarchy known as the **Tyranny of the Thirty**. A year later, an army formed largely of Athenian democrats in exile marched on the city and overthrew the Thirty. The democracy was restored in 403 BCE, and the painful process of recovery from the war and the oligarchic rule could begin.

4.6.3: Athenian Culture during the Peloponnesian War

Because it drained Athens of manpower and financial resources, the Peloponnesian War proved to be an utter practical disaster for Athens. Nevertheless, the war period was also the pinnacle of Athenian culture, most notably its tragedy, comedy, and philosophy. Tragedy and comedy in Athens were very much popular entertainment, intended to appeal to all citizens.

Sophocles' tragedies dealt with the darker side of fighting, for both soldiers and generals, and the cities that are affected. By tradition, tragedies integrated mythical stories. So, his two mythical wars were the

- Trojan War, as in *Ajax* and *Philoctetes*
- the aftermath of the war of the Seven against Thebes, in which Polynices, the son of Oedipus, led six other heroes to attack Thebes, a city led by his brother Eteocles, as in *Oedipus at Colonus*.

Sophocles' younger contemporary, **Euripides**, had a similar interest in depicting the horrors of war and wrote a number of tragedies on the impact of war on the defeated, such as in *Phoenician Women* and *Hecuba*; both of these plays explored the aftermath of the Trojan War from the perspective of the defeated Trojans.

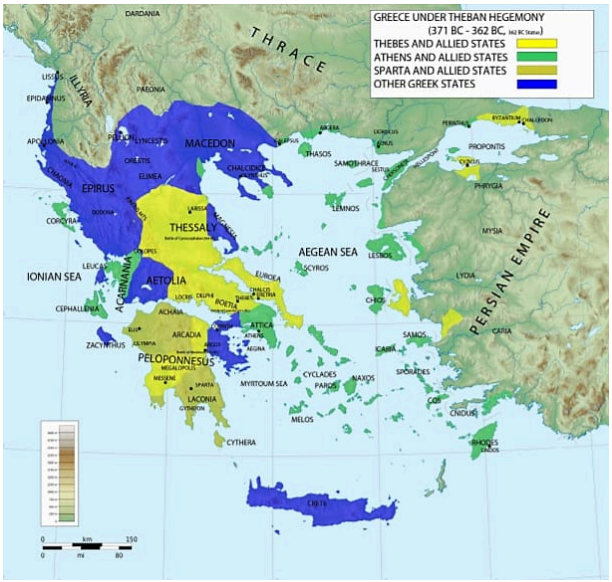
The comic playwright **Aristophanes** was far less subtle. For instance, in the *Acharnians* (425 BCE), the main character is a war-weary farmer who, frustrated with the inefficiency of the Athenian leadership in ending the war, brokers his own personal peace with Sparta. Similarly, in *Peace* (421 BCE), another anti-war farmer fattens up a dung beetle in order to fly to Olympus and beg Zeus to free Peace. Undeniably funny, the jokes in these comedies have a bitter edge, akin to the portrayal of war in the tragedies.

While the playwrights were dreaming of the things of this world, **Socrates** was dreaming of difficult questions. He did not leave us any of his writings. Rather, his student, the fourth-century philosopher **Plato,** recorded the ideas. In Plato's writings, Socrates comes across as someone who loved difficult questions and who was not above confronting any passers-by with such questions as "What is courage?"; "What is moral?"; "What would the ideal city look like?"

Using what became known ever since as the "Socratic method," Socrates continued to probe further every definition and answer that his conversation partners provided. As a result of his love of such debates, Socrates was seen as connected to the Sophists, philosophical debate teachers, who (as Aristophanes joked) could teach anyone to convince others of anything at all, regardless of reality or truth. But Socrates radically differed from the Sophists by not charging fees for his teaching and encouraged all with whom he spoke to keep thinking and questioning.

4.6.4: The Fourth Century BCE

In 399 BCE, Socrates, the philosopher who had spent his life wandering the streets of Athens engaging in endless dialogues regarding the meaning of life, was put on trial for impiety and for corrupting the youth, convicted, and speedily sentenced to death. Why did the Athenians suddenly turn against this public teacher and judge him worthy of execution? Socrates had taught Critias, who became one of the Thirty in 404 BCE. Fueled by their hatred of all enemies of the democracy and anyone who had associated with the Thirty, the Athenians condemned Socrates to death. This trial shows how difficult it was for the Athenians to forget the terrible end of the Peloponnesian War.



Map 4.6.4: Map of The Theban Hegemony Author: User “Megistais” Source: Wikimedia Commons License: Public Domain

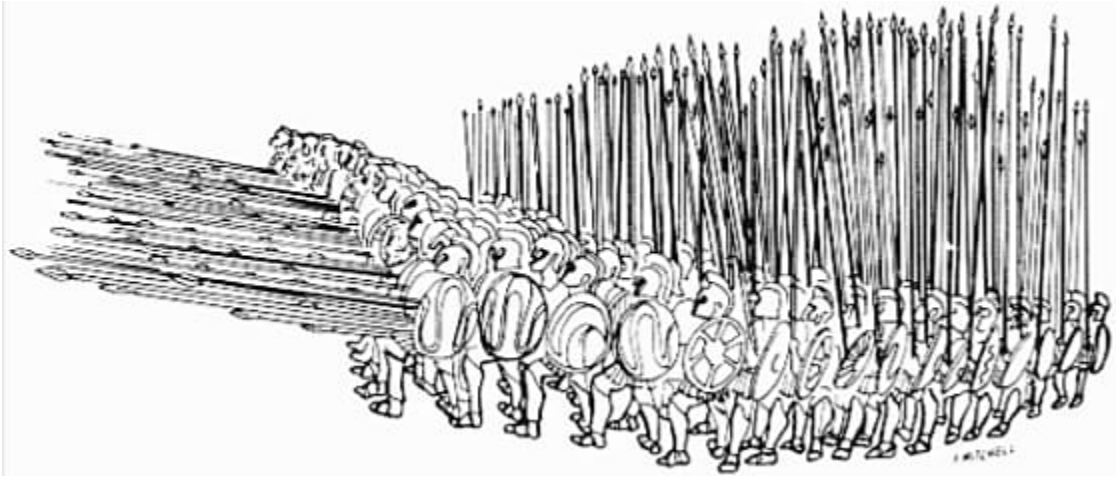


Figure 4.6.2: The Macedonian Phalanx | The wedge formation using the Macedonian sarissa, a spear about eighteen feet in length Author: User “Alagos” Source: Wikimedia Commons License: Public Domain

Defeated in the war, Athens was no longer an Empire. Meanwhile, the winner, Sparta, had suffered a catastrophic decline in its population over the course of the Peloponnesian War. At the same time, Thebes had revamped its military, introducing the first two significant changes to the hoplite phalanx way of fighting since its inception: slightly longer spears, and wedge formation. They continued an aggressive program of military expansion over the next decade, a period known as the **Theban Hegemony**.



Map 4.6.5: Map of the Conquests of Philip | The Kingdom of Macedon at the death of Philip II (336 BC) Author: User "Marsyas" Source: Wikimedia Commons License: CC BY-SA 3.0

Sometime in the 360's BCE, a young Macedonian prince stayed for several years in Thebes as a hostage. Circa 364 BCE, the prince returned to Macedon, and, in 359 BCE, he ascended to the throne as King **Philip II**. Up until that point in Greek history, the Macedonians had largely been known for two things: drinking their wine undiluted, which had marked them as complete and utter barbarians in the eyes of the rest of the Greeks, and being excellent horsemen. As soon as Phillip came to the throne, he began transforming the Macedonian military into a more successful image of what he had seen at Thebes. One way was the Macedonian ***sarissa***, a spear of about eighteen feet in length, double that of the traditional Greek hoplite spear. He also added a calvary to the Theban wedge formation.

Over the next twenty years, Philip systematically conquered all of mainland Greece, with the exception of Sparta, which he chose to leave alone. Philip's final great victory was at the **Battle of Chaeronea** (338 BCE), in which the Macedonian armies defeated the combined forces of Athens and Thebes. Philip's conquest of the entire mainland was the end of an era. For the first time, the entire territory was united under the rule of a king.



Figure 4.6.3: Alexander the Great | Alexander fighting Darius in the Battle of Issus (333 BCE). Mosaic from the House of the Faun, Pompeii. Note Alexander on the left side of the mosaic, fighting on horseback, while Darius, almost at the middle, charges in a chariot. Author: User "Berthold Werner" Source: Wikimedia Commons License: CC BY-SA 3.0

In 336 BCE while on his way to a theatrical performance, Philip was assassinated by one of his own bodyguards. His 20-year old

son Alexander continued his father's ambitious program of conquests. Alexander's first target was the Persian Empire. Moving farther and farther East in his campaigns, Alexander conquered the Balkans, Egypt, and the territories of modern-day Lebanon, Syria, and Israel before he achieved a decisive victory over Darius III at the Battle of Gaugamela in 331 BCE.

Continuing to move eastwards, Alexander invaded India in 327 BCE, planning to conquer the known world. (The Greeks of his day were not aware of China's existence). However, his war-weary troops rebelled and demanded to return home. This mutiny forced Alexander to give in. Leaving several of his officers behind as satraps, Alexander turned back. In 323 BCE, he and his army reached Babylon, the city that he had hoped to make the new capital of his world empire. There, Alexander fell ill and died at the ripe old age of thirty-three.



Map 4.6.6: Map of the campaigns and conquests of Alexander Author: User "IrakliGuna" Source: Wikimedia Commons License: CC BY-SA 3.0

While Alexander's rule only lasted thirteen years, his legacy reshaped Greece and the rest of ancient Eurasia for the next several centuries. A charismatic leader, albeit one prone to emotional outbursts, Alexander redefined what it meant to be king and general. His coinage reflects this reinvention. On one coin minted during his lifetime appears Alexander dressed as the hero Heracles, while Zeus, whom Alexander alleged to be his real father, appears on the other side.



Figure 4.6.4: Silver coin of Alexander as Heracles Author: User "World Imaging" Source: Wikimedia Commons License: CC BY-SA 3.0

In addition, by conquering territories that were previously not part of the Greek world, Alexander spread Greek culture farther than had anyone else before him. By marrying several non-Greek princesses and encouraging such marriages by his troops, Alexander

helped create a “meltingpot” empire. He founded new cities named after himself all over his new empire. In particular, Alexandria, in Egypt, became a center of Greek civilization—albeit with an Egyptian twist—and was seen as a new Athens well into the Roman Empire.

Alexander’s brief time in India produced a significant impact as well. In 321 BCE, Chandragupta Maurya was able to unify India into a single kingdom for the first time, establishing the **Mauryan Empire**. Finally, in the Middle East, North Africa, and the Greek world, Alexander’s generals divided his conquests into several kingdoms that they and their descendants continued to rule until the Romans conquered these respective areas.

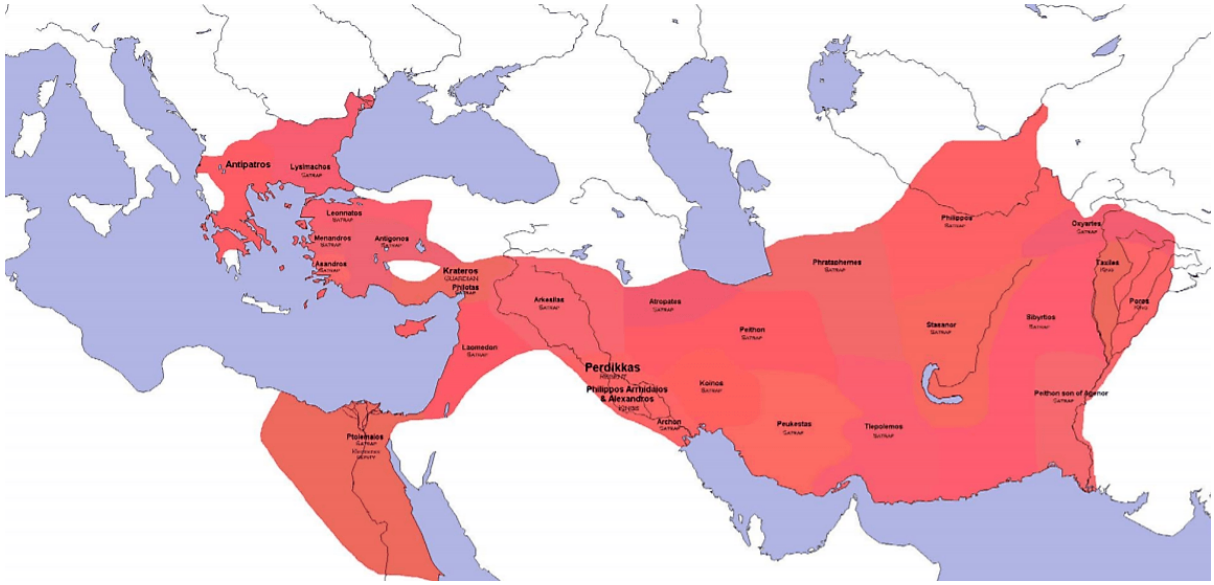
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4.7: Hellenistic Period

Historians consider the death of Alexander to be the beginning of the Hellenistic Period. While city-states continued to exist, the main unit of organization was the great Hellenistic kingdoms, which encompassed much greater territory and contributed to the thorough Hellenization of the Eastern Mediterranean and the Middle East. The age also coincided with the rise of Rome as a military power in the West. Ultimately, the Hellenistic kingdoms were conquered and absorbed by Rome.

4.7.1: Hellenistic Kingdoms

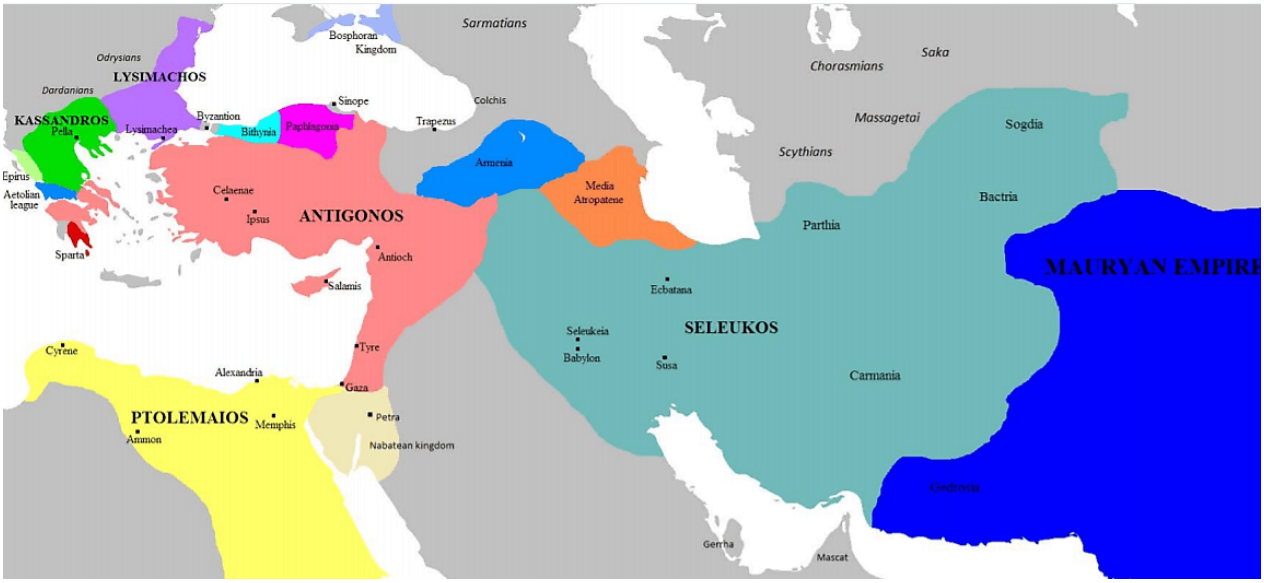
Although Alexander had several children from his different wives, he did not leave an heir old enough to take power upon his death. Indeed, his only son, Alexander IV, was only born several months after his father's death. Instead, Alexander's most talented generals turned against each other in a contest for the control of the empire that they had helped create.



Map 4.7.1: Map of the Initial partition of Alexander's empire, before the Wars of the Diadochi Author: User "Fornadan" Source: Wikimedia Commons License: CC BY-SA 3.0

These **Wars of the Diadochi** ended with a partition of Alexander's empire into a number of kingdoms. The four most influential dynasties which retained power for the remainder of the Hellenistic Age were:

- Seleucus, who took control of Syria and the surrounding areas, thus creating the **Seleucid Empire** (312 BC to 63 BCE)**.**
- Antigonus Monophthalmos, the One-Eyed, who took over the territory of Asia Minor and northern Syria, establishing the **Antigonid Dynasty** (306–168 BCE)
- the Attalid Dynasty, which took power over the **Kingdom of Pergamon** (282 BC–129 BCE), after the death of its initial ruler, Lysimachus, a general of Alexander
- Ptolemy, Alexander's most influential general, who took control over Egypt, establishing the **Ptolemaic Dynasty** (305 to 30 BCE)



Map 4.7.2: Map of the Hellenistic Kingdoms c. 303 BCE Author: User "Javierfv1212" Source: Wikimedia Commons License: Public Domain

The Ptolemaic kingdom proved to be the longest-lasting and most successful of the kingdoms carved from Alexander's initial empire. Aiming to make Alexandria the new Athens of the Mediterranean, Ptolemy I spared no expense in building the Museaum, an institution of learning and research that included, most famously, the **Great Library**. Even with the Greek influences, the Egyptian royal custom of brother-sister marriages was practiced. The last of the Ptolemaic rulers, Cleopatra VII, first married and ruled jointly with her brother Ptolemy XIII. After defeating him in a civil war, she then married another brother, Ptolemy XIV, remaining his wife until his death, possibly from sisterly poisoning. Best known for her affairs with Julius Caesar and Marcus Antonius, Cleopatra teamed with Marcus Antonius in a bid for the Roman Empire. The last surviving ruler who was descended from one of Alexander's generals, she was finally defeated by Octavian, the future Roman emperor Augustus, in 30 BCE.

4.7.2: Hellenistic Culture

The Hellenistic kingdoms spread Greek language, culture, and art all over the areas of Alexander's former conquests. Furthermore, many Hellenistic kings, especially the Ptolemies, were patrons of art and ideas. Thus, the Hellenistic era saw the flourishing of art and architecture, philosophy, medical and scientific writing, and even translations of texts of other civilizations into Greek. The undisputed center for these advances was Alexandria.

Combining the practical with the ambitious, the **Pharos**, or Lighthouse, of Alexandria was one of the most famous examples of Hellenistic architecture and has remained a symbol of the city to the present day. Constructed in 280 BCE, it was considered to be one of the Seven Wonders of the Ancient World and was one of the tallest buildings in the world at the time. While its practical purpose was to guide ships into the harbor at night, it also exemplified the bold advances and experimental spirit of Hellenistic architecture. Indeed, it was located on a man-made mole off the coast of the city. The building comprised three layers, the top one of which housed the furnace that produced the light.

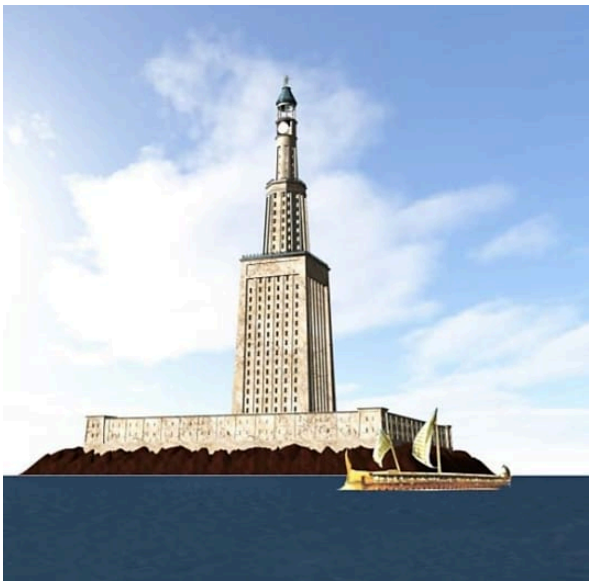


Figure 4.7.1: The Pharos, or Lighthouse, of Alexandria Author: Emad Victor SHENOUDA Source: Wikimedia Commons License: © Emad Victor SHENOUDA. Used with permission

Both the scientific and medical texts from the Hellenistic Period reveal a fascination with an ordered universe and an interest in discovering how it worked. **Herophilus of Chalcedon** pioneered dissection in the early third BCE and was especially interested in the human brain and the nervous system. The mathematician Euclid, who lived and worked in Alexandria during the reign of Ptolemy I (323 – 283 BCE), wrote the *Elements*, an encyclopedic work of mathematics that effectively created the discipline of geometry. The third-century BCE scientist and inventor **Archimedes of Syracuse** specialized in applying mathematical concepts to create such devices as a screw pump and a variety of war machines, including the heat ray.

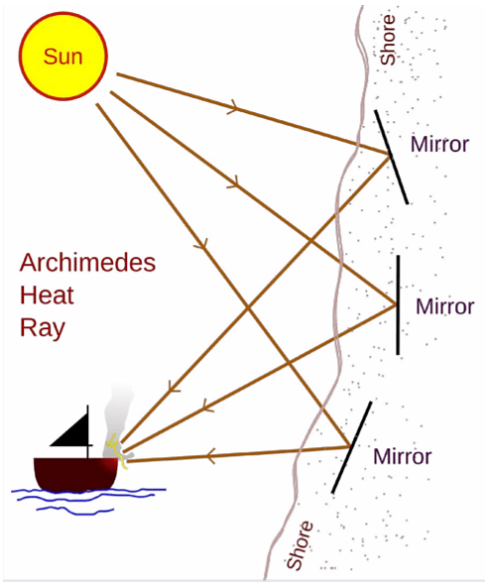


Figure 4.7.2: The Archimedes Heat Ray Author: User “Pbrokos13” Source: Wikimedia Commons License: CC BY-SA 3.0

The same fascination with studying the order of the universe appears in Hellenistic philosophy and stems ultimately from the philosophy of Aristotle (384 – 322 BCE), considered to be the last Classical Greek philosopher. Aristotle wrote on political theory, poetry, music, and a variety of sciences. He specifically argued for empiricism, that is, the belief that knowledge is acquired from sensory experiences rather than from intuition. In the sciences, this approach required experiments and the careful gathering of data. While Aristotle’s influence on the Hellenistic philosophers is undeniable, alternative theories were developed.

- **Skepticism**, especially as formulated by Pyrrho in the third century BCE, argued that it was impossible to reach any accurate conclusions about the world and the key to happiness was to stop trying.
- **Cynic philosophers**, starting in the fourth century BCE, advocated the ascetic life of simplicity and freedom from

possessions.
- **Stoicism** argued for letting go of all emotions and developing a self-control that would allow one to live in accordance with nature.
- **Epicureanism** argued for the absence of pain as the ultimate goal in life and saw the universe as ruled by random chance, separate from the intervention of the gods.

All of these philosophies aimed to provide a coherent system that made sense of the world and provided a purpose for human life.

Finally, the Hellenistic Period saw the translation of texts of other civilizations into Greek. For example, the Hebrew Old Testament was translated into Greek. Jews formed a significant minority of the population of Alexandria, as well as other major cities around the Mediterranean. By the third century BCE, these Jews appear to have largely lost the knowledge of Hebrew; thus, a translation of the sacred texts into Greek was necessary. As later legend has it, Ptolemy II Philadelphus allegedly commissioned seventy-two scholars to translate the documents for his Royal Library, which gave the text the title of ***Septuagint***.

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4.8: Methodology- Sources and Problem

How do we know what we know about the Greek world? Studying Greek history, especially in its earliest periods, is like putting together a puzzle, most of whose pieces are missing, and some pieces from another puzzle have also been added in for good measure. Greek history requires careful consideration of a wide range of sources, which fall into two broad categories: literary sources (including both fiction and non-fiction), and material culture. In a world where social media, television, print newspapers, and radio did not exist, historians need to use other sources, such as epics, lyric poetry, and drama.

The earliest literary sources for Greek history are the Homeric epics, *Iliad* and *Odyssey*. Composed orally before the existence of the Greek alphabet, the epics were not written down until sometime in the sixth century BCE. The stories most likely do not reflect the society of any particular Greek city-state in any one period, but rather consist of an amalgam of features from the Bronze Age to the early Archaic Period. More than any other literary source, the Homeric Epics influenced the mentality of the Greeks in thinking about war and what it means to be a hero.

The overwhelming majority of surviving literature is from Athens, which brings it own challenges. The Greeks of the Classical period considered Sparta to be as great a city as Athens. However, Spartans valued military valor over all else, so they did not cultivate arts and letters the way Athenians did. As a result, the only literary sources from Sparta are the works of two poets, Alcman and Tyrtaeus. Tyrtaeus' military elegies glorify heroic death in battle over life without honor and were likely sung by Spartan warriors as they marched into battle.

Several genres of non-fiction survive too. The works of three major historians survive from Classical Athens. **Herodotus**, dubbed the Father of History, wrote the *Histories* about the Persian Wars in mid-fifth century BCE. **Thucydides**, an Athenian general in the Peloponnesian War, wrote a history of the Peloponnesian War over the course of the war (431 – 404 BCE). Finally, Xenophon wrote a history of the end of the Peloponnesian War, starting with 411 BCE, where Thucydides' work ended, and into the fourth century.

In addition to the works of the historians, philosophical treatises – most notably, those of **Plato** and **Aristotle** – provide crucial insight into the political thought, moral values, and perceptions of the world in the late fifth and fourth centuries BCE. Approximately 100 surviving courtroom speeches provide a window into the Athenian legal system. Finally, the Hippocratic corpus, a series of medical treatises and physicians' journals from the Classical period, help us to understand the Greeks' views of the human body and diseases.

In addition to the geographical restrictions of these sources, it is also important to note two other key limitations of the available evidence. First, virtually all of the literary sources were written by men and provide very little evidence of the lives and perspectives of women in the Greek world, except as seen through the eyes of men. Second, most of the authors were wealthy and socially prominent individuals; thus, their perspective does not reflect that of less affluent citizens and slaves.



Figure 4.8.1: Megara Hyblaea, main road, looking north | The careful planning of the road and the buildings is still evident, as the ruins on both sides of the road are perfectly aligned. Author: User "Alun Salt" Source: Wikimedia Commons License: CC BY-SA 2.0

Archaeological evidence allows historians to fill some of the gaps in the literary evidence, as well as provide key information about different aspects of everyday life in different city-states. For example, the excavations of the sixth-century BCE colony **Megara Hyblaea** in Sicily show that Greek colonists were interested in city planning and in equality of citizens, as demonstrated by the equal size of the lots.



Figure 4.8.2: Attic Black-Figure Hydria, c. 520 BCE | Shows women getting water from a public fountain. Author: User "Jastrow" Source: Wikimedia Commons License: CC BY-SA 2.5

Material finds, such as pottery remains, in different sites across the Mediterranean allow historians to map trading routes. For instance, Figures 4.8.1 and 4.8.2 show vases that were made in Euboea and Corinth respectively, but were found in Greek colonies in Italy. In addition, images on pottery provide information about stories and myths that have entered popular culture and that sometimes reflect further aspects of everyday life. The prevalence of images of women gathering at public fountains on Athenian hydriae (water pots) from the late sixth century BCE shows the importance of the public fountains for the social life of women in Athens in the period.

Finally, written archaeological sources, such as inscriptions on stone or pottery shards from all over the Greek world, and papyri from Hellenistic Egypt, are the equivalent of documentary archives from the ancient world. The evidence from epigraphy (inscriptions) includes laws that were written on large stones and set up in public, such as the monumental law-code from Gortyn,

Crete, and lists of war-dead, as well as private tomb inscriptions.

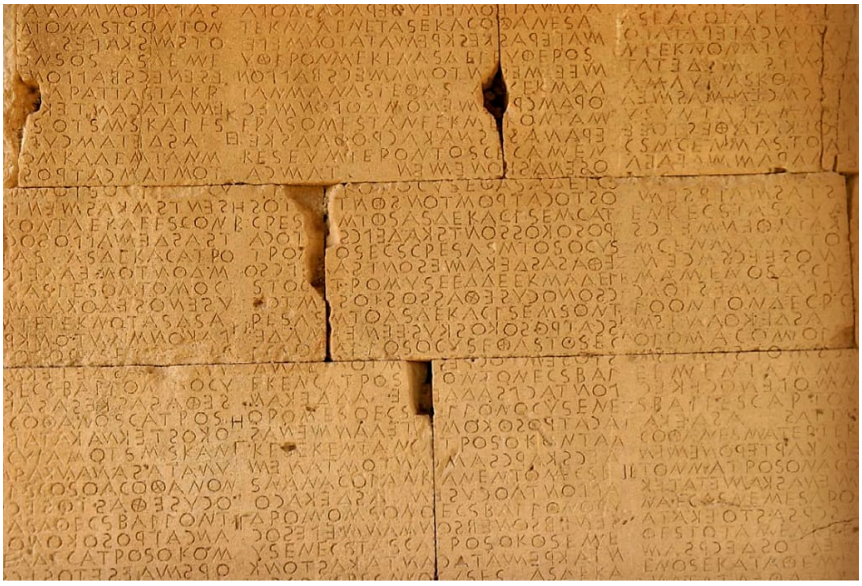


Figure 4.8.3: The Gortyn Code (c. fifth century BCE) | Close-up of part of the inscription. Author: User “Afrank99” Source: Wikimedia Commons License: CC BY-SA 2.5

Papyri include such private documents as prenuptial agreements (among the strangest are prenuptial documents for brother-sister marriages – legal in Egypt but nowhere else in the Greek world), divorce documents, loans, and village police reports (cattle theft appears to have been a serious problem in the Faiyum in the Hellenistic Period!).

Taken together, the literary and archaeological sources allow the historian to complete much more of the puzzle than would have been possible with just one of these types of sources. Still, significant gaps in knowledge remain nevertheless, and are, perhaps, one of the joys of studying ancient history: the historian gets to play the part of a sleuth, attempting to reconstruct the history of events based on just a few available clues.

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5: THE ROMAN WORLD

The foundation of the city of Rome to the fall of the Roman Empire in the West is a tale of two different transformations. One involves cultural values and beliefs, and the other reflects geography. The transformation of a small village on the Tiber into one of the largest empires in all of world history was followed by a collapse of a part of that Empire. It was from those ashes that arose what we now know as Europe.

5.1: Chronology

5.2: Basic Chronology and Periods of Roman History

5.3: Early and Middle Republic

5.4: Fall of the Roman Republic

5.5: The Early Empire

5.6: The Third-Century Crisis, and Late Antiquity

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5.1: Chronology

753 BCE Founding of Rome

c. 753 – 510 BCE Regal Period

c. 510 BCE – 44 BCE* Roman Republic

264 – 146 BCE The Punic Wars

133 BCE – 44 BCE The Late Republic

44 BCE – 476 CE Roman Empire

44 BCE – 68 CE Julio-Claudian Dynasty

69 CE Year of the Four Emperors

69 CE – 96 CE Flavian Dynasty

96 – 180 CE The Five Good Emperors

235 – 284 CE The Third Century Crisis

395 CE Permanent division of the Empire into East and West

* Scholars differ on the proposed date for the fall of the Roman Republic.

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5.2: Basic Chronology and Periods of Roman History

According to Roman tradition, Rome was founded as a monarchy. However, it was not long-lived, and its history is overshadowed by myth and legend. Historians most often divided Roman history into two major periods, based on the type of government: the **Republic** (from 509 B.C. to 27 BCE) and the **Empire** (27 BCE- c. 476 CE). The basic difference between the two periods is quite simple. During the period of the Republic, Rome was ruled by a Republican government, which distributed power, in theory, among all Roman citizens. In practice, this was really an aristocratic oligarchy. By contrast, under the Empire, Rome was under one ruler, the Emperor.

This chapter proceeds chronologically, sub-dividing both the Republic and the Empire into early and late periods, while also devoting some attention to certain thematic topics that are key to understanding each period.

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5.3: Early and Middle Republic

From the founding of Rome to the end of the Punic Wars was a formative time, during which Rome grew from a village on the Tiber to a pan-Mediterranean empire.



Map 5.3.1: Map of the Roman Conquest of Italy | Stages of Early Roman Expansion from 500 BCE to 218 BCE. Author: User “Javierfv1212” Source: Wikimedia Commons License: Public Domain

The Greek politician-turned-historian **Polybius** proposed that Roman's success was their adoption of the republican government as a replacement for the original monarchy. He also was convinced that the Roman government was superior to all others in the Mediterranean at the time. Indeed, he wrote in his book *Histories*:

> For who is so worthless or lazy as not to wish to know by what means and under what system of government the Romans in less than fifty-three years have succeeded in subjugating nearly the entire known world to their rule, an achievement unprecedented in history? (Polybius 1.1.5)

5.3.1: From Monarchy to Republic: Some Myths and Legends

“In the beginning, kings held Rome.” (quoted from Roman historian Tacitus' *Annals).* Early Roman history is shrouded in myth and legend.

According to myth, Rome received its name from its founder **Romulus**, the son of the war god Mars, and a descendant of the Trojan hero Aeneas. (Chapter 4 looked at the Greek heroic epic, Homer’s *Iliad*.) Several generations removed from their heroic ancestor Aeneas, Romulus and his twin brother **Remus** were famously abandoned as infants and then nursed by a she-wolf, the sacred animal of their father Mars.

The sweetness of the story ends there. While Romulus was building Rome, Remus insulted the new city, and his brother killed him to avenge its honor. Later, after Romulus' crew had completed the building of the new city, he realized the lack of women in the city. So, Romulus and his supporters raided the neighboring tribe, the Sabines, and kidnapped their women.

In other words, Rome came first, and if the good of the city required the sacrifice of one’s brother, or required force against others, then the gods were still on the side of the Romans and ordained these actions.



Figure 5.3.2: She-Wolf Suckles Romulus and Remus | You can see a replica of this statue in Rome, Georgia. Author: User “Nyenyec” Source: Wikimedia Commons License: Public Domain

Romans believed that their city was ruled by seven different kings in succession. After Romulus, king **Numa Pompilius** regulated Roman religion and created many of the priestly colleges and positions that continued to exist thereafter. Many years later, the seventh and final king **Tarquin the Proud** was expelled from the city. Two consults were immediately elected to govern the newly formed Republic.

5.3.2: Early Republic: Conflict of Orders, the Twelve Tables, and Key Legislations

Roman sources reveal certain common values that all Romans held dear and considered to be foundational for their state.

- Reverence for the past, ***mos maiorum***, translated as “custom of ancestors” or “custom of elders,” Romans believed that innovation amounted to disrespect for their ancestors.
- ***Auctoritas***, “power” or “authority”. The degree depended on one's social and political standing.
- ***Dignitas***, roughly meaning “dignity”, reflected one's bearing and behavior as a true Roman.
- ***Gravitas***, “seriousness”, reflected Roman conduct and determination.

It is striking that Romans never smiled in portraits. The austere facial expression conveyed their power and superiority to others, whom they had conquered.

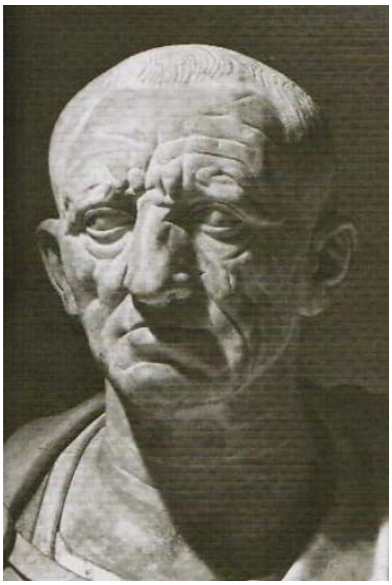


Figure 5.3.3: Bust of an austere Roman, possibly Cato the Elder Author: User “Shakko” Source: Wikimedia Commons License: Public Domain

From its earliest time, Roman citizen population was divided into two orders:

- the **patricians**, defined as the descendants from the first one hundred senators appointed to the Roman aristocratic Senate by king Romulus
- the **plebeians**, everyone who was not a patrician

The plebeians had their own political assembly, the **Plebeian Council.** All Roman citizens belonged to the **Centuriate Assembly**, which was responsible for annual elections for top political offices.

Plebeians appear to have advocated for a public display of the laws, in order to protect the poor during lawsuits. The result was the first Roman legal code, the **Twelve Tables** inscribed on twelve tables c. 450 BCE. One of the laws was a ban on intermarriage between plebeians and patricians, which demonstrated an inequality between the classes. However, as the number of patrician families declined, most began to intermarry with prominent plebeian families.

Until 367 BCE, the highest political office was reserved for patricians. However, this policy changed when it was determined that one of the two consuls must come from the plebeian class. The gradual weakening of patrician power would reach its highest level in 287 BCE, when the **Lex Hortensia** was passed. This law made all legislations passed by the Plebeian Council binding on all Romans, patricians and plebeians alike.

5.3.3: Cursus Honorum and Roman Religion

Plebeian access to political offices, specifically the consulship, resulted in the creation of a rigid ***cursus honorum***, a sequence or ladder of political offices. All offices were held for the term of one year. In order to prevent any one individual from amassing too much power, candidates had to wait ten years between consulships. Finally, each office had a minimum age requirement, with a special privilege for patricians to subtract two years from that minimum. The *cursus honorum* is best visualized as a pyramid with a wide base and narrowing each step on the way up.

The prerequisite for holding any political office was ten years of military service. Thus, aspiring Roman politicians normally entered the army around eighteen years of age. Following ten years of distinguished service, candidates who were at least thirty years of age were allowed to run for the first office in the *cursus*: the **quaestorship**. Each of the 20 quaestors was assigned to a particular duty for his year in office, varying from supervising the coin mint in Rome to serving as an assistant to a provincial governor or a consul in charge of a war.

While not officially part of the required *cursus honorum*, most ex-quaestors next ran for the office of the **plebeian tribune**, if they were plebeian, or an aedile. Ten plebeian tribunes were elected each year and were supposed to advocate for the benefit of the plebeians during Senatorial debates. Aediles—a term derived from the Latin “aedes,” meaning “building” or “temple”—were in charge of public building projects and often sponsored public entertainment.

The next step in the *cursus* was the praetorship. Similarly to the quaestors, the number of **praetors** rose over time, until topping at eight in the late Republic. Praetors could hold *imperium*, the right to command an army. Thus, they often served in military roles or in an administrative capacity by governing a province. Finally, one praetor each year, the *praetor urbanus*, was in charge of administering justice in the city of Rome and keeping track of legal cases and important decisions, which he issued at the end of the year as the Praetor's Edict.

Upon reaching the age of forty, candidates who had successfully held the praetorship ultimately could run for the consulship. Two **consuls** were elected annually. This position was so socially important that aristocratic families would display the masks of family members. Since ten years were required to elapse between successive consulships, very few individuals ever held more than one consulship, until several politicians in the late Republic broke the rules altogether. Last but not least, one additional office existed for which ex-consuls could run. Every five years, two **censors** were elected for a period of eighteen months for the purpose of conducting the census of citizens.

While this structure of annually-elected offices was designed to prevent any one individual from usurping all political power in the state, the Senate realized that, on rare occasions, concentrating all power in one set of hands was needed. Thus, the Senate could appoint a dictator for a non-renewable period of six months in times of serious military emergency.

Roman religion was traditionally polytheistic, with many myths and gods aligned to the Greek counterparts. For example, Zeus, the Greek king of the gods, became Jupiter, a patron god of Rome.



Figure 5.3.4: The Capitoline Triad | Jupiter Optimus Maximus, with Juno and Minerva (known together as the Capitoline Triad). Note Juno's sacred goose at her foot, and Minerva's sacred owl next to her. Author: User "Luiclemens" Source: Wikimedia Commons License: CC BY-SA 3.0

His consort, Hera, became the Roman goddess **Juno** and was the patron goddess of marriage. The Greek Athena became Roman **Minerva** and was the patron divinity of women's crafts. In addition, both **Venus**, the goddess of love, and **Mars**, the god of war, had mythical family connections to Rome's human founders. Countless other divinities abounded as well; even the Roman sewer system, Cloaca Maxima, had its own patron goddess, Cloacina.

While Romans were expected to worship some of the gods in private, Roman religion also had a significant public component that was reserved for the priestly colleges. One example is the career of Julius Caesar, whose political career took off after his appointment to the religious office of ***pontifex maximus***, head of Roman religion. Ultimately, both public and private religion aimed at the same goal: keeping the ***pax deorum***. Put simply, as long as Romans maintained a respectful peace with their gods, they ensured Rome's success. Whenever any disasters befell the state, however, Romans typically assumed that *pax deorum* had been violated in some way. The gods then had to be appeased in order to end the disaster and prevent similar events from occurring in the future.

5.3.4: Roman Expansion to the End of the Punic Wars

Shortly after 500 BCE, Roman expansion began in earnest. There are three important things to note. Generally, Rome did not

maintain a standing army during the Republic. So, a new army was raised for each campaign, which was typically launched in the spring and ended in the fall. Similar to the Greek world, the Romans had minimum wealth requirements for military service, since soldiers supplied their own equipment. Finally, Roman had repeated conflicts with the same enemies, such as the three **Samnite Wars**, the three **Punic Wars**, and the four **Macedonian Wars**. This repetition suggests that the Romans did not aim to annihilate their opponents unless absolutely pressed to do so.

The Roman expansion in the 490s BCE began as a defensive measure. In either 499 BCE or 496 BCE, the expelled seventh king, Tarquin the Proud, joined forces with the Latin League, a group of about thirty city-states around the area of Rome, to attack the Romans. The **Battle of Lake Regillus** was a decisive victory for Rome, and lead to an uneasy peace treaty. The next round of war (340 – 338 BCE) ended with Romans absorbing the Latin city-states into Rome as partial citizens.

Romans fought and gradually conquered the Etruscan city-states to the north. One especially significant victory was over the powerful Etruscan city of **Veii** in 396 BCE. According to the story, the Romans performed the ceremony of *evocation*, "calling out." The Romans called Juno out of Veii and promised her a nice new temple in Rome if she would switch sides. Shortly thereafter, the city fell to the Romans. When the Roman soldiers were packing up the cult statue of Juno from her temple in Veii for transportation to Rome, a cheeky Roman soldier asked Juno if she wanted to come to Rome. The statue enthusiastically nodded her head.

Titus Livius, known in English as Livy, was a Roman historian. He wrote a monumental history of Rome and the Roman people, and included this story of Veii in his work. It's just one example of how divine providence intervened on the side of the Romans.



Figure 5.3.5: Two Roman Infantrymen and a Cavalryman, second century BCE Author: User "ColderEel" Source: Wikimedia Commons License: Public Domain

While still fighting the Latins, the Romans embarked upon what turned out to be a series of three wars with their neighbors to the east, the Samnites. Each of these wars resulted in Roman territorial gains. Indeed, by the end of the Third Samnite War, Rome controlled all of central Italy. At some point during the Samnite Wars, the Romans switched from fighting in the Greek hoplite phalanx fashion to a system of their own making, the **manipular legion**. This new system apparently allowed more flexibility in the arrangement of the troops on the battlefield. Additionally, it allowed using both heavy and light infantry as needed, instead of keeping them in a static formation for the duration of a battle. While not much else is known about the manipular legion, it appears to have been an effective system for the Romans for much of the Republican period.



Map 5.3.2: Roman Territories at the End of the Second Punic War | Interactive Map Showing Stages of Roman Expansion in the Republic and Empire Legend: R R E oman Republic: 510 BC - 40 BC oman Empire: 20 CE - 360 CE astern Roman Empire: 405 CE - 1453 CE Western Roman Empire: 405 CE - 480 CE Author: User “Semhur” Source: Wikimedia Commons License: CC BY-SA 3.0 NOTE: Interactive map requires Adobe Flash. Click the following link to view graphic on original website. commons.wikimedia.org/wiki/F...Empire_map.gif

The Romans spent eighty years in the third century BCE at war. Yet, they did not seem to have had the ambition to conquer the neighboring Greek city-states. That would change in 280 – 275 BCE. Rome became embroiled in a war with **Pyrrhus**, king of Epirus in northern Greece. Tarentum requested Pyrrhus’ help for an invasion of Italy. The Romans fought three major battles against Pyrrhus, the first two of which he won at great cost to his army. Indeed, the term “Pyrrhic victory” in modern English refers to a victory that is so costly as to be truly a loss. The Romans finally defeated Pyrrhus at their third battle against him in 275 BCE, showing the superiority of the new Roman manipular legion against the phalanx of the Macedonians. This victory united most of Italy, except for the very northern portion, under Roman rule.

The Romans’ proximity to northern Greece ensured an intersection of spheres of interest, thus also providing cause for continued conflict. Between 214 and 148 BCE, Rome fought four separate Macedonian Wars. During roughly the same period, from 264 and 146 BCE, the Romans also fought three Punic Wars against **Carthage**, originally a Phoenician colony that became a leading maritime power. Culminating with the Roman destruction of both Carthage and Corinth in 146 BCE, the entire Mediterranean world was effectively put under Roman rule.

When the Romans found themselves in control of a Mediterranean empire, they had to deal with the consequences of rapid expansion on internal stability in Rome proper. A critical question faced them: how would the Republic, whose system of government was designed for a small city-state, adapt to ruling a large empire? In response, the Romans divided the conquered territories into provinces, to which senatorial governors were assigned for terms that varied from one to five years. The system continued, with minor variations, into the Empire.



Map 5.3.3: Roman Provinces in the Late First Century BCE and Early First Century CE Author: User “Cristino64” Source: Wikimedia Commons License: CC BY-SA 3.0

The new availability of governor positions only made the political competition in the Republic even stiffer than before. Senators vied for the most desirable positions; typically, these were provinces in which military action was ongoing (the potential for winning military glory) or provinces that were wealthy (potential for acquiring wealth).

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5.4: Fall of the Roman Republic

The late Republican historian Sallust grimly saw the Punic Wars as the beginning of the end of the Republic. Some conservative politicians of his day believed that this victory had corrupted the noble Roman character. Further, the new abundance of resources raised the question of how to distribute the new wealth and land. As result, two political factions emerged: the ***Populares***, or those who protected the interests of the people, and the ***Optimates***, or those who protected the interests of the best element of the populace—namely, themselves.

5.4.1: The Gracchi and the Beginning of Political Violence

Starting with 133 BCE, the final century of the Roman Republic was defined by political violence and civil wars.

In 133 BCE, **Tiberius Sempronius Gracchus**, a member of one of the oldest and most respected families in Rome, was one of the ten annually elected plebeian tribunes. Alarmed that the newly acquired lands had largely been taken over by rich landowners at the expense of poorer Romans, Gracchus proposed a land distribution law, known as the *Lex Sempronia Agraria*. Gracchus argued that this law would benefit the state, since land ownership was a prerequisite for military service.

Aware that the Senate's Optimates faction opposed his proposal, Gracchus took his law directly to the Plebeian Council, which passed it. At a meeting of the Senate, the *pontifex maximus*, who was Tiberius Gracchus' own cousin Publius Cornelius Scipio Nasica, ultimately argued that Gracchus had attempted to make himself king and had to be stopped. Since weapons were banned inside the Senate building, enraged Senators grabbed whatever was on hand, including chair and table legs, and clubbed Gracchus to death.

Ten years later, Gracchus' proposed reforms gained a second life in the hands of his younger brother, **Gaius Gracchus**, who was elected plebeian tribune in 123 BCE and again in 122 BCE. Gaius Gracchus' went one step further and proposed granting full Roman citizenship to Rome's Italian allies. Alarmed at Gaius Gracchus' popularity with the people, the consul Lucius Opimius proposed a new measure in the Senate: a *senatus consultum ultimum*, which allowed the consuls to do whatever was necessary to safeguard the state. Realizing that the passing of this law amounted to his death sentence, Gaius Gracchus committed suicide.

The Gracchi proposals showed the growing conflict between the rich and the poor in the Roman state. Second, the willingness on the part of prominent Senators to resort to violence to resolve matters set a dangerous precedent for the remainder of the Republic and fundamentally changed the nature of Roman politics. Finally, the support that the Gracchi received from the Roman people, as well as the residents of Italian cities who were not full citizens, showed that the causes that the Gracchi adopted were not going to go away permanently after their death. Indeed, Rome's Italian allies went to war against Rome in 90 – 88 BCE. The result of this **Social War**, after "socii," meaning "allies," was the grant of full Roman citizenship rights to Italians.

5.4.2: The Civil War of Marius and Sulla

Forty years later, a conflict between two politicians, representing different sides in Populares vs Optimates debate, resulted in a full-fledged civil war.

In 107 BCE, impatient over the prolonged and challenging war against the Numidian king Jugurtha, the Romans elected as consul Gaius **Marius**.

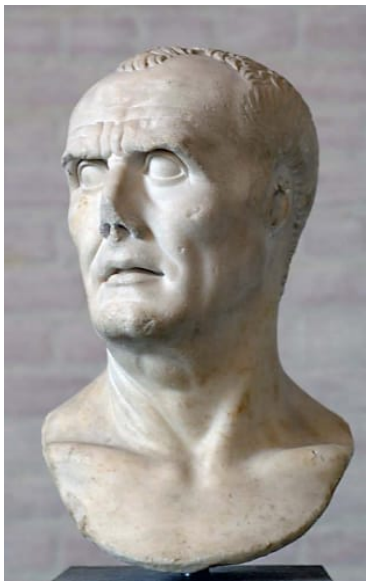


Figure 5.4.1: Bust of Gaius Marius Author: User “Direktor” Source: Wikimedia Commons License: Public Domain

While Marius had already enjoyed a distinguished military career, a newcomer to Roman politics. Even more shockingly, Marius was not even from Rome proper, but from the town of Arpinum, located sixty miles south of Rome. Once elected, he took over the command in the war and passed a comprehensive set of military reforms. First, Marius abolished the property requirement for military service, allowing landless Romans to serve in the army for the first time in Roman history. Second, the Roman state was to arm its troops and pay them for service. Henceforth, the military became a profession, rather than a seasonal occupation for farmers. Finally, Marius changed the tactics of the legionary organization on the battlefield, changing the legion of maniples into a **legion of cohorts**.



Figure 5.4.2: Roman Soldiers with Aquilifer Signifer Centurio | The Cohortal Legion after Marius. Re-enactors Portraying Legion XV Appollinaris in the First Century CE Author: User “MatthaisKabel” Source: Wikimedia Commons License: CC BY-SA 3.0

Marius’ reforms proved immensely successful, and he swiftly was able to defeat Jugurtha, ending the war in 104 BCE. As a result of his victories, Marius had gained unprecedented popularity in Rome and was elected to five more successive consulships in 104 – 100 BCE. While a law existed requiring ten years between successive consulships, Marius’ popularity and military success elevated him above the law. In the end, Roman would witness the worse civil war it had ever seen.

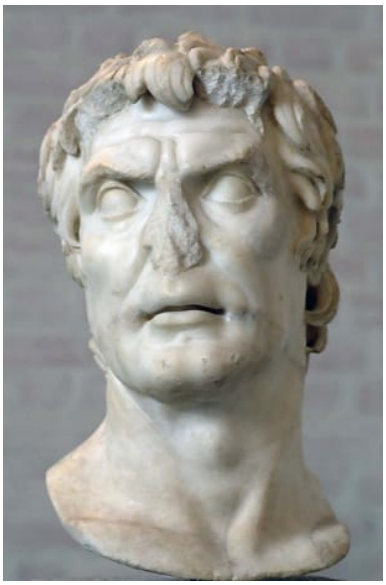


Figure 5.4.3: Bust of Lucius Cornelius Sulla Author: User “Direktor” Source: Wikimedia Commons License: Public Domain

In 88 BCE, the Roman Senate was facing a war against Mithridates, king of Pontus, an Eastern province of the empire. Sensing that Marius was too old to undertake the war, the Senate appointed Lucius Cornelius **Sulla**, a distinguished general who had started his career as Marius’ quaestor and was now a consul himself. Summoning the Plebeian Council, Marius overturned the decision of the Senate and drove Sulla out of Rome. Instead of going lightly into exile, Sulla gathered an army and marched on Rome—the first time in Roman history that a Roman general led a Roman army against Rome!

Sulla took over Rome, swiftly had himself declared commander of the war on Mithridates, and departed for the Black Sea. In 86 BCE, Marius was elected consul for the seventh and final time in his career then promptly died of natural causes, just seventeen days after taking office. The civil war that he started with Sulla, though, was still far from over.

In 83 BCE, victorious over Mithridates but facing a hostile reception from the Senate, Sulla marched on Rome for the second time. Declaring himself dictator, he ruled Rome for the next three years. In an effort to prevent the rise of another Marius, he significantly curtailed the powers of the plebeian tribunes. In addition, he established the **proscriptions**—a list of enemies of the state, whom anyone could kill on sight, and whose property was confiscated. Incidentally, one name on Sulla’s list was the young **Julius Caesar**, whose aunt had been married to Gaius Marius. While Caesar obviously survived the proscription, and went on to become a prominent politician himself, the confiscation of his property by Sulla ensured that he remained painfully strapped financially and in debt for the rest of his life.

After enacting his reforms, Sulla just as suddenly resigned from politics, retiring to a family estate outside of Rome in 79 BCE, where he appears to have died of cirrhosis of the liver, according to Plutarch’s description. Over the next several decades, some of Sulla’s reforms were overturned, such as those pertaining to the plebeian tribunes. Most historians of the Republic agree that the Republican constitution never afterward reverted to its old state.

The civil war of Marius and Sulla showed the increasing degree of competition in the Republic, as well as the lengths to which some Roman politicians were willing to go to get power and hold on to it. Before Marius, Roman farmer-soldiers did not feel a personal affinity for their generals. After Marius’ reforms, soldiers were paid by their generals, so their loyalty was to their generals, as much or more than to the Roman state. Finally, Marius’ incredible political success showed that military ability had somewhat leveled the playing field between old patrician families and the newcomers to Roman politics.

5.4.3: The First Triumvirate, and the Civil War of Caesar and Pompey

The political careers of Marius and Sulla show the increased level of competition in the late Republic and the ruthlessness with which some Roman politicians in the period attempted to gain the consulship. In 60 BCE, however, three politicians formed an alliance in order to help each other.

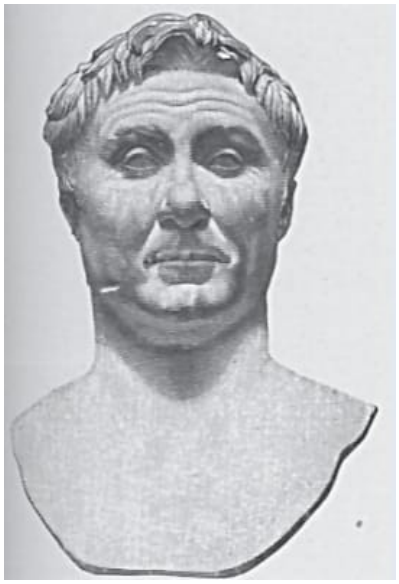


Figure 5.4.4: **Bust of Pompey the Great** | Pompey the Great with Alexander the Great's Hairstyle Author: User "Robbot" Source: Wikimedia Commons License: Public Domain

Marcus Licinius **Crassus** was the wealthiest man in Rome, son of a consul, and consul himself in 70 BCE. His colleague in the consulship, Gnaeus **Pompey**, achieved military fame in his youth, earning him the nickname "Magnus," or "the Great," from Sulla.

By 60 BCE, however, both Crassus and Pompey felt frustrated with their political careers so they joined forces with a relative newcomer to the world of politics, Gaius Julius Caesar. The three men formed an alliance, secret at first, which would be called the **Triumvirate** by the Roman lawyer and statesman Cicero. To cement the alliance, Caesar's daughter, Julia, married Pompey. Together, they lobbied to help each other rise again to the consulship and achieve desirable military commands.

Caesar was promptly elected consul for 59 BCE, and was then awarded Gaul as his province for five years after the consulship. In 55 BCE, Crassus and Pompe were re-elected consuls, and Caesar's command in Gaul was renewed for another five years. The renewal did not specify whether the five-year clock started afresh in 55 BCE—in which case, Caesar's command was to end in 50 BCE—or if the five years were added to the original five-year term—in which case, Caesar's command would have ended in 48 BCE.

A talented writer, as well as skilled general, Caesar made sure to publish an account of his Gallic campaigns. As a result, Romans were continually aware of his successes, and his popularity actually grew in his absence. Finally, the uneasy alliance disintegrated in 53 BCE. First, Julia died in childbirth, and her baby died with her. In the same year, Crassus was killed at the Battle of Carrhae, fighting the Parthians. With the death of both Julia and Crassus, no links were left connecting Caesar and Pompey; the two former family relations, albeit by marriage, swiftly became official enemies.

Late in 50 BCE, the Senate, under the leadership of Pompey, informed Caesar that his command had expired and demanded that he surrender his army. Caesar, however, refused to return to Rome as a private citizen, demanding to be allowed to stand for the consulship *in absentia*. When his demands were refused, on January 10th of 49 BCE, Caesar and his army crossed the Rubicon River. By leaving his province with his army against the wishes of the Senate, Caesar committed an act of treason, as defined in Roman law. The civil war began.

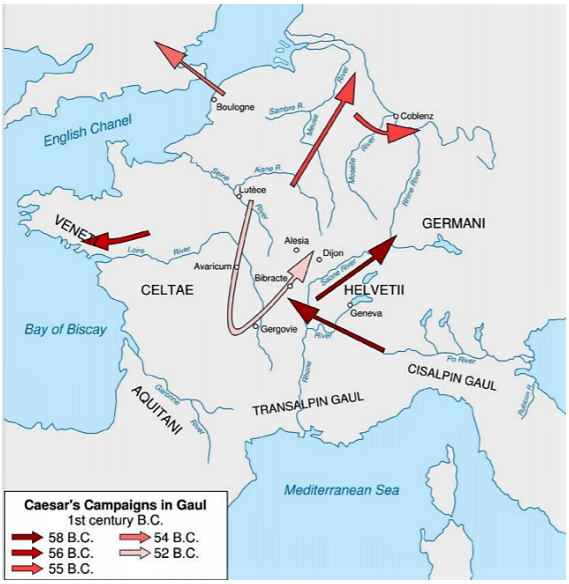


Figure 5.4.5: Bust of Cleopatra VII Author: User “Louis le Grand” Source: Wikimedia Commons License: Public Domain

While most of the Senate was on Pompey’s side, Caesar started the war with a distinct advantage: his troops had just spent a larger part of a decade fighting with him in Gaul. Pompey’s army was disorganized. As a result, for much of 49 BCE, Pompey retreated to the south of Italy, with Caesar in pursuit. In late 48 BCE, Caesar’s army managed to defeat Pompey’s much larger forces at the battle of Pharsalus in northern Greece. Pompey fled to Egypt, where he was assassinated by order of Ptolemy XIII, who had hoped to win Caesar’s favor by this action. When he arrived in Egypt in pursuit of Pompey, Caesar sided with Ptolemy’s sister **Cleopatra VII** and appears to have fathered a son with her, Caesarion. (See Chapter 4 about the conflict in the Egyptian family.)



Map of Caesar’s Campaigns in Gaul Author: User “Semhur” Source: Wikimedia Commons License: CC BY-SA 3.0



Map of Caesar's Final Campaigns During the Civil War Author: User "historicair" Source: Wikimedia Commons License: CC BY-SA 3.0

With Pompey's death, the civil war was largely over. While his military actions on behalf of Rome were largely limited to Gaul, with a couple of forays into Britain, his civil war against Pompey and his allies took Caesar all over the Roman world from 49 to 45 BCE.

5.4.4: Aftermath of the Civil War, the Second Triumvirate, and the Age of Augustus

Victorious in the civil war against Pompey and his supporters, Caesar was faced with the challenging question of what to do next. Based on the previous history, there were two options available to him: the Marius model of rule, meaning election to successive consulships, and the Sulla model, meaning dictatorship. Initially, Caesar followed the first model. By early 44 BCE, however, Caesar appears to have decided to adopt the Sulla model instead. In February of 44 BCE, he took the title of ***dictator perpetuo***, or "dictator for life," and had coins minted with his image and new title. His action was the first instance in Roman history of a living individual's placing his likeness on coinage.



Figure 5.4.6: Coin of Caesar from 44 BCE | Note Caesar's Image on One Side, and Venus on the reverse. Author: User "Medium69" Source: Wikimedia Commons License: CC BY-SA 3.0

About sixty senators feared that Caesar aimed to make himself a king. On the Ides of March (March 15th) of 44 BCE, the conspirators rushed Caesar during a Senate meeting and stabbed him to death. But if the conspirators had thought that by

assassinating Caesar they were going to restore the Republic, they turned out to be sorely mistaken. Caesar's will, in which he left money to each resident of the city of Rome and donated his gardens for use by the public, only further increased his popularity among the people, and popular rioting ensued throughout the city.

Since Caesar did not have legitimate sons who could inherit— Caesarion, his son with Cleopatra, was illegitimate—he adopted an heir in his will, a common Roman practice. This person was his grand-nephew Gaius Octavius (or Octavian, in English). In an interesting twist, Caesar had named a backup heir, who was no other than Brutus, one of Caesar's assassins.



Figure 5.4.7: Statue of Augustus from the Villa of Livia at Prima Porta Author: User "Soerfm" Source: Wikimedia Commons License: CC BY-SA 3.0

Octavian was nineteen years old; thus, he was too young to have had much military or political experience. Quickly, he created an alliance with two much more experienced former allies of Caesar: **Marcus Antonius** and Marcus Aemilius Lepidus. Forming what became known as the **Second Triumvirate**, the three men renewed the proscriptions in 43 BCE, aggressively pursuing the enemies of Caesar and also fighting a small-scale civil war with Caesar's assassins.

After defeating Caesar's assassins at the Battle of Philippi in northern Greece, they carved out the Roman world into regions to be ruled by each. Marcus Antonius claimed Egypt, and married Pharaoh Cleopatra. Ultimately, however, another civil war resulted in the defeat of Antonius by Octavian. From 31 BCE-14 CE, Octavian—soon to be named **Augustus**--ruled what henceforth was known as the Roman Empire, and is considered by modern historians of Rome to have been the first emperor.

Throughout his time in power, Augustus claimed to have restored the Roman Republic, and, with the exception of a few elected offices, he did not have any official position. How did he manage to rule the Roman Empire for over forty years without any official position? Some answers can be found in the ***Res Gestae Divi Augusti***, an autobiography that Augustus himself composed.

In this document, Augustus described himself as the first citizen, or *princeps*, of the Roman state, superior to others in his *auctoritas*. In addition, he was especially proud of the title of "Pater Patriae," or "Father of the Fatherland," voted to him by the Senate and reflecting his status as the patron of all citizens. Having learned from Caesar's example, he avoided accepting any titles that might have suggested a desire for kingship. Instead, he brilliantly created for himself new titles and powers, thoroughly grounded in previous, Republican tradition.

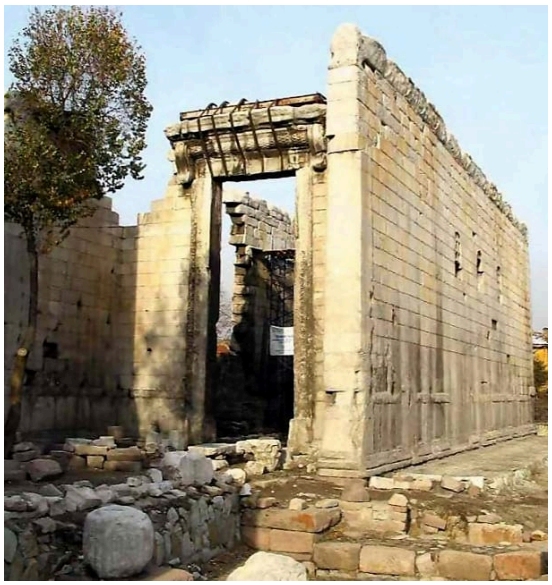


Figure 5.4.8: Copy of the Res Gestae in Modern Ankara, Turkey Author: User “Soerfm” Source: Wikimedia Commons License: CC BY-SA 3.0

The question remains: when did the Roman Republic actually fall? Some historians argue that the Republic had fallen with the dictatorship of Sulla, since it fundamentally altered the nature of the Republican government and permanently destabilized it. Others suggest the assassination of Caesar in 44 BCE, because the Republic was never quite the same as it had been before the civil war of Pompey and Caesar. Additional people claim 27 BCE, when the Senate granted Octavian the title of Augustus, recognizing his albeit unofficial consolidation of power. Yet another possible answer is the death of Augustus in 14 CE. Overall, all of these possible dates and events show the instability of the Roman state in the late first century BCE.

5.4.5: Roman Culture of the Late Republic and the Augustan Age

From the conclusion of the Second Punic War, Roman entertainment culture and literary arts flourished. The Romans borrowed and adapted Greek literature to make it distinctly their own. For example, in one fragment from a Roman tragedy, *Iphigenia at Aulis*, adapted by the Roman poet Ennius from the Greek tragedian Euripides, the chorus of frustrated Greek soldiers debates the merits of *otium*, or leisure, and *negotium*, or business (a specifically Roman concept). Similarly, Roman philosophy and rhetoric were heavily based on their Greek counterparts. For instance, Cicero, a preeminent rhetorician and philosopher of the late Republic, adapted the Socratic dialogue in several of his philosophical treatises.

The age of Augustus saw an even greater flourishing of Roman literature. The three most prominent poets of this age were:

- Virgil--Wrote the *Aeneid*, which became the Roman national epic. It tells about the travels of the Trojan prince Aeneas who, by will of the gods, became the founder of Rome. Clearly connecting the Roman to the Greek heroic tradition, the epic also includes a myth explaining the origins of the Punic Wars. During his travels, Aeneas was ship-wrecked and landed in Carthage. Dido, the queen of Carthage, fell in love with him and wanted him to stay with her, but the gods ordered Aeneas to sail on to Italy. After Aeneas abandoned her, Dido committed suicide and cursed the future Romans to be at war with her people.
- Horace--Showcased the *pax deorum* that caused Rome to flourish in the past and, again now, in the age of Augustus.
- Ovid--Challenge acceptable limits in his poetry or in his personal conduct. As a result, he was exiled and spent the remainder of his life writing mournful poetry and begging unsuccessfully to be recalled back to Rome.



Figure 5.4.9: The Ara Pacis Author: User “Manfred Heyde” Source: Wikimedia Commons License: CC BY-SA 3.0

In his *Res Gestae*, Augustus includes a very long list of temples that he had restored or built. Among these new building projects, allegedly ordained by the gods themselves, is the famous ***Ara Pacis***, or Altar of Peace, in Rome. The altar features a number of mythological scenes and processions of gods. It also integrates scenes of the imperial family, including Augustus himself making a sacrifice to the gods, while flanked by his grandsons Gaius and Lucius.

The message of these building projects, as well as the other arts that Augustus sponsored, is simple: Augustus wanted to show that his rule was a new Golden Age of Roman history, a time when peace was restored and Rome flourished, truly blessed by the gods.

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5.5: The Early Empire

From the reign of Augustus in 27 BCE to the death of the emperor Marcus Aurelius in 180 CE, the Roman Empire was one of relative peace and prosperity. The Romans referred to this time as the ***Pax Romana***, or Roman peace. During this period, the Empire experienced a smoothly ran bureaucracy, commerce prospered, and territory grew to its largest extent. Of course, some of the Roman subjects did not feel quite as happy with this peace and what it brought to them.

5.5.1: The Julio-Claudian Dynasty

After the death of Augustus, some Senators were hoping for the return of the Republic, while others assumed that Augustus' stepson would inherit his powerful position. The question that all were pondering in 14 CE was: how do you pass on something that does not exist? After all, Augustus did not have any official position.

Because of the untimely deaths of all other possible candidates, Augustus eventually settled on adopting his stepson **Tiberius Claudius Nero** (not to be confused with the later emperor Nero), son of his wife Livia from her first marriage. Tiberius was a decorated military general in his youth. According to historical sources, he was sullen and a possibly cruel individual. In addition, he was a reluctant emperor, who preferred life out of the public eye.

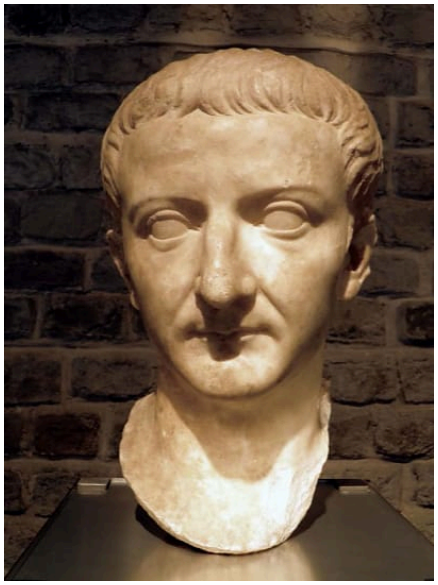


Figure 5.5.1: Bust of the Emperor Tiberius Author: User "Manfred Heyde" Source: Wikimedia Commons License: CC BY-SA 3.0

Similar to Augustus, Tiberius had a difficult time selecting a successor, since each relative who was identified as a candidate died an untimely death. Ultimately, Tiberius adopted as his successor his grandnephew Gaius **Caligula**, or "little boot," son of the popular military hero Germanicus, who died young.



Figure 5.5.2: Bust of the Emperor Caligula Author: User “Manfred Heyde” Source: Wikimedia Commons License: CC BY-SA 3.0

While Caligula began his power with full support of both the people and the Senate, and with an unprecedented degree of popularity, he swiftly proved to be mentally unstable and bankrupted the state in just under four years. In 41 CE, he was assassinated by three disgruntled officers in the Praetorian Guard, which ironically was the body formed by Augustus in order to protect the emperor.

Caligula’s assassination left Rome in disarray. According to Suetonius, the confused Senate was meeting and planning to declare the restoration of the Roman Republic. However, the Praetorian Guard proclaimed as the next emperor **Claudius**, uncle of Caligula and the brother of Germanicus.



Figure 5.5.3: Bust of the Emperor Claudius Author: User “Direktor” Source: Wikimedia Commons License: CC BY-SA 2.5

While Claudius was a member of the imperial family, he was never considered a candidate for succession because he had a speech impediment. Claudius proved to be a productive emperor. His downfall appeared to be pretty women, as one wife after the other plotted his downfall. Finally, in 54 CE, Claudius died, widely believed to have been poisoned by his wife, Agrippina the Younger.

Although Claudius had a biological son from an earlier marriage, that son was poisoned soon after his death. His successor instead became **Nero**, his stepson, who was only sixteen years old when he gained power.

Over the course of his 14-year rule, Nero gradually alienated the Senate, the people, and the army. He destroyed his own reputation by performing on stage—behavior that was considered disgraceful in Roman society. Furthermore, in 64 CE, Nero is believed to have caused the great fire of Rome in order to free up space in the middle of the city for his ambitious new palace, the Domus Aurea, or Golden House.

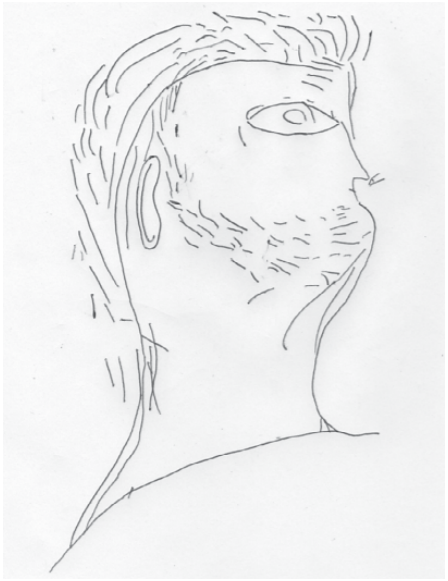
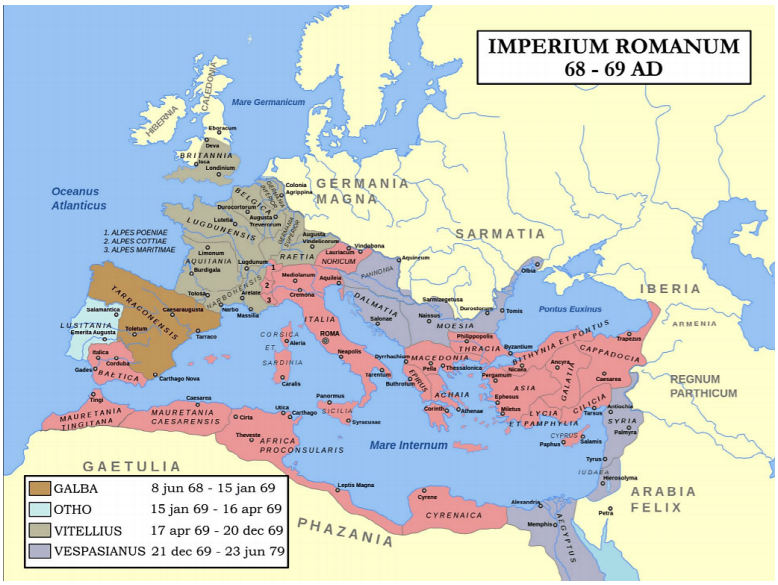


Figure 5.5.4: Sketch of an Ancient Graffito of the Emperor Nero Author: User “Shakko” Source: Wikimedia Commons License: Public Domain

The last years of Nero’s reign seem to have been characterized by provincial rebellions. The revolt of Vindex ultimately proved to be the end of Nero. Vindex convinced the governor of Spain, Servius Sulpicius Galba, to join the rebellion and proclaim himself emperor. While the rebellion of Vindex was quickly squashed, and Vindex himself committed suicide, popular support for Galba grew just as quickly. Terrified by rumors of Galba marching to Rome, Nero committed suicide in June of 68 CE. His death marked the end of the Julio-Claudian dynasty.

5.5.2: The Year of the Four Emperors, the Flavian Dynasty, and the Five Good Emperors

After Nero’s death, the empire saw more civil war and instability. In particular, the year 69 CE became known as the year of the four emperors: Galba, Otho, Vitellius, and Vespasian. Each challenged his predecessor to a civil war, and each was as swiftly defeated by the next challenger.

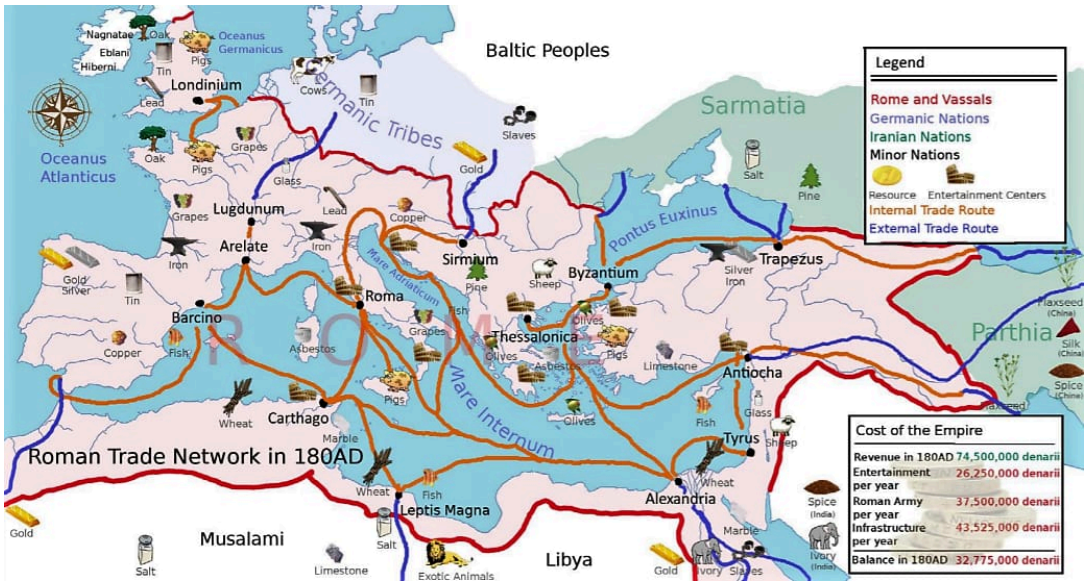


Map 5.5.1: Map of the Roman Empire 68-69 CE | Year of the Four Emperors Author: User "Fulvio314" Source: Wikimedia Commons License: CC BY-SA 3.0



Figure 5.5.5: Arch of Titus | Arch of Titus, celebrating his victory over Judaea, and featuring images of war spoils on the inside. Author: User "Jebulon" Source: Wikimedia Commons License: CC0 1.0

Vespasian, a mere son of a tax-collector, was the only successful emperor of 69 CE and the founder of the **Flavian dynasty**. As a talented military commander, Vespasian proved to be already in command of a major military force. Second, Vespasian was the only one of the four emperors of 69 CE who had grown sons, and thus obvious successors. Furthermore, his older son, Titus, was already a popular military commander in his own right and cemented his reputation even further by his conquest of Jerusalem in 70 CE. The Flavian dynasty ended in 96 CE with the assassination of Emperor Domitian, Vespasian's younger son.



Map 5.5.2: Map of Roman Trade Routes | This map of Roman trade routes c. 180 CE shows the economic prosperity in the urban centers. Author: User "Adhavoc" Source: Wikimedia Commons License: CC BY-SA 3.0

Known as the period of the "**Five Good Emperors**," (96 CE to 180 CE), the trend was for each emperor to adopt a talented leader with potential as his successor. The result was what Edward Gibbon, the nineteenth-century British historian of Rome, called "the happiest age" of mankind. But was life everywhere in the Roman Empire in the second century equally happy for all? The evidence suggests that while Rome and other major urban centers flourished, life in the periphery could be a very different experience.

5.5.3: Center Versus Periphery in the Roman Empire: the Evidence of Pliny and Apuleius

Life in Rome was not representative of everyday life in the empire. Writing about two different provinces within a half-century of each other, Pliny the Younger and Apuleius show the complicated blessings of living in a province far away from Rome that was yet under Roman rule.

Most Roman governors received just one type of personnel to assist them with their duties: a flute-player, whose job was to play during sacrifice ceremonies. Since military forces were expensive to maintain and needed for emergencies in those areas of the Empire considered to be the most at risk for rebellion or outside attack, most governors did not have a legion stationed in their province. So how did governors resolve problems, and what resources did they find when they arrived?

The single best source of information about the Roman provincial government is the prolific letter-writer Pliny the Younger, who reveals a myriad of problems that the governor was expected to solve:

- staffing personnel for prisons (is it acceptable to use slaves as prison guards?)
- building repairs and water supply, abandoned infants and their legal status (should they be considered slave-born or free?)
- fire brigades (are they a potential security risk to the Empire?)
- what to do with Christians in the province?

The emperor Trajan patiently responded to each letter that he received from Pliny and appears to have placed stability and peace in the province foremost in his concerns.

Another perspective comes from the novel *Metamorphoses* or *Golden Ass*, written by the North African intellectual Apuleius. Lucius is a curious intellectual who is traveling through Greece. A magic experiment goes wrong, and he is accidentally is turned into a donkey. For the remainder of the novel, as a donkey, Lucius is repeatedly stolen, traded, beaten, and abused, until finally being rescued by the Egyptian goddess Isis, whose service he then enters as a priest. Overall, the picture that Apuleius paints reveals the dark side of the *Pax Romana*. Yes, the Empire was at peace, and few attacks were happening on the frontiers. Yet life in the provinces was anything but truly peaceful.

5.5.4: Early Christianity in the Context of the Roman Empire

Pliny's perspective is one of the earliest non-Christian sources about the new religion and shows how quickly it had spread over the Empire. But how and why did the new religion spread so rapidly over the Empire, and why was it so attractive to different populations? After all, quite a number of different cults and self-proclaimed prophets periodically appeared in the Roman world, yet none had the long-term impact of Christianity, which just two centuries after Pliny's day became the religion of the Roman emperor himself.

Early Christianity has many primary sources from both the perspective of insiders and outsiders. The **New Testament** is a collection of primary sources by early Christians about their movement. It is a remarkably open document, collecting theological beliefs and stories about Jesus on which the faith was built. At the same time, the New Testament does not "white-wash" the early churches; rather, it documents their failings and short-comings with remarkable frankness.

In a variety of respects, the early Christian movement went completely against every foundational aspect of Roman (and, really, Greek) society.

- In traditional Roman paganism, the gods had petty concerns and could treat humans unfairly. In Christianity, God himself became man and dwelt with men as an equal.
- Gender roles in Roman society were extremely rigid, as all women were subject to male authority. Indeed, the ***paterfamilias***, or head of the household, had the power of life or death over all living under his roof. Christianity allowed women to serve in the church and choose to remain unmarried, and even to become heroes of the faith by virtue of their lives or deaths as martyrs.
- Traditional Roman society was stratified with sharp divisions between the rich and poor. While social mobility was possible, extreme mobility was the exception rather than the rule. In Christianity, one's social position in the Roman world had no significance in God's eyes.
- Early Christianity was an apocalyptic religion. Many early Christians believed that Jesus was coming back soon, and they eagerly awaited his arrival, which would erase all inequality and social distinctions.



Figure 5.5.6: Christ as the Good Shepherd in a Third-Century CE Catacomb Painting Author: User "Wafflws9761" Source: Wikimedia Commons License: Public Domain

It is important to note that early Christianity appears to have been predominantly an urban religion and spread most quickly throughout urban centers. Paul's letters address the churches in different cities throughout the Greek-speaking world and show the existence of a network of relationships between the early churches, despite the physical distance between them. By the early second century CE, urban churches were led by bishops, who functioned as overseers for spiritual and practical matters of the church in their region.

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5.6: The Third-Century Crisis, and Late Antiquity

The third century was a time of crisis, defined by political instability and civil wars. Increasing pressures on the frontiers required emperors to spend much of their time on campaigns. The importance of the city of Rome declined. It was also a period in which culture, and especially Christian culture, flourished and replaced the traditional Roman pagan mode of thinking. Late Antiquity was looking forward to the world of the Middle Ages. Meanwhile, many influential leaders, such as Constantine, left their mark.

5.6.1: The Third-Century Crisis and Diocletian

During the **third-century crisis** (235 – 284 CE), unprecedented political, social, and economic upheaval arose across the Empire. In effect, the crisis was the year 69 CE repeated, armies could make emperors, and emperors could be made outside of Rome. Indeed, twenty-six emperors were officially recognized by the Roman Senate. Others were not, but given the title by their troops on campaign. As a result of the chaos, regions were temporarily broken away from the Roman Empire, especially to the East and Northwest.



Map 5.6.1: Map of the Roman Empire during the Third-Century Crisis Author: User "Wanwa" Source: Wikimedia Commons License: CC BY-SA 3.0

In addition to political upheaval and near-constant civil wars, the Empire was dealing with increasing pressures on the frontiers, a plague that devastated the population and a famine. Starting with Nero, Roman emperors had been debasing the Roman coinage. As result, inflation hit in full force.

A single emperor stationed in Rome was no longer equipped to deal with the challenges of ruling such a vast territory. **Diocletian** had been proclaimed emperor by his troops in 284 CE. Realizing that a single emperor in charge of the entire empire was a "sitting duck," whose assassination would throw the entire empire into yet another civil war, Diocletian established a new system of rule: the **Tetrarchy**, or the rule of four. In other words, he divided the empire into four regions, each with its own capital.

Rome was not the capital of its region! Diocletian selected capitals with strategic importance. Two of the regions of the Tetrarchy were ruled by senior emperors, named Augusti ("Augustus" in the singular), and two were ruled by junior emperors, named Caesares ("Caesar" in the singular). One of the Augusti was Diocletian himself, with Maximian as the second Augustus. The two men's sons-in-law, Galerius and Constantus Chlorus, became the two Caesares.

Diocletian attempted to address other major problems, such as inflation, by passing the Edict of Maximum Prices. This edict set a maximum price that could be charged on basic goods and services in the Empire. He also significantly increased the imperial bureaucracy. His political experiment successfully ended the third-century crisis. The four men were able to rule the empire and restore a degree of political stability.



Map 5.6.2: Map of the Roman Empire under the Tetrarchy Author: Coppermine Photo Gallery Source: Wikimedia Commons License: CC BY-SA 3.0

In the statue column of the Tetrarchs below, the message is unity in rule: the four men are portrayed identically, so it is impossible to tell them apart. Showing their predominantly military roles, they are dressed in military garb, rather than the toga, the garb of politicians and citizens, and each holds one hand on the hilt of his sword and hugs one of the other Tetrarchs with the other.



Figure 5.6.1: State Column of the Tetrarchs Author: Nino Barbieri Source: Wikimedia Commons License: CC BY-SA 3.0

One problem with the Tetrarchy: who would succeed to the emperorship when one died? Hoping to provide for a smooth transition of power, Diocletian abdicated in 305 CE and required Maximian to do the same. The two Caesares were promptly promoted to Augusti, and two new Caesares were appointed. Shortly thereafter, Constantius Chlorus, a newly minted Augustus, died. His death resulted in a series of wars for succession and the end of Tetrarchy. It would be Constantius' son, **Constantine**, who would reunite the entire Roman Empire under his rule in 324 CE. In the process, Constantine also brought about a major religious shift in the Empire.

5.6.2: From Constantine to the Last Pagans of Rome

By the early fourth century CE, historians estimate that about ten percent of those living in the Roman Empire were Christians. That was about to change. Before a major battle in 312 CE, Constantine reportedly had a dream or a vision in which Christ himself

told Constantine to place the Greek letters X and P (Chi, Rho, the first two letters of Christ's name in the Greek alphabet) on his soldiers' shields in order to assure victory. As a result of his military success, Christianity received his endorsement and grew exponentially.

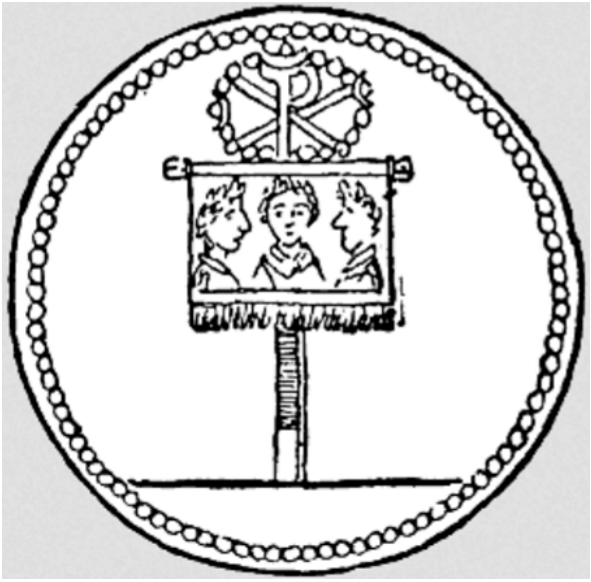


Figure 5.6.2: Constantine's Military Standard | Reconstruction of Constantine's Military Standard, Incorporating the Chi Rho letters Author: Nordisk Familjebok Source: Wikimedia Commons License: Public Domain

Constantine proceeded to play a major role in the government of the church over the course of his rule. For instance, he summoned the **First Council of Nicaea** in 325 CE. This group of major bishops from all over Europe settled the question of the relationship of God the Father and God the Son, declaring them to have been one being from the creation of the world, thus affirming the doctrine of the Trinity. Over time, seven major ecumenical councils would meet between 325 and 787 CE. The councils allowed the increasingly different churches of the Eastern and Western parts of the Roman Empire to work together on key doctrines and beliefs of the church.

Last but not least, Constantine's rule marked the end of the city of Rome as the capital of the Roman Empire. Upon reuniting the Empire in 324 CE, Constantine established his capital at the old location of the Greek city of Byzantium, but renamed it **Constantinople** (the location of Byzantium appears on Map 5.6.2). Why was this area a strategic advantage over Rome?

- It had an excellent harbor.
- It was close to the Persian frontier, as well as the Danube frontier, a trouble area that required attention from the emperor.
- Building this "New Rome" allowed Constantine to send the message that his rule was a new beginning of sorts for the Roman Empire, which was now to be a Christian empire.

Julian the Apostate tried hard to restore traditional Roman paganism during his brief rule (361 – 363 CE). Finally, Emperor **Theodosius** banned paganism altogether by 395 CE. Thus a mere eighty-three years after Constantine's initial expression of support for Christianity, it became the official religion of Rome. Paganism continued to limp on for another century or so, but without state support, it slowly died out.

5.6.3: The Decline of the Empire—Looking Forward while Looking Back with Augustine and the Last Pagans of Rome

Christianity challenged the thousand-year old pact between the Romans and their gods. (See Chapter 5.4) According to the pagan Romans, the ultimate punishment would come from the gods. And come it did. In 410 CE, the unthinkable happened. The city of Rome, untouched by foreign foes since the early days of the Republic, was sacked by the Goths, a Germanic tribe led by the fearsome Alaric. How could something so terrible happen? And how could the Roman Empire recover from it?

In response to these questions, a veteran theologian, philosopher, and bishop of Hippo in North Africa named Augustine wrote the final *magnum opus* of his career, the monumental twenty-two-book effort that he appropriately titled *De Civitate Dei Contra*

Paganos, or **On the City of God** against the pagans.



Figure 5.6.3: Fresco Painting of Augustine, Sixth Century **CE** Author: User “Mladifilozof” Source: Wikimedia Commons License: Public Domain

Born in North Africa in 354 CE, Augustine was educated in Rome and Milan, and, after a wild youth—about which he tells us in his Confessions— he rose to the post of the Bishop of Hippo in 396 CE.

In his book, Augustine effectively argued that there was nothing special about Rome, and that it only prospered because God allowed it to do so. Furthermore, obsession with Rome, as an earthly kingdom and way of life, was the wrong place for turning one’s attention. The City of God was the only place that mattered, and the City of God was most definitely not Rome. By turning away from this world and focusing on the next, one could find true happiness and identity as a citizen of God’s kingdom, which is the only city that is everlasting and free from the threat of invasion or destruction.

Augustine’s message would have made the Republican hero Cincinnatus weep. For Cincinnatus, nothing was more valuable than Rome. For Augustine, however, nothing was less valuable than Rome.

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6: WESTERN EUROPE AND BYZANTIUM (CIRCA 500-1000 CE)

Typically, historians have referred to the period between the fall of the Western Roman Empire and the Italian Renaissance (which took place in the fifteenth and sixteenth centuries) as the Middle Ages. The term is still useful because it demonstrates that Europe was undergoing a transitional period: it stood between, in the middle of, those times that we call “modern” (after 1500 CE) and what we call the ancient world (up to around 500 CE). This Middle Age would see a new culture grow up that combined elements of Germanic culture, Christianity, and remnants of Rome. It is to the political remnants of Rome that we first turn.

6.1: Chronology

6.2: Western Europe and Byzantium circa 500-1000 CE

6.3: Byzantium - The Age of Justinian

6.4: Byzantium - Crisis and Recovery

6.5: Daily Life in Western Europe and the Byzantine Empires

6.6: Byzantine Apogee - The Macedonian Emperors

6.7: Conclusion and Global Perspectives

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6.1: Chronology

410 CE Roman army abandons Britain

476 CE The general Odavacar deposes last Western Roman Emperor

496 CE The Frankish king Clovis converts to Christianity

500s CE Anglo-Saxons gradually take over Britain

533 CE Byzantine Empire conquers the Vandal kingdom in North Africa

535 – 554 CE Byzantine Empire conquers the Ostrogothic kingdom in Italy

560s CE Lombard invasions of Italy begin

580s CE The Franks cease keeping tax registers

597 CE Christian missionaries dispatched from Rome arrive in Britain

610 – 641 CE Heraclius is Byzantine emperor

636 CE Arab Muslims defeat the Byzantine army at the Battle of Yarmouk

670s CE Byzantine Empire begins to lose control of the Balkans to Avars, Bulgars, and Slavs

674 – 678 CE Arabs lay siege to Constantinople but are unsuccessful

711 CE Muslims from North Africa conquer Spain, end of the Visigothic kingdom

717 – 718 CE Arabs lay siege to Constantinople but are unsuccessful

717 CE Leo III becomes Byzantine emperor. Under his rule, the Iconoclast Controversy begins.

732 CE King Charles Martel of the Franks defeats a Muslim invasion of the kingdom at the Battle of Tours

751 CE The Byzantine city of Ravenna falls to the Lombards; Pepin the Short of the Franks deposes the last Merovingian king and becomes king of the Franks; King Pepin will later conquer Central Italy and donate it to the pope

750s CE Duke of Naples ceases to acknowledge the authority of the Byzantine emperor

770s CE Effective control of the city of Rome passes from Byzantium to the papacy

c. 780 – 840 CE The Carolingian Renaissance

782 CE Charlemagne crushes a Saxon rebellion

787 CE Second Council of Nicaea authorizes the use of icons in worship

793 CE Viking raids begin

800 CE Charlemagne crowned Roman emperor by Pope Leo III

830 CE Abbasid caliph Al-Mamun founds the House of Wisdom in Baghdad

843 CE In the Treaty of Verdun, Charlemagne's three sons, Lothar, Louis, and Charles the Bald, divide his empire among themselves

843 CE Final resolution of the Iconoclast Controversy under Empress Theodora

846 CE Muslim raiders from Aghlabid North Africa sack the city of Rome

c. 843 – 900 CE Macedonian Renaissance

Mid-800s: CE Cyril and Methodius preach Christianity to the Slavic peoples

864 CE Conversion of the Bulgars to Christianity

867 CE Basil I murders the reigning Byzantine emperor and seizes control of the Empire

871 – 899 CE Alfred the Great is king of England. He defeats Norse raiders and creates a consolidated kingdom.

899 CE Defeated by the Pechenegs, the Magyars begin moving into Central Europe

955 CE Otto the Great, king of East Francia, defeats the Magyars in battle

976 – 1025 CE Basil II is Byzantine Emperor

988 CE Vladimir, Grand Prince of Kiev, converts to Christianity

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6.2: Western Europe and Byzantium circa 500-1000 CE

December 25, 800 CE, the cavernous interior of St. Peter's Church smelled faintly of incense and the open space of the nave was packed with the people of Rome. At the eastern end of the church, King Charles of the Franks knelt before the pope. The Frankish king wore the dress of a Roman patrician: a tunic of multi-colored silk, embroidered trousers, and a richly embroidered cloak clasped with a golden brooch at his shoulder. As King Charles knelt, the pope placed a golden crown, set with pearls and precious stones of blue, green, and red, on the king's head. He stood to his full height of six feet and the people gathered in the church cried out, "Hail Charles, Emperor of Rome!" The inside of the church was filled with cheers. For the first time in three centuries, the city of Rome had an emperor.

Outside of the church, the city of Rome itself told a different story. The great circuit of walls built in the third century by the emperor Aurelian still stood as a mighty bulwark against attackers. Much of the land within those walls lay empty. Although churches of all sorts could be found, pigs, goats, and other livestock roamed through the open fields and streets. Where once the Roman forum had been a bustling market, filled with merchants from as far away as India, now the crumbling columns of long-abandoned temples looked out over a broad, grassy field where shepherds grazed their flocks.

The fountains that had once given drinking water to millions of inhabitants now went unused and choked with weeds. The once-great baths that had echoed with the lively conversation of thousands of bathers stood only as tumbled down piles of stone that served as quarries for the men and women who looked to repair their modest homes. The Coliseum was now honeycombed with houses built into the tunnels that had once admitted crowds to the games in the arena.

And yet within this city of ruins, a new Rome sprouted from the ruins of the old. Just outside the city walls and across the Tiber River, St. Peter's Basilica rose as the symbol of Peter, prince of the Apostles. The golden-domed Pantheon still stood, now a church of the Triune God rather than a temple of the gods of the old world. And, indeed, all across Western Europe, a new order had arisen on the wreck of the Roman state. Although this new order shared the universal ideals of Rome, its claims rested upon the foundations of the Christian faith. How this post-Roman world had come about is the subject to which we shall turn.

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6.3: Byzantium - The Age of Justinian

During the early 6th century, people living in Italy would have thought the Ostrogothic kingdom was the carrier of Roman ideologies. Within a few decades, this kingdom came to a violent end at the hands of the Eastern Roman Empire, the half of the Roman Empire that had continued after the end of the Empire in the West. (See Chapter 5.) We usually refer to this empire as the **Byzantine Empire** or **Byzantium.**

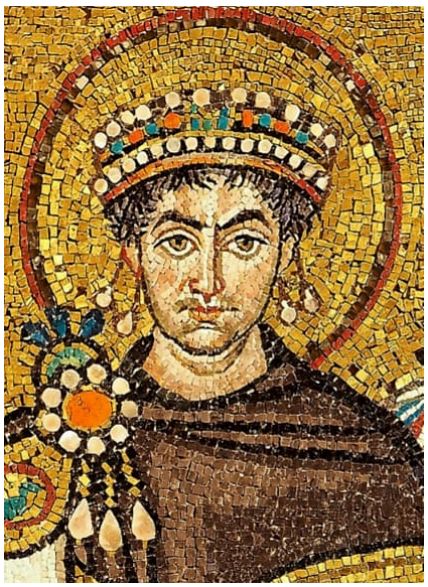


Figure 6.3.1: Mosaic of Justinianus I from the Basilica San Vitale Author: Petar Milosevic Source: Wikimedia Commons License: CC BY-SA 3.0

The inhabitants and rulers of this Empire did not call themselves Byzantines, but rather referred to themselves as Romans. After all, this empire was a continuation of the Roman state. Modern historians call it the Byzantine Empire in order to distinguish it from the Roman Empire that dominated the Mediterranean world from the first through fifth centuries. The capital of this kingdom had been **Constantinople**.

By the beginning of the sixth century, the Byzantine Army was the most lethal army to be found outside of China. In the late fifth century, the Byzantine emperors had built up an army capable of dealing with the threat of both Hunnic invaders and the Sassanids, a dynasty of aggressively expansionist kings who had seized control of Persia in the third century. Soon, this army would turn against the Ostrogothic kingdom of Italy.

Emperor Justinian (r. 527 – 565) would destroy the Ostrogrothic and Vandal kingdoms. He was not an aristocracy, but rather came from the army. He learned about emperorship from his uncle, the emperor Justin I (r. 518 – 527).

As a leader, he influenced art and architecture. The centerpiece of his building campaign was the church called **Hagia Sophia**, Greek for “Divine Wisdom.” Located in the central position of the city of Constantinople, the placement was meant to demonstrate the close relationship between the Byzantine state and the Church that legitimated that state. The Hagia Sophia would be the principal church of the Eastern Empire for the next thousand years, and it would go on to inspire countless imitations.

This Church was the largest building in Europe. Its domed roof was one hundred and sixty feet in height, and, supported by four arches one hundred and twenty feet high. The interior of the church was burnished with gold, gems, and marble. Even a work as magnificent as the Hagia Sophia, though, showed a changed world: it was produced with mortar rather than concrete, the technology for the making of which had already been forgotten.



Figure 6.3.2: Haga Sophia Interior Author: Andreas Wanhra Source: Wikimedia Commons License: Public Domain

While Justinian's efforts as a lawmaker showed the secular side of his authority. Under his direction, the jurist Tribonian took the previous 900 years' worth of Roman Law and systematized it into a text known as the ***Body of Civil Law*** or the **Justinian Code**. This law code would go on to serve as the foundation of European law, and much of the world's law as well.

As Byzantine emperor (and thus Roman emperor), Justinian would have regarded his rule as universal, so he sought to re-establish the authority of the Empire in Western Europe. In addition, both Vandal Carthage and Ostrogoth Italy were ruled by peoples who were Arians, regarded as heretics by a Catholic emperor like Justinian.

During a dispute over the throne in the Vandal kingdom, the reigning monarch was overthrown and had fled to the Eastern Empire for help and protection. In 533, Justinian sent his commander Belisarius to the west. In less than a year, the capable general had defeated the Vandals, destroyed their kingdom, and brought North Africa back into the Roman Empire. Justinian then turned his sights on a greater prize: Italy, home of the city of Rome itself, which still held a place of honor and prestige.

In 535, the Roman general Belisarius crossed into Italy. Unfortunately, the Ostrogothic kingdom put up a more robust fight than had the Vandals in North Africa. It took the Byzantine army nearly two decades to destroy the Ostrogothic kingdom and return Italy to the rule of the Roman Empire. In that time, Italy itself was irrevocably damaged. The city of Rome had suffered through numerous sieges and sacks. By the time it was fully in the hands of Justinian's troops, the fountains that had provided drinking water for a city of millions were choked with rubble, the aqueducts that had supplied them smashed. The great architecture of the city lay in ruins, and the population had shrunk drastically.



Map 6.3.1: Map of The Roman Empire and Barbarian Europe 565 CE Author: Ian Mladjov Source: Original Work License: © Ian Mladjov. Used with permission.

6.3.1: The Aftermath of Justinian

Justinian's reconquest of Italy would prove to be short-lived. Less than a decade after restoring Italy to Roman rule, the **Lombards,** another Germanic people, invaded Italy. Although the city of Rome itself and the southern part of the peninsula remained under the rule of the Byzantine Empire, much of northern and central Italy was ruled either by Lombard kings or other petty nobles.

But war was only one catastrophe to trouble Western Europe. For reasons that are poorly understood even today, the long-range trade networks across the Mediterranean Sea gradually shrank over the sixth and seventh centuries. Instead of traveling across the Mediterranean, wine, grain, and pottery were increasingly sold in local markets. Only luxury goods—always a tiny minority of most trade—remained traded over long distances.

Nor was even the heartland of Justinian's empire safe from external threat. The emperor Heraclius (r. 610 – 641) came to power in the midst of an invasion of the Empire by the Sassanid Persians, who, under their king Khusrau (see Chapter Eight), threatened the Empire's very existence. Indeed, his armies came within striking range of Constantinople itself. Moreover, Persian armies had seized control of Egypt and the Levant, which they would hold for over a decade. Heraclius launched a counter-attack into the heart of the Persian Empire that resulted in a Byzantine victory. No sooner had the Empire repelled one threat than another appeared.

Under the influence of the Prophet Muhammad, the tribes of the Arabian deserts had been united the caliphs and the Islam religion founded by Muhammad. Under the vigorous leadership of the first caliphs, Arab Muslim armies invaded both Sassanid Persia and the Byzantine Empire. In 636, at the Battle of Yarmouk, the Byzantine field army was badly beaten. In the aftermath, Syria, Palestine, and then Egypt fell from Christian Byzantine rule to the cultural and political influence of Islam.

The seventh-century also saw invasions by various semi-nomadic peoples into the **Balkans**, the region between the Greek Peloponnese and the Danube River. Among these peoples were the Turkic **Bulgars**, the **Avars** (who historians think might have been Turkic), as well as various peoples known as **Slavs**. The Avars remained nomads on the plains of central Europe, but both Bulgars and Slavs settled in Balkan territories that no longer fell under the rule of the Byzantine state. Within a generation, the Empire had lost control of the Balkans as well as Egypt, territory comprising an immense source of wealth in both agriculture and trade. By the end of the seventh century, the Empire was a shadow of its former self.

Indeed, the Byzantine Empire faced many of the social and cultural challenges that Western Europe did, although continuity with the Roman state remained. In many cases, the cities of the Byzantine Empire shrank nearly as drastically as did the cities of Western Europe. Under the threat of invasion, many communities moved to smaller settlements on more easily defended hilltops. The great metropolises of Constantinople and Thessalonica remained centers of urban life and activity, but throughout much of the Empire, life became overwhelmingly rural.

Even more basic elements of a complex society, such as literacy and a cash economy, went into decline. The Byzantine state issued less money and most transactions ceased to be in cash at this time. The economy was **demonetized**. Even literacy rates shrank. As in the west, literacy increasingly became the preserve of the religious.



Map 6.3.2: Map of The Roman Empire and Barbarian Europe 750 CE Author: Ian Mladjov Source: Original Work License: © Ian Mladjov. Used with permission.

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6.4: Byzantium - Crisis and Recovery

After their conquest of Egypt, the forces of the caliphate had built a navy and used it to sail up and lay siege to Constantinople itself in two sieges (674 to 678 and from 717 to 718). To the northwest, the Empire faced the threat of the Bulgars, Slavs, and Avars. Indeed, the Avars demanded that the Byzantine state pay a hefty tribute to avoid raids. At the very moment that the Empire was in greatest need of military strength, it was a poorer empire than it had ever been.

The solution was a reorganization of the military. Instead of having a military that was paid out of a central treasury, the emperors divided the Empire up into regions called **themes**. Each theme would then equip and pay soldiers, using its agricultural resources to do so. Themes in coastal regions were responsible for the navy. In many ways, the **theme** was similar to the way that other states would raise soldiers in the absence of a strong bureaucratic apparatus. One might liken it to what we call feudalism in Zhou China, Heian Japan, and later Medieval Europe.

The greatest crisis faced by the Byzantine Empire was the so-called **Iconoclast Controversy**. From the fourth and fifth centuries, Christians living in the Eastern Mediterranean region had used **icons** to aid in worship. (An icon is a highly stylized painting of Christ, the Virgin Mary (his mother), or the saints.) Often icons appeared in churches, with the ceiling painted with a picture of Christ or with an emblem of Christ above the entrance of a church.

In the Old Testament of the Christian Bible, the Ten Commandments forbid the making of “graven images” and using them in worship (Exodus 20:4-5). Certain Christians believed that to make an image even of Jesus Christ and his mother violated that commandment. To paint such pictures and use them in worship was **idolatry**, that is, worshiping something other than God. Muslims leveled similar critiques at the Christian use of icons, claiming that it showed Christians had fallen into idolatry.



Figure 6.4.1: Icon of the Virgin Mary Author: User “Myrabella” Source: Wikimedia Commons License: Public Domain

Emperor Leo III (r. 717 – 41) accepted these arguments. Consequently, he began to order icons removed (or painted over) first from churches, and then from monasteries and other places of public display. His successors took further action, ordering the destruction of icons. These acts led to nearly a century of controversy between two groups. The **iconophiles** argued that to use a picture of Christ and the saints in worship was in line with the Christian scriptures so long as the worshiper worshiped God with the icon as a guide. Meanwhile, the **icolonoclasts** proclaimed that any use of images in Christian worship was forbidden. In general, monks and civilian elites were iconophiles, while iconoclasm was popular with the army.

The iconophile empress Irene, ruling on behalf of her infant son Constantine V (r. 780 – 797), convoked a new church council to bring an end to the controversy. At the Second Council of Nicaea (787), the Church decreed that icons could be used in worship. Then, in 843, the empress Theodora overturned iconoclastic policies for good upon the death of her husband, the emperor Theophilus (r. 829 – 843). From this point forward, historians usually refer to the Greek-speaking churches of the eastern Mediterranean and those churches following those same patterns of worship as **Eastern Orthodox**. [3]

Although the iconoclast emperors had made enemies in the Church, they were often effective military commanders and managed to stabilize the frontiers with Arabs, Slavs, and Bulgars. It was during the eighth century that Byzantium increasingly lost control of Italy. The popes in Rome became effectively independent from Byzantium in the 770s, and started to look at another power to secure the city: the Franks.

3 Modern historians use this label for convenience. At the time, both Churches in the Greek-speaking eastern Mediterranean and those following the pope would have said that they were part of the Catholic Church (the word catholic comes from a Greek word for "universal"). The churches in the eastern Mediterranean and Eastern Europe were coming to differ enough in terms of practice, worship, and thought that we can refer to them as distinct from the Catholic Church of Western Europe.

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6.5: Daily Life in Western Europe and the Byzantine Empires

Most of the population of the Byzantine Empire live in small villages, living at a subsistence level, and selling what rare surplus they had. Byzantium, like its Western European counterpart, was fundamentally rural.

In Western Europe, **dependent farmers** lived on the lands of aristocrats and gave over much of their surplus to their landlords. But in many villages, the majority of farmers might live on their own land and even enjoy a form of self-government. Overall, free and independent farmers enjoyed greater freedom than had their Roman counterparts. Some slavery existed—especially in zones of conflict like the Mediterranean.

The nobles of Western Europe were generally part of a warrior aristocracy. They often outfitted and equipped themselves based on the wealth of their lands. Nobles would often not live on their lands but follow the royal court, which would itself travel from place to place rather than having a fixed location. Battle may have been frequent, but until Charlemagne, the scale of battle was often small, with armies numbering a few hundred at most.

Gender roles in the Frankish kingdom—like those of the Roman Empire that came before it—reflected a patriarchal society. The Christian religion generally taught that wives were to submit to their husbands, and the men who wrote much of the religious texts often thought of women in terms of weakness. An early Christian writer wrote that women "are the devil's gateway…you are the first deserter of the divine law…you destroyed so easily God's image, man…"[4] Both Roman and Germanic law placed women in subordination to their fathers and then, when married, to their husbands.

That said, women did enjoy certain rights. Although legally inferior to men in Roman Law (practiced in the Byzantine Empire and often among those peoples who were subjects of the Germanic aristocracies), a wife maintained the right to any property she brought into a marriage. Women often played a strong economic role in peasant life. Similar to their aristocratic counterparts, peasant women often managed the household even if men performed tasks such as plowing and the like.

The Church gave women a fair degree of autonomy in certain circumstances. We often read of women choosing to become nuns and take vows of celibacy against the desires of their families. If they framed their choices in terms of Christian devotion, these women could often count on institutional support in their life choices. Although monasticism was usually limited to noblewomen, women who became nuns often had access to education. Certain noblewomen who became abbesses could even become powerful political actors in their own right, such as Gertrude of Nivelles (c. 621 – 659), abbess of the monastery of Nivelles in what is today Belgium.

4 Tertullian, On the Apparel of Women, 1:1

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6.6: Byzantine Apogee - The Macedonian Emperors

The ninth and tenth centuries represented a time of recovery and expansion. The Macedonian Renaissance resulted in a growth of learning among both clergy and lay elites. This growth took place against the backdrop of military success by the emperors of the Macedonian Dynasty (867 – 1056). The first emperor of this dynasty, Basil I (r. 867 – 886), a soldier and servant of the emperor, had come from a peasant background. He seized control of the Empire when he murdered the reigning emperor and took the position for himself.

Basil was an effective emperor. To the east, as the Abbasid Caliphate broke down, he inflicted several defeats on the Arab emirs on the border, pushing the frontiers of the Empire further east. Although unsuccessful in fighting to maintain control of Sicily, he re-established Byzantine control over most of southern Italy.

Under the Macedonian emperors, the Eastern Orthodox culture of the Byzantines spread north beyond the borders of the Empire. In 864, the Bulgar khan, whose predecessors had been building a state of their own, converted to Christianity and was baptized. This conversion allowed the Bulgar state to be legitimated by the Church in the same manner as had the Byzantine Empire and the kingdoms of Western Europe.



Figure 6.6.1: **Basil II** Author: User “Tokle” Source: Wikimedia Commons License: Public Domain

In the ninth century, Cyril and Methodius, missionaries from the city of Thessalonica, preached Orthodox Christianity to the Slavic peoples of Eastern Europe and devised the alphabet that we today call **Cyrillic** in order to write the Bible and liturgy in their own language, **Slavonic**. Along with Orthodox Christianity came the culture of the Byzantines.

Subsequent emperors maintained this record of successes. John Tzimisces (r. 969 – 976) established Byzantine control over most of Syria. Basil II (r. 976 – 1025) annexed the Bulgar state that had grown up in the lands south of the Danube and further subordinated the Armenian kingdoms. By the end of his reign, the Byzantine territory encompassed about a fourth of what had been the Roman Empire at its height under Augustus.

Basil II had further diplomatic triumphs. He allied with the princes of the **Kievan Rus**, a state that had grown up in Eastern Europe along the rivers between the Baltic Sea and the Black Sea. The Rus was a people group made up of a large Slavic population. The rulers were ethnically Norse, who had come from Scandinavia. In 988, Kievan Grand Prince Vladimir (r. 980 – 1015) was baptized into the Christian religion, and became a close ally of Basil II by marrying his sister, Anna. The elite culture of the Rus would come to reflect Greek, Slavic, Norse, and also Turkic elements. Allying with these people had brought Basil II to the height of the Byzantine state’s power.



Figure 6.6.2: Baptism of Grand Prince Vladimir Author: Viktor M. Vasnetsov Source: Wikimedia Commons License: Public Domain

Despite its successes during the reign of the Macedonian emperors, the Byzantine state faced weaknesses. The theme system had gradually broken down. Increasingly, soldiers came from the ranks of professional mercenaries, including those made up of Norsemen. The soldiers of the themes received less training and served mainly as a militia that would back up the core of a professional army, known as the **Tagmata**. Whether this smaller tagmata would be up to the task of defending an empire the size of Byzantium would remain to be seen.



Map 6.6.1: Map of the Byzantine Empire at the Death of Basil II in 1025 CE Author: User "Bigdaddy1204" Source: Wikimedia Commons License: CC BY-SA 3.0



Map 6.6.2: Map of The Provinces (Themes) of the Byzantine Empire, 1025 CE Author: User “Cplakidas” Source: Wikimedia Commons License: CC BY-SA 3.0

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6.7: Conclusion and Global Perspectives

The period between 500 and 1000 was as transitional for Western Europe and Byzantium as it was for East Asia, the Middle East, and North Africa. Just as the Han State had fragmented politically, and given rise to smaller states ruled by warrior aristocracies, so had the Roman Empire. Just as Mahayana Buddhism had arrived in post-Han China, so too had Christianity become the dominant faith of the Roman Empire and its successors.

And yet, these similarities are superficial. All of China's successor states maintained a continuity of bureaucracy and literacy to an extent that Western Europe did not. Although Mahayana Buddhism would become a key element of East Asian culture, it would never come to enjoy a monopoly of power that Christianity enjoyed in Western Europe and Byzantium and that Islam enjoyed in Spain, the Middle East, and North Africa.

The greatest difference is that China eventually saw a return to a unified empire under the Sui and then Tang Dynasties. In spite of Charlemagne's efforts to create a new Empire in the west, the story of Western Europe would be one of competing states rather than an empire claiming universal authority. You will learn about these events later in this course.

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7: WESTERN EUROPE AND BYZANTIUM (MIDDLE AGES)

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7.3: Church Reform in the Eleventh Century

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7.1: Chronology

This chronology cover over 500 years of history. You do **not** need to memorize it. Rather, the list is provided for references purposes.

962 CE Otto I crowned Holy Roman Emperor

987 CE Hugh Capet elected king of France

c. 1000 – 1100 CE Emergence of Western European feudalism

1031 CE Fall of the Cordoba Caliphate

1049 CE Pope Leo IX begins papal efforts at Church reform

1054 CE Schism between the pope and the patriarch of Constantinople

1066 CE Norman Conquest of England

1071 CE Battle of Manzikert annihilates Byzantine field army

1077 CE Henry IV repents to Pope Gregory VII at Canossa

1085 CE Fall of Muslim Toledo to the Christian kingdom of Leon-Castile

1088 – 1231 CE Foundation of Universities of Bologna, Paris, Oxford, and Cambridge

1091 CE Norman conquest of Muslim Sicily complete

1095 CE Council of Clermont, calling of the First Crusade

1099 CE Fall of Jerusalem to Christian Crusaders, the establishment of Crusader States

1100 – 1135 CE King Henry I rules England

1118 – 1143 CE Emperor John II rules the Byzantine Empire

1122 CE Concordat of Worms

1125 – 1152 CE Raymond is archbishop of Toledo, begins sponsoring the translation of Muslim and Greek philosophy from Arabic into Latin

1143 – 1180 CE Emperor Manuel Komnenos rules the Byzantine Empire

1154 – 1189 CE King Henry II rules England

1176 CE Frederick Barbarossa defeated by Lombard League at the Battle of Legnano; Manuel Komnenos defeated by Saljuq Turks at the Battle of Myriokephalon

1187 CE Kingdom of Jerusalem defeated by Saladin at the Battle of Hattin; fall of Jerusalem; Pope Gregory VIII issues Audita tremendi, calling the Third Crusade

1189 – 1192 CE The Third Crusade, a rump (remnant of a larger government) the Christian Kingdom of Jerusalem is re-established, but Jerusalem remains in Muslim hands

1203 – 1226 CE France's Capetian kings extend the control of lands directly ruled by the crown

1204 CE Crusaders sack Constantinople, break-up of the Byzantine Empire

1212 CE Almohad Caliphate defeated by Spanish Christian kingdoms at the Battle of Las Navas de Tolosa

1215 CE Magna Carta

1215 – 1250 CE Frederick II is Holy Roman Emperor

1224 – 1274 CE Life of St. Thomas Aquinas

1229 CE A treaty between Frederick II and Egyptian sultan al-Kamil returns Jerusalem to Christian rule

1240 CE Mongol Conquest of Kievan Rus

1241 CE Mongol invasion of Hungary

1244 CE Jerusalem falls to Ayyubid Egypt

1248 – 1254 CE The Seventh Crusade; France's King Louis IX defeated by Egypt; Egyptian Mamluk coup d'état

1250 – 1273 CE There is no Holy Roman Emperor

1261 CE Restoration of the Byzantine Empire

1291 CE Last Crusader territory in the Levant falls to Mamluk Egypt

c. 1300 CE Genoese sailors begin exploring the Atlantic Ocean

early 1300s CE Genoese sailors are visiting the Canary Islands

1309 CE Beginning of Avignon papacy

1314 – 1326 CE Civil war in the Holy Roman Empire

1315 – 1322 CE The Great Famine

1324 CE Mansa Musa's hajj

1331 CE Nearly all Byzantine territory in Asia Minor has fallen to the Ottoman Turks

1337 CE The Hundred Years' War begins

c. 1350 CE Beginning of Italian Renaissance and Humanism

1347 – 1351 CE The Black Death, nearly a third of Europe's population dies

1356 CE The Holy Roman Empire becomes an elected monarchy

1358 CE French peasant revolt

1378 CE Beginning of Great Schism

1385 CE Lithuania united with Poland, Lithuanian monarch converts to Christianity

1396 CE Ottoman Turks conquer Bulgaria

1397 CE Union of Kalmar unites Sweden, Denmark, and Norway under a single crown

c. 1400 – 1500 CE Renaissance Humanism spreads throughout Europe

1404 CE Castilian effort to conquer the Canaries begins

1415 – 1417 CE Council of Constance resolves the Great Schism

1440 CE Lorenzo Valla shows the Donation of Constantine to be a forgery

mid 1400s CE Iberians are settling the Azores, a plantation economy worked by African slaves begins to flourish in the Canaries and Azores

1453 CE Ottoman conquest of Constantinople, final fall of the Byzantine Empire; End of Hundred Years' War and English attempts to conquer France

1454 CE Treaty of Lodi brings nearly a half-century of peace to Italy

1455 – 1485 CE Wars of the Roses in England

1459 CE Final Ottoman conquest of Serbia

1479 CE Marriage of Queen Isabella of Castile and Ferdinand of Aragon creates a united Spanish monarchy

1492 CE King Ferdinand and Queen Isabella complete the Reconquista with the conquest of Granada; Christopher Columbus, sailing for the Spanish crown, makes landfall in the Western Hemisphere

1494 CE France invades Italy

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7.2: Expansion of Christendom

In the Middle Ages, the people of Western Europe did not think of Europe as a geographic and cultural area. Rather, they thought of **Christendom**, those peoples and nations of the world that embraced the Christian religion. We might compare it to the Muslim notion of Dar al-Islam. In eleventh century, Christendom expanded into the north and east. In Spain, Christian kingdoms practiced what would be known as the ***Reconquista*** at the expense of Muslim al-Andalus.

How did the *Reconquista* begin? From the Muslim conquest of Spain in 711 through the early eleventh century, al-Andalus was the dominant military power of the Iberian Peninsula. Christian kingdoms were confined to the marginal, mountainous regions of the peninsula's north. But in 1008, caliph's chief adviser, Abd al-Rahman (also known as Sanjul), sought to make himself caliph and replace the Umayyad dynasty with his own. The result was nearly three decades of civil war. The Cordoba Caliphate collapsed in 1031, fracturing into what we refer to as the ***taifa*** states, a set of small, politically weak states. These states were easy prey for potential conquerors from both the Christian north of the Iberian Peninsula and the Islamic Maghreb.



Figure 7.2.1: Twelfth-Century Spanish castle Author: User "Superchilum" Source: Wikimedia Commons License: CC BY-SA 3.0

The Christian kingdoms of Spain had several strengths that enabled them to expand at the expense of the *taifa* states.

- The *taifa* states were not only politically weak, but they were also at odds with each other.
- The construction of stone castles in newly-conquered territories allowed the Christian kings to secure their conquests.
- The Christian kingdoms of Spain could draw on much of the rest of Western Europe for manpower. By the eleventh century, the knight who inherited a fief would usually be the oldest son of the fief's lord. This arrangement meant that younger sons had not inherited from their fathers. These landless knights were looking either for employment or fiefs of their own. New conquests along the frontier of Muslim Spain gave them the perfect opportunity to seize their own lands. As a result, French knights flowed south in a steady stream across the Pyrenees.

In Southern Italy, a group of knights from the region of France known as Normandy (and who were thus called Normans) had fought in the employ of the Byzantine emperors against the Muslim rulers of North Africa and Sicily. They eventually broke with the Byzantine Emperors and created the Kingdom of Sicily, a kingdom comprised of Sicily and Southern Italy. (The lands had been seized from both the Byzantines and Sicilian Muslims. These knights had come south to the Mediterranean in search of new lands.)

The Christian kingdoms of both Spain and Sicily were relatively tolerant of their Muslim subjects. Although Muslims under Christian rule faced civil disabilities similar to the dhimmi status of Jews and Christians in Muslim-ruled lands, they had a broad array of rights and protections. Indeed, the Christian kings of Sicily often employed Muslim mercenaries in their military service.

These victories by Christian forces over Muslims would be of great interest to the popes, who were seeking to reform the Church

and to find ways that knights could be made to serve Christian society.

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7.3: Church Reform in the Eleventh Century

By the eleventh century, Europe suffered from frequent violence and the Church itself was in a sorry state. For example, Pope John XII was so infamous for his immorality. From the mid-eleventh century, both popes and other clergymen would seek to reform both the institutional structures of the Church and Christian society as a whole.

The Holy Roman Emperor Henry III (r. 1039 – 1056) set the reforming papacy into motion. In 1049, he had traveled to Rome to be crowned emperor. When he arrived in the city, he found three men claiming to be pope, each supported by a family of Roman nobles. The outraged emperor deposed (removed) all three and replaced them with his own candidate, Pope Leo IX (r. 1049 – 1054). Leo IX would usher in a period in which reformers dominated the papacy.

To reform the Church, there should be unquestioned leaders and independence from the control of laypeople. Such a position was in many ways revolutionary. In the Byzantine Empire, the emperors often directed the affairs of the Church (although such attempts frequently went badly wrong as with the Iconoclast Controversy). Western European kings appointed bishops, and the Holy Roman Emperors believed that they had the right to both appoint and depose popes. To claim the Church was independent of lay control went against centuries of practice.

Moreover, not all churchmen recognized the absolute authority of the pope. The pope was one of five churchmen traditionally known as **patriarchs**, the highest-ranking bishops of the Church. The pope was the patriarch of Rome; the other four were the patriarchs of Constantinople, Antioch, Jerusalem, and Alexandria. With Jerusalem and Alexandria (and often Antioch) under Muslim rule, the patriarch of Constantinople was the most prestigious of the Eastern Orthodox patriarchs, dwelling in a city that was Rome's successor. The patriarchs of Constantinople believed that the Roman pope had a place of honor because Peter had resided in Rome, but they did not believe he had any authority over other patriarchs.

7.3.1: The *Filioque* Controversy and the Split between Rome and Constantinople

The church following the pope (which we will refer to as the Catholic Church for the sake of convenience), had a creed in its liturgy that said that God the Holy Spirit proceeds both from God the Father and from God the Son. The Eastern Orthodox version spoke of God the Holy Spirit as proceeding only from God the Father. Representatives of both churches quarreled over this wording. We call this controversy the **Filioque Controversy** since Latin for "and from the Son" is *filioque*.

On 16 July 1054, Humbert of Silva Candida, the pope's **legate** (i.e., ambassador) together with his entourage stormed into the Hagia Sophia as the patriarch was celebrating Communion and hurled a parchment scroll onto the altar. The scroll decreed the patriarch be excommunicated. In response, the patriarch excommunicated the pope. Catholic and Orthodox churches were now split.

17.3.2: Simony and the Investiture Controversy

In spite of the schism between Catholic and Orthodox Churches, the popes turned to reforming the Church in the Catholic west. Two pressing concerns of the popes were the elimination of **simony**, the buying and selling of Church offices, and the protection of the Church's independence from laypeople. The fight of the reforming popes to assert the Church's independence led to the **Investiture Controversy**, the conflict between the popes and Holy Roman Emperors (and other kings of Western Europe) over who had the right to appoint churchmen.

To understand the Investiture Controversy, we need to understand the nature of a medieval bishop's power and authority. A bishop in medieval Europe was a Church leader, with a cathedral church and a palace. A medieval bishop would also hold lands with fiefs on these lands (and military obligations from those who held these fiefs), just like any great noble.

The Holy Roman Emperors believed that they had the right to appoint bishops since the lands were held by the emperor. Plus, emperors were the leaders of Christendom. The reforming popes, particularly Pope Gregory VII (r. 1073 – 1085), objected to this belief. These popes believed that their authority came from God, which was superior to any king or prince. They further claimed their right to be independent rulers of the Papal States in Central Italy, based on the Donation of Constantine.

Soon, Pope Gregory VII and Emperor Henry IV (r. 1056 – 1106) had an argument. Each claimed the exclusive right to appoint and depose bishops. Eventually, Henry claimed that Gregory was in fact not rightfully pope at all and attempted to appoint his own pope. In response, Gregory proclaimed that none of Henry's subjects had a duty to obey him and encouraged his subjects to rise in rebellion.



Figure 7.3.1: Pope Gregory VII Author: User "GDK" Source: Wikimedia Commons License: Public Domain

Without the Church to legitimate Henry IV, his empire collapsed into civil war. As a result, Henry took a small band of followers, in the dead of winter, crossed the Alps, to negotiate with the pope in person. In January, he approached the mountain castle of Canossa where the pope was staying and begged Gregory for forgiveness, waiting outside of the pope's castle on his knees in the snow for three days. Finally, Pope Gregory forgave the emperor.



Figure 7.3.2: Emperor Henry IV Author: Unknown Source: Wikimedia Commons License: Public Domain

After a public ceremony of reconciliation, Henry returned to Central Europe and crushed the rebellion. Then, he returned to Italy with an army, forcing Gregory VII into exile. This Investiture Controversy would drag on for another four decades. In the end, the Holy Roman Emperors and popes would reach a compromise with the **Concordat of Worms** (1122)**.** The clergy would choose bishops, but the emperor could decide disputed elections. A bishop would receive his lands from the emperor in one ceremony, and the emblems of his spiritual authority from the pope in another. Other kings of Western Europe reached similar compromises with the papacy.

The Catholic and Orthodox Churches had split with one another, and tensions remain between the two to this day. Although the popes failed to achieve everything they sought, they did gain limited independence of the Church, and they succeeded almost completely in ending the practice of simony. Indeed, one contrast between Western Europe and much of the rest of the world is a strong sense of separation between secular and sacred authority. That separation of Church and state owes much to the troubled years of the Investiture Controversy.

The successes of the papacy in their efforts at Church reform, together with the military successes seen by Christians in the Western Mediterranean against Muslims, would inspire the popes to an even more ambitious effort: the Crusades.

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7.10: Later Crusades and Crusading's Ultimate Failure

After the Third Crusade, the re-established Crusader States managed to survive and even expand in power for the next several decades. Syria and Egypt were split between Saladin's heirs, and the crusader kingdoms often enjoyed good relations with Ayyubid Egypt. Indeed, in 1229, a truce worked out between Holy Roman Emperor Frederick II and the Egyptian sultan al-Kamil resulted in the city of Jerusalem returning to Christian rule.



Map 7.10.1: The Crusader States in 1243 CE Author: Ian Mladjov Source: Original Work License: © Ian Mladjov. Used with permission.

In the 1240s, forces far from the Levant brought down the Kingdom of Jerusalem. As the Mongols gradually conquered Central Asia, the Khwarazmian Turks were driven from their realm in the steppes into Syria and northern Iraq. They ended up allying with Ayyubid Egypt against the Crusader Kingdom of Jerusalem. In 1244, the combined armies of Damascus and Jerusalem were defeated by an Egyptian/Khwarazmian army. Jerusalem fell under Muslim rule, where it would remain until 1917.

In response to the fall of Jerusalem, Pope Innocent IV (r. 1243 – 1254) called a crusade that would be led by King Louis IX. While it had contingents from other Western European kingdoms, this effort was primarily from the French crown. Although King Louis IX was able to manage the impressive logistical feat of organizing and equipping an army that seized the northern Egyptian port of Damietta, the effort to take all of Egypt was ultimately unsuccessful. Over the course of 1250, the French army was surrounded in the swamps of the Nile Delta outside of Cairo and forced to surrender, with Louis being captured. The only lasting result: during the fighting, the Ayyubid sultan's Mamluks launched a coup d'état and seized power in Egypt, thereby creating in Egypt a military power that would dominate the Levant for nearly three centuries.

In the four decades after Louis's failure in the Nile Delta, the Mamluk sultans of Egypt would eventually conquer all of the Crusader States, with the last crusader stronghold in the Levant, the city of Acre, falling in 1291. Although Popes would still call crusades for military efforts against Muslim forces (and indeed, still make calls to retake the city of Jerusalem), crusading had failed. One reason for crusading's ultimate failure was that, as Western European kings consolidated their power, they often had priorities other than crusading. For example, England's Edward I spent a few months fighting in the Levant in 1271. However, he spent most of his reign fighting to subdue England's neighboring kingdoms of Wales and Scotland.

In the end, the Crusades failed, and their greatest long-term impacts were the destruction of the Byzantine Empire and the growth of the sea power of Genoa and Venice, whose ships and sailors had transported people and supplies between Europe and the Crusader States.

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7.11: Scholasticism

As more works of ancient Greek and Muslim philosophy became available to Western European Christians, the question of how to understand the world acquired more urgency. How were Christians to understand the world: through divine revelation, as it appeared in the Bible, or through the human reason of philosophers? Indeed, this question was reminiscent of similar questions taking place in the Islamic world, when thinkers such as al-Ghazali questioned how useful the tools of logic and philosophy were in understanding the Quran.

In the twelfth century, certain devout monks had said, "Whoever seeks to make Aristotle a Christian makes himself a heretic." Out of this controversy, medieval Europe produced its greatest thinker, St. Thomas Aquinas (1224 – 1274). St. Thomas was a Dominican **friar**, who took a vow of chastity, poverty, and obedience. Instead of living in isolated monasteries, friars spent much of their time preaching to laypeople in Europe's growing towns and cities.

Friars generally belong to one of two major groups: Franciscans and Dominicans. Both had schools in most major universities of Western Europe by the early thirteenth century. Aquinas, a philosopher in the Dominican school of the University of Paris, had argued that human reason and divine revelation were in perfect harmony. He would raise a point, raise its objection, then provide an answer, and this answer would always be based on a logical argument. Aquinas was only part of a larger movement in the universities of Western Europe. We generally call the movement to reconcile Christian theology with human reason through the use of logic **scholasticism**.



Figure 7.11.1: St. Thomas Aquinas | Note that the artist shows him defeating the non-Christian Aristotelian philosophy of Ibn Rushd. Author: Benozzo Gozzoli Source: Wikimedia Commons License: Public Domain

Aquinas and the scholastics can be compared to Zhu Xi and the neo-Confucians of Song China. Just as Zhu Xi had sought to integrate Confucian thought with Buddhist and Daoist philosophy, so also Aquinas sought to integrate both Aristotelian logic and Christian theology.

The period not only saw successes in the field of speculative philosophy and theology, but also in the practical application of science. The master masons who designed Western Europe's castles and cathedral churches built hundreds of soaring cathedrals, which would be the tallest buildings in Europe until the nineteenth century. This architecture was called **Gothic**, since it used pointed arches (which may have been copied from Middle Eastern styles) and stained-glass windows. The prosperity of Europe's towns often financed the construction of these magnificent churches.

Thirteenth-century Europe showed other developments in technology. In 1269, Pierre of Harincourt first came to understand the principles of magnetic poles based on an analysis of the magnetic compass (in use since the twelfth century). At the same time, between 1286 and 1306, Western Europeans invented eyeglasses based on the pre-existing technology of lens-grinding, which had come from the Muslim world. Water clocks had been known since ancient times, but, in the years between 1271 and 1300,

Western Europeans invented the mechanical clock.



Figure 7.11.1: Lincoln Cathedral in England, built in the Gothic style in the thirteenth century | Note the pointed arches and the stained glass. The seats in the church were added in modern times: medieval worshipers stood. Author: Andrew Reeves Source: Original Work License: CC BY-SA 4.0

In the twelfth, thirteenth, and fourteenth centuries, Western Europeans gradually adapted the art of alchemy, (changing or attempting to change one element into another), from the Muslim world. Eventually, alchemists and natural philosophers who studied alchemy would find new techniques for refining and compounding chemicals. However, their ultimate goal of turning base metals into gold would never succeed.

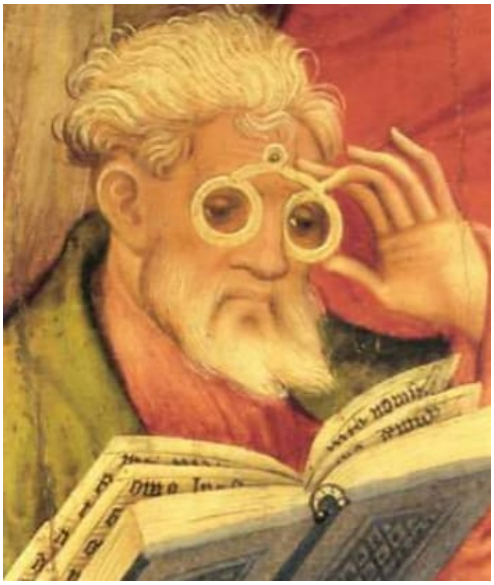


Figure 7.11.2: Late medieval eyeglasses Author: Conrad von Soest Source: Wikimedia Commons License: Public Domain

In addition to these technologies invented or improved in medieval Europe, the Mongol Empire's opening of trade routes had allowed the importation of East Asian technologies such as gunpowder.

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7.4: The Twelfth Century in Western Europe

In the twelfth century, many of Europe's kingdoms saw a gradual centralization of state power.

England was one of the most centralized states. In 1066, the Duke of Normandy, William the Bastard, invaded England, defeated the English army, and made himself the king of England. William the Conqueror's conquest moved the culture, language, and institutions of England closer to those of France. Although England looked more feudal, it nevertheless retained a centralized bureaucratic apparatus. He used this bureaucracy to conduct a nationwide census, a feat of which no European state outside of the Byzantine Empire was capable. Looking ahead, for the most part, its monarchs, particularly Henry I (r. 1100 – 1135) and Henry II (r. 1154 – 1189), were innovative and clever administrators, creating a network of royal courts and a sophisticated office of tax collection known as the **Exchequer**.



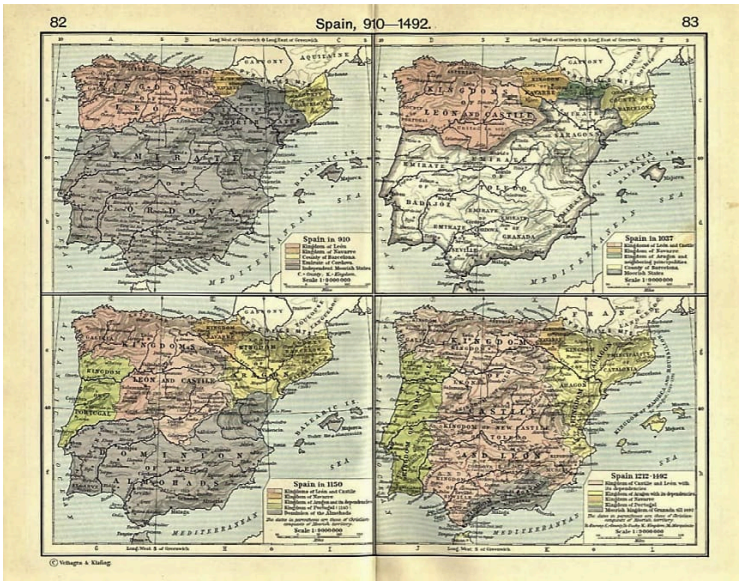
Figure 7.4.1: King Henry II and his wife, Eleanor of Aquitaine Author: Anonymous Source: Wikimedia Commons License: Public Domain

France had entered the tenth and eleventh centuries as the most loosely-governed kingdom of Europe. In 987, France's nobles elected Hugh Capet, the count of Paris, as king, effectively replacing the Carolingian dynasty. The **Capetian** Dynasty's kings directly controlled only the lands around Paris. After the Norman conquest of England in 1066, the Norman kings of England were also dukes of large French territories. Thus, for the first part of the twelfth century, much of France was under the effective control of the English crown.



Figure 7.4.2: Dover castle, built by King Henry II Author: Jake Keup Source: Wikimedia Commons License: CC BY 2.0

In spite of these challenges, the Capetian monarchs gradually built their kingdom into a functional state. They cultivated a reputation as defenders of Christianity in order to gain legitimacy from the Church. They also sought to enforce the feudal obligations that the powerful nobles owed to the crown, often calling on them to serve militarily so as to create a habit of obedience to the king.



Map 7.4.1: Spain, progress of the Reconquista Author: William R. Shepherd Source: Wikimedia Commons License: Public Domain

To the southwest, the rise of the Muslim Almoravid Empire under the rule of aggressively expansionist Muslim religious reformers in North Africa briefly put the *Reconquista* in jeopardy. But, by the early twelfth century, it had resumed, with the Muslim stronghold of Zaragoza falling to Christian armies in 1118.

After the First Crusade, those knights who traveled to Spain to help its Christian kings fight Muslims received the same forgiveness of sins that the papacy granted to the crusaders in the Levant. Over the twelfth century, four major Christian kingdoms would emerge in the Iberian Peninsula: Portugal, Leon-Castile, Navarre, and Aragon. These kingdoms would develop a sophisticated system of taxation in order to fund the *Reconquista*. In the later twelfth century, they faced the challenge of the Almohad Empire that emerged from the Islamic Maghreb to unite Muslim Spain and North Africa. By the 1150s, Christian Spain was on the defensive once again.

In Scandinavia, too, a set of strong monarchies had emerged in Denmark and Norway by the end of the twelfth century.

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7.5: The Twelfth-Century Renaissance

The **Twelfth-Century Renaissance** was a time of renewed vibrancy in intellectual activity, as well as witness an immense growth of interest in philosophy on the part of men (and a few women) who had a formal education. Events in Southwestern Europe would spur this renewal.

Al-Andalus had been a major source of Muslim intellectual activity. As early as the tenth century, Christian scholars had visited Muslim-ruled Spain to read the works of ancient Greek thinkers that were unavailable elsewhere in Western Europe. For example, Gerbert of Aurillac (who eventually became Pope Sylvester II[2], r. 999 – 1003), was particularly fascinated with Euclid, Arabic numerals, and the concept of zero.

When Toledo fell to Christian armies in 1085, its libraries became available to the larger Christian world. Once these books were in Christian hands, Raymond, archbishop of Toledo (r. 1125 – 1152), set up translation teams. People who spoke Arabic and the Romance languages of Spain would first translate these books into Spanish, and these books would then be translated into Latin. Thus, Aristotle and Ptolemy (as well as the works of Arabic philosophers) became available to educated people throughout Western Europe. The availability of texts spurred an intellectual revolution, as the Christian thinkers sought to understand how to reconcile an understanding of the world based on Christianity with the approach of the non-Christian ancient Greeks.



Figure 7.5.1: Latin Manuscript of Aristotle's Physics Author: Jean-Christophe Benoist Source: Wikimedia Commons License: Public Domain

Such translations on the Christian/Muslim frontier continued through the twelfth and thirteenth centuries. Western Europeans read natural philosophy, such as al-Haytham's writings on optics and the Aristotelian commentaries of Ibn Rushd (whose name they pronounced as Averroës). This movement saw the translation not only of philosophy, but also of medicine. Indeed, in the Muslim world, philosophers often served as physicians—so the medical works of philosophers and physicians such as Ibn Sina (whose name Western Europeans pronounced as Avicenna) were read avidly by Christians in Western Europe.

Western Europeans were also showing a renewed interest in law. Although the kingdoms had incorporated some elements of Roman Law as well as the oral law of the Germanic peoples into their legal systems, law codes were for the most part unsystematic. Starting from the eleventh century, scholars began subjecting The Justinian Code (see Chapter Six) to intense study. These men who studied Roman Law would often go to work for kings and emperors, with the result that much European law would often draw its inspiration from Justinian.

Most schools were still attached to cathedral churches. Indeed, these schools in which medicine, law, and philosophy flourished as disciplines of study might be compared to the madrassas of the Muslim world. The chief field of study in these schools was theology, that is, the interpretation of the Bible. And theologians increasingly drew on logical analysis and philosophy of language to understand what they believed was God's revelation to humanity.

Eventually, many of these cathedral schools gained the right to organize as self-governing institutions. We call these institutions **universities**. By the end of the twelfth century, the universities of Bologna, Paris, and Oxford had become self-governing, and would serve as the foundation of the university system of the Western world that exists to the present day.

2 Between the sixth and eleventh centuries, a practice emerged whereby the pope would adopt a distinct name from the name he was born with upon ascension to the papacy. The practice continues to the present day.

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7.6: The Crusades

7.4.1: Background: Disaster at Manzikert

On the surface, the Byzantine Empire of the eleventh century looked like one of the world's great powers. It dominated the Eastern Mediterranean, with its emperors reigning from Constantinople, a city full of magnificent churches, splendid palaces, and centuries-old monuments of an ancient empire.



Map 7.6.1: The Eastern Mediterranean in 1096 CE Author: Ian Mladjov Source: Original Work License: © Ian Mladjov. Used with permission.

But these outward signs of strength concealed several weaknesses. In the first place, the *theme* system (see Chapter Six) had begun to break down. The plots of land used to equip soldiers had gradually given way to large estates held by powerful aristocrats. These powerful aristocrats often paid less and less in taxes, starving the state of key resources. The *theme* soldiers were used less often and often poorly trained and equipped, with the emperors relying on mercenaries for most of their fighting. The civilian aristocracy and the military were often in conflict.

The late 11th century Byzantine emperors were able to hold their own against external threats until the arrival of the Saljuq Turks in the Middle East. Both the Byzantine emperor Romanos IV (r. 1068 – 1071) and the Saljuq sultan Alps Arslan (r. 1063 – 1072) sought to control the Caucasus Mountains. These passes controlled access to the Middle East from the Central Asian steppes. In addition, the steppes served as a source from which the Turks in the Middle East could recruit more fighters.

On 19 August 1071, the forces of the Byzantine Empire met those of the Great Saljuq Empire at the Battle of Manzikert near the shores of Lake Van in Armenia. The thematic troops were of indifferent quality, but worse for the emperor was the treachery of both the Byzantine commander Andronikos Doukas and the Byzantine force's Turkic mercenaries. The Byzantine field army was annihilated. The emperor himself was surrounded and taken captive after his elite guard of Norse mercenaries went down fighting in his defense.



Figure 7.6.1: Alexios Komnenos Author: User “Eloquence” Source: Wikimedia Commons License: Public Domain

The result was a catastrophe for the Empire. Not only had most of the Byzantine Army been wiped out, but also competing Byzantine nobles took the opportunity of the emperor’s captivity to launch their own bids for power. During the decade of civil war that followed, the Empire’s holdings in Asia Minor almost all fell under the dominion of the Saljuq Turks. What had been the world’s most powerful Christian state now faced destruction.

Eventually, Alexios Komnenos (r. 1081 – 1118) would seize control of the Byzantine Empire and laboriously rebuild its military strength. An able and clever military commander who also possessed good long-term sense, he used the tax base of the Empire’s Balkan possessions to fund a new army, one composed largely of foreign mercenaries and a small core of Greek soldiers. These soldiers were often granted out blocks of lands known as ***pronoiai***. (A *pronoia* was similar to a fief in Western Europe.) He also recruited steppe peoples, such as the Cumans and Pechenegs, as well as mercenaries, particularly from the Holy Roman Empire and West Francia. In March of 1095, he sent a request to the pope for military assistance. The long-term consequences of this request would be earth-shaking.

7.4.2: The First Crusade

Pope Urban II (r. 1088 – 1099) received the request. He was also associated with the reformers, who sought to quell (stop) the violence that was often frequent in Western Europe (especially in France). The question was how to utilize aggressive knights in a way that benefited Christian society rather than harmful to civilians. Fighting against Muslims in Sicily and Spain showed the popes an example.

In addition, the Church had long recognized Roman Law’s concept of **Just War**: a war could be moral as long as it was defensive, declared by a rightful authority, and likely to cause less damage than if the war had not occurred. By the eleventh century, certain churchmen had further formulated this idea into one of **Holy War**, that is to say, that a war fought in defense of the Church was not only morally right, but even meritorious.

The final element that led to Pope Urban II’s turning much of the military might of Western Europe to the Middle East was the idea of Jerusalem. The city of Jerusalem was where Jesus Christ was said to have been crucified, to have died, and to have risen from the dead. As such, the Church of the Holy Sepulcher, built on what was said to be the empty tomb from which Christ had risen, was the holiest Church in the Christian world. But, this Church had been under the control of Muslims since Caliph Umar’s conquest of Palestine in the seventh century. Even while it was under Muslim rule, **pilgrims** had traveled to Jerusalem.

Pope Urban decided to use the military forces of Western Europe to strengthen the flagging Byzantine Empire (a Christian state), and return Jerusalem and the Church of the Holy Sepulcher to Christian rule after four centuries of Muslim domination.

On 27 November 1095, he gathered several of the major nobles of Western Europe (as well as many lower-ranked knights) to an open-air sermon at Clermont. He proclaimed that it was the duty of these warrior aristocrats, as Christians, to defend the Byzantine Empire and to put the city of Jerusalem under Christian rule. The result was an enthusiastic response by those

knights, who are said to have cried out, “God wills it!” and to have vowed to set off to Jerusalem and bring it under Christian rule. Furthermore, as word of Pope Urban’s admonition spread throughout Western Europe, more and more of the knightly class answered the call, mustering under the leadership of several powerful nobles.

This movement of the Western European knights to fight against Muslims in the Middle East is generally known as the first of a series of **Crusades**. (A crusade was a war declared by the papacy against those perceived to be enemies of the Christian faith, usually, but not always, Muslims). By participating in a crusade, a Christian would be granted forgiveness of sins. Some historians argue that this concept superficially resembled the Muslim notion of the Lesser Jihad.



Map 7.6.2: The Crusader States | These regions were known to Western Europeans as Outremer, Old French for “across the sea” Author: Ian Mladjov Source: Original Work License: © Ian Mladjov. Used with permission.

As these forces mustered and marched south and east, the religious enthusiasm spilled out into aggression against non-Christians other than Muslims. For example, one group of Crusaders engaged in a series of massacres of Jewish civilians in the Rhine.



Figure 7.6.2: Crusader Castle at Byblos Author: User “Heretiq” Source: Wikimedia Commons License: CC BY-SA 2.5

The Crusaders traveled in two main waves.

- The first traveled to the Byzantine Empire, but was wiped out by a Turkish army.

- The second wave reached an uneasy truce with the Alexios Komnenos (who had been expecting a modest force of mercenaries and not the armed might of most of Western Europe).

The Crusaders were fortunate. After Nizaris had assassinated Nizam al-Mulk and the Fatimid caliph of Egypt had died (both in 1092), the Middle East fell into political chaos. When the Crusaders marched east in 1096, they encountered not a unified Great Saljuq Empire, but a collection of independent and semi-independent sultans and emirs.

The Crusaders won a string of victories in Asia Minor. The armored knights of Western Europe often stood at an advantage against the lightly armored or unarmored mounted archers that mostly made up the bulk of Turkish forces. Following the path of the crusading army, Alexios was able to restore much of western Asia Minor to the control of the Byzantine Empire, although the central Anatolian plateau would remain under the dominion of the Saljuq Turks.

The Crusaders advanced on Antioch, the largest and most prosperous city of the Levant. After a siege of nearly a year, they controlled the city and defeated the Turkish army. In June 1099, the Crusaders stormed the walls of Jerusalem. As the city fell, it was subject to a brutal sack, with both the city's defenders and its civilian population subject to a bloody slaughter. (At the time, the custom was that if a city resisted an attacking army, then it would be subject to sack and massacre of its population were it to fall.)

After the fall of Jerusalem, the Crusaders established four states in the Levant:

- the County of Edessa, in northern Mesopotamia
- the Principality of Antioch, centered on the city of Antioch and its environs
- the County of Tripoli, in what is roughly Lebanon today
- the Kingdom of Jerusalem, which occupied Palestine and whose capital was the city of Jerusalem.

These states were ruled by men (and often women) who were Catholic in religion and ethnically Western European. The religion and institutions of these **Crusader States** were nearly the same as those of Western Europe.

These states attracted some settlers, in both their warrior aristocracy and even merchants and peasants. But many of the subjects of these kingdoms were Muslims (or Christian Arabs, who had special privileges over their Muslim counterparts, but fewer rights than Catholic, ethnically Western European Christians). Although the pope had spoken of rich lands for the taking in Palestine, most of the knights who had gone on the First Crusade (and survived) returned to Western Europe.

The Crusader States relied on extensive networks of heavily fortified stone castles for defense. They were fortunate that the Middle East was politically fragmented and Fatimid Egypt was weak. Whether these states would be sustainable in the face of stronger Muslim powers remained to be seen.

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7.7: Empires- Recovery and Collapse

7.6.1: Frederick Barbarossa and the Holy Roman Empire

In the early part of the twelfth century, power in the Holy Roman Empire decentralized, while the cities of northern Italy were increasingly governing themselves. The Holy Roman Emperor Frederick Barbarossa (r. 1152 – 1190) sought to arrest this decline and make his subjects adhere to his authority.

Many of the cities of northern Italy had gradually moved from rule by an urban nobility or bishops to self-government by an elected commune, and these communes were often reluctant to acknowledge imperial authority, especially with respect to the taxes that Barbarossa believed were owed him. Shortly after beginning his reign, Barbarossa sought to implement this authority.

Barbarossa had a great deal of initial success, but eventually, the city-states of Northern Italy united into an organization called the Lombard League. This League allied with the popes, who lent their moral authority to the cause of the northern Italian city-states. Why? If the emperors were too powerful in Northern and Central Italy, then they would threaten the papacy's independence. Eventually, this coalition inflicted a military defeat on Barbarossa at the Battle of Legnano (1176), after which Barbarossa was forced to concede a great deal of self-rule within the Empire to the Italian city-states.

Near the end of his reign, Barbarossa would lead an immense army on a crusade. In 1187, the kings of Western Europe were forced to respond to a great catastrophe for Christendom: the city, and, indeed, most of the Kingdom of Jerusalem had fallen to a Muslim army under the sultan Saladin. These kings responded with the effort known as the Third Crusade. (See Chapter 7.8.)

7.6.2: The Komnenoi in Byzantium

The other rightful heir of the Roman Empire was the Byzantine Empire. After the disaster of Manzikert, the Komnenos emperors had managed to rebuild a Byzantine army based on the system of *pronoiai* and mercenary forces. Emperor John II (r. 1118 – 1143) followed up on Alexios's work and established effective Byzantine control over much of Western Anatolia, consolidated imperial hold on Southeastern Europe, and, indeed, forced the Crusader States to acknowledge him as their overlord.



Map 7.7.1: The Eastern Mediterranean in the reign of John II Author: Alexander G. Findlay Source: Classical Atlas of Ancient Geography License: Public Domain

Manuel Komnenos (r. 1143 – 1180) sought to extend Byzantine power by suppressing the growth of Venice in the Eastern Mediterranean, forming an alliance with the growing kingdom of Hungary, and temporarily forcing the Turks of central Anatolia to acknowledge his overlordship. In the end, the emperor's reach exceeded his grasp.

His attempt to conquer Fatimid Egypt failed when the military commander of Damascus, Saladin, outmaneuvered both Byzantium and Jerusalem. As a result, Egypt was added to the territory of Damascus, which created a larger Muslim Empire in the Middle East. Likewise, Manuel's army was defeated by the Saljuq Sultanate of Rum at Myriokephalon in 1176. Ultimately, the Byzantine Empire lost the wealthy agricultural land of Central Anatolia to the Turks, and the tax revenue that went with it.



Figure 7.7.1: Manuel Komnenos and his wife, Maria of Antioch Author: Anonymous Source: Wikimedia Commons License: Public Domain

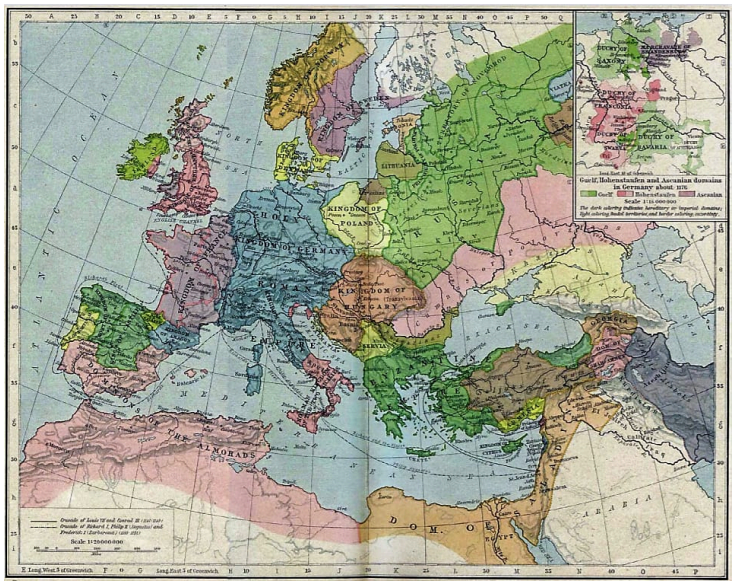
In the end, the Komnenoi had managed to restore the Byzantine Empire as a regional power, but it was left with structural weaknesses that would eventually prove to be its undoing.

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7.8: The Third Crusade

The Crusader States had endured from 1099 to 1187 because the Muslim Middle East was politically fragmented. Once Saladin had overthrown Egypt's Fatimid Caliphate and united Egypt to Muslim-controlled Syria and northern Iraq, he was able to turn his resources to destroying the Crusader States. Eventually, at the 1187 Battle of Hattin, his forces met the combined forces of the Kingdom of Jerusalem. The result was a complete victory for Saladin. With the manpower of most of the Kingdom of Jerusalem killed or captured—knights and noble prisoners would be held for a hefty ransom, while lower-ranked soldiers would go to slave markets—he was easily able to capture most of the castles and cities that made up the kingdom, to include the city of Jerusalem itself.



Map 7.8.1: Europe and the Mediterranean in the Third Crusade Author: User "Roke" Source: Wikimedia Commons License: Public Domain

The result shocked the Christian world, and Pope Gregory VIII quickly issued a **bull** (that is, an official papal pronouncement). *Audita tremendi* called on the Christian world to retake Jerusalem. The kings of England and France, Richard I (known as Lionheart, r. 1189 – 1199) and Philip Augustus (r. 1180 – 1223), respectively, took vows to launch a crusade, as did Holy Roman Emperor Frederick Barbarossa. (As usual, the Christians of Iberia took little part in crusades in the Levant, as their efforts focused on the *Reconquista*.)

Although Frederick Barbarossa died en route (he drowned in a stream in the mountains of Anatolia), both Richard I and Philip Augustus eventually arrived in the Levant by sea. Although Philip soon returned to France, King Richard battled Saladin over the course of two years. The results were mostly inconclusive. The crusading army seized most of the castles and cities on the coast, which became the center for a restored, but smaller Kingdom of Jerusalem. But, the Crusaders ultimately failed to take Jerusalem itself. The Third Crusade ended in a truce. One term of the agreement: Christian pilgrims were allowed to visit the city of Jerusalem, even though it remained under Muslim rule.

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7.9: The Fourth Crusade

While Jerusalem remained under Muslim control, the papacy's goal was to retake it. In 1198, one of the most ambitious popes of the Middle Ages was elected:Pope Innocent III (r. 1198 – 1216). His goals were to morally reform society and to launch a crusade for retaking the holy city of Jerusalem. In the year of his election, he issued a call to a crusade that ended up as a disaster.

Between 1185 and 1204, the Byzantine Empire had drastically weakened. After the death of Manuel Komnenos with his heir still a child, the Empire faced a string of catastrophes. The child-emperor was murdered, his successor was eventually overthrown, as was the next one. During this political infighting, the Empire's peripheral territories of Serbia, Cyprus, and Cilicia all seceded. Closer to the center, the Bulgars rose in rebellion in 1186 and re-established an independent Bulgaria within only a few days' march of Constantinople itself. In addition, the chain of emperors, regents, and usurpers reigning between 1185 and 1204 had allowed the Byzantine navy to gradually disintegrate.

In 1202, a group of crusaders (with kings notably absent) contracted with the government of Venice to transport them to fight in Egypt, now ruled by Saladin's heirs. When these crusaders proved unable to pay, the Venetian government requested their military assistance. The son of the deposed Byzantine emperor needed some assistance. If the crusaders and Venetians would help him regain his throne, he would provide the crusaders military and financial assistance, as well as give Venice trading privileges with the empire. In 1204, after a series of misadventures, a crusader army stormed the walls of Constantinople and put the city to a brutal sack. Then, the crusaders parceled out much of the territory of the Byzantine Empire amongst themselves. The most advantageous ports went to Venice, which would use them as the basis of a Mediterranean trading empire for centuries. The Crusades, which had begun as a result of an appeal for help by the Byzantine Empire, ultimately resulted in its destruction.

Although the Byzantine Empire had been broken up, three states survived that claimed to be legitimate heirs to the Byzantine State:

- One was established in Western Anatolia with its capital in Nicaea
- Another, in Epirus, in what is today the country of Albania
- A third was based on the city of Trebizond, on the northern coast of Anatolia.

The Nicene Empire would eventually retake Constantinople in 1261. Yet, the restored state would never be the regional power that the Empire had been under the Komnenoi.



Map 7.9.1: The Latin Empire in 1212 CE | The Latin Empire of Constantinople (the state established by crusaders after 1204) and Byzantine successor states Author: Ian Mladjov Source: Original Work License: © Ian Mladjov. Used with permission

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Expansion of the Mongol Empire 1206–1294 superimposed on a modern political map of Eurasia. (CC BY-SA 2.5 Generic; Astrokey44 and Sting via Wikipedia).

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8.1: Conclusion

Three forces combined to shape the course of Central Asian history: the Turkic migrations, expansion of Islam, and the Mongol conquest. Beginning in the second century BCE, waves of Turkic migrations entered the region. Turkic tribes occupied the great steppe, Turkifying the region and endowing it with a more nomadic character. They also populated the agricultural basin of Transoxiana, displacing the original Iranian inhabitants of the area. Many of these Turks slowly settled down over time, and displayed a unique ability to absorb the Islamic faith and internalize the Mongol conquest.

Islam transformed the religious adherence of Central Asia and left a lasting mark on the region as well. Transoxiana gradually Islamicized, but Turkic and Persian cultures persisted. As Islam spread through the area, the faith demonstrated an extraordinary capacity to incorporate local traditions, permitting some customs to linger so long as doing so accelerated conversion. Sufi missionaries made some compromises with the Turkic nomadic culture in order to establish the religion in the area. Sufism's inherent flexibility helped to promote conversion, and the blend of orthodox Islam and Turkic pastoral nomadism created a uniquely Central Asian brand of the faith.

The Mongol conquest of Central Asia had the most immediate impact on the history of the region. Although the Mongols eventually Turkified over time, the legacy of Genghis-Khanid legitimacy remained. Genghis Khan had developed a secure and dependable means of transferring power. The Genghis-Khanid legitimacy reduced the number of contenders vying for the throne, and the Mongols did not collapse as a "nation" following the death of their founder. Genghis Khan bequeathed a legacy of political legitimacy to the region that would last until 1920.

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8.2: Chronology

1206 – 1368 CE Mongol Empire

1240s – 1502 CE Khanate of the Golden Horde

1225 – 1370 CE The Khanate of Chagatai 1

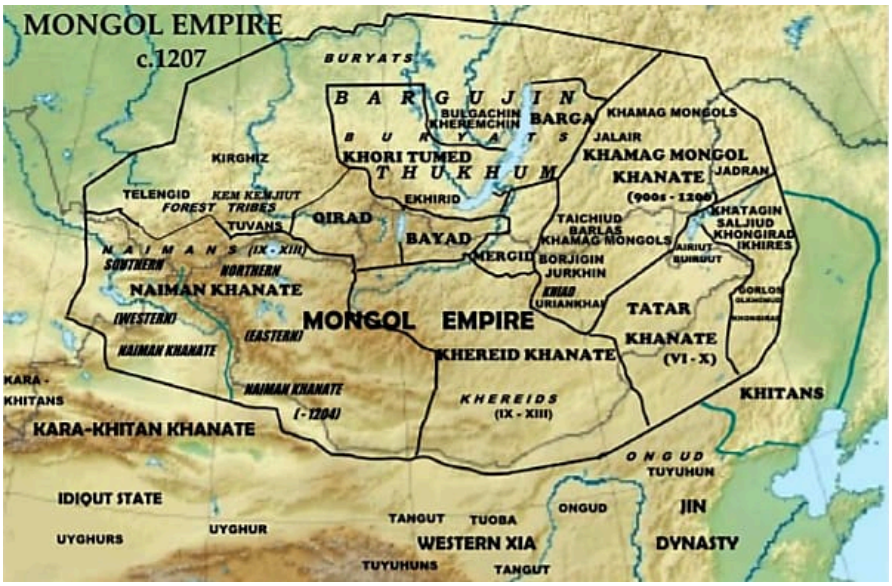
265 – 1335 CE The Khanate of the Ilkhans

1370 – 1507 CE Timurid Dynasty

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8.3: Introduction

In 1216 CE, a detachment of Mongols pursued the leader of the neighboring Naiman tribe, a certain Küchlüg, who had the misfortune of allying with Jamukha, the principle rival of Genghis Khan. The Mongol leader deployed 30,000 troops to track down this troublesome renegade. By 1218, Küchlüg had fled south towards the Pamir Mountains in modern-day Afghanistan. Eventually, the Mongol general Jebe caught up with Küchlüg and executed him. It was this two-year event that inadvertently brought the Mongols into Central Asia. Their conquest was not initially intended to create an empire. Yet, over time, the area was absorbed, adopted, and integrated by the Mongols.



Map 8.3.1: Map of the Mongol Empire c. 1207 CE Author: User “Khiruge” Source: Wikimedia Commons License: CC BY-SA 4.0

Central Asia displayed a remarkable ability to embrace foreign influences, such as the Turkic migrations, expansion of Islam, and Mongol conquest, internalizing them and making them its own. Situated at the crossroads of many empires, Central Asia was tucked in between the Chinese, Europeans, Arabs, and Indians. There, just along the Great Silk Road, the region connected the Orient to the Occident and shaped the course of its history.



Map 8.3.2: Map of the Silk Road Author: User “Captain Blood” Source: Wikimedia Commons License: CC BY-SA 3.0

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8.4: Geography of Central Asia

Unlike many other regions of the world, Central Asia lacks the distinct topographical features necessary to delineate boundaries. However, there are several broad geographical zones. The great Eurasian Steppe is a latitudinal belt of grassland that stretches from Eastern Europe through Mongolia. It was there that nomadic horse cultures flourished. Located to the south of the steppe was the core of Central Asia, an area known as Transoxiana. Beyond the Oxus River is a dry region referred to as Amu Darya today. Trade settlements and irrigated agriculture developed along the Amu Darya and Syr Darya watersheds. Finally, located to the far south, lies the mountainous area of Khorasan, the cultural capital of Persia prior to the appearance of the Mongols.



Map 8.4.1: Map of Central Asia Author: User “Lyriak” Source: Wikimedia Commons License: CC BY-SA 3.0

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8.5: Turkic Migrations

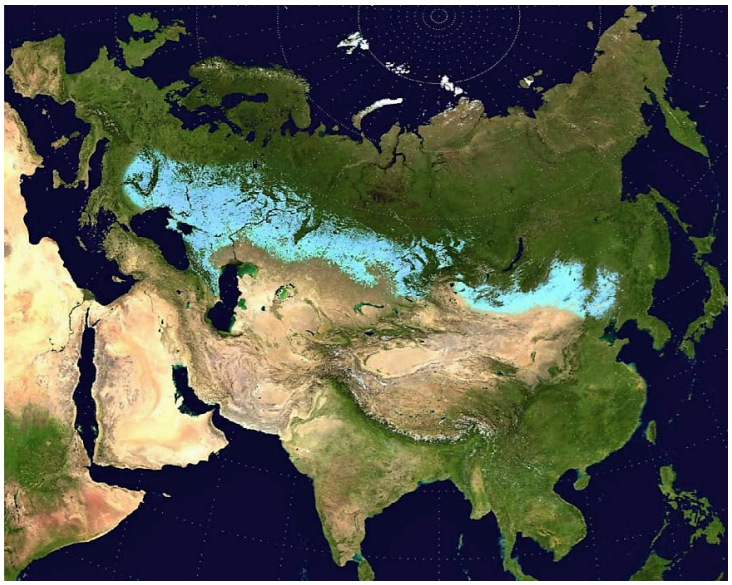
Nomadic migration was the first major external influence that would be integrated into the culture of the region. Beginning with the **Xiongnu** (209 BCE – 93 CE), a long-term exodus of steppe peoples spread out of Mongolia and into Central Asia. For millennia prior to the rise of Genghis Khan, the winners of the tribal battles for predominance on the **Orkhon Steppe**, prime pastureland located in western Mongolia, forced the defeated off to the west. These periodic mass departures of Turkic tribes continued a southwestern flow.

The new arrivals forever altered the ethnic makeup of Central Asia. Previously, the region had been predominantly Persian and Indo-European. When the waves of Turkic tribes penetrated into the area, they pushed the Persian groups to the fringes. Over time, they slowly Turkified the area, endowing it with a more nomadic character.



Map 8.5.1: Map of the Xiongnu Empire in 205 BCE Author: User “Postmann Michael” Source: Wikimedia Commons License: Public Domain

Turkic tribesmen divided their society into five strata. Members of the royal tribal clan presided over the social order. This dominant group bestowed its name on the tribal confederation, a collection of tribes. Positioned below them were their allies and associated tribes. Next were the common herders who did not participate in struggles for power. Lower still were the artisans, such as blacksmiths and leather workers. And finally, we find slaves at the bottom of the hierarchy. They usually acquired this position by being captured during a war.



Map 8.5.2: Map of the Great Eurasian Steppe Author: User “Shattered Gnome” Source: Wikimedia Commons License: Public Domain

Members of an unstable confederation of clans and tribes roamed the steppe, loosely bound under a **khagan**, a charismatic monarch who laid claim to some sort of divine providence. Khagan made use of their personal charisma, as well as their political and military smarts, in order to maintain group cohesion and ward off challenges to their authority. Under strong khagans, tribal confederations were capable of wielding incredible power. More often than not, they were notoriously volatile and often imploded upon the death of their leader. The winners in the post-death struggle forced the losers out of the area. While many went to the north or south, most to the west. Victorious tribes remained in Mongolia on the highly-prized Orkhon Steppe, located near Lake Baikal.

The khaganate was a diarchy, or system of dual rule, with the oldest son controlling half of the land. However, it lacked a clear transition of power, like hereditary succession. Because the khagan theoretically ruled over a series of tribal confederations, any member of the tribal confederation could ascend to the position of monarch by demonstrating their personal charisma and martial skills on the battlefield. This fight to prove oneself could erupt into broader inter-tribal strife.

Periodic Turkic migrations into Central Asia transformed the sedentary culture of the region. These steppe peoples lived by practicing pastoral nomadism, a way of life centered around herding. Their culture was utilitarian in nature and provided all the necessities for life on the great plains of Central Asia, including food, clothing, shelter, and transportation. In order to maintain their pastures, these horsemen followed a fixed, seasonal pattern of migration because they did not want their flocks to overgraze. During the winter, for instance, they camped in foothills and mountain valleys, where it was warmer at lower altitudes. There they built fixed shelters with one main objective: survival. The oral tradition, which included songs, epic narratives, and parables, flourished during the inhospitable winter months.



Figure 8.5.1: A Naadam Boy Riding a Mongol Horse on the Mongolian Steppe Author: User “invictsHOG” Source: Wikimedia Commons License: Public Domain

In the spring, the nomads made a ten-day trip to the prairieland to graze their herds on fresh grass that just emerged from mountain runoff. There the women and children erected a central camp, usually comprising four yurts. Ten satellite camps were established around the central camp, with each herd positioned about ten to twenty miles from the center. This separation of camps minimized the potential threat that their enemies posed to their herds.

During the summer, they traveled to mid-mountain fields, where it was cooler and offered access to water. Covering about ten miles per day, it took them approximately fifty days to reach this campground. Finally, in the fall, they returned to the steppe in order to make provisions for the harsh winter. These preparations included drying and preserving their meat, and taking milk from their animals.

Enhanced mobility was the key to the survival of pastoral nomads. They actually spent a good portion of their lives on horseback and were accustomed to moving over long distances, taking all of life’s necessities with them. This action allowed them to retreat quickly from rival attacks or areas afflicted by natural disaster. It also enhanced the ability of the horsemen to expand rapidly and conquer neighboring groups.



Figure 8.5.2: Archers on the Mongol Horse Author: Sayf al-Vâhidî Source: Wikimedia Commons License: Public Domain

The horsemen carried portable, three-foot-long **recurve bows** capable of piercing enemy armor from over 450 meters. Metal

thumb rings enabled a rapid rate of fire without damaging the archer's fingers. Raised hunting and herding from horseback, nomads even learned how to sleep in the saddle of the **Mongol Horse**, their indigenous horse. Though not tall in stature, these sturdy mounts displayed impressive endurance and allowed groups to traverse great distances, often up to 160 kilometers per day.

Native to the region, these horses were able to forage for themselves and survive on their own. Nomads did not require supply lines and could remain on campaign for an average of three years. The combination of the skills acquired from herding, the double-compound bow, and the Mongol Horse helped in the political domination of Central Asia, at least until the arrival of Genghis Khan and the Mongols.

The strategies of steppe warfare proved devastating to infantry-based armies. The **nomad battle strategy** consisted of

- a feigned retreat, in which a group of their cavalry engaged the adversary, retreated, and encouraged their opponents to follow them
- outflanking the enemy and pinning the opponent in one place
- charging the opponent's lines, so as to break the enemy group into pieces
- poisoning water walls, scorching the earth, and retreating. Usually reserved for those times when the nomads did not believe the enemy could be defeated.

The Mongols would later employ similar battle tactics.

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8.6: Islam

Central Asian had already been exposed to many foreign systems of belief prior to the coming of Islam in the 7th Century. Local merchants conducting long-distance trade along the Silk Road came into contact with many different religious doctrines. As western ideas traveled eastward and eastern concepts filtered into the west. In this manner, the Silk Road carried Buddhism, Judaism, Zoroastrianism (an Iranian religion with both monotheistic and dualist elements), Siberian Shamanism, and even Nestorian Christianity to Central Asia. By the 10th Century, however, all of the non-monotheistic faiths had disappeared from Central Asia in the aftermath of Islamic conquest.

During the 8th Century, **Qutayba ibn Muslim** (669 – 716) expanded the presence of Islam in Central Asia after his forces defeated the Persians. By 715 CE, the conquest of **Transoxiana** was complete. Later still, in 751, the **Battle of Talas River** secured Central Asia and repulsed the only major challenge to Islamic rule: China.

The Persian **Samanids** (819 – 999) made Islam the official state religion and established a school of theology in Bukhara. But Islamization did not take place overnight; instead, it took centuries. Transoxiana slowly Islamicized, though it never Arabized. The peoples in the area remained culturally Turkic and Persian. Central Asia retained its Turkic and Persian languages, albeit with a heavy Arabic influence in religious vocabulary.

Unlike other places, where the religion filtered into society from the bottom up, as was the case in Southeast Asia, Islamization in Central Asia occurred from the top down. The process incorporated native peoples, who took part in the process of conversion. Local leaders submitted to the faith in order to maintain their social status and elite position in society. The conquerors offered the Central Asian nobility important positions in the administration so long as they professed Islam.

Islam also displayed a remarkable ability to assimilate indigenous Central Asian frontier customs as it advanced through the area. This action allowed some traditional practices to remain so long as it accelerated conversion. By accepting certain harmless practices in order to Islamicize Central Asia, these Muslims mirrored Christian efforts to Christianize Eastern Europe.

Sufism

The Islam of Central Asia differed greatly from that which originated in the Arabian Peninsula. This vast region embraced Islam, remaking it culturally it's own. Essentially, Sufism emerged from the fusion of Islamic sedentary civilization and Buddhist nomadic culture.

Central Asians were generally receptive and tolerant of foreign beliefs. For example, missionaries of other religions had to make concessions to the native culture. The urban-dwelling and agricultural populations of the region generally accepted Sunni Islam and the law of the Sharia. However, the culture and lifestyle of the itinerant peoples of the steppe did not readily conform to the rigors of Islamic law. Sufism helped convert these tribes to Islam, in part due to its doctrinal flexibility. What arose from the mix of orthodox Islam and Turkic pastoral nomadism was a uniquely Central Asian brand of Sufism.

Sufi merchants were largely responsible for bringing Islam to the region. Central Asian Sufi orders such as the **Yasaviyah** established themselves along trade routes in order to reach out to travelers. Meanwhile, the **Naqshbandi Order**, operating in travel lodges, spread Sufism by ministering to Iranian and Tajik peoples.

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8.7: The Mongol Era

During the 13th Century, the Mongols reunited with the Turkic groups who had been expelled from the Orkhon Steppe over the course of a millennia. The Mongols created the largest empire in history. Perhaps the greatest obstacle was their own divisiveness. Inter-tribal strife was commonplace. But once they united, the Mongols expanded deep into Russia, China, India, and the Middle East.

8.6.1: A New System for Unity

It was **Temujin** (1206 – 1227), later known as **Genghis Khan,** developed a method of governance and expansion that lasted long after his death. Born into the aristocratic Borjigin Clan, most likely in 1167, Temujin's success was related to his convictions. Inspired by oral tales of past glory, his personal charisma and sense of fate enabled him to survive a youth of life-threatening privation, eventually bringing the various Mongol tribes together.

With a keen awareness of his own destiny, Temujin was inspired to achieve greatness. He had a clear vision that God predestined him to function as His temporal ruler on Earth and exhibited a desire to claim universal lordship. Through a series of fights, he eventually subjugated local clans in eastern Mongolia. Then, he expanded his political control of the region through a marriage alliance to **Börte Üjin**, a member of the Olkhonut Tribe, which maintained friendly relations with Temujin's Khiyad Tribe. Not long afterward, the Merkit Tribe kidnapped his wife. Temujin heroically rescued her. But she had been held in captivity for eight months and soon gave birth to their first son Juchi, who suffered from an uncertain parentage. Some historians believe that Temujin acquired the notion of conquering all of the Mongols from his liberation of Börte.



Figure 8.7.1: Temujin (Genghis Khan) Author: Anonymous Source: Wikimedia Commons License: Public Domain

Despite his early successes, Temujin remained greatly outnumbered by his opponents and was forced to retreat to the **Heights of Baljuna**, located in modern day Manchuria. There he convinced his followers to swear an oath of total allegiance to him. For their unwavering loyalty, he promised his supporters a share in his glory upon their victory. By 1204, some Mongol tribes yielded to Temujin, and agreed to recognize him as their leader; thus, paving the way for a period of final unification of the Mongols.

Temujin endowed his forces with coherency and unity of purpose. He also promoted allies based on merit, rather than by the traditional Mongol method of tribal hierarchy. His opponents, on the other hand, lacked his force of will and entered into a series of squabbles. Temujin took advantage of their internal fights, emerging victorious. In 1206, he was appointed as the first undisputed ruler of the Mongols by the Mongol assembly, or **khuriltai**. Then, Temujin adopted the name of Genghis Khan, or universal ruler.

Genghis Khan presided over peoples who had experienced near-constant warfare since 1160. Previously, tribal confederations were loose alliances held together under charismatic khagans and punctuated by tribal warfare. He consolidated all of these

diverse tribes and reshaped them into a single “nation,” endowing Mongol society with more cohesiveness, a key element to future expansion. He did this by developing a new political order that deviated from tradition.

Restructuring Mongol society into new administrative military units, Genghis Khan charged each of his commanders with a tribal unit that was responsible for controlling a particular pasture and fielding soldiers when needed. His system had the added effect of assuaging previous conflicts by assigning members of rival tribes, to work together. By forcing the men from one tribe to stand guard over the pastures of other tribes, he weakened loyalty to ancestral lines and homelands, thereby reinforcing his own leadership.

Genghis Khan represented the ultimate source of justice in his newly-formed state, consolidating his position and making it more authoritarian. He made the title of khan institutional, not personal, building a new foundation for legitimacy. Previously, tribal leadership rested on charisma. Furthermore, the great khan could not be self-proclaimed but had to be recognized at a khuriltai.

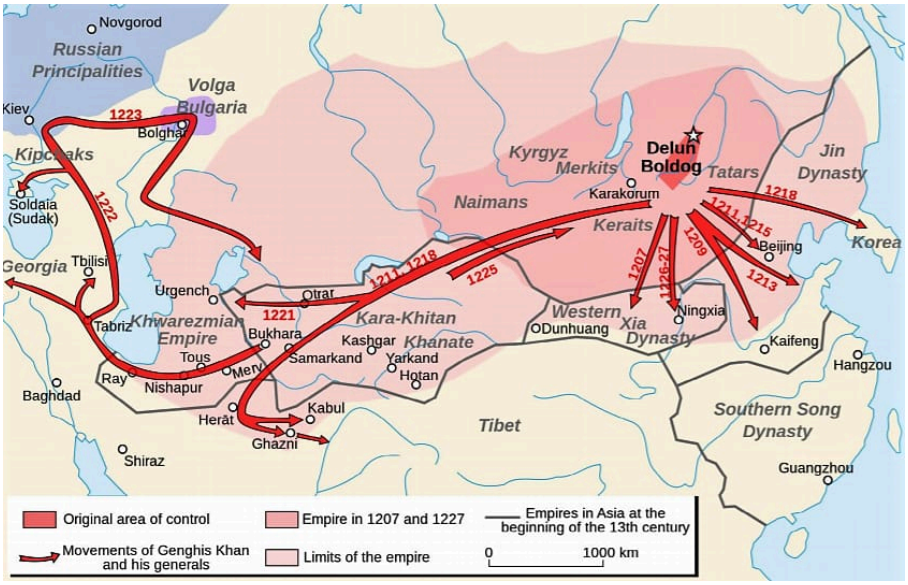
His law, known as **Yassa**, originated as decrees delivered during war. Yassa remained secret, which allowed Genghis Khan to adapt it to changing circumstances. For example, he incorporated cultural elements indigenous to Mongol society into the law. He based his code on shamanist principles, and it served as the social and political formula binding all Mongols together. It also strengthened Mongol, rather than clan or tribal identification. It is believed that Genghis Khan himself directed the law, while his stepbrother **Shihihutag** served as the high judge, and his son **Chagatai** administered its execution.

8.6.2: Expansion

Genghis Khan encouraged Mongol expansion and the conquest of Central Asia. After subduing inter-tribal warfare, he followed tradition and exported the violence of the steppe. He offered incentives to his soldiers; the spoils of victory went to those who followed him into battle. Genghis Khan received ten percent of the loot and divided the remaining ninety percent between his commanders, who, in turn, distributed their portion amongst their retinue. This plunder included the inhabitants of all subjugated lands, which resulted in the dramatic depopulation of conquered territory. The khan's share of artisans and craftsmen were sent back to the itinerant Mongol capital.

In 1208, Genghis Khan targeted northern China for pillaging, but he quickly encountered considerable difficulties overcoming well-fortified Chinese municipalities. The Chinese had ringed their principle metropolises with moats and connected these major urban centers to several smaller satellite towns via underground tunnels. The Mongols had attempted to starve these cities into submission, but they lacked the military technology necessary to overcome walls forty-feet high and fifty-feet wide. To counter these challenges, they imported the technology necessary to defeat Chinese cities.

Genghis Khan also compensated for a lack of native talent by incorporating foreign engineers into their army. He utilized Arab, Persian, and Chinese experts to solve the problem of defeating Chinese municipalities. Their knowledge of siege warfare enabled them to construct the siege engines capable of subjugating cities.



Map 8.7.1: Map of Mongol Conquests Under Genghis Khan Author: User “Bkkbrad” Source: Wikimedia Commons License: CC BY-SA 3.0

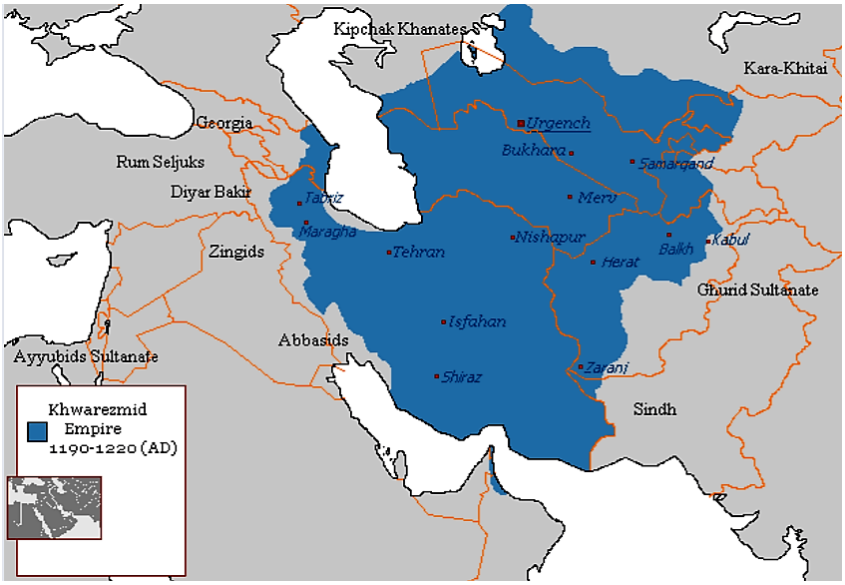
Adding these new sedentary peoples to the khan's army inevitably caused problems. These men hailed from distinctly different cultures and did not interact well with the Mongols. So, Genghis Khan combined the mobility of his forces with the slow, bulky siege engines of the sedentary armies. While he kept his cavalry independent from the foreign engineers, mostly comprised of mercenaries, he blended these two disparate groups on the battlefield to his strategic advantage.

For the Mongols, building an empire proved much easier than maintaining one. The nomads possessed an inherent need to loot and plunder cities, and Genghis Khan took advantage of this innate desire by remaining on the campaign. But the Mongols had difficulty understanding settled civilization and did not know how to maintain order in that new and different cultural milieu. Although they were able to instill fear in their enemies and easily forced many cities to capitulate, the Mongols co-opted local officials to ensure that taxes and tribute flowed freely back to their capital.

With his newly-constructed army, Genghis Khan returned to northern China again in 1210 and began a continuous campaign of destruction, primarily directed against the **Jin Dynasty** (1115 – 1234). This empire was ruled by a **Jurchen** minority, a Tungusic people from Manchuria who would later call themselves the Manchu. In an early battle, the Jin put their Turkic cavalry up front to confront the Mongol horsemen. The Mongols managed to convince the Jin cavalry to defect to their side. Genghis Khan subsequently advanced on the Jin capital of Zhongdu and entered into a prolonged siege. In November of 1211, the khan withdrew his troops to their winter pastures, only to return again in 1212. Genghis Khan attempted a rash assault of the city. He failed and was wounded in the process. His Mongols had to retreat once again.

Genghis Khan returned a fourth time in March of 1213, this time with the goal of conquering Korea, Manchuria, and all of northern China. By laying waste to all of northern China, he aimed to annihilate their way of life, turning the region into vast pastureland for his herds. The Mongol leader surrounded Zhongdu and starved the city's inhabitants into submission. He systematically obliterated everything in order to send a message to the inhabitants that it was futile to resist him. He even considered taking the city, brick by brick, and dumping it into the Yellow River. Fortunately, a captured Chinese bureaucrat intervened and convinced Genghis Khan that it would be better to collect tribute rather than 'sack' the city. In the end, Genghis Khan incorporated northern China into his state and opened the region to trade. This campaign represented the first significant addition of territory to the Mongol Empire.

(See Chapter 8.4.) As part of their tenacious pursuit of the fugitive **Küchlüg**, the Mongols had aroused the disdain of **Khwarazmshah Ala al-Din Muhammad II,** who ruled over a loose confederation of disparate people. He also provoked the wrath of the Mongols. It all began when Genghis Khan sent a trade caravan, and probably some spies dressed as merchants, to the frontier post of Otrar, located along the Syr Darya. The shah believed that the trade mission was a mere deception meant to obscure an eminent invasion. **Inalchuq**, uncle of Ala al-Din Muhammad and governor of Otrar, convinced the Khwarazmshah to have the entire party executed. An enraged Genghis Khan quickly dispatched an envoy and demanded that the governor of the city be put to death and have his head sent back to Mongolia as proof. The shah executed this emissary too, a rash decision that resulted in brutal massacres and a drastic depopulation of the region.



Map 8.7.2: Map of the Khwarezmian Empire, 1190-1220 CE Author: Arab League Source: Wikimedia Commons License: CC BY-SA 3.0

Ala al-Din Muhammad fled the area, leaving the citizens of Khwarazmia to defend themselves against the forces of Genghis Khan.

A total of five Mongol armies approached the Khwarazm capital of Samarkand from different directions, converging in 1220. The Mongols slew the inhabitants of the city and constructed pyramid-like edifices out of their severed skulls. In 1221, they seized the city of Urgench and dumped it into the Amu Darya, piece by piece, diverting the course of the waterway. And yet, Khwarazmshah Ala al-Din Muhammad still inexplicably escaped capture and runway to the south. Genghis Khan deployed another force of some 30,000 troops under the generals **Jebe** and **Sübedei** to track him down and put him to death. The shah eventually sought refuge on an island in Caspian, where he died of pleurisy.

Meanwhile, **Jalal al-Din Manguburti**, the son of the Khwarazmshah, assembled an army of resistance. Genghis Khan sent his stepbrother Shihihutug to apprehend Jalal, but he escaped to the Hindu Kush Mountains of Afghanistan. Jalal's forces managed to defeat the Shihihutugled Mongols on the field of battle at Parwan in the spring of 1221, a rare loss. The Mongols actually respected Jalal for his display of valor and willingness to resist them. Jalal fled to India via the Khyber Pass with his pride intact. The khan headed south himself and defeated Jalal al-Din along the banks of the Indus River. Following their defeat of Jalal, the Mongols descended into India but quickly found the hot and humid climate inhospitable. As such, they decided to return to Mongolia, arriving home by 1225. The Central Asia campaign had started as a punitive expedition; but in the process, had wiped out any type of resistance in the region.



Figure 8.7.2: Death of Khwarazmshah Ala al-Din Muhammad II | From Jami' al-tawarikh by Rashid al-Din Hamadani Author: Sayf al-Vâhidî Source: Wikimedia Commons License: Public Domain

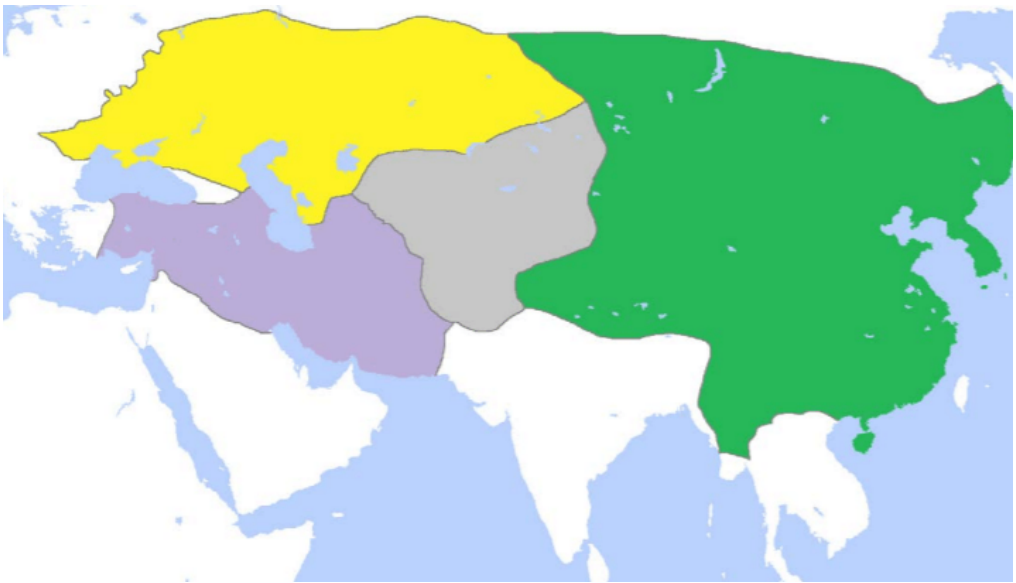
In the interim, Genghis Khan had ordered Jebe and Sübedei to explore and reconnoiter the west. Between 1221 and 1223 the two generals traveled towards Russia. In the course of their journey, they defeated the Georgians, Armenians, princes of Rus, and Kipchak Turkic tribes. Then they abruptly returned home. The purpose was not to annex the territory but to gather intelligence, which proved to be important to their campaign against the princes of Rus between 1236 and 1240. Meanwhile, Genghis Khan had died on an expedition in southern China in 1227. Upon his death, the Mongols participated in a year of mourning, halting expansion.



Figure 8.7.3: Jalal al-Din Fords the Indus River While in Flight from the Mongols Author: Banwarí Khúrd and Dharm Dás Source: Wikimedia Commons License: Public Domain

8.6.3: Succession

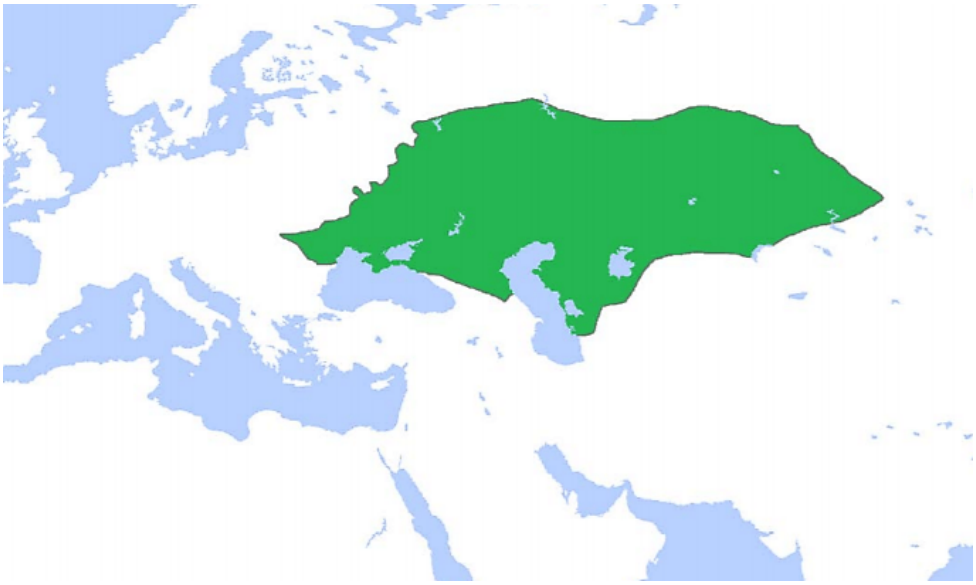
The Mongols were the only steppe tribes whose empire actually expanded upon the death of its founder. In fact, most of the Mongol conquests actually occurred after Genghis Khan's death. He had invented a safe and reliable means of transferring power, constructing a framework for subsequent generations to follow. To maintain political legitimacy and inherit the throne under this new system, one had to trace their ancestry back to Genghis Khan through his wife Börte and her four sons, Juchi, Chagatai, Ögedei, and Tolui. This concept dramatically limited contenders for the khanate, mitigating future competition for succession. Only they possessed the required **Genghis-Khanid legitimacy.**



Map 8.7.3: Map of the Empires of the Four Patrimonial Ulus Author: User “Gabagool” Source: Wikimedia Commons License: CC BY-SA 3.0

The khan’s plan bequeathed to his sons parts of the world yet unconquered, so that they had to win these new areas. This stipulation produced an incentive for his sons to cooperate. The four subsequent empires that grew out of these ulus, or states, included

- the Golden Horde, who were the descendants of **Juchi** and controlled Russia
- the Chagatai Khanate, which traced its lineage to **Chagatai** and governed Central Asia
- the Yuan Dynasty in China, the progeny of **Tolui**
- the Ilkhanate of Persia, inheritors of the House of Hülegü and also the successors of Tolui.



Map 8.7.4: Map of the Khanate of the Golden Horde, 1300 CE Author: User "Gabagool" Source: Wikimedia Commons License: CC BY-SA 3.0

Prior to his death in 1227, Genghis Khan expressed a desire that his son Ögedei succeed him, instead of **Juchi**, his eldest. In 1229, a khuriltai confirmed the khan's wishes. Between 1230 and 1233, Ögedei's troops defeated the remnants of the Jin dynasty in central China. Then they focused their attention on Russia. In 1236, Ögedei launched his campaign in the dead of winter and used rivers as frozen ice highways. By end of 1237, they had taken the Black Steppe, Vladimir, and Riazan. It was only some fortuitous flooding that prevented the complete destruction of Novgorod.

The Prince of Novgorod was sufficiently impressed by the Mongol onslaught and voluntarily agreed to pay their tribute. In 1240, te Mongols commenced a devastating attack on the city of Kiev, culminating in a nine-day siege. They ultimately destroyed the city as retribution for its resistance. The Mongols steamrolled the Hungarians soon thereafter and left the region in ruins en route to Vienna. By December of 1241, their forces were approaching the outskirts of the city. No military power in Europe was capable of withstanding a Mongol attack.



Figure 8.7.4: Güyük at the Partyc | From Tarikh-i Jahangushay-i by Juvaini Author: User "Bahatur" Source: Wikimedia Commons License: Public Domain

Fortunately for the Viennese, Ögedei died that very same month, and a one year period of mourning ensued. The Mongols were summoned home in order to choose the next great khan. What was supposed to be a quick election turned into a five-year ordeal because **Batu**, son of Juchi and grandson of Genghis Khan, refused to return to Mongolia for the khuriltai. This founder of the Golden Horde believed that he would not be chosen and knew that his relatives could not officially convene a khuriltai without him, thus preventing the body from proclaiming the next great khan. It was Ögedei's death and Batu's independence of thought that saved Europe from Mongol conquest.



Figure 8.7.5: Audience with Möngke | From Tarikh-i Jahangushay-i by Juvaini Author: User "Bahatur" Source: Wikimedia Commons License: Public Domain

The khuriltai finally proclaimed **Güyük**, eldest son of Ögedei, the next khan in 1246. This was not a legitimate election though because of Batu's absence. Güyük quickly dispatched an army to punish Batu for meddling in the political process of succession, but Batu had already arranged for his cousin's assassination in 1248. Güyük's death led to another period of paralysis. A khuriltai eventually nominated **Möngke**, Tolui's oldest son, as the next great khan in 1251. Now Möngke had to deal with the problem that Batu presented. He was willing to allow for Batu's autonomy so long as he recognized Möngke as the legitimate khan. It was at this point that Batu's horde become the **Golden Horde**. He adopted the moniker of "golden" because he was asserting his independence.

Batu died in 1256, and his younger brother **Berke** became the first khan of the Golden Horde to accept Islam. This sudden conversion to Islam caused systemic problems in the Mongol Empire. The four lines of Genghis Khan would adopt different faiths, resulting in political and religious divisions. As a Muslim, Berke spurned his Buddhist cousins and established firm links with the Turkic Mamluk Sultanate in Egypt, thus making an alliance based on faith with a power outside of the Mongol Empire.

Genghis Khan's empire had exceeded normal steppe expectations. However, his vision of a politically unified empire was never truly realized. A series of civil wars erupted that fractured the Mongol Empire. First came the Toluid Civil War (1260 – 1264), then the Berke-Hülegü War (1262), and finally the Kaidu-Kublai War (1268 – 1301). These three wars had the combined effect of undermining the great khan's authority, and the empire ended up breaking apart along the lines of the patrimonial ulus. In fact, the successors of **Kublai Khan** (1260 – 1294), who presided over the Yuan Dynasty in China, could not even convene a khuriltai to appoint a great khan following his death. By 1294, there was no unified Mongol Empire.

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8.8: The Khanate of Chagatai

Chagatai (1226 – 1241) was the second son of Genghis and his wife Börte. In 1227, he claimed his patrimonial territory designated as between the Caspian Sea and the Tarim Basin. The origins of the **Chagatai Khanate** shaped its political and demographic character. Chagatai obtained the core of Central Asia, pastureland located along the Kazakh steppe, as well as settled lands to the south in modern-day Uzbekistan. Instead of personal ambition for the position of great khan; he helped his brother Ögedei exercise authority and uphold Yassa. In doing so, Chagatai served as the glue that helped hold the Mongol Empire together.



Map 8.8.1: Map of the Khanate of Chagatai, 1300 CE Author: User "Gabagool" Source: Wikimedia Commons License: CC BY-SA 3.0

As was the case with his father, Genghis Khan, Chagatai had trouble coping with the cultural differences that existed between steppe and settled societies. His solution was the **Inju**, a dual-administrative system and a form of indirect rule. This system allowed the groups to maintain their own traditional laws yet remain subject to the authority of Chagatai and his descendants. Chagatai was conscious not to force Yassa on sedentary Muslim cities; however, it continued to be exercised on the plains.

In agricultural and urban areas, a bureaucratic tradition with a Muslim administration persisted. So long as these Muslims did not openly resist Mongol control, they could go about their daily business, free from Mongol interference in their life. As a result, the steppe continued to abide by customary Mongol law, while in the south the people of the cities lived according to the Sharia, or Quranic law.

Inju was also an economic arrangement granting the Mongols a share of the resources produced in sedentary lands. Those who cooperated received a portion of the profits; those who participated were entitled to an allotment of the common imperial settled possessions. At first, all of the conquered towns remained the property of the khan, but over time access to the wealth of the urban areas extended to the nomads who took part in Inju.

Ultimately Inju did not resolve the problem of uniting the sedentary Turkic population and the nomadic Mongols since it failed to accommodate the needs of either society. Actually, it encouraged friction between the two civilizations because it placed hardships on both peoples. While the horsemen benefited handsomely from Inju, they considered it incompatible with their traditional practices because it forced them to climb down from their steeds and settle down in the cities. The Mongols did receive tribute, slaves, and status as compensation for ruling over settled lands, but the costs of sustaining this empire were heavy.

- First, the maintenance of empire disrupted the nomadic way of life because they often had to join in exhaustive campaigns, lasting years at a time.
- Second, the nomads were unaccustomed to a considerable amount of government interference in their daily routine. Increasingly, they sought more independence and stability, so they consciously began to defect from the system and return to their pastures.

The Mongols stressed this population by raising additional taxes in an unpredictable and disruptive manner. This action annoyed the city folk, who were accustomed to more regular taxation. Ultimately, Inju did not mesh well with either lifestyle. The practice rested on force, not utility. The Mongol state sustained two different societies that often remained in conflict, so it stayed in a state of permanent instability.

8.7.1: Turko-Mongol Fusion

As the Mongols migrated southwest down the steppe, they failed to displace the Turkic peoples already established in Central Asia. Early on, the dominant Mongols offered these Turkic groups a deal to either merge with them or suffer harsh reprisal. So as the Mongols progressed westward, their armies gained strength, as more and more of the Turkic tribesmen joined them, resulting in armies that were mostly comprised of Turkic peoples, not Mongols. In this manner, the Turkic groups absorbed and assimilated the invading Mongols, a process known as **Turkification**. Over time, these Mongol pastoralists presiding over a sedentary Islamic culture slowly Turkified. They quickly became a Mongol minority governing a Turkic majority.

Both societies had originated on the steppe in modern-day Mongolia. While the Turkic groups had settled down and adopted more of a sedentary existence, many of the principles of pastoral nomadism still lingered in their culture. Both adhered to a patrimonial distribution of inheritance. Also, both the Turkic groups and the Mongols organized along tribal lines. Each followed a pattern of co-opting one tribe into another, thus facilitating a fusion of the Mongols with their Turkic hosts. For this system to work though, the Mongols had to speak the idiom of the people they ruled. So instead of the Mongols imposing their language on the majority of the population, the Mongol elite learned Chagatai, a Turkic tongue.

For many years, religion remained the only major distinction between the two societies. But once the Chagataids converted to Islam in 1333 this conspicuous difference disappeared. While the Mongols adopted the creed and language of the Turkic Chagatai, these Turkic peoples incorporated the Mongol political concept of Genghis-Khanid legitimacy.

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8.9: The Khanate of the Ilkhans (1265-1335)

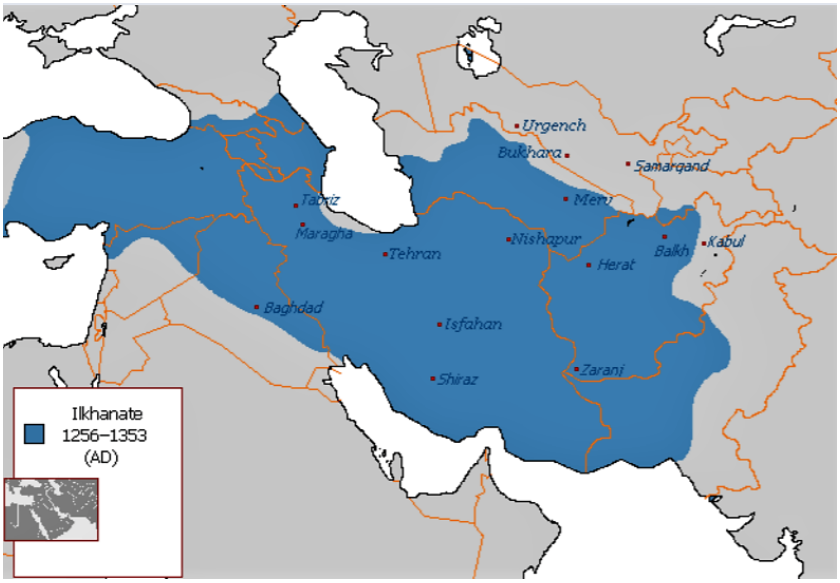
Hülegü Khan (1256 – 1265) was the grandson of Genghis Khan and son of Tolui. He served his brother Khan Möngke (1251 – 1259), and campaigned through the Middle East. While there, he whipped out the Assassins, a secret order of Shia entrenched in the mountains of Gilan province. He also destroyed the Abbasid capital of Baghdad in 1258, putting an end to the Caliphate. By 1260, Hülegü controlled parts of Armenia, Iraq, Anatolia, all of Azerbaijan, and all of Iran. Kublai Khan (1250 – 1294) had awarded his brother Hülegü the title of Ilkhan, a secondary khan who remained subordinate only to the great khan in Mongolia. This portion of the empire became known as the Khanate of the Ilkhans.



Figure 8.9.1: Hülegü Khan and Dokuz Khatun | From Rachid Ad-Din's "History of the World" Author: Rachid Ad-Din Source: Wikimedia Commons License: Public Domain

The Ilkhans were a Mongol minority ruling over a Muslim majority. Indeed, religious problems plagued the Ilkhanate for much of its existence. To begin with, Hülegü, a Nestorian Christian, who later converted to Buddhism on his deathbed, had sacked Baghdad, one of the most politically important cities in the Islamic world. This action alienated him from his Muslim cousin Berke Khan, ruler of the Golden Horde. The conversion of the Golden Horde to Islam had presented a real problem, for the Ilkhans had initially championed Buddhism in Iraq and Iran. As animosity continued to mount between the two parts of the Mongol Empire over religious differences, an alliance started to form between the Muslim Golden Horde and their coreligionists, the Mamluk Sultanate of Egypt, against the Ilkhans.

Faith-based civil wars consumed much of the reign of Abaga Khan (1265 – 1282). These wars were rooted in the Ilkhanate's inappropriate treatment of their Muslim population. The Golden Horde's alliance with the Mamluks threatened the Ilkhanate, and yet no longer could Abaga rely on the full might of centralized Mongol power. He was forced to appeal to Kublai Khan to assuage the hostilities between the Ilkhans and the Golden Horde.



Map8.9.1: Map of the Khanate of the Ilkhans at its Greatest Extent, 1256 CE Author: Arab League Source: Wikimedia Commons License: Public Domain

During the early Ilkhanate, much of the religious conflict was related to doctrinal differences between Islam and the traditional Mongol way of life. The most stubborn problem was the contradiction between the traditional Mongolian method of animal slaughter, which required that no blood be spilled, and the Islamic code of cleanliness, which necessitated that all blood be drained. Each side was appalled by the other's customs. Furthermore, as practitioners of rigid monotheism, Muslims found the Mongol worship of religious images repulsive, a ritual strictly forbidden in Islam.



Figure 8.9.2: Conversion of Ghazan to Islam | From Rashid al-Din "History of the World" Author: Rachid Ad-Din Source: Wikimedia Commons License: Public Domain

While spiritual troubles remained a persistent problem for the Ilkhans, the economic situation deteriorated too. **Gaykhatu Khan** (1291 – 1295) practically emptied the royal treasury with profligate spending. He experimented with paper money recently adopted from China to compensate for his wasteful expenditures, but overprinting resulted in massive inflation. The Ilkhans also tried to extract the maximum amount of tribute from the countryside to offset declining revenues. This action led to an abuse in tax gathering, known as tax farming, in which rulers sold contracts for the collection of revenues to the highest bidder. As a result, the collectors felt a strong incentive to despoil peasants.

Mahmud Ghazan (1295 – 1304) solved the Ilkhanate's continued religious and economic problems. He was the first Ilkhan to convert to Islam, thus rehabilitating their image in the eyes of their Muslim subjects and making their rule much more acceptable.

Their new public stance paved the way for cultural flourishing. Ghazan patronized Ilkhanid art, scholarship, and science. In terms of scholarship, the first true history of the world was completed by **Rashid al-Din Hamadani** (1247 – 1318), richly illustrated with watercolors and portraiture in the Chinese style. (It was Rashid al-Din, a Jewish convert to Islam, who had convinced Mahmud Ghazan to adopt the faith in order to be more attuned to the beliefs of his peoples.) Regarding science, the Ilkhans attempted to amass large amounts of astronomical data from China to Europe. With unprecedented accuracy, they became very good at predicting lunar eclipses. Their data was used throughout Eurasia.

Despite the early looting and plundering indicative of a Mongol conquest, the Ilkhans eventually reactivated the Silk Road and promoted transcontinental trade. The newfound safety of the route encouraged many different kinds of cultures to come together. Ghazan attempted to reform the tax policies that had led to the maximization of taxation. Cities did revive, but the long-term negative consequence of conquest continued to be felt by the peasants who suffered from prolonged violence.

Much like the Mongols in Chaghatai Central Asia, the Ilkhans eventually went native too. Here we see a Persian-Mongol fusion, adopting Persian culture and speaking the Persian language. As they bonded with Persia, they adopted Islam and began to promote Persian as the written language of their land.

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8.10: Timur

Under Timur (1370 – 1405), Central Asia moved to the fore of world events. He developed a political arrangement that could harness the best attributes of each society, without the dangerous side effect of communal violence. The new political and military system was deeply ingrained in the political background of the Chagatai Khanate, and eliminated the Inju practice. Timur provided a framework for both societies to live in harmony.

Born in 1336, near Kesh in modern-day Uzbekistan, Timur was a product of the Turko-Mongol fusion. He descended from an aristocratic Mongol clan, but he was raised as a Muslim and spoke a Turkic language. A native to Transoxiana, he could not assert Genghis-Khanid legitimacy. Thus, he could not take the title of khan in his own right. Because he did not have the correct pedigree, he would have to earn it. So, he took the title of emir, meaning commander, and ruled through a Chagatayid puppet khan acting as a figurehead. He married into the family of Genghis Khan. By changing the law of descent, he could accommodate his children, who would be able to claim Genghis-Khanid legitimacy.



Map 8.10.1: Map of the Timurid Empire, 1400 CE Author: User “Gabagool” Source: Wikimedia Commons License: CC BY-SA 3.0

To strengthen the security of his position as emir, he constructed a system of support that ordered his political connections in a series of concentric rings.

- In his primary circle resided his family and close allies.
- The second ring consisted of loyal tribes and Timur’s own Barlas Clan, from which he traced his lineage.
- The third circle was made up of those peoples Timur had defeated on the battlefield. This way, the second and third rings balanced one another.
- The outermost bands included Timur’s hereditary professional administrators and bureaucrats, soldiers from the plains serving in his cavalry units, and finally the Persian urban and agricultural populations, from which he recruited his infantry and siege units.

Like many transitional figures in history, such as Suleiman the Magnificent, Timur bridged the medieval and modern worlds. He attempted to imitate Genghis Khan’s success in the field and designed a novel military machine that was well adapted to the environment in which he lived. His military was the product of a Turko-Mongol fusion, employing Turkic siege techniques and the Mongol cavalry. Unlike Genghis Khan, however, Timur increasingly combined his cavalry, siege, and infantry units, placing his heavy cavalry at the center of formations. His army also utilized an early form of artillery. He ventured to monopolize the market on gunpowder technology so that other powers could not benefit from it.



Figure 8.10.1: Timur Facial Reconstruction | Forensic Facial Reconstruction by M. Gerasimov, 1941 Author: Shakko Source: Wikimedia Commons License: CC BY-SA 3.0

Timur was determined to keep his volatile army occupied, so they would not be a burden to the sedentary population in his realm. To promote peace at home and success in war aboard, he externalized the violence of the steppe and destroyed all of the other trade routes that bypassed his territory. Timur attempted to reactivate and dominate the Silk Road and diverted trade to his lands in order to help rebuild the cities that had been damaged from years of Mongol and nomad rule. He did not aim at permanent occupation or the creation of new states. He campaigned against the Golden Horde, Delhi Sultanate, and the Ottoman Empire, all in an effort to redirect trade in his direction.

From 1370 to 1385, he conquered and subdued Mogholistan to the northeast, with the aim of securing the core central land route of the Silk Road. (The Chagatai Khanate had already been divided into two parts by the 1340s, Transoxania in the west, and Mogholistan in the east.) Then he engaged the Golden Horde between 1385 and 1395 to divert trade to his lands. The Golden Horde had been the master of the northern trade route that bypassed Timur's territory.

Timur showed his strategic genius in these expeditions. He defeated a steppe power on the steppe. He put the pieces of his army together so that he could take his enemies on in their arena and on their terms. In this manner, Timur crushed **Tokhtamysh**, leader of the Golden Horde, in 1395. During the course of this campaign, Timur destroyed their principal trade cities of Astrakhan and Sarai. As a result of the campaign, the **Grand Duchy of Moscow** was able to throw off the Mongol yoke and arise.

Timur raided into India from 1398 to 1399 and dealt a blow to the southern sea route that connected the Occident to the Orient. This expedition was primarily for looting, since he never intended to conquer and annex the territory of **Nasir-ud-Din Mahmud Shah Tughluq**, the last member of the Tughluq Dynasty of the Delhi Sultanate. During this campaign, Timur's tactical brilliance was on full display; he had an uncanny ability to adapt to any martial environment that he confronted. For instance, when threatened with a cavalry of war elephants, Timur responded by unleashing a pack of camels laden with incendiary material to charge the enemy lines. The rest was utter pandemonium among Nasir-ud-Din's cavalry of elephants, who rampaged through the sultan's own lines. Timur easily routed the sultan's forces. When faced with the townspeople of Delhi rising up against their aggressors, Timur brutally sacked the capital of the sultanate and justified the violence in religious terms. His was a Muslim victory over the Hindu unbelievers of India.

In Timur's final period of conquest, which lasted from 1400 to 1404, he campaigned against the Islamic far west, directing his army against the Ottomans. Actually, Timur had initially attempted to avoid conflict with the Ottomans, and even tried to negotiate with Bayezid I, the Ottoman Sultan, offering him part of Golden Horde's territory west of Dnieper River.

As the Ottomans expanded to the east, they took control of some Turkmen tribes in eastern Anatolia already under the protection of Timur. The emir responded by taking some other Turkmen tribes under Ottoman suzerainty. A war of words ensued, as Timur bided his time, waiting for the perfect moment to attack. In 1402, as the Ottomans were preoccupied with campaigning against the Hungarians, he attacked. During the Battle of Ankara in 1402, Timur managed to convince many of the Ottoman forces to defect to his side. He captured the Ottoman sultan, who died in captivity three months later. Timur had not attempted to conquer the Ottomans. Rather, he just wanted to punish them for their unwillingness to cooperate. His Levantine expedition also seems to

have been designed to weaken the western end of the Silk Road in Aleppo, Syria.

Timur died in 1405 while on a campaign against the Ming Dynasty in China. His empire had spanned the breadth of Central Asia. The sons of Timur and their followers squabbled over succession. As members of the Timurid Dynasty competed among themselves, the empire fragmented. The steppe military that had been redirected, returned on Timur's death. A weak state emerged from all this strife.

8.9.1: Terror and Destruction

Timur certainly committed what we would describe today as war crimes. In fact, as an admirer of architecture, he is known to have constructed pyramids of human skulls. Extant accounts describe him slaughtering 100,000 Indian prisoners following the Delhi uprising. But not all destruction was the same. Genghis Khan's used terror as a method to protect his troops, whereas Timur engaged in terror and destruction for pleasure.

8.9.2: Legacy

A product of the Turko-Mongolian fusion, Timur had been the first to reunite the eastern and western parts of the Chagatai ulus. His empire represents the construction of the political boundaries that would define modern-day Central Asia up to the twentieth century. Under his rule, we see growing political and cultural distinctions between Iran, Central Asia proper, and India beginning to cement. In this context, we also witness a split taking place on the steppe that will lead to a differentiation of the Uzbeks and Kazaks. By the late fourteenth century, the tribes on the steppe to the north will become known to Muslim writers as Kazaks, whereas the tribes to the south will be increasingly referred to as Uzbeks.

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9: AFRICAN HISTORY TO 1500

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9.6: The Swahili City-States (East Africa)
9.7: Conclusion

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9.1: Chronology

200,000 – 100,000 BP (Before Present) First behaviorally modern human emerged in Africa

c. 7000 BCE Beginnings of the Agricultural Revolution in Africa

c. 3000 BCE – 1500 CE The Bantu expansions

900s BCE Rule of Queen Makeda (Ethiopia)

c. 800 BCE – 300 CE Kingdom of Da'amat (Ethiopia)

c. 250 BCE Founding of Djenne-Jeno, one of Africa's first cities (Western Sudan)

c. 100 – 950 CE The Empire of Aksum

c. 300 CE Ghana emerged as a state (Western Sudan)

c. 325 – 350 CE The rule of King Ezana (Aksum/Ethiopia)

c. 800 CE Ghana became an empire (Western Sudan)

1000 – 1500 CE Height of Swahili society (East Africa)

1200 – 1450 CE Height of Great Zimbabwe (southern Africa/ Zimbabwe Plateau)

1235 CE Sundiata Keita founded the Mali Empire (Western Sudan)

1324 – 1325 CE Mansa Musa performed the hajj (Western Sudan)

Early 1400s CE Portuguese began to explore the Atlantic coast of West Africa; beginnings of the Age of Exploration

1460s CE Sunni Ali built the Songhai Empire (Western Sudan)

1493 – 1528 CE Askia the Great ruled during the Golden Age of the Songhai Empire (Western Sudan)

Early 1500s CE The Portuguese built a Trading Post Empire in the Indian Ocean (East Africa)

1591 CE Moroccans invaded the Songhai Empire (Western Sudan)

1699 CE The Omanis (allied with some Swahili rulers) seized Swahili city-states from the Portuguese (East Africa)

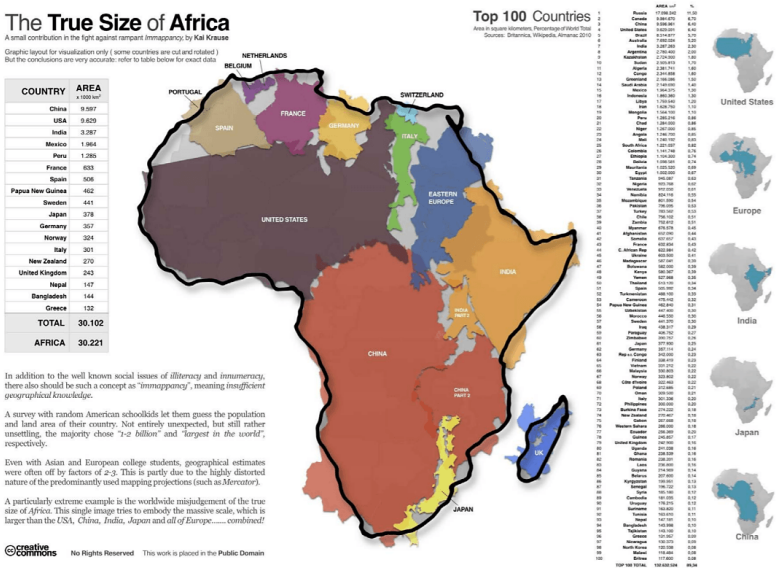
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9.2: Introduction



Figure 9.2.1: Kibo Summit of Mt. Kilimanjaro | Is this the image of Africa you have? The picture shows the famous snow-capped peak, Kibo summit, of Mt. Kilimanjaro, which is located in Tanzania (East Africa). The African continent has great geographic and climatic diversity. Author: Muhammad mahdi Karmi Source: Wikipedia License: GNU Free Documentation License (email author before using)

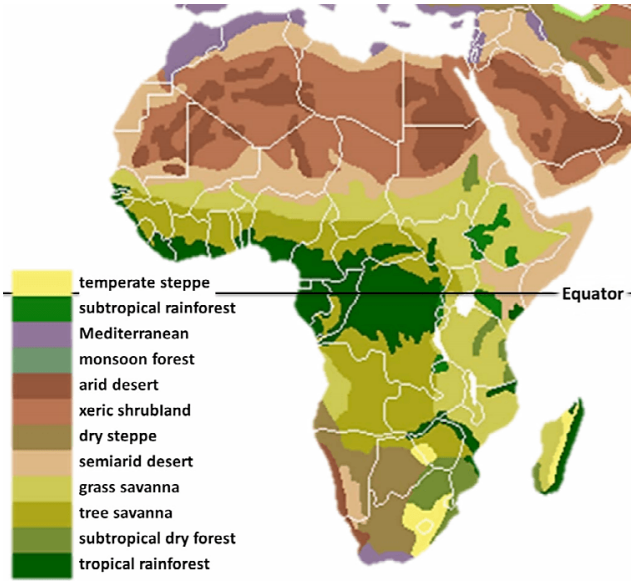
Africa is the second-largest continent in the world. Today, it has over 50 independent countries. You can also find just about every imaginable environment, from savannahs, rainforests, and deserts, to glaciers and snow-capped mountains in Africa. Its over 1,000 languages (or about one-third of the world's languages) demonstrate the continent's diversity.[1] Africa is home to more than a billion people, who are living, working, and raising their families.



Map 9.2.1: Kibo Summit of Mt. Kilimanjaro | Is this the image of Africa you have? The picture shows the famous snow-capped peak, Kibo summit, of Mt. Kilimanjaro, which is located in Tanzania (East Africa). It shows that the African continent has great geographic and climatic diversity. Author: Kai Krause Source: Wikimedia Commons License: CC0 1.0

Historically, Africans faced significant environmental challenges that limited population growth. There are exceptions, but overall, African soils are poor and rainfall unpredictable. Soils are comparatively unfertile, due in part to the geologic age of the continent. Also, the more temperate climates in a number of regions slow the decomposition of organic materials in the soil, leading to few

minerals and nutrients. Rainfall also tends to be concentrated in just two or three months a year.



Map 9.2.2: Climatic Map of Africa | Here you can see the present-day climatic map of Africa. There is great variation from the Mediterranean climate of the north and southern tips (think: olives, grapes for wine, and citrus fruits), to the second largest desert in the world (the Sahara Desert), through the savannas, grasslands, and the more forested regions. Today, we see a general drying trend on the continent, leading to increasing conflict over things like water rights and pastureland. However, although there has been some contraction and expansion of rainforests over the past millennia, the continental climatic map has remained fairly stable for about 5,000 years. Author: Ville Koistinen Source: Wikimedia Commons License: CC BY-SA 2.5

Considering the past 5,000 years of African history, malaria, yellow fever, and trypanosomiasis (also known as sleeping sickness) have made the biggest impacts on population growth and settlement patterns. Even today, all three diseases affect the continent. Both **malaria** and **yellow fever** are spread to people by mosquitos. So, many people avoid more forested and wetter areas. Additionally, Africans continuously adapted their herding and farming techniques to overcome environmental challenges.

1 African Language Program, Department of African and African American Studies, “African Languages,” Harvard University, aaas.fas.harvard.edu/greeting...nguage-program.

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9.3: Aksum and Ethiopia

From the 4th through 6th Centuries, **Aksum** was located in what are today Ethiopia, Eritrea, and parts of Sudan. At its high point, Aksum extended its influence beyond Africa into parts of the southern Arabian Peninsula as shown on the map below. Aksum was a great trading empire, with its own coinage, its own language, and its own distinctive Christian church. If you are familiar with accounts of the Queen of Sheba, you know pieces of the story that Ethiopians use to explain the origins of the Ethiopian Solomonic Dynasty and their possession of the Ark of the Covenant. The capital of the kingdom was the city of Aksum and its most important port was Adulis.

Unlike some other regions in Africa, Ethiopia had very fertile, volcanic soils that supported large populations. Climatic variation found at the different elevations encouraged agricultural diversification and trade. Around 7000 BCE, there was population growth in the region that corresponded with the Agricultural Revolution. While some domesticated animals and crops were introduced from Northeast Africa and the Fertile Crescent, Ethiopians domesticated other crops themselves, such as teff, a grass, and nsete, known as the "false banana," which could be grounded to make bread and porridge. We also have Ethiopians to thank for coffee!

The ***Kebra Nagast*** ("The Glory of Kings"), a 700-year-old text that is sacred for Ethiopian Christians and Rastafarians, traces the origins of the Ethiopian royal family back to the Queen of Sheba and King Solomon of Jerusalem. Queen of Sheba is identified as an Ethiopian ruler known locally as **Queen Mekeda.** According to the text, in approximately 950 BCE, the newly enthroned Queen Mekeda traveled to study with Jerusalem's well-known king, King Solomon. She was seeking leadership advice and spiritual guidance. Flattered by his attentions, she eventually converts to Judaism. King Solomon and Queen Mekeda produce a child, Menelik I, who is born on her way home to Ethiopia.

As time passed, King Solomon remained haunted by a dream that Menelik was his rightful successor. As an adult, Menelik returns to Jerusalem, but refuses to become Solomon's successor. When leaving Jerusalem, part of Menelik's entourage stole the Ark of the Covenant, which held the Ten Commandments. When King Solomon discovered the theft, he sent soldiers to recapture it. However, according to the *Kebra Nagast*, God helped Menelik and his men evade capture by lifting them up over the Red Sea. In the end, Menelik and the Ark of the Covenant made it safely to Ethiopia.

For Ethiopian Christians, the *Kebra Nagast* partially explains the formation of the Ethiopian Orthodox Church (the Tawahedo Church). Through today, the Church claims possession of the Ark of the Covenant, which it says is housed in the Church of Our Lady Mary of Zion in Aksum, Ethiopia.



Figure 9.3.1: The Queen of Sheba | The Queen of Sheba as illustrated by Conrad Kyeser in the early fifteenth century. Author: Conrad Kyeser Source: Wikimedia Commons License: Public Domain

According to the *Kebra Nagast*, early Ethiopian rulers were descendants of King Solomon through Menelik I. A thirteenth-century Ethiopian king, Yekuno Amlak (r. 1270 – 1285 CE), reclaimed this legacy and founded what became known as the Solomonic

Dynasty (circa 1270 to 1769 CE). Members of Ethiopia's royal family continued to claim descent from King Solomon up through the last Ethiopian emperor, Haile Selassie, who was overthrown in 1974. Therefore, the link back to King Solomon and Queen Mekeda is part of Ethiopian religious beliefs and has also legitimized claims to political power.



Figure 9.3.2: The Building that Allegedly Houses the Ark of the Covenant | It is part of the Church of Our Lady of Zion, built in the fifth or sixth entury CE in Aksum, Ethiopia. Author: Adam Cohn Source: Wikimedia Commons License: CC BY-SA 3.0

From the era of the rule of Queen Mekeda in about the 10th Century BCE and Yekuno Amlak's revival of the Solomonic Dynasty in the 13th Century CE, the largest kingdoms in Ethiopia were Da'amat and Aksum.

The **Kingdom of Da'amat** was the first to emerge in northern Ethiopia in about the tenth century BCE. Archaeologists have unearthed evidence that, by the seventh century BCE, ivory, tortoiseshell, rhino horn, gold, silver, and slaves were brought from interior regions of Africa and traded through Da'amat for imported cloth, tools, metals, and jewelry. Inscriptions, imagery, architectural styles, and even overlaps in historical traditions (such as those associated with the Queen of Sheba) also suggest close connections between the Kingdom of Da'amat and Saba (Yemen) in Southern Arabia. For example, the Kingdom of Da'amat used religious symbols in its monumental architecture, including the disc and crescent, also found in Southern Arabia. The oldest standing building in Ethiopia, the Temple at Yeha (c. 700 BCE), had an altar with these symbols.



Figure 9.3.3: The Temple at Yeha, Located in Northern Ethiopia | Yeha was likely the first capital of the Kingdom of Da'amat. Author: User "JialiangGao" Source: Wikimedia Commons License: CC BY-SA 3.0

In the 4th Century BCE, as the Red Sea trade became more important, the Kingdom of Da'amat weakened. It gave way to the state of Aksum, with its cities of Adulis and Aksum. The state also began minting its own gold and silver coins.

- Adulis, positioned on the coast, rose in prominence and grew wealthy. It served as a safe harbor for ships traveling from Southeast Asia.
- Aksum, the capital located in the interior, was a stopover point for land-based trade routes into the Sudan and especially Sub-Saharan Africa. Ivory, slaves, tools, spices, gold, silver jewelry, copper, and iron were are examples.

In addition to its role in inter-regional trade, Aksum was also known for its early conversion to Christianity. Ethiopian tradition traces the establishment of Christianity in the region back to two shipwrecked Syrians. Frumentius became the first bishop of Ethiopia in 303 CE and guided the king of Aksum, **King Ezana** (r. 325 – 350 CE), in his conversion to Christianity. Some of the coins minted actually attest to King Ezana's conversion; disc and crescent symbols gave way to the Christian cross. The bishop also encouraged Christian merchants to settle in Aksum.

About a century later, the state offered refuge to Christians fleeing persecution due to doctrinal disputes within the Church. Nine priests broke with the Church in Jerusalem, settled in Ethiopia, and founded the Ethiopian Orthodox Church. They maintained ties with the Coptic Church in Egypt and developed a distinct liturgy using Ge'ez, the local language. Members of the Ethiopian Orthodox Church also incorporated local beliefs, such as the legendary connection to King Solomon, into their religious traditions.



Figure 9.3.4: The Church of Debre Damo | In the sixth century CE, Christians exiled due to doctrinal disputes sought refuge in Ethiopia. Once there, they founded the Ethiopian Orthodox Church. Subsequently, one group of Orthodox monks built a monastery at Debre Damo. Debre Damo is located on an isolated mountain top in northern Ethiopia. To this day, it is accessible only by rope ladder and no women (or female animals) are allowed up the rope. Author: User "Giustino" Source: Wikimedia Commons License: CC BY-SA 2.0

Like the Aksumite kings before him, Ezana collected tribute from surrounding states and taxing trade. Aksum and its surrounding states were agriculturally productive with fertile soils and effective irrigation systems. This agricultural productivity meant that the work of peasants and the wealth generated through foreign trade supported the ruling classes and elites. Building a powerful military, King Ezana expanded the empire and claimed control over most of Ethiopia, Nubia, and Saba (Yemen). He also used his assets to showcase his power with "conquest stones" that commemorated his victories. In addition, the "conquest stones" proclaimed that God had ordained his reign. The stones impart Ezana's edicts and Christian beliefs. One section reads:

> [...] The Lord of Heaven strengthens my dominion! And as he now has conquered my enemy, (so) May he conquer for me, where I (but) go! As he now has given me victory and has overthrown my enemies. (So will I rule) in right and justice, doing no wrong to the peoples. And I placed The throne, which I have set up, and the Earth which bears it, in the protection of the Lord of Heaven, who has made me king...[9]

Aksumite kings famously commissioned the construction of **stelae** (singular: stele). Stelae were tall rectangular pillars with rounded tops set up to mark the underground gravesites of Aksum's royalty and elite. The most ornate stelae were elaborately carved into a marble-like material with faux doors at the bottom and multiple stories, as indicated by windows etched into each level. They have been described as "ancient skyscrapers," with the largest being one hundred and eight feet tall. Most stelae have

fallen in the over since their construction, but several do remain standing. One stele even caused an international uproar as the Italians took it during their occupation of Ethiopia at the onset of the Second World War and just recently returned it at great expense.



Figure 9.3.5: A Stele Built during the Height of the Aksum Empire in Ethiopia Author: User "Zhiem" Source: Wikimedia Commons License: CC BY-SA 3.0

Unfortunately, the graves marked by the stelae have been cleared out by tomb robbers in the intervening years. However, small remnants of glass, pottery, furniture, beads, bangles, earrings, ivory carvings, and objects gilded in gold attest to the wealth buried with affluent Aksumites. These artifacts also show the availability of trade goods brought from long distances. Furthermore, the architecture of the stelae is suggestive of connections back to earlier kingdoms. For example, the rounded top of the stelae is reminiscent of the disc symbol found in the region as far back as the Kingdom of Da'amat. Ezana was the first Christian king in the region; however, the architecture that he commissioned maintained ties to Aksum's pre-Christian past.

Aksum's power began to wane at the end of the 6th Century CE. First, the Persian Empire interrupted Aksum's trade with parts of southern Arabia in the late sixth century. Then, Muslims increasingly dominated trade along the Red Sea coast and the most profitable trade routes shifted from the Red Sea to the Persian Gulf. In response, Aksum shrank as Ethiopia's Christian rulers turned away from coastal trade and became more dependent on the tribute they collected from agriculturally productive regions to their south.

As Muslims in coastal areas became more powerful and Christian rulers shifted their attention away from the coast, the relationship between Ethiopian Muslims and Christians remained complex. In the 7th Century CE, King al-Najashi Ashama Ibn Abjar gave sanctuary to some of the first followers of Islam before he himself converted. In subsequent years, Muslim traders and Christian elites oftentimes cooperated. However, there were also periods of conflict, especially after Muslims unified to form the Adal Sultanate in the 14th Century. The Adal Sultanate militarily extended its influence over much of the region and for several centuries supported a thriving, multi-ethnic state. In the sixteenth century, Ethiopian Christians allied with the Portuguese to fight against the Adal Sultanate. After the fall of the Adal Sultanate, Ethiopian Christians rejected Portuguese attempts to convert them to Catholicism and forced Portuguese missionaries out of the region in 1633 CE.

9 As quoted in Esperanza Brizuela-Garcia and Trevor Getz, African Histories: New Sources and New Techniques for Studying African Pasts (Boston: Prentice Hall, 2012): 33-36.

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9.4: The Western Sudanic States

Who comes to mind as the richest person ever? Many economists and historians propose a person who might surprise you: Mansa Musa.

Mansa Musa was an emperor in the Western Sudan during the Middle Ages. He was so rich that the people of his own time could not even fathom his wealth. Unable to put a dollar amount on Mansa Musa's bewilderingly large fortune, Rudolph Ware, a professor at the University of Michigan, suggests that we "imagine as much gold as you think a human being could possess and double it..."[1] Some sources estimate that Mansa Musa was worth as much as $400 billion.[2]

How did Mansa Musa become so wealthy? Like the other Western Sudanic rulers, he controlled much of the world's access to gold during a period when gold was in very high demand.

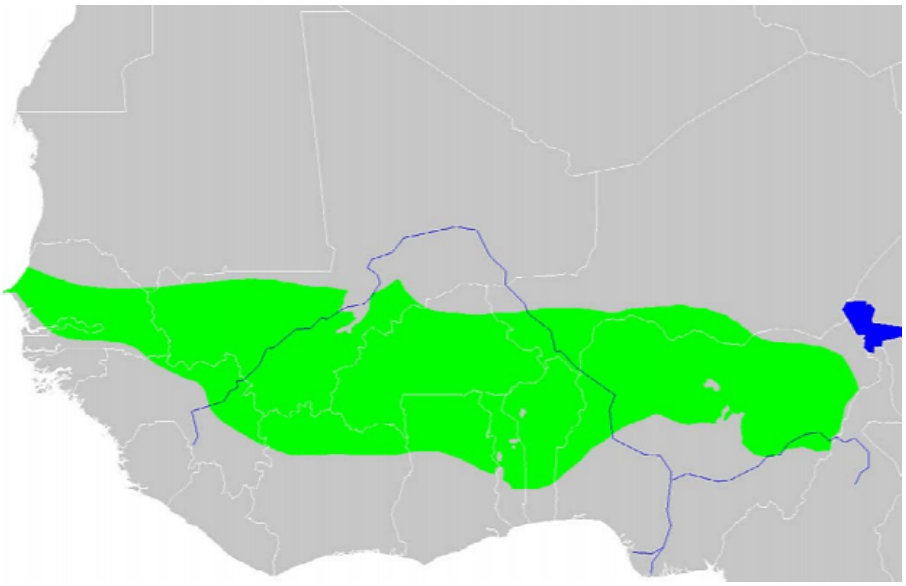
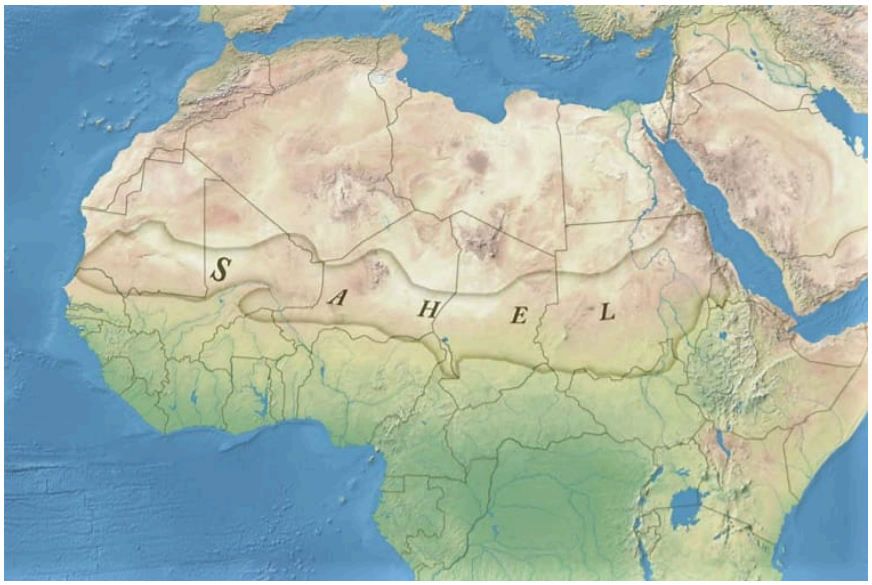


Figure 9.4.1: Map of Western Sudan | The area highlighted in green is the Western Sudan. In the Middle Ages, African kings used their monopoly over west African gold to build a series of large empires in the Western Sudan. Author: User "Alatoron" Source: Wikimedia Commons License: Public Domain

Map 9.4.1 shows the large area in West Africa commonly referred to as **the Western Sudan**. Arabic-speaking travelers gave the region its name, calling it *bilad-al-Sudan* or the "Land of Blacks." The Western Sudan encompasses the Sahel and some of its surrounding grasslands from the Atlantic coast in the east through Lake Chad in the west. **The Sahel,** which in Arabic means "the shore," is a transition zone between the Sahara Desert to its north and the more forested regions to its south. Much of the Sahel is grassland savannah.

Straddling regions with different climates, the people of the Western Sudan developed productive agriculture, trade networks, and an urban culture. The architecture states stands out for its use of mud (adobe) to construct monumental buildings, such as the Great Mosque in Djenne (Figure 9.4.1, and Aksia the Great's tomb in Gao (Figure 9.4.2). From roughly 800 to 1600 CE, the people of this region organized and supported—sometimes under duress—the large states that dominated the Western Sudan. Three of the best known of these states became the empires of Ghana (800 – 1070s CE), Mali (1230s – 1430s CE), and Songhai (1460s – 1591 CE).



Map 9.4.2: The Sahel Author: User “Munion” Source: Wikimedia Commons License: CC BY-SA 3.0

An increase in the demand for West African gold corresponded with the rise of these empires. Monarchs in Europe and North Africa wanted West African gold to mint coins. To meet the demand, Berber traders used newly introduced camels to carry gold north across the desert. Then, they loaded up their camels with big slabs of salt to return south. The people in many parts of West Africa considered salt a valuable commodity due to their distance from the ocean and the time required to extract salt from plant, animal, and other resources. While the demands for gold and salt drove the trade, weapons, manufactured goods, slaves, textiles, and manuscripts also passed through the desert. With the flow of all of these goods, the Western Sudanic states emerged at the nexus of the trans-Saharan trade routes.

The North African Berber traders crossing the Sahara Desert were early converts to Islam, and they introduced Islam to market towns of the Western Sudanic states. With continuing trade, the region’s connections with Northeast Africa and the Middle East grew through the Middle Ages. Growing urban areas, like Timbuktu, attracted Muslim scholars. In later centuries, the kings of Mali and Songhai deliberately fostered these connections with the larger Islamic World due to their religious beliefs and, sometimes, to enhance their status and secure their positions. For example, Askiya Muhammad, the king of Songhai from 1495 to 1528, successfully sought recognition as the “caliph of Sudan” from Egyptian rulers. As a result of Trans-Saharan trade, Islam influenced the culture and lifestyle, particularly of urban residents, in the Western Sudan.

9.4.1: Ghana

The empire of **Ghana** (800 – 1070s CE) is often associated with people who spoke the Soninke language and lived in the area between the Niger and Senegal Rivers—parts of present-day Mauritania and Mali. In this region, agricultural productivity supported labor specialization, urban areas, and eventually state formation. From as early as 300 BCE, the region’s farmers used iron tools to grow an abundance of crops.

Archaeological evidence found at Djenne-Jeno, which has been dated to approximately 250 BCE, suggests that people had access to plenty of rice, millet, and vegetables. Iron technologies also allowed craftsmen to make iron spears and swords so people could protect themselves. Probably for defense purposes, Soninke speakers began joining together to form the ancient state of Ghana around 300 CE. Then, as the population continued to grow, the state expanded its territory.

Even before Ghana was a state with a clearly defined centralized administration, Soninke speakers had been involved in extensive systems of trade using the region’s complex river systems. They often acted as middlemen, trading in fish from the rivers, meat from herders, and grains from farmers. After 300 CE, Ghanian leadership began collecting tributary payments from neighboring chiefdoms. In the centuries that followed, Ghana’s leaders used their ability to tax trade to build an empire. By 800 CE, they had consolidated their control over trade, their authority over urban areas, and their reign over tributary states.



Map 9.4.3: Map of the Trans-Saharan Trade Routes | Note how the routes crossed to settlements, like Koumbi Saleh, Gao, and Timbuktu, that began as market towns before growing into state capitals and cities of Muslim scholarship. The map also shows the origins of the gold in the region's southern forested areas. The sites where the gold originated are appropriately shaded to indicate the gold mines at Bambuk, Boure, and Lobi. Author: User "As77zz" Source: Wikimedia Commons License: CC0 1.0

The gold trade defined Ghana. After hearing about large caravans with hundreds of camels passing through the Sahara Desert, the Ghanian kings taxed trade goods twice. They taxed gold when it was initially brought from the forested regions in the south to their market towns and again as the Berber traders departed for the north. News of Ghana's wealth spread to the extent that Medieval Arab scholars who had never even traveled to Africa wrote about the Ghanian kings.

In one manuscript, Al-Bakri, an eleventh-century geographer based in Muslim Spain, described how a Ghanian king was adorned in gold and guarded by dogs wearing gold and silver collars. The king had his subjects "fall on their knees and sprinkle dust on their heads" upon entering his presence.[3] The ostentatious displays of gold and their monopoly over trade showed their power. According to Al-Bakri, the kings claimed all of the gold nuggets for themselves, leaving only gold dust for everyone else. By this time, the Ghanian kings had also used their wealth to build strong armies, with archers and cavalry, to collect tribute and carry out the empire's expansion.

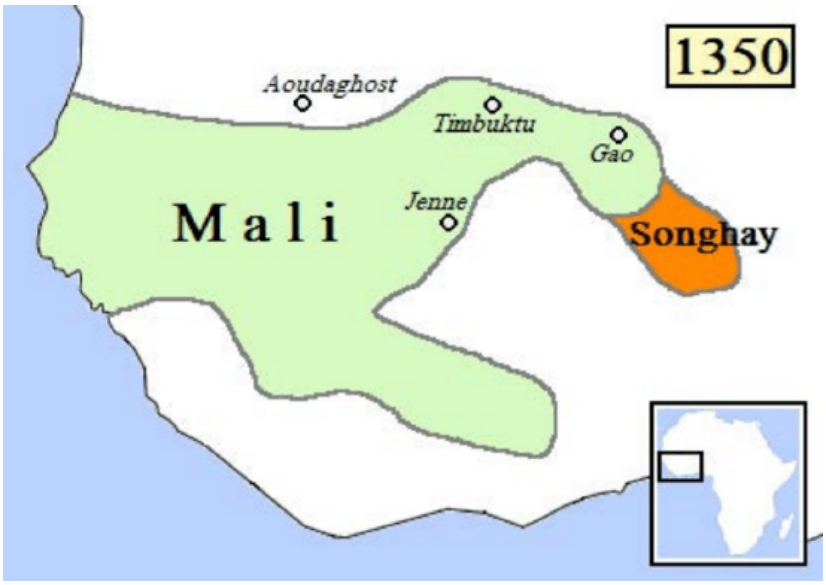
Al-Bakri's depiction of Ghana's capital city, Koumbi Saleh, notes the introduction of Islam to the region. He described two separate sites within the capital city, Koumbi-Saleh. To trade their wares, the merchants used one site, which was clearly Muslim with mosques, while the king lived in a royal palace six miles away. The separation between the sites and lack of mosques near the royal palace suggest that Islam had primarily impacted the market towns; the leadership and masses of Ghana did not convert.

9.4.2: The Mali Empire

Due to attacks from the Muslim Almoravids from the North, issues with overgrazing, and internal rebellions, Ghana declined in the 11th Century, opening up an opportunity for the rise of Mali. The origins of the **Mali Empire** (Map 9.4.4) are associated with the king **Sundiata Keita** (c. 1217 – 1255 CE). An epic, recounted orally by griots for centuries and written down in various forms in the twentieth century, relates the story of his rise.

One version written by Guinean D. T. Niani in 1960 follows Sundiata as he overcomes a number of challenges, like being unable to walk until he is seven years old, being banished by a cruel stepmother, and facing tests given by witches. With loyal followers and the attributes of a born leader, Sundiata overcomes these and other challenges to found the new empire. Under Sundiata, some of Mali's leadership converted to Islam. However, even with conversion, they maintained important pre-Islamic traditions.

The epic demonstrates the prevalence of **syncretism** or the blending of religious beliefs and practices in West Africa. For instance, Sundiata's background is traced back to Bilali Bounama, one of the early followers of the Muslim prophet Muhammad, and the powerful pre-Islamic, local clans of the lion and the buffalo. According to oral tradition, Sundiata's ability to draw from both Muslim and traditional African sources of strength allows him to overcome adversity and defeat his less worthy opponents.



Map 9.4.4: The Mali Empire, c. 1350 CE | The empire encompassed over 400,000 miles, including territory in the Sahara Desert, through the Sahel, and into some of the coastal forest. The empire's control over such a large area meant access to a wide range of crops, facilitating agricultural specialization and trade. Author: User "Astrokey44" Source: Wikimedia Commons License: CC BY-SA 3.0

Most of the subsequent kings of Mali combined Muslim and local religious traditions. For example, they often completed the "Fifth Pillar" of Islam by performing the hajj, the pilgrimage to Mecca required of all able Muslims. In the meanwhile, they continued to use pre-Islamic amulets, maintain their animistic beliefs, and consider pre-Islamic sacred sites to be important. Similarly, when they converted, the people living within Mali's cities and those involved in trans-Saharan trade also blended Muslim and traditional beliefs and practices.

Through diplomacy and military victories, Sundiata swayed surrounding leaders to relinquish their titles to him. Thus, he established a sizeable empire with tributary states and became the **mansa**, or emperor, of Mali. Most of the subsequent mansas of Mali maintained their control over the gold-salt trade, the basis of their wealth. Mali also developed a more diversified economy and was recognized in Europe, North Africa, and the Middle East as a prosperous trading center.



Figure 9.4.5: The Great Mosque in Djenne | The Great Mosque in Djenne demonstrates the regional architectural style of the Western Sudan. The original structure was likely built in the thirteenth century. The current mosque was rebuilt in the early twentieth century. The wooden scaffolding gives the structure support and also helps men replaster the exterior, which they do every year. The exterior of the mosque is plastered in mud (adobe). Author: User "Ruud Zwart" Source: Wikimedia Commons License: CC BY-SA 3.0

The empire reached its height under **Mansa Musa** (c. 1280 – 1337 CE), in the early fourteenth century. He used a large army of

approximately 100,000 soldiers to reunify the empire after several tumultuous decades. As a result, Mali stretched much farther east, west, and south than had its predecessor kingdom, Ghana. With its access to very diverse environments, trade in agricultural produce became more important in Mali than it had been in Ghana. Farmers specialized in regional crops and the state-operated farms where slaves grew food for the royal family and the army. Mansa Musa also developed the empire's administration, dividing the territory into provinces and appointing competent governors.

With all of these achievements, Mansa Musa is best remembered for going on the hajj from 1324 to 1325 CE. He attracted a great deal of attention traveling in a huge caravan made up of almost 100 camels, 12,000 slaves, and an estimated 30,000 pounds of gold. Local lore claims that he gave out so much gold during his three month stay in Cairo that the price of gold dropped by 25%. Likewise, reportedly after he passed through Alexandria, the value of gold in the city stayed low for a decade.

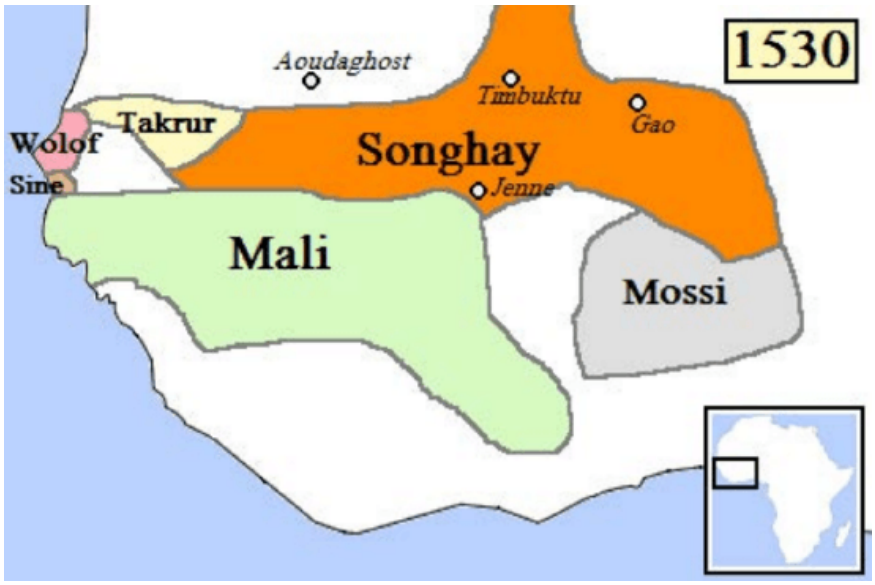
Mansa Musa's impressive display in Northeast Africa and the Middle East boosted Mali's standing in the Islamic World. He built new mosques and schools, hosted Muslim scholars, and made cities, including **Timbuktu**, Djenne, and Gao, into centers of learning. The use of Arabic was encouraged, and libraries became repositories of Islamic manuscripts.

The **Catalan Atlas** (Figure 9.4.2) is an example. Commissioned by Charles V of France, the 1375 map shows Mansa Musa ruling his empire. He sits atop a gold throne, wearing a gold crown, carrying a gold scepter, and gauging (or perhaps admiring) a gold nugget. Awash in gold in the Catalan Atlas, he paid for his various projects by collecting tribute from surrounding states and taxing trans-Saharan and inter-regional trade.



Figure 9.4.6: Mansa Musa | An image from the Catalan Atlas that demonstrates Mansa Musa's reputation as the gold-laden king of Medieval Mali. The description reads, "This Black lord is called Musa Mali, Lord of the Black people of Guinea. So abundant is the gold which is found in his country that he is the richest and most noble king in all the land." (The British Museum. The Wealth of Africa: The Kingdom of Mali, Presentation. www.britishmuseum. org/pdf/KingdomOfMali_Presentation.pdf.) Author: User "Olivierkeita" Source: Wikimedia Commons License: Public Domain

Weak leadership, foreign invasions, and rebellions within the tributary states led to the decline of Mali after Mansa Musa's death. With the decline of Mali in the 15th Century, leaders in the breakaway tributary state of Songhai (alternatively spelled Songhay) expanded militarily and encroached on Mali's territory. By the late 1460s, when he captured Timbuktu, Songhai's leader Sunni Ali had begun to build a new empire, the Songhai Empire.



Map 9.4.6: The Songhai (alternatively spelled Songhay) Empire, c. 1530 | Note that by the early sixteenth century, the Songhai Empire encompassed the important trading and religious centers of Timbuktu, Djenne (sometimes spelled Jenne), and Gao. Author: User "Olivierkeita" Source: Wikimedia Commons License: Public Domain

9.4.3: Songhai

The **Songhai Empire** is most closely associated with the Sorko people who lived alongside the Niger River, southeast of Gao. By about 800 CE, the Sorko had created their own state, Songhai, trading along the river and building a military that used war canoes. With the growth of trans-Saharan trade and eventually the discovery of new gold fields, the Sorko and other ethnic groups in the area established market towns in Songhai. Most of the people who moved to these market towns converted to Islam by the eleventh century. In the early fourteenth century, the Mali Empire collected tribute from Gao, though other parts of the Songhai state remained independent. Using his military to pick off pieces of Mali in its waning years, Sunni Ali built the Songhai state into an empire in the 1460s.

During its Golden Age, the Songhai Empire was ruled by Askia Mohammad I (r. 1493 – 1528). Referred to as Askia the Great, he was a devout Muslim, who centralized the empire's administration, encouraged agriculture, and further expanded the state. Askia rose to power as the general-in-chief of the army of Gao. He won a military victory over Sunni Ali's son to found a new dynasty, the Askia dynasty.

As a devout Muslim, Askia went on the hajj to Mecca from 1496 – 1497. The pilgrimage brought him international recognition and reinforced his claims to power especially because the Sharif of Mecca bestowed Askia with the title "the Caliph of the Sudan." Upon his return, he used Islam to validate attacks on neighboring states, like the Mossi in 1498. He also rebuilt Islamic centers. Leo Africanus, originally from Granada (Spain), traveled through Timbuktu in 1526 and wrote,

> [...] There are in Timbuktu numerous judges, teachers, and priests, all properly appointed by the king. He greatly honors learning. Many hand-written books imported from Barbary [the coastal regions of North Africa] are also sold. There is more profit made from this commerce than from all other merchandise.[13]

Under Askia, Timbuktu, Djenne, and Gao, once again, beckoned scholars and people with commercial aspirations. Taxing gold remained an important source of revenue for the king, but trade expanded to incorporate items such as manuscripts, kola nuts, prisoners of war (who were sold as slaves), horses, and cowry shells (which were used as an internal currency). Additionally, to centralize his administration, Askia appointed loyal Muslim governors to new provinces, replacing hereditary rulers.

After his death, Askia's sons, particularly his last son, Askia Dawud (r. 1549 – 1582 CE) continued to generate wealth by taxing trans-Saharan trade. Like their father, they also tended to invest in Songhai's Islamic centers. For example, during the reign of Dawud, there were approximately one hundred and fifty Islamic schools operating in Timbuktu. Askia Dawud's death in 1582 saw the reemergence of power struggles amongst competing rulers and rebellions within tributary states, signaling the end of the Golden Age of Songhai.



Figure 9.4.8: The tomb of Askia the Great built in 1495 in Gao | Note the use of mud (adobe) architecture common in the cities of the Western Sudanic states. People still use the prayer rooms and meeting space at the site. Author: User "Olivierkeita" Source: Wikimedia Commons License: Public Domain

In 1591, using new muzzle-loading firearms, the Morocco army was able to defeat the Songhai troops. Still, the Songhai state limped along until 1737.

For almost 1,000 years, large empires had dominated the Sahel. The leaders of Ghana, Mali, and Songhai taxed trans-Saharan trade and grew powerful. They built their empires with urban centers, strong militaries, and numerous tributary states. However, the Moroccan invasion eroded their power. Furthermore, the Age of Exploration, begun by the Portuguese in their progress down the West Africa coast in the fifteenth century, redirected trade from the Trans-Saharan to up and down the Atlantic coast.

1 Jacob Davidson, "The 10 Richest People of All Time," Time (July 2015) time.com/money/3977798/the-10...e-of-all-time/

2 "Musa's Money." BBC. http://www.bbc.co.uk/programmes/p02f9r6g

3 Quoted in "Kingdom of Ghana: Primary Source Documents." African Studies Center. Boston University Pardee School of Global Studies. http://www.bu.edu/africa/outreach/k_o_ghana

4 "Leo Africanus: Description of Timbuktu." From The Description of Africa (1526). public.wsu.edu/~brians/world_ civ/worldcivreader/world_civ_reader_2/leo_africanus.html

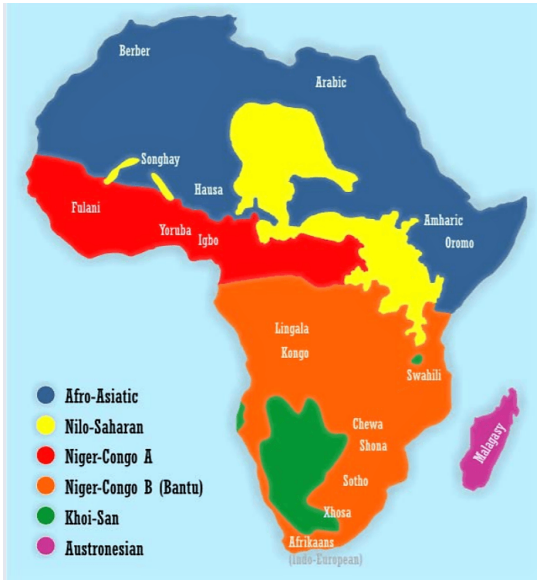
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9.5: The Spread of Agriculture and Great Zimbabwe

Most of the African indigenous languages belong to one of the major language groups shown in Map 9.5.1. Over the past several decades, historians have used comparisons of core vocabulary words in related languages to examine the spread of ancient technologies and the interaction between peoples. Using linguistics (the study of languages), information found in other sources, like oral traditions of dynastic origins and archaeological findings, can be corroborated.

During European colonization 150 years ago, anthropologists grouped Africans into "tribes" based on presumed physical, cultural, and linguistic similarities. As result of this study, they found that people in most of Sub-Saharan Africa spoke languages that used the root *–ntu* to refer to person, with the prefix *ba-* added in the plural. Combining the root and the plural prefix, 19th Century colonial anthropologists referred to people in these communities as *Bantu* and later traced Bantu languages back to a root, a mother language spoken in parts of Cameroon and Nigeria.

European scholars hypothesized that about 2,000 years ago there was a **Bantu Migration**, a massive departure of thousands of Bantu speakers from the Bantu homeland. These Bantu-speakers imposed iron technology and traditions of agriculture on the peoples they encountered in eastern and southern Africa. Influenced by their own conceptions of colonization, nineteenth-century anthropologists portrayed the Bantu Migration as a rapid conquest of Sub-Saharan hunter-gatherer societies by the technologically advanced, Iron Age Bantu speakers.



Map 9.5.1: Map showing the Distribution of the Six Major Language Families in Africa | While it is not marked, the Bantu homeland was in parts of Nigeria and Cameroon. From 3000 BCE to 1500 CE, Bantu (or Niger-Congo B) languages spread slowly and unevenly from the Bantu homeland through most of southern and eastern Africa. Author: Mark Dingemanse Source: Wikimedia Commons License: CC BY-SA 2.5

Since the 1990s, some historians have agreed that the movement of Bantu speakers was more of a slow diffusion of languages and technologies that lasted about 4500 years, from roughly 3000 BCE to 1500 CE. Bantu speakers took multiple routes, and traveled sometimes as a single-family as opposed to a mass of thousands. From the linguistic evidence, historians also suspect there was mutual "teaching and learning from one another" and between groups.[14]

The current view of the Bantu expansions is much more complex as it recognizes the give and take between Bantu newcomers and indigenous populations. For example, some indigenous populations rejected Bantu languages, while others repackaged Bantu technologies incorporating their own innovations. There was no Bantu migratory conquest of indigenous communities. Instead, the study of linguistics seems to confirm that Bantu languages, iron-working, and agriculture slowly spread through eastern and southern Africa in the early centuries CE.

In the colonial era, European scholars sometimes jumped to misleading conclusions when they encountered evidence of early African states. For example, in 1871, German geographer Carl Maunch concluded that the ruins of Great Zimbabwe came from the people of Yemen. Biased by nineteenth-century racism, he assumed that Africans were incapable of statehood and skilled

masonry techniques. Subsequent Europeans reached similar conclusions upon viewing the site, attributing the civilization to Phoenicians and Arabs.



Figure 9.5.1: The Ruins of the Great Enclosure at Great Zimbabwe in the Mosvingo Province of present-day Zimbabwe Author: User “Macvivo” Source: Wikimedia Commons License: CC BY-SA 3.0

In the meantime, a number of scholars had confirmed the African origins of Great Zimbabwe. Archaeologists showed that Great Zimbabwe had features, like stone masonry and rituals involving cattle, found in nearby African kingdoms. Historians used oral tradition and linguistics to track African state formation in the region and show that Great Zimbabwe was a Bantu civilization. From approximately 1200 to 1450 CE, **Great Zimbabwe** was the thriving commercial and political center of a rich southern African state.



Figure 9.5.2: The Hill Complex at Great Zimbabwe Author: Jan Derk Source: Wikimedia Commons License: Public Domain

During the Middle Ages, a prosperous elite based in Great Zimbabwe ruled over about 300 settlements on the Zimbabwe Plateau. Great Zimbabwe and the linked settlements had similarly constructed walled enclosures, practiced mixed farming (they grew crops and kept livestock), and used iron, copper, and bronze. The settlements paid tribute in the form of ivory, gold, cattle, and crops to the rulers in Great Zimbabwe. Gold and ivory were exported to cities like Sofala and Kilwa Kisanwani on the East African coast. From the coast, these goods were carried to the Persian Gulf, India, and China. In exchange, the city's elite imported luxury items like stoneware, colored glass beads, and cotton. Out of these imports, artisans made jewelry, ornaments, and cloth for elite consumption.

Great Zimbabwe's social hierarchies is one of the most dramatic elements of the site's ruins. Covering three square miles, the ruins consist of many clusters of stone buildings constructed with local granite and stacked without mortar. The most famous structures are the Hill Complex (Figure 9.5.2) and the Great Enclosure (Figure 9.5.1). Scholars hypothesize that the ruling elite resided and performed ceremonies on the Hill Complex, symbolically demonstrating their authority with the height and separation of the complex. From about 1300 CE, more than 15,000 people lived in the valley below in small, circular homes with thatched roofs and walls made of clay and gravel.

The Hill Complex overlooked a number of other structures. With its stone walls up to thirty-five feet tall, the Great Enclosure was the largest structure in precolonial sub-Saharan Africa. It was a ceremonial site, perhaps used by religious leaders or as a site for the initiation of youth. Scholars disagree about its exact function, but suggest that the Great Enclosure further demonstrated the status and wealth of the capital city and the ruling classes.

In the 15th Century, Great Zimbabwe declined and was abandoned by 1450 CE. Some scholars suggest that the site supporting up to 30,000 people became too crowded, deforested, and stripped bare of resources through overuse. Surrounding gold mines may have also been depleted. In any case, trade shifted to support the rise of two new kingdoms, Batua to the west and Mutapa to the east. Both kingdoms built stone walls like those seen in Great Zimbabwe and practiced mixed agriculture, using cattle for ceremonies and as symbols of the ruling elite's power. From the fifteenth through seventeenth centuries, the kingdoms also faced the Portuguese and the influx of other African populations. The Mutapa Kingdom lasted the longest, enduring until 1760.

Overall, this rewritten history of southern African statehood acknowledges the significance of the Bantu expansions that brought agriculture and iron to many regions. It also celebrates the African origins of great civilizations and demonstrates how Africans shared technologies and cultural practices across the Zimbabwean plateau.

14 As quoted in Brizuela-Garcia, Esperanza and Trevor Getz, *African Histories: New Sources and New Techniques for Studying African Pasts*. Boston: Prentice Hall, 2012: 43.

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9.6: The Swahili City-States (East Africa)

In the 10th Century CE, a grand Persian sultan, Sultan Ali ibn Sulaiman al-Shirazi sailed to Kilwa Kisiwani, an island off the East African coast. Generous and likeable, he married the daughter of Mrimba, the local headman. The newlyweds were set up to live more or less happily ever after. However, Sultan Ali and Mrimba had made a deal. Sultan Ali would have control of the island in exchange for enough cloth for Mrimba to "walk on it from the island to his new abode on the mainland."[15]

The deal went through and Mrimba moved to the mainland. Then, he regretted giving up his position and plotted to militarily retake the island from his son-in-law. In response, Sultan Ali used magic. By reading the Qur'an in a special way, Sultan Ali kept the sea levels high, which confined Mrimba to the mainland, where he gave up and retired. Upon Mrimba's death, the mainland territory passed to the son of Sultan Ali. According to the oral tradition, this new Muslim family, with Persian and African ancestry, ruled Kilwa Kisiwani and the mainland coast.



Map 9.6.1: The Swahili Coast of East Africa | From 1000 to 1500 CE, numerous Swahili states emerged along this 1,000 mile stretch from Mogadishu in the north (present-day Somalia) to Sofala in the south (present-day Mozambique). Author: George McCall Theal Source: Wikimedia Commons License: Public Domain

The account conveys some very important elements of Swahili identity. At least by the 13th Century CE, in response to resident Arab merchants who scorned non-Muslims and some African practices, African elites in East Africa claimed descent from Shirazis (Persians) and to have been early converts to Islam. In some cases, the connections may have been exaggerated or inaccurate from a historical standpoint. However, regardless of their accuracy, these stories demonstrate some of the defining features of Swahili identity.

Since it controlled gold coming from Great Zimbabwe, Kilwa Kisiwani became one of the most prosperous of the **Swahili city-states**. From 1000 to 1500 CE, these city-states were wealthy urban areas connected both to the African interior and the larger Indian Ocean World. Running down the East African coast from Mogadishu to Sofala, and including islands off the coast, the commercial centers were tied together by a shared identity, not an overarching political structure. In addition to Islam and claims to Persian ancestry, Swahili identity also became associated with Indian Ocean trade, an urban style, and a shared language (Swahili).

Historians of Africa trace the origins of the Swahili city-states to the Bantu expansions. By the 1st Century CE, Bantu farmers had built communities along the East African coast, trading with southern Arabia, southeast Asia, and occasionally Greece and Rome. Several hundred years after the fall of the Roman Empire, residents of the Swahili city-states played a pivotal role as middlemen, selling gold, timber, ivory, resins, coconut oil, and slaves from the interior regions of Africa to traders arriving from throughout the Indian Ocean World. In return, Swahili elites bought imported glass, porcelain, silk, spices, and cloth.

The seasonal **monsoon winds** allowed trade between the Swahili coast and southern Arabia, the Persian Gulf, and southeast Asia.

Blowing towards the East African coast three to four months of the year and reversing several months later, the monsoon winds stranded traders for months at a time, encouraging intermarriage and cultural exchange. Furthermore, the wealth of the Swahili coast attracted Persian and Arab immigrants. With African, Arabian, and southeast Asian influences, Swahili culture became a blended culture. For example, the Swahili language incorporated loan words from Arabic and Hindi.

One of the quintessential features of the Swahili city-states from 1000 to 1500 CE was their urban style. The elite, ruling classes, were quite small. Most city people were less wealthy, working as craftsmen, artisans, clerks, and sailors. People in villages along the coast could also identify as Swahili. Claimants of Swahili identity spoke the Swahili language and were Muslim. Archaeology shows that emerging cities had mosques and Muslim burial grounds starting in the eighth century CE. The Swahili, regardless of their economic status, drew a distinction between themselves as Muslims and the "uncultured," non-Muslim Africans of the interior.

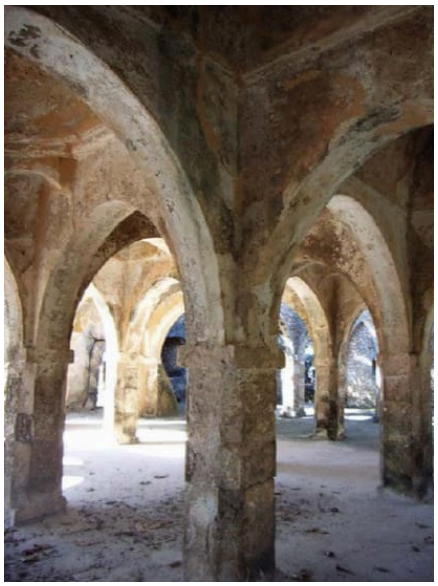


Figure 9.6.1: The Great Mosque at Kilwa Kisawani | Sultan Suleiman ibn Muhammed (r. 1421 – 1442 CE) improved the mosque. The mosque was constructed of coral blocks, which became a defining feature of urban Swahili architecture. Author: Claude McNab Source: Wikimedia Commons License: Public Domain

The elite families played a role in fashioning the Swahili urban style. In addition to tracing their descent back to some of the earliest Muslim settlers from Persia, they embraced Islam, financing mosques, practicing purdah (the seclusion of women), and hosting large religious celebrations. Visiting Muslim merchants felt comfortable extending credit to them and living with their Swahili host families while waiting for the winds to turn.

By 1350 CE, the urban style of Swahili city-states exhibited a distinguishing architecture. Many of the cities became "stone towns" with wealthy Swahili families constructing multi-level homes out of the coarse coral. The Swahili elite used their stone houses to establish themselves as prominent, creditworthy citizens. They wore imported silk and cotton and ate off imported porcelain to further display their status. Like other Swahili, the ruling classes distinguished themselves from non-Muslims of the interior. They may have been partially moved to draw this distinction by their desire to sell as slaves people captured in the neighboring, non-Muslim communities.

Slavery within the **Indian Ocean World**, the zone of contact and interaction connecting people living adjacent to the Indian Ocean, began well before the spread of Islam in the seventh century CE. During the high point of the Swahili city-states, Muslim traders controlled the slave trade within the Indian Ocean World. Slaves tended to be captives of war sold to the Arabian Peninsula and regions near the Persian Gulf. Slaves were put to work as sailors, agricultural laborers, pearl divers, domestic workers, concubines, and musicians. Our information about the everyday lives of slaves in this region is very limited.

While there were some similarities between the trans-Atlantic trade that brought slaves to the Americas and the slave trade within the Indian Ocean World, there were important differences.

- Both slave trades took Africans, contributing to an **African diaspora**, or dispersal of African peoples and their descendants, all over the world. The trans-Atlantic slave trade, which lasted approximately 300 years and reached its peak in the eighteenth century CE, forced approximately 12 million people, mostly from West Africa, into the Americas. The slave trade within the

Indian Ocean lasted much longer, about 2000 years, and was generally smaller in scale.
- African slaves in the Indian Ocean World had more social mobility, especially since many were skilled soldiers. According to Islamic precepts, slaves had some basic rights and could be incorporated into the households that they served. Theoretically, a freeborn Muslim could not be enslaved.
- Unlike slavery in the Americas, slavery within the Indian Ocean World was not racially codified, so freed slaves did not automatically face racial discrimination.
- Due to their reproductive capacities, women were more sought after as slaves within the Indian Ocean World, while the trans-Atlantic slave trade had the highest demand for young men.

In 1498, the Portuguese were trying to establish a direct sea route to the riches of India and China. After using an East African guide to reach India, the Portuguese began to set up a **Trading Post Empire**, which intended to tax trade within the Indian Ocean. Through a series of forts along the Indian Ocean coast, the administrators collected taxes and issued trade permits. Without a unified political structure or large armies, some Swahili cities were looted and destroyed by the Portuguese in the early 1500s. However, the ability to enforce tax collection was very limited north of Mozambique.

The Portuguese did not move inland beyond the coastal cities and, by and large, trade within the Indian Ocean continued without a great deal of interference. However, the Portuguese presence encouraged Swahili leaders to ally with the Omanis from southern Arabia. In 1699, the Omanis, working with some Swahili rulers, seized Mombasa, and began an era of Omani dominance of the Swahili coast.

15 John Middleton, The World of the Swahili: An African Mercantile Civilization, (New Haven: Yale University Press, 1994): 31-32

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- 13.3: High-Stakes Testing by States by Kelvin Seifert and Rosemary Sutton is licensed CC BY 3.0. Original source: http://home.cc.umanitoba.ca/~seifert/EdPsy2009.pdf.

9.7: Conclusion

Africa was not isolated. Instead, oceans and deserts were “highways” in these periods. Aksum, the Western Sudanic states, Great Zimbabwe, and the Swahili coast were all commercially linked to Europe, the Mediterranean, the Arabian Peninsula, the Persian Gulf, Southeast Asia, and even China. Although there were local differences, the ruling classes in each of the states collected tribute from outlying areas and participated in long-distance trade. The wealth of these states supported labor specialization, urbanization, and other innovations.

African states contributed to great cultural change. Ethiopia, the Western Sudanic states, and the Swahili city-states all experienced religious transformations. Not only did Ethiopia serve as a sanctuary for both Christians and Muslims, but they also established their own Church, the Ethiopian Orthodox Church. Starting in the thirteenth century CE, Western Sudanic rulers converted to Islam, maintaining some of their pre-Islamic beliefs while building connections with the rest of the Islamic World. Medieval African cities like Timbuktu benefited from these connections. Traders were attracted as reports of African gold circulated far and wide. Taxing the gold trade, Western Sudanic rulers developed cities as both trading depots and places of scholarly learning. The Swahili in coastal East Africa also embraced Islam as one of the defining features of their identity. The urban style reflected the centrality of Islam, which offered a distinction of culture and refinement. All four states developed numerous other innovations, such as art, architecture, metal-working, agriculture, and political organization.

Many African societies remembered their own histories orally, using professionalized classes of historians, storytellers, and musicians, as well as proverbs and the teachings of elders. Over the past fifty years, historians have done more to incorporate oral traditions into the examination of the ancient past. Justly, linguistics and archaeology help to create a more accurate written history of the continent and reclaim African civilizations.

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10: THE AMERICAS

10.1: Chronology
10.2: Introduction to The Americas
10.3: Mesoamerica
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10.1: Chronology

18,000 – 15,000 BCE First humans migrate to the Americas

c. 13,000 BCE Big game hunters inhabit the Great Plains

c. 10,000 BCE Mesoamericans begin to cultivate squash

10,000 – 3,500 BCE Paleo-Indian Period

5600 – 3000 BCE Early Plains Archaic Period

2000 BCE – 250 CE Preclassic or Formative period in Mesoamerica

c. 1900 BCE Mesoamericans begin to make pottery

1800 – 800 BCE Late Initial Period in Peru

1500 – 400 BCE Middle Formative Period in Mesoamerica. Peak of Olmec statue carving

c. 1000 BCE Maize becomes widespread in North America

400 BCE – 100 CE Late Formative Period in Mesoamerica

200 BCE The Moche begin their conquest of Peru's north coast

200 BCE – 400 CE The Hopewell culture flourishes in North America

100 BCE – 600 CE The Nazca culture flourishes in Peru

400s CE Tiwankau founded

550 CE Teotihuacán reaches 125,000 residents

700 CE The Huari Empire reaches its height

700 – 1400 CE Cahokia

750 CE Tikal reaches 80,000 residents

800 CE The Toltec city of Tula reaches a population of 35,000

1000 CE The Chimu establish the capital city of Chan Chan

1050 CE The population of Chaco Canyon's five great pueblos reaches 5,000 inhabitants

1325 CE Tenochtitlán founded

1471 CE Death of Inca Pachacuti

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10.2: Introduction to The Americas

Generally, historians have promoted different ideas as to how the Americas became population.

- A land migration over Beringia (via a land bridge that would have separated modern-day Russia and Alaska in the United States)
- A seaborne migration from Asia
- A “Solutrean” migration from Europe ten thousand years before an ice-free corridor opened up in North America

In this chapter, our task is to admire pre-Columbian history. In a little over 15,000 years, migrants from Asia (probably) populated the Americas by foot, built hundreds of major cities, supported a population in the tens of millions, and constructed two of the most impressive empires the world has ever known. Fortunately, recent advances in archaeology and calendrics have helped us uncover much of this past.

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10.3: Mesoamerica

Although scholars believe that humans migrated to Beringia and North America first, **Mesoamerica** was the first section of the Americas where scholars have found evidence of large settlements, agriculture, and unique cultural traditions. The cultural region is found in what is now the modern countries of Guatemala, Mexico, Belize, El Salvador, and eastern Honduras. The region's frequent volcanic eruptions, earthquakes, and hurricanes gave it quite a staggering amount of ecological diversity including mountains, coastal plains, and a peninsular limestone platform (the Yucatán). In addition, climatic diversity was promoted by its tropical and subtropical latitudes.

Less is known about migration to Mesoamerica than for North and South America. However, many scholars put people in the region by 15,000 BCE. These early residents hunted large and small game alike and consumed a wide range of plant resources. In the Archaic period (8000 to 2000 BCE), scores of cultures adapted to the region's ecological diversity by domesticating wild food sources like "beans, squash, amaranth, peppers, and wild Maize (*teosinte*)."[1] Groups living closer to the coast could also take advantage of wetland crops, such as manioc.

10.3.1: Early Farming in Mesoamerica

Foragers in the southern Mexican highlands lived on a diverse diet of plants and animals, including cactus fruit, corn, squash, beans, fish, deer, and rabbits. Meanwhile, people in the tropical lowlands consumed tubers like manioc, sweet potato, arrowroot as well as fruits like avocadoes. Mesoamericans domesticated most of these crops before becoming sedentary, which led to the existence of regional variations in the path to agriculture.

Over the next several centuries, village dwellings changed. Brick walls and plaster floors began to replace hides and sticks. Unlike round huts, new rectangular houses allowed for extending walls and adding a perpendicular end wall. Expanding permanent dwellings allowed villages to grow through natural population increase. Public and private space became more distinct from public and private activities, affecting communal and private property. Not only did villages have to decide where and how to build, they also had to organize around when to plant, where to settle, when to harvest, and where to store the food. The invention of pottery served storage needs tremendously. Tasks in construction, defense, and food production became more specialized and supervised, leading to the beginnings of class. The elite developed, usually comprising warriors, priests, and administrators.

10.3.2: The Formative Period

By the beginning of the Formative Period (circa 2000 BCE), most residents of Mesoamerica were living in small bands that moved only seasonally.[2] However, by 300 CE, large urban centers had emerged. The rapid transition was possible because of greater use of domesticated crops and storage and improved technology, like pottery vessels.

Pottery appeared between 1900 BCE and 1750 BCE on the Pacific coast of **Chiapas** in highland valleys and on the Gulf coast. After about 1400 BCE, there was widespread sharing of obsidian, shell, jade, and iron artifacts. A social hierarchy also began to develop, where there was a two-tiered settlement hierarchy. In other words, the elite had bigger houses. Over time and in more areas, plastered floors and dirt floors appeared in different dwellings and altars in others. Burials were affected by social class too.



Map 10.3.1: Map of the Formative Era Sites, c. 600 BCE Author: User “Madman2001” Source: Wikimedia Commons License: CC BY-SA 3.0

The **Olmec** were the earliest civilization in Mesoamerica and drove much of this rapid development. Developed along the Gulf of Mexico, this group flourished during the Early Formative and Middle Formative (1500 – 400 BCE), while the Late Formative (400 BCE – 100 CE) saw their evolution and transformation.

The Olmec's most notable accomplishment was their monumental stone sculpture. Other Mesoamerican cultures had stone monuments, but the Olmec versions were unique in their sophistication, size, and number. Between 1400 BCE to 400 BCE, statues were carved out of thrones or in low relief on stelae. The largest weighed over forty tons. Stones would have had been transported as much as 56 miles (90 kilometers) from their original sources, requiring a large labor force.

Aside from statues, Olmec elites commissioned carved columns, drains, and embellishments in large houses. An inordinate amount of iron trade also occurred, and objects like polished iron mirrors were found in the tombs of high-ranking individuals. The import of jade sculptures was perhaps even more prominent with thousands of tons of “serpentine blocks” buried in massive offerings at the Olmec center of **La Venta** in southern Mexico.[3]

Early in the Formative Period, most groups were organized in tribes, but the Olmec soon began to form a set of chiefdoms that allowed for organized leadership across generations, albeit through kinship ties. Recognized as the first civilization in the region to develop a state, the Olmec had a stratified social hierarchy and specialized institutions.

Not all scholars agree that the Olmec had an 'empire'. Why?

- The Olmec never had a large enough population at their disposal to form a conquering army.
- While there existed a number of significant urban Olmec sites, such as La Venta and San Lorenzo, none of them has been identified as an Olmec capital.
- The art and archeological records of surrounding societies don’t indicate Olmec domination. Rather, elites seemed to have both political and religious authority and a considerable amount of influence in a quasi-theocratic state.

Why did the Olmec evolve at all, and why did they evolve when they did?

- Ecological relationship to Mesoamerica’s lowland environment.
- Increased productivity led to high population growth, which caused pressure to organize politically. Control of these resources contributed to the authority of individual chieftains.
- Abundant but lack of agricultural diversity forced them to live closer to obsidian, salt, and stone deposits. (The Olmec would need to trade for these resources that were central for hunting and food production).

Once the Olmec did manage to organize as states, they began to plan for their permanence. Around 1650 BCE, the Olmec began to produce stone effigy bowls, which were much smaller than the monumental sculptures that followed. Over 200 known monumental stone sculptures remain; one-third are from San Lorenzo and the surrounding area. The colossal heads are the largest; some stand up to three and a half meters tall. Each head is unique, containing its own ear ornaments, headdress, specific

facial features, and expressions. Most scholars think they are portraits.

The Olmec also crafted smaller round sculptures that incorporated human and supernatural themes, rituals, or symbolic postures. In a later period, stelae emerge, which depict supernatural beings and elaborately dressed individuals engaged in specific actions. All Olmec stone sculptures are even more impressive considering the fact that they were made with no metal tools!



Figure 10.3.1: Olmec Colossal Head, La Venta, Mexico Author: User "Hajor" Source: Wikimedia Commons License: CC BY-SA 3.0

The Olmec believed in shamanism, that a direct connection existed between order on earth and order in the spiritual world. Through ritual and the assistance of their *nagual (*animal spirit companion), these shamans could travel to the supernatural world or guard against spirits who desired harm.[4] A number of altars and smaller sculptures show human-jaguar or human-dragon anthropomorphs, particularly those that reflect the existence of a gateway or portal between worlds. For example, La Venta Altar 4 had an earthly purpose as a throne and a symbolic one as a cosmological model. When the Olmec ruler sat on the throne he could be present in both the natural and supernatural realms. This journey between worlds was aided by the intercession of the ruler's animal spirit companion (in this case a jaguar).[5]

The Olmec undoubtedly left a lasting legacy on the Caribbean coast of Mesoamerica. Recent scholarship has given less credence to the Olmec as a "mother culture" and argues that it developed independently of Maya and Valley of Mexico cultures. Hopefully, as scholars and students examine the Olmec as an independent cultural entity, its legacy will continue to become clearer.

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10.4: The Maya

After settling at the base of the Yucatán Peninsula around 1000 BCE, the lowland Maya learned how to deal with drought, feed tens of thousands of people, and organize politically—all before 250 BCE.

The Late Classic period was one of tremendous growth. By 750 CE, the city of **Tikal**, in present-day Guatemala, had reached a population of 80,000, while the population of its rival Calakmul reached 50,000. To support these large populations, the Late Classic Maya had engineered a landscape that included water management projects, flattened ridge tops, and terraced hillsides. The population was fairly dense in cities and in the surrounding countryside. Leaders had tombs built in their honor, as well as imported luxury items like jade statues, feathers, cacao, and other items from the Mexican Highlands. These activities all demonstrate real sophistication.

The Late Classic Maya also had an advanced numerical annotation system of dots and bars and used zero. Maya writing began as pictographs and blended into quite artistic symbolism. In addition to more than seven hundred carved monuments, the culture produced wooden carvings, incised jades, and pottery.



Figure 10.4.1: Mayan Stela | Stela with Mayan Script, Anthropological Museum in Mexico City. Author: User “Wicki” Source: Wikimedia Commons License: Public Domain

Politically speaking, the Maya were never unified under one ruler or even a set of rulers. Instead, the Maya were a civilization that shared a set of cultural traits, a language family, but no single ruler or sense of common identity. Individual kingdoms rose and fell, but none was ever able to dominate the entire Maya area.

While their rule was perhaps not widespread, Maya rulers did hold tremendous power and prestige within their kingdoms. Rulers were kings at the top of a “steep” social hierarchy that was reinforced by religious beliefs. The king was a hereditary ruler chosen by the gods and a member of one of several elite bloodlines. Meanwhile, the priestly class organized a complex pantheon of both gods and deified ancestors.

Ancestor worship required ceremony and temple building, as well as a complex understanding of calendrics. Both the Maya and the Olmec understood time as “a set of repeating and interlocking cycles instead of the linear sequence of historical time.” (This concept is similar to today.) Long cycles alternated with short cycles. The long periods involved the repeated creations and destructions of the world in their creation stories—with an emphasis on repeated. Certain dates were more important than others because they were attached to good and bad events in the past. Calendar priests determined what those dates were and so had considerable power. They also could rewrite the course of events if this benefited the ruler.

Teotihuacán and the Toltec

To the north of the Maya culture area, the Valley of Mexico was the most “agriculturally desirable” zone in Mesoamerica. Climate was temperate, and rainfall was predictable—in contrast to the drenching rains of tropical Mesoamerica. Lesser amounts of rainfall required aqueducts, reservoirs, and canals if a city were to thrive. The city of Cuicuilco rose to prominence in the Valley of Mexico by 150 BCE, only to be badly damaged by a volcanic eruption around 400 CE. The subsequent decline of Cuicuilco allowed a competing city, **Teotihuacán**, to rise to prominence in the area.

By 550 CE, Teotihuacán was one of the six largest cities in the world, with a population of 125,000. It covered more than 7 square miles (20 square kilometers), had a marketplace, an administrative center, and several different types of housing. The largest buildings had both a functional and spiritual use. For example, the Pyramid of the Sun was built over a sacred cave likely connected with creation myths.

By the fourth century CE, Teotihuacán had the modern equivalent of neighborhoods. New houses were laid out on a rough grid with many homes organized into apartment compounds. The dwellings were constructed of volcanic rock, mortar, and wood for the roofs. The compounds also had a system of underfloor drains. Many of the dwellings were decorated with “polychrome wall murals” containing multiple religious themes and military themes, some depicting play or everyday life, while others being much more abstract.

To support its massive population, Teotihuacán needed to secure supplies and tribute from surrounding areas. Force was used to secure trade routes to the south, which provided access to goods as diverse as cacao beans, tropical bird feathers, salt, medicinal herbs, and honey. Once the city had become the region’s undisputed merchant power, its subsistence base increased to include the entire Basin of Mexico and some neighboring peoples like Tlazcala. Further, its political influences may even have extended into Maya kingdoms like Tikal.

Teotihuacán was able to sustain impressive growth and expansion for more than five centuries. Ultimately, its size and complexity contributed to its decline. At about 650 CE, roughly half of the city's public buildings and a number of temples, pyramids, and palaces were burned. Many were knocked down and torn apart. This action seems to have occurred as a result of attacks by internal and external groups, not invaders.

The Late Classic Maya would also experience a collapse of their cultural systems around 840 CE. Years of population growth, demands from the elite, and a period of prolonged drought occurred almost simultaneously. As a result of famine and infighting, nearly 85 percent of the population left the settlements. In many areas, abandoned farmlands were retaken by the forest.

Mesoamerica remained fertile and southern Mexico remained temperate, so a number of polities rose to prominence in the area after the Maya decline. One such region was Tula, in the Valley of Mexico. Tula would become the capital of the Toltecs, who saw the principal city grow to a population of 35,000 by 800 CE. Like all Mesoamerican cities at the time, it would expand its influence through trade. Toltec ceramics were found in regions ranging from Costa Rica to Guatemala. Toltec style I-shaped ball courts and rain dances were adopted by cultures like the Anasazi and Hohokam in modern-day Arizona and New Mexico (United States). Not only did the Hohokam build ball courts, but they also erected platform mounds and dug irrigation canals like those found in Mexico.

Perhaps influenced by the rapid decline of Teotihuacán, the Toltec wanted to rise to prominence quickly. The construction of Tula was hasty and conflict with neighbors went beyond typical captive taking or territorial gain. The Toltec viewed their conquest as a “sacred war”, where man would aid the gods in their fight against the powers of darkness.

Eventually, the Toltecs merged their sacred war with that of the northern Maya in the Puuc Hills of the Yucatán. Chichén would become the Toltec administrative center in the peninsula in the late tenth century, but they did not completely drive out the city’s Maya founders. In fact, the Itza Maya ruled the region under the Toltec and continued to do so well into the post-Columbian period.

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10.5: The Aztec

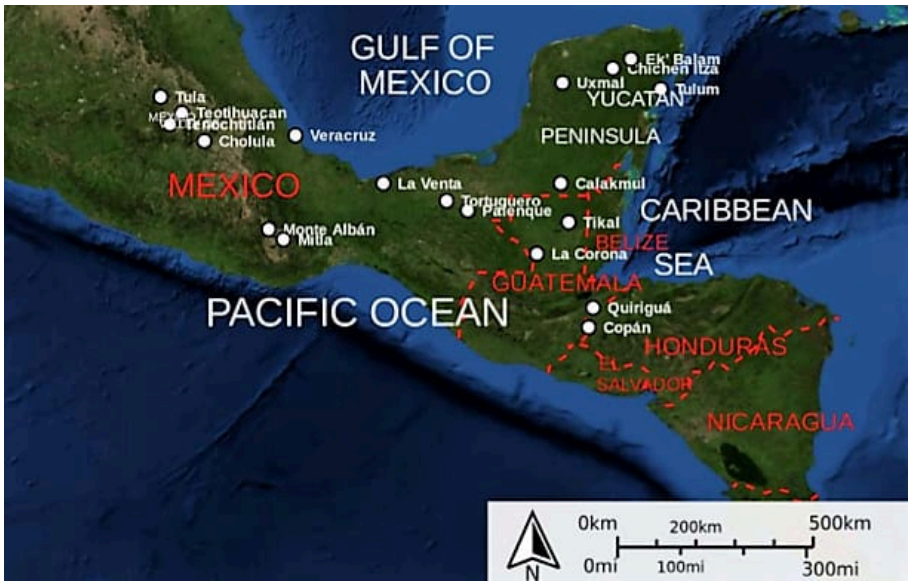
While the Itza were one of the last unconquered native civilizations in the New World, another post-classic kingdom drew the most attention from Mexico's Spanish conquerors: the Aztec.

Originally founded by the Nahuatl-speaking nomadic group called the Mexica, **Tenochtitlán** would become the magnificent capital of the Aztec. The city was composed of a network of dozens of smaller city-states who used the lake environment to plant wetland gardens and used raised causeways to move around the city. Some fields were raised, which drained them and helped support a population that totaled around 300,000 people (including the population of the neighboring city of Texcoco). Eventually, a larger network of canals was created that drained fields, fed crops, and provided for navigation with canoes. Not only were these raised fields a source of multiple crops, but also the lake provided wildfowl, salamanders, and algae.



Figure 10.5.1: Map of Tenochtitlán and Gulf of Mexico | Drawn by member of Hernán Cortés expedition, 1524. Author: User "Lupo" Source: Wikimedia Commons License: Public Domain

However, as the population grew to over a million, other means of support were needed, so the people looked to outside tribute. Beginning in 1428, the Mexica sought independence from their Tepanec patrons and allied with other outlying towns to form the Triple Alliance. The unified Aztec people were led by the Mexica ruler Itzcoatl and his advisors. In making an alliance with Texcoco, the Aztec were able to build a causeway between the cities and help improve the infrastructure of Tenochtitlán. Then, they began construction on the Great Temple, a central market, and a larger network of gardens or *chinampas*. The Great Temple would become the orienting point for the entire city and the site of thousands of human sacrifices.



Map 10.5.1: **Mesoamerican Historical Sites** Author: User “P Miles” Source: Wikimedia Commons License: CC BY-SA 3.0

The Aztec are perhaps best known for practicing human sacrifice. It's important to note that these sacrifices were not conducted in a wanton or random manner. First of all, for the new Aztecs, there was little tradition for community building to draw upon. Their rise to power had been quick and dramatic. Furthermore, they possessed a view that even though they had achieved greatness, decline was inevitable. Based on this belief system, ritual victims would be freed from the burdens of the uncertain human condition and become carefree hummingbirds or butterflies.

For the Aztec, ritual provided a kind of protection against excess. There was order in it, even if it was violent. Men had no independent power, and gods were very abstract in giving out gifts. Finally, in the Mexica worldview, the earth receives rather than gives, much as it does in the Judeo-Christian tradition. Through fertility and death, humans satisfy that hunger. The process of birth and death is the transition from one form of flesh to another. All man can do is order his portion of this natural cycle.

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10.6: Early Andes

After migrating through North and Mesoamerica, humans began to craft small campsites and fishing villages along the Pacific coast in South America. Around 3,000 BCE, the villages were replaced by residential and ceremonial centers. This transition was made possible through a new focus on irrigation and communal agriculture.

The Pacific coast and Andean cultures left an incredible amount of material culture (much of it well-preserved because of the dry climate) for archeologists to analyze. The evidence shows that parts of the Classical Andes—modern Peru, Chile, Ecuador, Bolivia, and Colombia—possessed the same level of cultural complexity as did China, Persia, and India during the same period. Through this material culture, the Classical peoples begin to separate from their ancient and often less complex ancestors.

This section begins with the end of the archaic period and the rise of a group of civilizations referred to as the **Norte Chico**.

10.6.1: Norte Chico

The Pacific coast developed large ceremonial and residential centers, which were organized around distinct status and rank among citizens. This area resembled other areas like the Deh Luran Plain of Iraq, the Nile in Egypt, and the Olmec heartland. While similarities with the early civilizations exist, the Norte Chico stands out for three reasons.

- First, it was politically "pristine." Scholars find no evidence that any outside polity influenced its development.
- Second, it endured for more than 1,300 years. This longevity gave the Norte Chico great influence in what would ultimately become a distinct Andean civilization. For example, large platform mounds of Norte Chico would also appear later in the highland center of **Chavín de Huantar**.
- Last, the Norte Chico development happened very quickly. By 2800 BCE, there were a number of similar large sites all with residential complexes, plazas, and platform mounds.[18]

The **Aspero** site is an example of a center. It covers 37 acres (fifteen hectares) and contains six platform mounds. While there are a number of large sites like Aspero, there doesn't seem to have been a central Norte Chico chiefdom or state. There was no Norte Chico capital and no real evidence of conflict or warfare. In addition, scholars find no indication of mass distribution of goods, such as jewelry, clothing, and exotic trade materials. Even shell beads and stone are extremely rare to find.

Usually, a cultural area requires some centralization and large-scale agriculture before scholars refer to it as a civilization. The Norte Chico at least tried to centralize, and may have combined or merged agriculture and fishing in some manner. A number of coastal sites contain remnants of cotton fishing nets and inland products like avocadoes and corn. These remnants suggest that internal canal building was likely possible with the assistance of the coast's more plentiful labor force. Evidence of communal cooking and eating exists, along with that of communal building.



Map 10.6.1: Map of Peru Site Locations | Archeological Site Locations Within Peru, including El Paraiso, Caral, and Aspero Author: User "Ontrvet" Source: Wikimedia Commons License: CC BY-SA 3.0

10.6.2: Chavín de Huantar

Chavín de Huantar is the iconic representation of The Late Initial Period (1800 – 800 BCE), where Peru saw the beginnings of a mix of Andean, coastal, and Amazon cultures. Chavín is located at an altitude of more than 3,000 meters in the Callejon de Conchucos, the easternmost basin between the Cordilleras Negra and Blanca in the Peruvian Andes. It is also midway between the coast and jungle, giving it access to the culture and resources of the greater Andean region. This access made it a pilgrimage center, an importer of luxury goods, and a disseminator first unifying Andean style.

Chavín's "Old Temple" is 330 feet across the back and more than fifty feet high at its highest. The temple is U-shaped with a sunken court in the middle, and harpy eagle, jaguar, and parading shamans surround it. The temple is also built around the *lanzón* (great lance) which was a kind of supernatural conduit.

The Tello obelisk contains carvings on all of its sides, which primarily represent tropical and mythical origins or "gifts of the cayman." Many dualities appear: male-female, plant type, ecological zone, sky-water, life-death, etc. These dualities and their meaning were reinforced by the pilgrimages made to Chavín and the ceremonies contained within them.

Archaeologists have found marine shell trumpets in the tunnel complex under the city and have attempted to replicate how sound would contribute to the mind-altering rituals undertaken at the complex.



Map 10.6.2: Map of Chavin Culture Extent Author: User “Roarjo” Source: Wikimedia Commons License: Public Domain

The images and rituals have helped establish what scholars refer to as the “Chavín cult.” The Chavín cult presents a universalist message based on the combined elements of coast and highlands that helped bring people to these sites for ceremony and construction. In other words, these ideas helped move the Andes into the state phase. At Chavín, it also seems that there was a leader/priest, like in Egypt. Therefore, it was through spiritual power that the state congealed and grew.

10.6.3: Moche

Later, other groups in Peru would build on religion and ceremony to help with state formation. The **Moche** began to conquer the North coast valleys in 200 BCE. By 250 CE, they had begun to construct the **Huaca del Sol** or temple of the sun and the **Huaca de la Luna** or temple of the moon at their capital. The Huaca del Sol seems to have been a royal residence, and the Huaca de la Luna was a place of worship. The Huaca del Sol contained over 143 million bricks, arranged into columns and marked with symbols perhaps of who made them. Each column probably represented a tax-paying **Ayllu** (kinship-based community), meaning that the Huaca or temple was a literal representation of how the empire was held up by its individual units.

Scholars are unsure of how much centralization existed at the upper echelons of Moche politics. Undoubtedly, there was a leadership class with several administrative levels. The first administrative level was that of the divine kings who are depicted in murals and ceramics. The second was of noble administrators. Below that were bureaucrats who organized the already extant clan system. Next came the long-standing clan leaders. The lowest level was composed of commoners, who lived in single-story adobe houses and mastered some craft like metallurgy or weaving. Others were highly skilled and perhaps worked exclusively for the rulers.



Figure 10.6.1: Stirrup-spout Vessel, Peru North Coast, Moche Culture, 100-500 CE Author: Unknown Source: Wikimedia Commons License: Public Domain

Outside of the capital were almost exclusively farmers who lived along the Moche's extensive irrigation canals. (In the Chicama Valley, there is a 74 miles (120 km) long canal still in use today.) They used the llama, a domesticated mountain pack animal to journey to the coast and gather guano at the Chincha Islands for fertilizing their valley farms.

By 600 CE, the city of Moche covered an area of a square kilometer and probably had a population of 15,000. Each conquered valley outside of the capital had its own huaca, and each one was connected to Moche by relay runners who carried messages written in the form of lines and dots on Lima beans.

Perhaps the most notable Moche legacy was their art. Buildings, murals, and pottery reflected their great skill and the high level of societal stratification. The Huaca del Sol at Cerro Blanco contained millions of bricks and more than 100 types of geometric symbols. Moche murals consisted of a unique series of squares depicting both abstract and mythological concepts involving themes of creation, combat, sacrifice, and men-jaguars. As already mentioned, the use of sacrifice may have had a functional explanation.

10.6.4: Huari

The **Huari** were able to build a successful empire in nearby areas combining intimidation and militarism with diplomacy, trade, and ideology. Archaeologists have found textiles and ceramics far from the capital. Likewise, their architecture was highly influential throughout the region. The Huari Empire carved out a centralized state in a region where none had previously existed by coordinating local irrigation and labor systems. By 700 CE, Huari maintained a population of 25,000 and an over 434 miles (700 kilometers)-wide "zone of influence" connected by a road network that may have been the model for the Inca road system. In fact, it was ultimately Huari diplomacy and organization, rather than Moche violence in ritual killings, that provided a more useful precedent for the Inca.



Map 10.6.3: Map of Huari-With-Tiahuanaco Author: User “Huhsunqu” Source: Wikimedia Commons License: Public Domain

10.6.5: Chimu

The **Chimu** Kingdom was more directly influenced by remnants of the Moche, occupying more or less the same geographic area. The Chimu capital of **Chan Chan** was established circa 1000 CE. Through a system of split inheritance, the Chimu forced the newly-ascended ruler to build his own material wealth, which led to the conquest of new territory and an increase in taxes. It also meant the construction of a new palace where each ruler would be buried along with hundreds of his attendants and llamas who were sacrificed to accompany him in the afterlife. Also, in the burial was a sample of his wealth in the form of textiles, wood carvings, pottery, or jewelry.

Earthquakes meant that the Chimu had to work hard to reclaim or make any use of Moche irrigation canals. They did manage to revive and extend the Moche system to eventually provide Chan Chan with diverse agricultural products from maize to cotton to peanuts. The Chimu also employed violence in their rise to power. However, their conquest by the Inca cut short any means for scholars to see if they intended to follow or rather eventually break from the Moche legacy.

10.6.6: South Coast peoples

The south coast of Peru developed somewhat distinctly because it is extremely arid. In certain areas along the coast, there has never been recorded rain. Surviving there meant accessing and controlling Andean runoff that sometimes went underground. As a result, the south coast’s population was much smaller, but in many ways was culturally richer.

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10.7: Incas

The Inca Empire



The Inca Empire, or Inka Empire, was the largest empire in pre-Columbian America. The civilization emerged in the 13th century and lasted until it was conquered by the Spanish in 1572. The administrative, political and military center of the empire was located in Cusco (also spelled Cuzco) in modern-day Peru. From 1438 to 1533, the Incas used a variety of methods, from conquest to peaceful assimilation, to incorporate a large portion of western South America. Beginning with the rule of Pachacuti-Cusi Yupanqui, the Inca expanded their borders to include large parts of modern Ecuador, Peru, western and south-central Bolivia, northwest Argentina, north and north-central Chile, and southern Colombia.

Religion

Inca myths were an oral tradition until early Spanish colonists recorded them. However, some scholars believe that they may have been recorded on **quipu**, Andean knotted-string records. The Inca believed in reincarnation. Death was a passage to the next world that was full of difficulties. The spirit of the dead, camaquen, would need to follow a long dark road. During the trip, the assistance of a black dog that was able to see in the dark was required. Most Incas imagined the afterworld to be very similar to the Euro-American notion of heaven, with flower-covered fields and snow-capped mountains. Those who obeyed the Inca moral code (do not steal, do not lie, do not be lazy) went to live in the "Sun's warmth" while others spent their eternal days "in the cold earth".

Though exaggerated by myth, it is true that the Incas made human sacrifices. For example, many as 4,000 servants, court officials, favorites, and concubines were killed upon the death of the Inca Huayna Capac in 1527.

Builders

Architecture was by far the most important of the Inca arts. Indeed, the stone temples used a mortarless construction that fit together so well that a knife could not be fitted through the stonework. The capital city of Cusco and the site of Machu Picchu are two valid examples of Inca construction. After just over 100 years of occupation, in 1572, Machu Picchu was abandoned as a belated result of the Spanish Conquest, possibly related to smallpox.

Other remains of rock construction are found among the Pucara (ca. 300 BC–CE 300) peoples to the south in Lake Titicaca, and later in the great city of Tiwanaku (ca. CE 400–1100) in present-day Bolivia. The rocks used in construction were sculpted to fit together exactly by repeatedly lowering a rock onto another and carving away any sections on the lower rock where the dust was

compressed. The tight fit and the concavity on the lower rocks made them extraordinarily stable.

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11: POWER OF IDEAS

The 14th through 18th centuries witnessed a wave of various movements. The Renaissance, Age of Discovery, Protestant Reformation, Scientific Revolution, and the Enlightenment were major movements that influenced each other.

11.1: Introduction

11.2: Renaissance

11.3: Age of Discovery

11.4: Protestant Reformation and Catholic Counter-Reformation

11.5: Scientific Revolution

11.6: The Enlightenment

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11.1: Introduction

The dictionary defines "ideas" as a thought or suggestion as to a possible course of action. From circa 1300-1789, there were many 'ideas' that emerged throughout Europe. These were not confined to one location, but would spread out into other continents. Nor did time offer any constraints, since the global community still deals with these philosophies and concepts today.

In this module, you will discover the Renaissance, Age of Discovery, Protestant Reformation, Scientific Revolution, and the Enlightenment. As you read through the material, think about your community, region, or country. What aspects can you apply to your edge of the world?

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11.2: Renaissance



Map of Italian and Northern Renaissance cities. Retrieved from https://commons.wikimedia.org/wiki/F...issancemap.jpg

11.2.2 European Renaissance, Italian and Northern

Beginning in the 1300's, a reawakened interest in classical art and knowledge emerged in the city-states of northern Italy inspired by humanist ideas. The era would witness an explosion of artistic and intellectual innovation and creativity.

The term Renaissance literally means "rebirth", and is recognized as the period in European civilization immediately following the Middle Ages. Lasting from approximately 1300 to 1600, this era marks the transition from medieval to modern times in Europe. It emerged first in the city-states of Italy, in particular, Florence, Rome, and Venice, and eventually spread north. The primary characteristic was a reawakened interest in the classical art and knowledge of the Greeks and Romans. Though the Western Roman Empire had suffered collapse during the Middle Ages, some Latin manuscripts survived within the monasteries, while scholars in the Eastern Roman empire, or Byzantium, had also managed to preserve classical writings. In addition, the Arab world was instrumental in helping to preserve and pass on classical texts.

According to a text from the period, the ideal Renaissance young man should be educated in the Greek and Roman classics, be charming, polite, and witty, be able to dance, write poetry, sing and play music. He should be physically graceful and strong and be a skilled rider, wrestler, and swordsman. Upper-class women were also expected to be well educated in classical literature and to be able to write well, paint, make music, dance, and be charming. The main difference in the expectations for men and women, however, was that a woman was not expected to seek fame as men did, and they were generally expected to inspire great poetry and art, not create it. All things considered, most Renaissance women had less political, economic, and social influence than medieval women, even though they were certainly better educated.

Renaissance interest in classical learning led to a new movement known as **humanism,** which focused on secular, or worldly, themes rather than on the religious ideas that had concerned medieval thinkers. Humanists believed in the idea of individualism that stressed the dignity and worth of the individual person and the importance of individual achievement.

Humanists encouraged the enjoyment of worldly goods and pleasures. Though most people remained devout Catholics, they believed a person could love and enjoy life without offending God, an attitude that would have shocked most people in medieval times. Medieval thinkers had often appeared to be consumed with guilt over sin and were constantly focused upon the need to obtain God's forgiveness for their "wicked" ways. Humanists, on the other hand, celebrated everything human. An individual's desire for fame and wealth was no longer considered sinful, but actually encouraged. People began to show greater interest in this world than in life hereafter.

Thus, a love for classical learning, the belief in self-improvement and achievement through many activities, especially education, and the enjoyment of secular pleasures are three important characteristics of the era. These three characteristics would be clearly reflected in the highly accomplished art of the period. Some more biased observers of the Renaissance would claim that the level of artistic achievement realized during this period has never been surpassed.

Italy's Advantages

While England and France were locked in the Hundred Years War, Italy had three advantages that fostered the Renaissance there: thriving cities, a wealthy merchant class, and the classical heritage of Greece and Rome.

Italy was strategically located on the Mediterranean Sea where, ever since the Crusades, trade between Asia and Europe had increased. Italian cities emerged as centers of banking, commerce, and handicrafts. The Popes in Rome collected revenues from throughout Europe, and individual city-states ran their own affairs, collecting taxes and raising their own armies. While cities were emerging in northern Italy, the rest of Europe remained mostly rural. It is in cities where people have better opportunities to exchange new ideas, creating an ideal breeding ground for an intellectual revolution.

Merchants became the wealthiest, the most powerful class, and dominated politics. Unlike nobles who inherited their social rank, they had to rely on individual merit and wit. This idea helped spur the Renaissance value of individualism. Renaissance popes beautified Rome by spending large amounts of money on art. The wealthy merchant class and religious leaders became **patrons** of the arts by financially supporting artists. By having their portraits painted or by donating public art to the city, the wealthy demonstrated their own importance.

Another reason that the Renaissance began in Italy is that artists and scholars drew inspiration from the ruins of Rome that surrounded them. They were impressed by the achievements of pre-Christian artists, thinkers, writers, and engineers. Like the Greeks, Renaissance thinkers believed in the power of human reason, observation, and experience to explain the world rather than simply relying on traditional Church teachings.

A Revolution in Art

Before the Renaissance, art in Italy was greatly influenced by Byzantine styles. Religious paintings were typically flat and lifeless. In the 1300's, the painter **Giotto** began creating an entirely new style that resulted in more depth and roundness to his figures. His figures showed emotion and gestures.

Masaccio and other artists experimented with ways to show three-dimensional space on a two-dimensional surface. They developed the rules of **perspective** to make objects appear to recede in the distance until they reached a vanishing point.



Cappella brancacci, San Pietro risana gli infermi con la sua ombra (restaurato), Masaccio" by Masaccio - book: John

T. Spike, Masaccio, Rizzoli libri illustrati, Milano 2002. Licensed under Public Domain via Wikimedia Commons- https://commons.wikimedia.org/wiki/F..._Masaccio.jpg

Donatello made sculpture more realistic by carving natural postures and expressions that reveal personality. With his statue, *David*, he created the first large, free-standing nude since ancient times.



The first version of *David* (1408–1409). Museo Nazionale del Bargello, Florence. Height 191 cm. https://en.Wikipedia.org/wiki/David_...(marmo)_01.JPG

Leonardo Da Vinci was a painter, sculptor, inventor, engineer, and scientist. Thus, he is often referred to as the ideal "Renaissance man." To understand human anatomy, he dissected human corpses. His notebooks include designs for a parachute, machine gun, war machines, and flying machines.

The original design of the giant crossbow (Codex Atlanticus, f. 149a) https://en.Wikipedia.org/wiki/Leonar...o_crossbow.JPG

Among his many masterpieces, Leonardo painted the *Mona Lisa*, which has been acclaimed as "the best known, the most visited, the most written about, the most sung about, the most parodied work of art in the world." The sitter's mysterious smile and her unproven identity have made the painting a source of ongoing investigation and fascination.

Mona Lisa, by Leonardo da Vinci, from C2RMF retouched.jpg

Leonardo also painted *The Last Supper*, which captures the individual personalities and expressions of Jesus' disciples after Jesus has announced that one of them will betray him.

Late 15th-century mural painting by Leonardo da Vinci in the refectory of the Convent of Santa Maria delle Grazie, Milan

Like Leonardo, **Michelangelo** could be considered a true Renaissance man. He was a painter, sculptor, architect, and poet. Influenced by classical art, he created figures that are forceful and show heroic grandeur and power. By doing this, he explored the Renaissance theme of human potential. Three of his most famous works are his sculptings the *Pieta* and *David* and his **fresco** paintings showing biblical scenes on the ceiling of the ***Sistine Chapel***. A fresco painting is a painting made on fresh plaster.

The Pietà (1498–1499) is a work of Renaissance sculpture by Michelangelo Buonarroti, housed in St. Peter's Basilica, Vatican. City. https://en.Wikipedia.org/wiki/Piet%C..._out_black.jpg

The painter, **Raphael**, studied the works of both Leonardo and Michelangelo. One of his favorite subjects was the Madonna and Child. He also filled the walls of Pope Julius II's library with several paintings, one of these being the *School of Athens* which conveys classical influence on the Renaissance. In the painting influential teachers, thinkers, and artists from ancient, classical, and Renaissance figures are brought together.



The School of Athens, or Scuola di Atene in Italian, is one of the most famous frescoes by the Italian Renaissance artist Raphael. It was painted between 1509 and 1511.

Renaissance Writers Change Literature

Renaissance writers increasingly wrote in the **vernacular**, the everyday language of one's homeland. While most serious poets of the age wrote in Latin, **Dante Alighieri** wrote *The Divine Comedy* in Italian. For this reason, he is sometimes called the creator of modern Italian. His example encouraged other poets to write in their own vernacular languages, such as England's Geoffrey Chaucer, Spain's Cervantes, and the English poet and dramatist, **William Shakespeare.**

Machiavelli wrote ***The Prince***, a guidebook in how to secure and maintain political power. He argued that most successful rulers were **not** those who acted according to laws or conscience, but those who were willing to do whatever was necessary to hold and maintain power. In other words, "the end justifies the means." *The Prince* is considered critical to the emergence of modern political science. His ideas mark the movement toward a more secular perspective of governing as opposed to the religious-based teachings of the Medieval Church.

Renaissance writers were able to command a much wider audience because of a remarkable technological breakthrough, the **printing press**. **Johann Gutenberg** published the first full-size book printed with movable type around 1455. For the first time, books were cheap enough that many Europeans could buy them. This action encouraged the spread of new ideas, and more people began to learn to read.

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11.3: Age of Discovery



Source: CK-12

A Prelude to the Age of Discovery

European medieval knowledge about Asia beyond the reach of Byzantine Empire was found 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 a description of the world and world map, the Tabula Rogeriana. There were reports of great African kingdoms beyond the Sahara, but the factual knowledge was limited to the Mediterranean coasts since the Arab blockade of North Africa precluded exploration inland. 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 a collection of accurate maritime knowledge.

A prelude to the Age of Discovery was a series of European expeditions crossing Eurasia by land in the late Middle Ages. Although the Mongols had threatened Europe with pillage and destruction, 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 to explore eastwards.

From the 8th century until the 15th century, the Republic of Venice and neighboring maritime republics held the monopoly of European trade with the Middle East. The silk and spice trade, which also involved incense, herbs, drugs, and opium, made these Mediterranean city-states phenomenally rich. Spices were among the most expensive and demanded products of the Middle Ages, as they were used in medieval medicine, religious rituals, cosmetics, perfumery, as well as food additives and preservatives.

Source: CK-12

Marco Polo

Marco Polo (1254-1324) was an Italian merchant traveler from Venice whose travels are recorded in Livres des merveilles du monde, 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. This book inspired **Christopher Columbus** and many

other travelers.

The Transfer of Culture and Knowledge

The Italian trade routes that covered the Mediterranean and beyond were major conduits of culture and knowledge. The recovery of lost Greek classics (and, to a lesser extent, Arab advancements on them) following the Crusader conquest of the Byzantine heartlands, revitalized medieval philosophy in the Renaissance of the 12th century. Humanist scholars searched monastic libraries for ancient manuscripts and recovered Tacitus and other Latin authors. The rediscovery of Vitruvius meant that the architectural principles of Antiquity could be observed once more, and Renaissance artists were encouraged to excel the achievements of the Ancients, like Apelles.

Established Trade Routes

In the 13th century, much of Europe experienced strong economic growth. The trade routes of the Italian states linked with those of established Mediterranean ports and eventually the Hanseatic League of the Baltic and northern regions of Europe. The city-states of Italy expanded greatly and grew in power to become de facto fully independent of the Holy Roman Empire. Apart from the Kingdom of Naples, outside powers kept their armies out of Italy. During this period, the modern commercial infrastructure developed, with double-entry book-keeping, joint stock companies, an international banking system, a systematized foreign exchange market, insurance, and government debt. Florence became the center of this financial industry and the gold florin became the main currency of international trade.

An Agrarian Revolution

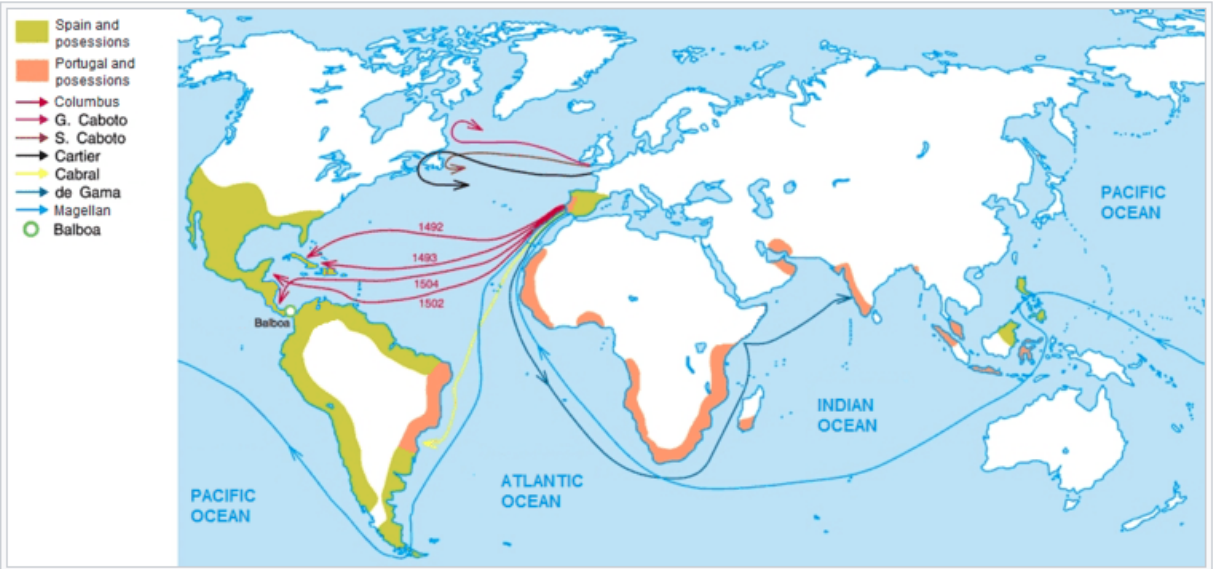
The decline of feudalism and the rise of cities influenced each other. For example, the demand for luxury goods led to an increase in trade, which led to greater numbers of tradesmen becoming wealthy, who, in turn, demanded more luxury goods. This change gave the merchants almost complete control of the governments of the Italian city-states, which further enhanced trade. One of the most important effects of this political control was security. Those that grew extremely wealthy in a feudal state ran the constant risk of running afoul of the monarchy and having their lands confiscated. The northern states also kept many medieval laws that severely hampered commerce, such as those against usury, and prohibitions on trading with non-Christians. In the city-states of Italy, these laws were repealed or rewritten.

The Age of Discovery

The Age of Discovery started in the early 15th century with the first Portuguese discoveries in the Atlantic Archipelagos and Africa, as well as the discovery of America by Spain in 1492, and the discovery of the ocean route to the East in 1498. A series of European naval expeditions across the Atlantic and still later the Pacific continued until the 18th century.

The Age of Discovery is sometimes regarded as a bridge between the Middle Ages and the Modern era as well as a contemporary of the Renaissance. European overseas expansion

- led to the rise of colonial empires
- created contact between the Old and New Worlds as a wide transfer of plants, animals, foods, human populations (including slaves), communicable diseases, and culture occurred. This action is also referred to as the Columbian Exchange between the Eastern and Western hemispheres.
- allowed the global mapping of the world, resulting in a new world-view and distant civilizations acknowledging each other



Source: CK-12

Atlantic Exploration (1415–1488)

Henry the Navigator took the lead role in encouraging Portuguese maritime exploration until his death in 1460. Since Europeans did not know what lay beyond Cape Bojador on the African coast. Henry wished to know how far the Muslim territories in Africa extended, and whether it was possible to reach Asia by sea to reach the source of the lucrative spice trade. 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 protestations from Castile. At around the same time as the unsuccessful attack on the Canary Islands, the Portuguese began to explore the North African coast. Bartolomeu Dias reached the Cape of Good Hope and entered the Indian Ocean in 1488. 2.

Indian Ocean explorations led by Vasco da Gama (1497–1542)

Ten years later, **Vasco da Gama** led the first fleet around Africa to India, arriving in Calicut and starting a maritime route from Portugal to India. This action 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 nor the dangerous Arabian Peninsula, and that the whole voyage would be made by sea. In addition, the Indian spice routes helped the Portuguese Empire improve its economy. These spices were mostly pepper and cinnamon at first, but soon included other products, all new to Europe. After reaching Brazil, explorations proceed to southeast Asia, having reached Japan in 1542.

American continents

Christopher Columbus

In the early modern period, the voyages of Christopher Columbus initiated European exploration and colonization of the American continents. Christopher Columbus was a navigator and an admiral for Spain who made four voyages to the Americas, the first being in 1492 which resulted in the "discovery of America" from a European point of view. Portugal had been the main European power interested in pursuing trade routes overseas, however soon Spain and other European kingdoms sent expeditions and established colonies throughout the New World. They converted the native inhabitants to Christianity and built large trade networks across the Atlantic which introduced new plants, animals, and food crops in both continents.

Columbus needed someone to fund his voyage, so he went to the king of Portugal, John II, who immediately declined. Then, he turned to Queen Isabella of Spain who reluctantly funded him, as well as extended the title "Admiral of the Ocean Sea". On September 6, 1492, he departed San Sebastián de la Gomera for what turned out to be a five-week voyage across the ocean.

First Journey--Columbus visited San Salvador in The Bahamas (which he was convinced was Japan), Cuba (which he thought was China) and Hispaniola (where he found gold). Land was first sighted at 2 a.m. on October 12, 1492 aboard the La Pinta. While on land, he observed the people and their cultural lifestyle. In January 1493, after founding the settlement of La Navidad, he left 39 men and set sail for home by way of the Azores. Columbus was received as a hero in Spain. He displayed several indigenous persons and what gold he had found to the court, as well as the previously unknown tobacco plant, the pineapple fruit, the turkey, and the hammock.



"The First Voyage", chromolithograph by L. Prang & Co., published by The Prang Educational Co., Boston, 1893. Imaginary scene of Christopher Columbus bidding farewell to the Queen of Spain on his departure for the New World, August 3, 1492. Source: CK-12

Second Voyage (1493-1496)--Before he left Spain on his second voyage, Columbus had been directed by Ferdinand and Isabella to maintain friendly, even loving, relations with the indigenous people. In February 1495, Columbus disobeyed the Queen and enslaved five hundred and sixty people. The slaves were shipped to Spain. Two hundred died during the route back to Spain, and half of the remainder were ill when they arrived. After legal proceedings in the Cortes, some survivors were ordered released and returned to their American homeland.

Third Voyage (1498-1500)--According to the abstract of Columbus' journal made by Bartolomé de Las Casas, 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. On May 30, 1498, Columbus left port with a fleet of six ships. From August 4 through August 12, 1498, he explored the Gulf of Paria which separates Trinidad from mainland Venezuela. He then explored the mainland of South America and described these new lands as belonging to a previously unknown new continent, but he pictured it hanging from China.

Fourth Voyage (1502-1504)--Columbus made a fourth voyage, nominally in search of a westward passage to the Indian Ocean. He spent two months exploring the coasts of Honduras, Nicaragua, and Costa Rica, before arriving in Almirante Bay, Panama on October 16, 1502. On the way back, his ships sustained damage in a storm off the coast of Cuba. Unable to travel any farther, the ships were beached in St. Ann's Bay, Jamaica for a year. Help finally arrived in 1504, and Columbus and his men sailed to Spain.

Legacy--Columbus died in Valladolid, Spain, on May 20, 1506, at around the age of 54. The success of Columbus's first voyage touched off a series of westward explorations by European seafaring states who sought to exploit the New World's riches; build trade networks and colonies; and through the Indian Reductions practice relocate, use the labor of, and attempt Christian conversions of the native people.

Columbus and other Iberian explorers were initially disappointed with their discoveries. Unlike Africa or Asia, the Caribbean islanders had little to trade with the Spanish ships. Thus, the islands became the focus of colonization efforts. During this time, pandemics of European diseases such as smallpox devastated the indigenous populations. Once Spanish sovereignty was established, the Spanish focused on the extraction and export of gold and silver.

Spanish Conquest of the Aztecs

According to some historians, the conquest of the Aztec Empire was one of the most significant events in world history. The Spanish authorized expeditions or entradas for the discovery, conquest, and colonization of new territory, using existing Spanish settlements as a base. Into this fray jumped Hernándo Cortés. Not only had Cortés never commanded men in battle, but the men on his expedition had never seen combat before. However, there was a whole generation of Spaniards who participated in expeditions in the Caribbean.



Hernándo Cortés Source: CK-12

Despite some early battles between the two, Cortés allied with the Aztecs' long-time enemy, the Confederacy of Tlaxcala, and arrived at the gates of Tenochtitlan on November 8, 1519. This group became increasingly dangerous and unwelcomed guests in the capital city. In June 1520, hostilities broke out, culminating in the massacre in the Main Temple and the death of Aztec Emperor Moctezuma II. The Spaniards fled the town on July 1, an episode later characterized as La Noche Triste (the Sad Night). Returning 1521, they lay siege to Tenochtitlan and eventually destroyed the great city. Simultaneously, the Aztecs suffered from a smallpox outbreak that killed between 10 and 50% of the population.

The Aztec Empire ceased to exist with the Spanish final conquest of Tenochtitlan in August 1521. The empire had been composed of separate city-states that had either allied with or been conquered by the Mexica of Tenochtitlan. These entities gave tribute to the Mexica while maintaining their internal ruling structures. This policy continued under Spanish rule. The fall of the Aztec Empire was the key event in the formation of New Spain, which would later be known as Mexico.

To reward to Spaniards who participated in the conquest, the Spanish crown authorized grants of native labor in particular indigenous communities via the **Encomienda**. The indigenous were not chattel slaves bought, sold, or removed from their home community, but the system was one of forced labor. The Spanish system was actually built on pre-existing patterns. Due to some horrifying instances of abuse against the indigenous peoples, Bishop Bartolomé de las Casas suggested importing black slaves to replace them (he later repented when he saw the even worse treatment given to the black slaves).

Nevertheless, Aztec culture survives today. Modern-day Mexico City is built on the site of the Aztec capital, Tenochtitlan. There are still 1.5 million people who speak the Aztec language of Nahuatl, and part of the Mexica migration story appears on the Mexican flag.

Spanish Conquest of the Incas

Spanish conquistadors led by Francisco Pizarro and his brothers explored south from what is today Panama, reaching Inca territory by 1526. In search of gold, they found riches in the Inca Empire. With superior technology, military tactics, and the introduction of new diseases, the Spanish defeated the Inca in 1572.

After the fall of the Inca Empire, many aspects of Inca culture were systematically destroyed, including their sophisticated farming system. Spanish colonial officials used the Inca mita corvée labor system for colonial aims, sometimes brutally. One member of each family was forced to work in the gold and silver mines. The foremost of which was the titanic silver mine at Potosí. When a family member died, which would usually happen within a year or two, the family would be required to send a replacement.

The effects of smallpox on the Inca empire were even more devastating. Beginning in Colombia, smallpox spread rapidly before the Spanish invaders first arrived in the empire. The spread was probably aided by the efficient Inca road system. Within a few years, smallpox claimed perhaps as much as 60% to 94% of the Inca population with other waves of European disease weakening them further. Smallpox was only the first epidemic. Typhus (probably) in 1546, influenza and smallpox together in 1558, smallpox again in 1589, diphtheria in 1614, measles in 1618 – all ravaged the remains of Inca culture.

Columbian Exchange

After Columbus' arrival in the Americas, the animal, plant, and bacterial life of these two worlds began to mix. This process was called the Columbian Exchange. By reuniting formerly biologically distinct landmasses, the Columbian Exchange had dramatic and lasting effects on the world.

The Flow from East to West: Disease

When the first inhabitants of the Americas arrived across the Bering land bridge between 20,000 and 12,000 years ago, they brought few diseases with them. Why? For one reason, they had no domesticated animals, the original source of human diseases such as smallpox and measles. In addition, as they passed from Siberia to North America, the first Americans had spent years in extreme cold, which eliminated many of the disease-causing agents that might have traveled with them. As a result, the first Americans and their descendants, perhaps 40 million to 60 million strong by 1492, enjoyed freedom from most of the infectious diseases that plagued populations in Afro-Eurasia for millennia. Meanwhile, in Asia and Africa, the domestication of herd animals brought new diseases spread by cattle, sheep, pigs, and fowl.

Soon after 1492, sailors inadvertently introduced these diseases — including smallpox, measles, mumps, whooping cough, influenza, chickenpox, and typhus — to the Americas. People who lived in Afro-Eurasia had developed some immunities to these diseases because they had long existed among most Afro-Eurasian populations. However, the Native Americans had no such immunities. Adults and children alike were stricken by wave after wave of epidemics. In the larger centers of highland Mexico and Peru, many millions of people died. On some Caribbean islands, the Native American population died out completely. In all, between 1492 and 1650, perhaps 90 percent of the first Americans had died.

This loss is considered among the largest demographic disasters in human history. By stripping the Americas of much of the human population, the Columbian Exchange rocked the region's ecological and economic balance. Ecosystems were in tumult as forests regrew and previously hunted animals increased in number. Economically, the population decrease brought by the Columbian Exchange indirectly caused a drastic labor shortage throughout the Americas, which eventually contributed to the establishment of African slavery on a vast scale in the Americas. By 1650, the **slave trade** had brought new diseases, such as malaria and yellow fever, which further plagued Native Americans.

The Flow from East to West: Crops and Animals

The introduction of new crops and domesticated animals to the Americas did almost as much to upset the region's biological, economic, and social balance as the introduction of disease. Columbus and his followers brought the familiar food grains of Europe: wheat, barley, and rye. They also brought Mediterranean plantation crops such as sugar, bananas, and citrus fruits, which all had originated in South or Southeast Asia.

When it came to animals, the Native Americans borrowed eagerly from the Eurasian stables. The Columbian Exchange brought horses, cattle, sheep, goats, pigs, and a collection of other useful species to the Americas. Before Columbus, Native American societies in the high Andes had domesticated llamas and alpacas, but no other animals weighing more than 100 lbs (45 kg) or were suitable for domestication. So, while Native Americans had plenty of good food crops available before 1492, they had few domesticated animals. The main ones, aside from llamas and alpacas, were dogs, turkeys, and guinea pigs.

Of all the animals introduced by the Europeans, the horse held a particular attraction. In the North American Great Plains, the arrival of the horse revolutionized Native American life, permitting tribes to hunt the buffalo far more effectively. Several Native American groups left farming to become buffalo-hunting nomads and, incidentally, the most formidable enemies of European

expansion in the Americas.

Cattle, sheep, pigs, and goats also proved popular in the Americas. Within 100 years after Columbus, huge herds of wild cattle roamed many of the natural grasslands of the Americas. Wild cattle, and, to a lesser degree, sheep and goats, menaced the food crops of Native Americans, notably in Mexico. Eventually, ranching economies emerged, based variously on cattle, goats, or sheep. The largest ranches emerged in the grasslands of Venezuela and Argentina, and on the broad sea of grass that stretched from northern Mexico to the Canadian prairies. Native Americans used livestock for meat, tallow, hides, transportation, and hauling. Altogether, the suite of domesticated animals from Eurasia brought a biological, economic, and social revolution to the Americas.

The Flow from West to East: Crops and Cuisine

America's vast contribution to Afro-Eurasia in terms of new plant species and cuisine transformed life in places as far apart as Ireland, South Africa, and China. By the time Columbus had arrived, dozens of plants were in regular use, the most important of which were maize (corn), potatoes, cassava, and various beans and squashes. Lesser crops included sweet potato, papaya, pineapple, tomato, avocado, guava, peanuts, chili peppers, and cacao, the raw form of cocoa. By the late 20th century, about one-third of the world's food supply came from plants first cultivated in the Americas.

Within 20 years of Columbus' last voyage, maize had established itself in North Africa and perhaps in Spain. It spread to Egypt, and from there to the Ottoman Empire, especially the Balkans. Its journey continued eastward, appearing in China by the 16th century. By the 19th century, it became an important crop in India. Maize probably played its greatest role, however, in southern Africa. In late 20th-century South Africa, maize grew in two-thirds to three-quarters of the region's cropland.

Despite maize's success, the humble potato probably had a stronger impact in improving the food supply and in promoting population growth in Eurasia. The potato had little impact in Africa, where conditions did not suit it. But in northern Europe, the potato thrived, especially in Ireland. After 1750, Scandinavia, the Low Countries, Germany, Poland, and Russia also gradually accepted the potato, which helped drive a general population explosion in Europe. This population explosion may have laid the foundation for world-shaking developments such as the Industrial Revolution and modern European imperialism. The potato also fed mountain populations around the world, notably in China.

In contrast, the animals of the Americas have had very little impact on the rest of the world, with the exception of the turkey. Wild animals have done better. Probably after the 19th century, North American muskrats and squirrels successfully colonized large areas of Europe. Some animals were deliberately introductions introduced into Europe, such as raccoons fancied for their fur. However, no species introduced from the Americas revolutionized human affairs or animal ecology anywhere in Afro-Eurasia. In terms of animal populations as with disease, the Americas contributed little that could flourish in the conditions of Europe, Africa, or Asia.

The Rise of the Slave Trade

Europeans did not introduce slavery to Africa. As African rulers rose and fell, their political opponents, people of high social status, and their families were sold to promote internal political stability. Poor people were sold to reconcile debts owed by themselves or their families. Chiefs sold people as punishment for crimes. Gangs of Africans and a few marauding Europeans captured free Africans who were also sold into slavery. Domestic slaves were resold and prisoners of war were sold. Africans themselves carried out the capture and sale of other Africans for enslavement — few Europeans actually marched inland and captured slaves themselves.

WARS OVER SLAVERY

As the slave trade continued, more and more wars broke out between African principalities. Whatever the causes of these wars, they produced prisoners of war that supplied slave factories along the West and West Central African coast.

The fighting between African societies followed a pattern. Wars weakened the centralized African governments and undermined the authority of associations, societies, and the elders who exercised social control. Conflict brought about a loss of population and seriously compromised indigenous production of material goods, cash crops, and subsistence crops. Indeed, 17th Century Capuchin monks reported that the Angolan Ndongo slave catchment area was rapidly becoming a wasteland as countless people died in war, were exported as slaves, or fled slave-catching warriors.

Both winners and losers in the African wars came to rely upon European trade goods. Eventually, European money replaced cowrie

shells as a medium of exchange. At the same time, Europeans increasingly required people in exchange for trade goods. Once this stage was reached, African society had little choice but to trade human lives for European goods and guns — guns that had become necessary to wage wars for further captives in order to trade for goods upon which the African society was now dependent.

The effects of the trade on African civilization and culture were devastating. African societies lost kinship networks, agricultural laborers, as well as artisans and craftsmen along with their knowledge of textile production, weaving and dyeing, metallurgy and metalwork, carving, basket making, potting skills, etc. Ironically, these expertise and skills were brought to the New World as part of the slave trade.

Middle Passage

The Africans who had been stolen from their homes were placed onto ships that took them to South America, the Caribbean, or North America. This trip across the Atlantic Ocean was known as the Middle Passage. Conditions for the captured men, women, and children aboard the ship were horrible. Up to a thousand people would have to survive for two to five months largely below deck, in quarters so tight that they could barely move. Besides being unbearably cramped, the deck had no ventilation, windows, or way to dispose of waste. Disease was rampant. Food was limited. Violence and torture were common. Those who did survive the Middle Passage were sold at auction upon arrival in their new country. These formerly free people were now enslaved, the property of another person.

Slavery in the New World

The first Africans in America arrived in Jamestown, Virginia, as indentured servants in 1619. (Indentured servants were laborers who were under contract, or indenture, to work for another person for a set number of years.) When the contract expired, the laborer was free. Later, Africans brought to America arrived as slaves. Slaves were laborers who had no contract or rights and had to work for their owners for their entire lives.

According to some laws, if a person's mother was enslaved, then that person was also enslaved. The United States banned the importation of slaves from Africa in 1808. Slavery would remain legal until the end of the Civil War in 1865.

The Africans who were brought to the Americas hundreds of years ago overcame many difficulties. Thanks to their contributions and to those of their descendants, the American continent is the richer.

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11.4: Protestant Reformation and Catholic Counter-Reformation



Print shows Luther burning the papal bull of excommunication, with vignettes from Luther's life and portraits of Hus, Savonarola, Wycliffe, Cruciger, Melanchton, Bugenhagen, Gustav Adolf, & Bernhard, duke of Saxe-Weimar. Source: https://commons.wikimedia.org/wiki/F...tin_Luther.jpg

The Protestant Reformation

Revolutionary changes emerged in Christian Europe during the 16th century. Criticism of the Catholic Church's authority and traditions led to the Protestant Reformation that would end the religious unity of Europe and lead to devastating wars between Catholics and Protestants. The Reformation would help strengthen the power of secular rulers, paving the way for the emergence of the modern nation-state.

By 1500, many forces had weakened the power of the Catholic Church. The most important were the new ideas of the Renaissance, the new technology of the printing press, and the increasing skepticism of Church authority generated from events such as the Great Schism and Black Death. There was also a growing awareness of widespread corruption with the Church. Many people entered the clergy to gain power and wealth rather than because of faith. The Papacy experienced a growing loss of spiritual influence, as the Pope and members of the Church hierarchy acted more like secular princes than spiritual leaders. Further, church leaders were slow to respond to calls for reform.

In the early 16th century, the Church had fallen into the practice of selling **indulgences.** Indulgences were pardons from punishment for committing a sin, allowing the sinner to enter Heaven. This practice brought in a great deal of revenue for the Church. The Pope used some of these funds to construct St. Peter's Basilica in Rome.

Martin Luther, an Augustinian monk, believed that neither priests nor the Pope had special powers. In 1517, he posted **Ninety-Five Thesis**, or statements, on a church door in Germany that challenged the Pope's right to sell indulgences. Luther asserted that, "Those who believe that they can be certain of their salvation because they have indulgence letters will be eternally damned, together with their teachers."

Martin Luther; (10 November 1483 – 18 February 1546) was a German friar, priest and professor of theology who was a seminal figure in the Protestant Reformation.

Luther's Ninety-Five Thesis sought reform of the Catholic Church. His teachings rested on three main ideas:

- People could win salvation only by faith in God's gift of forgiveness. (The Church taught that faith *and* "good works" – your behavior, practicing the sacraments of the Church, etc. - were needed for salvation).
- All Church teachings should be clearly based on the words of the Bible. The Pope and church traditions were false authorities.
- All people with faith were equal. Therefore, people did not need priests to interpret the Bible for them.

Increasingly, the Pope realized that this monk was a serious threat. In one angry reply to Church criticism, Luther actually suggested that Christians drive the pope from the Church by force. In 1520, Pope Leo X issued a decree threatening Luther with excommunication unless he took back his statements. Instead, Luther gathered his students together around a bonfire in Wittenberg, Germany, and threw the pope's decree into the flames. Leo **excommunicated** Luther (expelled him from the Church).

Then, Luther was summoned by the Holy Roman Emperor, Charles V, a devout Catholic, to stand trial in the German city of Worms. When told to **recant**, or take back, his statements, Luther refused. Charles issued the Edict of Worms that declared Luther an outlaw and a heretic. Accordingly, no one in the empire was to give Luther food or shelter. All his books were to be burned.

Luther would be sheltered and protected within a castle by a powerful prince who supported his views. There, he would translate the New Testament into vernacular German, so people could read the Christian Bible on his or her own. Returning to Wittenberg in 1522, he discovered that many of his ideas were already being put into practice. Priests dressed in ordinary clothes and called themselves ministers, and led church services in German instead of Latin. Some ministers had married, a practice not permitted to priests within the Catholic Church.

The reformers became known as **Protestants**, and many German princes adopted Protestantism. Eventually, the term Protestant was applied to Christians who belonged to non-Catholic churches. Instead of continuing to seek reforms within the Catholic Church, Luther and his followers become a separate religious group and established the **Lutheran Church**, the first of the Protestant churches that would eventually be established.

By 1524, German peasants, excited by Protestant talk of Christian freedom, demanded an end to serfdom. Bands of angry peasants went about the countryside raiding monasteries, pillaging, and burning. Luther was horrified by the violence and sided with the Princes who had supported him, urging them to ruthlessly put down the revolt. Though he had attacked the Pope, he supported secular authority. As many as 100,000 people were massacred during this event known as the Peasant's Revolt.

Some German princes liked Luther's ideas for selfish reasons, seized Church lands and property, and claimed independence from the Holy Roman Empire. In 1529, German princes who remained loyal to the pope agreed to join forces against Luther's ideas. Holy Roman Emperor Charles V led the war against the Protestant princes of Germany. Even though he defeated them in 1547, he failed to force them back into the Catholic Church.

Weary of fighting, Charles ordered all German princes, both Protestant and Catholic, to assemble in the city of Augsburg. At that meeting, it was agreed that the churches in Germany could be either Lutheran or Catholic. Furthermore, the prince of every state would decide the religion of his state. The **Peace of Augsburg** (1555) temporarily ended the religious wars in Germany. (Later, the war reignited in the **Thirty Years' War** (1618-1658), in which Germany would be ravaged. It is estimated that about 2/3rds of the German population perished or fled Germany during this conflict.)

Outside of Germany

King Henry VIII had become concerned that his Queen, Catherine of Aragon would not be able to give birth to a male heir. When the Pope refused his request to annul the marriage so that he could remarry, Henry broke with the Catholic Church, closed the English monasteries, and seized all Church lands. In 1534, Parliament passed the **Act of Supremacy**, which declared the English King to be the official head of the English Church. To raise money, Henry sold much of the land he had seized to nobles and to members of the rising middle class. Suddenly there were many English landowners who stood to lose property if England returned to the Catholic Church. This group formed a solid base of support for the Protestant Reformation in England.

In **Geneva**, Switzerland **John Calvin** started a new Protestant Church. Calvin taught that since God was all-knowing, it was predestined (already decided by God) who would be saved and who would be damned. While faith was the key to salvation, it was God who gave faith to some and denied it to others. Only the "Elect" would be saved. Such ideas encouraged hard work and a strict moral code. In Geneva, worldly success was interpreted as a sign of God's favor.

The Catholic Counter-Reformation

As Protestantism swept across many parts of Europe, the Catholic Church reacted by making limited reforms, curbing earlier abuses, and combating the further spread of Protestantism. This movement is known as the **Catholic Counter-Reformation**.

Ignatius Loyola was one such leader of Catholic reform. He established the Society of Jesus. Commonly called **Jesuits,** they sought to defend and spread the Catholic faith. Stressing absolute discipline and obedience to the Pope, the Jesuits were like a spiritual army. They founded superb schools throughout Europe, converted non-Christians to Catholicism in the Americas, Africa, and Asia, and were successful in preventing the further spread of Protestantism in areas such as Bavaria and Poland, which remain predominantly Catholic today.

In 1545, at the request of Pope Paul III, Catholic bishops and cardinals met at the **Council of Trent** and agreed on the following doctrines:

- The pope's interpretation of the Bible was final. Any Christian who substituted his or her own interpretation was a heretic.
- Christians were not saved by faith alone, as Luther argued. They were saved by faith and good works.
- The Bible and Church tradition shared equal authority for guiding a Christian's life.
- Indulgences, pilgrimages, and venerations of holy relics were all valid expressions of Christian piety, though the selling of indulgences was banned.

The Church also drew up a list of books, the *Index of Forbidden Book*s, that were considered dangerous to the Catholic faith. Catholic bishops throughout Europe were ordered to gather up the offensive books, including Protestant Bibles, and burn them in great bonfires. The Church established the **Inquisition**, a court whose purpose was to punish **heretics** (those who denied or contradicted Church teachings). Trials were held to examine, often by torture, those who denied or opposed Church teachings.

Because of the Reformation, religion no longer unified Europe. The Reformation tended to strengthen the power of secular rulers, paving the way for the emergence of the modern nation-state. In Protestant countries, people no longer had allegiance to the Pope: the secular ruler became the highest authority. In Catholic countries, the Church gave more power to secular rulers to help fight Protestantism. In general, France, Italy, Spain, and Southern Germany remained Catholic. Northern Germany, England, Holland, and Scandinavia became Protestant. Finally, the reformers' successful revolt against Church authority laid the groundwork for a rejection of Christian belief that occurred in Western culture in later centuries.

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11.5: Scientific Revolution

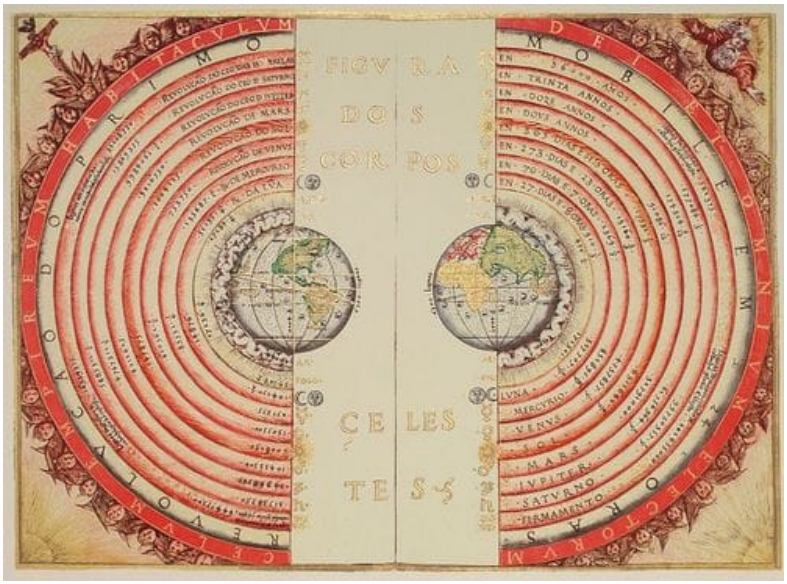


Figure of the heavenly bodies — An illustration of the Ptolemaic geocentric system by Portuguese cosmographer and cartographer Bartolomeu Velho, 1568 (Bibliothèque Nationale, Paris) Source: https://commons.wikimedia.org/wiki/F...Velho_1568.jpg

Roots of the Scientific Revolution

The word "revolution" connotes a period of turmoil and social upheaval where ideas about the world change severely and a completely new era of academic thought is ushered in. Therefore, the Scientific Revolution (1543 – 1687) describes quite accurately what took place in the scientific community. Medieval scientific philosophy was abandoned in favor of the new methods proposed by Bacon, Galileo, Descartes, and Newton. The importance of experimentation to the scientific method was reaffirmed. The importance of God to science was for the most part invalidated. Last, the pursuit of science itself (rather than philosophy) gained validity on its own terms. 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 they could use as a starting point (either by disproving or building on the theorems).
4. Groups like the British Royal Society helped validate science as a field by providing an outlet for the publication of scientists' work.

These changes were not immediate, nor did they directly create the experimental method used today. But they did represent a step toward Enlightenment thinking (with an emphasis on reason) that was revolutionary for the time.

Science and Philosophy Before the Revolution

At the end of the sixteenth century, "natural philosopher" carried much more academic clout. So, the majority of the research on scientific theory was conducted not in the scientific realm, but in philosophy, where "scientific methods" like empiricism and teleology were promoted.

In the 17th century, empiricism and teleology existed as remnants of medieval thought that were utilized by philosophers. Empiricism is a theory that reality consists solely of what one physically experiences. Teleology is the idea that phenomena exist

only because they have a purpose, i.e. because God wills them to do so. Both these theories did not have a need for fact-gathering, hypothesis writing, and controlled experimentation.



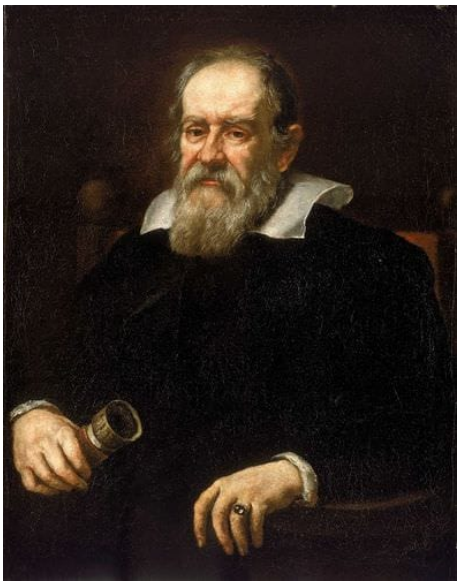
Robert Boyle (1627–1691), an Irish-born English scientist, was an early supporter of the scientific method and the founder of modern chemistry. Source: https://commons.wikimedia.org/wiki/F...bert_Boyle.jpg

The defining feature of the scientific revolution lies in how much scientific thought changed during a period of only a century. Modern experimental methods incorporate Francis Bacon's focus on the use of controlled experiments and inductive reasoning, Galileo's emphasis on incorporation of established laws from all disciplines (math, astronomy, chemistry, biology, physics) in coming to a conclusion through mechanism, and Newton's method of composition. Each successive method strengthened the validity of the next.

Francis Bacon (1561-1626)

Bacon represents the first step away from sixteenth-century thinking, in that he denied the validity of empiricism. He preferred inductive reasoning (drawing a general conclusion from a set of specific observations) to deductive reasoning (making an inference based on widely-accepted facts or premises).

He emphasized the necessity of fact-gathering as a first step in the scientific method, which could then be followed by carefully recorded and controlled (unbiased) experimentation. Further, experimentation should not be conducted to simply "see what happens" but "as a way of answering specific questions." Moreover, the main purpose of science was the betterment of human society and that experimentation should be applied to hard, real situations rather than to Aristotelian abstract ideas. His work influenced advances in chemistry and biology through the 18th century.



Justus Sustermans - Portrait of Galileo Galilei, 1636

Galileo Galilei (1564-1642)

Galileo argued that "an explanation of a scientific problem is truly begun when it is reduced to its basic terms of matter and motion," because only the most basic events occur because of one axiom.

For example, one can demonstrate the concept of "acceleration" in the laboratory with a ball and a slanted board. However, according to Galileo's reasoning, one would have to utilize the concepts of many different disciplines: the physics-based concepts of time and distance, the idea of gravity, force, and mass, or even the chemical composition of the element that is accelerating. All of these components could be individually broken down to their smallest elements in order for a scientist to fully understand the item as a whole.

This "mechanic" or "systemic" approach partially removed the burden of fact-gathering emphasized by Bacon. Galileo's experimental method aided advances in chemistry and biology by allowing biologists to explain the work of a muscle or any body function using existing ideas of motion, matter, energy, and other basic principles.

Robert Boyle (1627-1691)

Even though he made progress in the field of chemistry through Baconian experimentation, Boyle remained drawn to teleological explanations for scientific phenomena. For example, Boyle believed that because God establish some rules of motion and nature, phenomena must exist to serve a certain purpose within that established order.

Sir Isaac Newton (1643-1747)

Newton composed a set of four rules for scientific reasoning stated in his famed *Principia*. His analytical method and laws lent well to experimentation with mathematical physics, where conclusions "could then be confirmed by direct observation. " Newton also refined Galileo's experimental method by making experiments and observations, followed by inducted conclusions that could only be overturned by the realization of other, more substantiated truths. Essentially, through his physical and mathematical approach to experimental design, Newton established a clear distinction between "natural philosophy" and "physical science. "

All of these natural philosophers built upon the work of their contemporaries. This collaboration became even simpler with the establishment of professional societies for scientists that published journals and provided forums for scientific discussion.

Astronomy

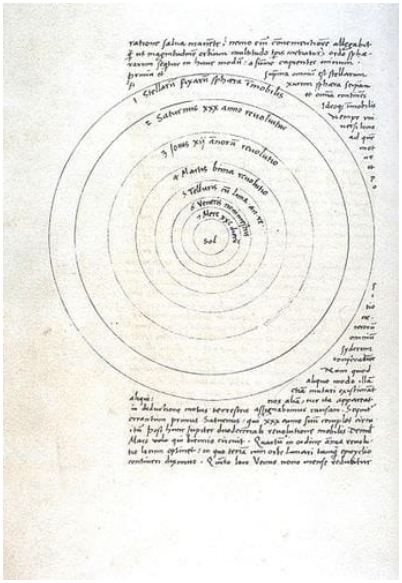
In Aristotelian metaphysics, abstractions dominated. All entities were understood as following rules based on their essences. Each substance had a proper or natural place. In astronomy, space was divided into two main regions. The stars resided in the higher region and were fixed in space. The planets and the moon resided in the lower region and revolved around the Earth. The sun also revolved around the Earth. Celestial and earthly motion was understood in terms of bodies seeking their natural resting places.

By the completion of the Scientific Revolution, most Aristotelian notions were overthrown. Space was reconceived as isotropic and non-hierarchical. Matter was seen as compositionally consistent throughout the universe. Motion was understood in terms of forces acting upon otherwise inert bodies. Finally, with Isaac Newton, a single constant called "gravity" was introduced as the fundamental operative force of the entire universe.

Copernicus

Nicolaus Copernicus (1473–1543) was a mathematician, lawyer, physician, and classicist. He was also a polyglot, a fluent speaker and writer in several languages, including Latin, Polish, German, Greek, and Italian. Most importantly for posterity, Copernicus was the astronomer credited with founding the field of modern astronomy.

Copernicus's major work, *On the Revolutions of the Heavenly Spheres*, was published in 1543, the year of his death. In this great work, he made a radical transformation of the system developed by Ptolemy (ca. 87–150 CE). Contrary to the Ptolemaic system, Copernicus posited a heliocentric model wherein the Earth and other planets, including Mercury, Venus, Mars, Jupiter, and Saturn, were carried by spheres around a stationary sun.



De revolutionibus, p. 9. Heliocentric model of the solar system in Copernicus' manuscript Source: https://en.Wikipedia.org/wiki/File:D...script_p9b.jpg

In the Ptolemaic system, the Earth had been figured as the stationary center of the universe around which the planets and sun revolved. In the Copernican system, on the other hand, the Earth was merely "another planet," that is, a "wandering star. "

Because his philosophy and theology held that God created only perfect order and harmony, Copernicus envisioned the planetary revolutions as perfectly circular. In order to account for some locations of planets and moons, he retained the auxiliary theory of epicycles that had been a part of the Ptolemaic system. In Copernicus's use of epicycles, the planets also circled the Earth while circling the sun.

Like a majority of Europeans of his time, Copernicus was an adherent of the Catholic Church. Yet a heliocentric universe ran contrary to the Christian, Earth-centered cosmology. That's why his *On the Revolutions of the Heavenly Spheres* was not published

until the end of his life.

While Copernicus's ideas were revolutionary at the time, they did not cause a revolution in the study of astronomy until taken up by Galileo Galilei and Johannes Kepler several years later.



Jan Matejko-Astronomer Copernicus-Conversation with God Oil painting by the Polish artist Jan Matejko, finished in 1873, depicting Nicolaus Copernicus observing the heavens from a balcony by a tower near the cathedral in Frombork. Source: https://en.Wikipedia.org/wiki/Jan_Ma...n_with_God.jpg

Kepler

While accepting the central feature of Copernicus's model—a stationary sun and revolving planets—Johannes Kepler (1571- 1630) threw out the idea of epicycles. In their place, he introduced a wholly new conception of the universe that is still essentially accepted today. In his book *The New Astronomy* (1609), his "elliptical thesis" boldly declared that the planets, including the Earth, revolve around a stationary sun in ellipses, rather than in perfect circles.

Under Aristotle's metaphysics, an object's movement toward its "natural" resting place accounted for its motion. Kepler introduced the modern notion of physical forces as the causes of motion. For Kepler, a planet or other lifeless object is without an internal or active force of its own. Motion is derived only from external forces acting on the object. This particular insight was essential for Isaac Newton's breakthrough formulation of the law of gravity.

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11.6: The Enlightenment

The Enlightenment

The Enlightenment was a philosophical movement in the eighteenth century composed of intellectuals who were greatly impressed with the achievements of the Scientific Revolution, and concerned with the idea of reason. They hoped that by using the scientific method, they could make progress toward a better society than the one they had inherited. *Reason, natural law, hope, progress*—these were common words to the thinkers of the time.

The Enlightenment was especially influenced by the ideas of two seventeenth-century Englishmen, Isaac Newton and John Locke. To Newton, the physical world and everything in it were like a giant machine (the Newtonian world-machine). If you could discover the natural laws that governed the physical world, then it was possible to discover the natural laws that governed human society.

John Locke (1632-1704)

John Locke's theory of knowledge also greatly affected eighteenth-century intellectuals. In his *Essay Concerning Human Understanding*, Locke argued that every person was born with a blank mind (known as tabula rasa). Furthermore, he suggested that people were molded by the experiences they gained from the world around them.



John Locke's Kit-cat portrait by Godfrey Kneller, National Portrait Gallery, London Source: https://commons.wikimedia.org/wiki/F...ry,_London.JPG

Montesquieu (1689-1755)

Charles-Louis de Secondat, the Baron de Montesquieu, was a French noble. His most famous work, *The Spirit of the Laws*, was published in 1748. In this study of government, he tried to use the scientific method to find the natural laws that govern the social and political relationships of human beings.

Montesquieu identified three basic kinds of governments:

- republics, suitable for small states
- despotism, ideal for large states
- monarchies, appropriate for moderately sized states.

Montesquieu believed that England's government had three branches: the executive (the monarch), the legislative (parliament), and the judicial (the courts of law). By separating the powers of each branch, he believed that each one would act as a check on the other. Because it prevents any one person or group from gaining too much power, he argued this system provides the greatest amount of freedom and security, not for the people, but for the state.

Jean-Jacques Rousseau (1712-1778)

By the mid-eighteenth century, a new group of philosophers had come of age. The most famous of this later generation was a man named Jean-Jacques Rousseau. As a young man, he wandered France and Italy holding various jobs. Eventually, he found himself in Paris where he became a member of the circle of philosophes.

In his *Discourse on the Origins of the Inequality of Mankind,* he argued that people adopted laws and government in order to preserve their private property. In the process of doing so, however, they had become enslaved by the government. What then, should people do in order to regain their freedom and throw off the chains of bondage?

In a famous work titled *The Social Contract* (1762), Rousseau suggested that an entire society agrees to be governed by the general will. If an individual wish to follow his/her own self-interest, they must be forced to abide by the will of the majority. In other words, liberty is achieved by being forced to follow what is best for the general will because it is what is best for the community at large.

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12: POWER OF REVOLUTIONS

In the fields of history and political science, a revolution is a radical change in the established order, usually dealing with government and social institutions. Typically, revolutions are born when the social climate in a country changes and the political system does not react in kind. They are not unique to any particular century or country, but rather have erupted in different places and times throughout recorded history.

12.1: Introduction

12.2: American Revolution (United States)

12.3: The French Revolution

12.4: Latin America Revolutions

CK-12 Foundation

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12.1: Introduction

As you saw in Chapter 11, the 18th Century was a period of empire-building and revolutions as well as advances in science and the arts. The European nations competed for global domination in exploration, trade, and colonization, with Great Britain becoming the leading world power. Even as these nations expanded their reach, they found their rule challenged by supporters of Enlightenment ideas, based on the ideals of liberty, progress, and the separation of church and state. The American Revolution (1775–1783), the French Revolution (1789–1799), and the Haitian Revolution (1791–1804) would be the most successful of these uprisings, which shook the power of European monarchies. During the early 19th century, similar revolts would occur in Latin America, as those people sought to obtain more political voice.

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12.2: American Revolution (United States)



Independence Hall Association, in Philadelphia, Pennsylvania, founded in 1942. Retrieved from ushistory.org

Between 1760 and 1800, the American colonists cast off British rule to create a new nation and a radically new form of government based on the idea that people have the right to govern themselves.

For well over a century, the English colonists who had settled in North America had been mostly left alone to govern their own affairs, which included their own locally controlled colonial assemblies. This British policy of salutary neglect would all change beginning with the Seven Years War. Also known as the **French and Indian War,** it was a conflict fought between Britain and France from 1754 to 1763 for colonial dominance of North America. The war ended after the British captured most of France's major cities and forts in Canada and the Ohio Valley.

In 1763, in the interest of maintaining a more peaceful coexistence between the colonists and Indians along the western frontier, Parliament issued the Proclamation of 1763, forbidding American colonists to settle on Native American territory unless native rights to the land had first been obtained by purchase or treaty. This policy essentially prohibited settlement in the West and irritated the colonists. Britain also needed money to pay for the last war and to support the empire's growth. As a result, Britain's past policy of salutary neglect was coming to an end.

British Prime Minister George Grenville began enforcing the ancient Navigation Acts in 1764. In addition, the parliament had

- passed the Sugar Act to tax sugar
- passed the Currency Act to remove paper currencies from circulation
- passed the Stamp Act, which placed a tax on printed materials
- passed the Quartering Act, which required colonists to house and feed British troops

The Sugar Act was the first fully enforced tax levied solely for the purpose of raising revenue. Colonists throughout the thirteen colonies cried out against **"taxation without representation"**. Several colonial leaders convened the **Stamp Act Congress** in New York to petition Parliament and King George III to repeal the tax. In 1766, Parliament bowed to public pressure and repealed the Stamp Act. But it also quietly passed the Declaratory Act, which stipulated that Parliament reserved the right to tax the colonies anytime it chose.

In 1767, Parliament passed the Townshend Acts, which levied another series of taxes on lead, paints, and tea. In the same series of acts, the Suspension Act suspended the New York assembly for not enforcing the Quartering Act. To prevent violent protests, Massachusetts Governor Thomas Hutchinson requested assistance from the British army. In 1768, four thousand redcoats (British troops) landed in the city to help maintain order.

Two years later, on March 5, 1770, an angry mob clashed with several British troops. Five colonists died, and news of the **Boston Massacre** quickly spread throughout the colonies.

Paul Revere's historic engraving, The Bloody Massacre in King-Street, was probably the most effective piece of war propaganda in American history, though a very inaccurate depiction of the actual event. Retrieved from www.landofthebrave.info

In 1773, Parliament passed the **Tea Act**, which granted the financially troubled British East India Company monopoly on the tea exported to the American colonies. In many American cities, tea agents resigned or canceled orders, and merchants refused consignments in response to the unpopular act.

Governor Hutchinson of Massachusetts, determined to uphold the law, ordered that three ships arriving in Boston harbor should be allowed to deposit their cargoes and that appropriate payments should be made for the goods. On the night of December 16, 1773, sixty men boarded the ships, disguised as Native Americans, and dumped the entire shipment of tea into the harbor. That event is now famously known as the **Boston Tea Party**.

In January 1774, Parliament passed the **Coercive Acts**, also known as the Intolerable Acts, which shut down Boston Harbor until the British East India Company had been fully reimbursed for the tea destroyed in the Boston Tea Party.

To protest the Intolerable Acts, prominent colonials gathered in Philadelphia at **the First Continental Congress** in autumn of 1774. They once again petitioned Parliament, King George III, and the British people to repeal the acts and restore friendly relations. For additional motivation, they also decided to institute a **boycott**, or ban, of all British goods in the colonies.

"The Destruction of Tea at Boston Harbor"

On April 19, 1775, part of the British occupation force in Boston marched to the nearby town of Concord, Massachusetts, to seize a colonial militia arsenal. Militiamen of **Lexington and Concord** intercepted and attacked them. The first shot—the so-called "shot heard round the world"—was one of many that forced the British to retreat to Boston. Thousands of militiamen from nearby colonies flocked to Boston to assist.

In the meantime, leaders convened the **Second Continental Congress** to discuss options. In one final attempt for peaceful reconciliation, they professed their love and loyalty to King George III and begged him to address their grievances in the **Olive Branch Petition.** The king rejected the petition and formally declared that the colonies were in a state of rebellion.

In January of 1776, **Thomas Paine** published a pamphlet, ***Common Sense*** that urged the colonists to declare and fight for independence in clear, simple language. It was published anonymously and became an immediate sensation, being sold and distributed widely and read aloud at taverns and meeting places.

The **Second Continental Congress** chose **George Washington** to command the militiamen besieging Boston in the north. They also appropriated money for a small navy and for transforming the undisciplined militias into the professional Continental Army. Encouraged by a strong colonial campaign in which the British scored only narrow victories (such as at Bunker Hill), many colonists began to advocate total independence as opposed to having full rights within the British Empire.

The congressmen voted on July 2, 1776, to declare their independence. A committee of men, including a young lawyer named **Thomas Jefferson**, drafted the **Declaration of Independence.** This document was firmly based on the ideas of the English philosopher, **John Locke,** and the Enlightenment. An example is found in the argument for natural rights:

> "We hold these truths to be self-evident, that at all Men are created equal, that they are endowed by their Creator with **unalienable Rights**, that among these are Life, Liberty, and the Pursuit of Happiness; that to guarantee these Rights governments are Instituted among Men, deriving their just Powers from the Consent of the Governed."

Since Locke had asserted that people have the right to rebel against an unjust ruler, the Declaration of Independence included a long list of George III's abuses. The document ended by breaking the ties between the colonies and Britain. The colonies, the Declaration said, "are absolved from all allegiance to the British crown."

John Trumbull - "Declaration of Independence" 1819

When the war was first declared, the odds seemed heavily weighted against the Americans. Washington's ragtag, poorly trained army faced the well-trained forces of the most powerful country in the world. And yet, the colonists had advantages.

- motivation for fighting was much stronger than that of the British, since their army was defending their homeland
- overconfident British generals made several mistakes
- fighting an overseas war, 3,000 miles from London, was terribly expensive

After a few years, tax-weary British citizens clamored for peace. Finally, the colonists did not fight alone. Louis XVI of France had little sympathy for the ideals of the **American Revolution**, but he was eager to weaken France's rival, Britain. French entry into the war in 1778 was decisive. In 1781, combined forces of about 9,500 colonists and 7,800 French trapped a British army commanded by Lord Cornwallis near **Yorktown**, Virginia. Unable to escape, Cornwallis surrendered. In the end, the colonists won their war for independence.

Americans Create a Republic

The new U.S. **Constitution** created a system in which power was shared between the national government and state governments. It further divided the three different types of government powers – legislative, executive, and judicial – among three separate branches of government, as advocated by the Enlightenment thinker Baron de Montesquieu.

In addition, the new Constitution gave each of these government branches several ways to "check" the other branches (known as the system of **"checks and balances"**) in order to ensure that no one branch became too powerful or tyrannical. Later, a **Bill of Rights** was added to the Constitution to include protections of individual liberties such as freedom of speech, press, assembly, and religion, as well as the rights of the accused.

Although the Constitution created a strong central government, it did not eliminate local governments. Instead, the Constitution established the practice of **federalism**, in which power would be divided between national and state governments.

The Constitution and Bill of Rights marked a turning point in people's ideas about government. Both documents put Enlightenment ideas into practice. They expressed an optimistic view that reason and reform could prevail and that progress was inevitable. Such optimism would soon sweep across the Atlantic

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12.3: The French Revolution



Funerary monuments (not tombs) of Louis XVI and Marie-Antoinette, basilique Saint-Denis Source: https://en.Wikipedia.org/wiki/Edme_G...Antoinette.jpg

The French Revolution

Only eight years after the end of the American Revolution, an even more significant and bloody revolution would break out in France. By the time the dust had settled, the **French Revolution** and the successive events it gave birth to would bring about change to the rest of the European continent and beyond. Depending upon location, some of these changes include:

- abolishing serfdom and feudal privilege
- creating a uniform system of local government
- laying the groundwork for a national education system
- generating a new legal code
- abolishing slavery in the colonies
- establishing a standardized metric system.

The ideal, if not the practice, of constitutional government would be rooted in the French mind. Most importantly, the seeds of liberalism, constitutionalism, and democracy had been sewn. The most striking result of the Revolution was its violent disturbance of old orders; from Ireland to Poland, nothing would ever be the same again.

The Old Regime

Toward the end of the 18th century, years of feudal oppression and fiscal mismanagement contributed to a French society that was ripe for revolt. The **Old Regime** in France was the system of feudalism leftover from the Middle Ages, and divided the social classes into three “estates.”

- **First Estate** was the clergy, consisting of priests and Church officials. It owned about 10% of the land in France and contributed about 2% of its income to the government.
- **Second Estate** was the nobility. They were exempt from many taxes and had the right to collect feudal dues. Nobles also served as officers in the army and held high positions at court. Though the Second Estate only made up about 2% of the population, it owned 20% of the land.
- **Third Estate** was the largest of the three estates, making up about 98% of the French population. This estate differed greatly

in economic conditions, and consisted of three subgroups.

- The first group – the bourgeoisie – were merchants and artisans. They were well-educated and believed strongly in the Enlightenment ideals of liberty and equality. Although some of the bourgeoisie were as rich as nobles, they paid high taxes and lacked privileges of the Second Estate. Many felt that their wealth entitle them to a greater degree of social status and political power.
- The workers of France's cities – cooks, servants, and others – formed the second group, and were poorer than the bourgeoisie. Most of Paris' poor people ate three pounds of bread a day and very little else. If the cost of bread rose, hungry mobs attacked carts of grain and bread to steal what they needed. In 1788, grain harvests were small. The price of bread doubled. Thus, the sans-culottes, as France's city workers were called, were in a dangerous mood in the spring of 1789.
- Peasants formed the largest group within the Third Estate – more than 80% of France's 26 million people. They paid about half their income in dues to nobles, tithes to the church, and taxes to the king's agents. They even paid taxes on such basic staples as salt! Peasants joined the urban poor in resenting the clergy and the nobles for their privileges and special treatment.

The Three Estates of France: "You should hope that this game will be over soon." The Third Estate carrying the Clergy and the Nobility on its back Source: https://worldhistorycommons.org/we-m...l-soon-be-over

Because of the Enlightenment's ideas, many Frenchmen were unwilling to accept the divine right of kings and the privileged position of the Church and nobility. Plus, the success of the American Revolution inspired them. Further, the radical ideas of Rousseau and Voltaire encouraged debates within the salons of the day.

Against this backdrop, France's once-prosperous economy was failing. The population was expanding rapidly, as were trade and production. However, the heavy burden of taxes made it impossible to conduct profitable business. The cost of living rose for everyone. In addition, in the 1780s, bad weather caused widespread crop failures, resulting in a severe shortage of grain, and many people faced starvation.

During this period, France's government sank deeply into debt. Extravagant spending by the king and queen was part of the problem. **Louis XVI**, who became king in 1774, inherited part of the debt from his predecessors. He also borrowed heavily in order to help the American revolutionaries in their war against Great Britain–France's chief rival – thereby nearly doubling the government's debt. In 1786, bankers refused to lend the government any more money, and Louis faced serious problems.

Unfortunately, Louis XVI was a weak and indecisive leader who allowed matters to drift. He paid little attention to the details of governing and preferred to hunt and tinker with locks. His wife, Marie Antoinette, was unpopular and became known as Madame Deficit because of her extravagant purchases of gowns, jewels, and gifts. Rather than cutting expenses and increasing taxes, Louis put off dealing with the emergency until France faced bankruptcy.



Antoine-François Callet: Louis XVI Source: Wikipedia

The Estates-General

In an act of desperation, Louis XVI decided to convene the Estates-General, an ancient assembly consisting of three different estates. If the Estates-General could agree on a tax solution, it would be implemented. However, since two of the three estates—the clergy and the nobility—were tax-exempt, the attainment of any such solution was unlikely.

Moreover, the outdated rules of order for the Estates-General gave each estate a single vote, despite the fact that the Third Estate—consisting of the general French public—was many times larger than either of the first two. Feuds quickly broke out over this disparity. Realizing that its numbers gave it an automatic advantage, the Third Estate declared itself the sovereign National Assembly. Within days of the announcement, many members of the other two estates had switched allegiances over to this revolutionary new assembly.

The Bastille and the Great Fear

Shortly after the National Assembly formed, its members took the Tennis Court Oath, swearing that they would not relent in their efforts until a new constitution had been agreed upon. The **National Assembly**'s revolutionary spirit galvanized France, manifesting in a number of different ways. **"Liberty, Equality, Fraternity"** became the slogan of the Revolution.

The Storming of the Bastille, July 14, 1789 Source: Wikipedia

Rifts in the Assembly

Though the National Assembly did succeed in drafting a constitution, the relative peace of the moment was short-lived. A rift slowly grew between the radical and moderate assembly members, while the common laborers and workers began to feel overlooked. Meanwhile, Louis and his family tried to escape from France to the Austrian Netherlands but were caught. Returned to Paris under armed guard, Louis' attempted escape only served to increase the influence of his radical enemies, sealing his own doom. The moderate Girondins took a stance in favor of retaining the constitutional monarchy, while the radical Jacobins wanted the king completely out of the picture.

Outside of France, some neighboring countries feared that France's revolutionary spirit would spread in their lands. In response, they issued the Declaration of Pillnitz, which insisted that the French return Louis XVI to the throne. French leaders interpreted the declaration as hostile, so the Girondin-led assembly declared war on Austria and Prussia.

The Reign of Terror

The newly named National Convention abolished the monarchy and declared France as a republic. In January 1793, the convention tried and executed Louis XVI on the grounds of treason. Despite the creation of the **Committee of Public Safety**, the war with Austria and Prussia went poorly for France, and foreign forces pressed on into French territory. Enraged citizens overthrew the Girondin-led National Convention, and the Jacobins, led by **Maximilien Robespierre**, took control.

Backed by the newly approved Constitution of 1793, Robespierre and the Committee of Public Safety began conscripting French soldiers and implementing laws to stabilize the economy. For a time, it seemed that France's fortunes might be changing. But Robespierre, growing increasingly paranoid about counterrevolutionary influences, embarked upon a **Reign of Terror.** From late 1793–1794, more than 15,000 people were executed at the guillotine. When the French army successfully removed foreign invaders and the economy finally stabilized, however, Robespierre no longer had any justification for his extreme actions. As a result, he himself was arrested in July 1794 and executed.

The Thermidorian Reaction and the Directory

The era following the ousting of Robespierre was known as the Thermidorian Reaction. A period of governmental restructuring began, leading to the new Constitution of 1795 and a significantly more conservative National Convention. To control executive responsibilities and appointments, a group known as the Directory was formed. Though it had no legislative abilities, the

Directory's abuse of power soon came to rival that of any of the tyrannous revolutionaries France had faced.

Napoleon

Meanwhile, the Committee of Public Safety's war effort was realizing unimaginable success. French armies, especially those led by young general **Napoleon Bonaparte**, were making progress in nearly every direction. Napoleon's forces drove through Italy and reached as far as Egypt before facing a deflating defeat. In the face of this rout, and having received word of political upheavals in France, Napoleon returned to Paris. He arrived in time to lead a coup against the Directory in 1799, eventually stepping up and naming himself "first consul"—effectively, the leader of France. With Napoleon at the helm, the Revolution ended, and France entered a fifteen-year period of military rule.

Napoleon worked to restore stability to post-revolutionary France. He centralized the government; instituted reforms in such areas as banking and education; supported science and the arts; and sought to improve relations between his regime and the pope (who represented France's main religion, Catholicism). One of his most significant accomplishments was the Napoleonic Code, which streamlined the French legal system and continues to form the foundation of French civil law to this day.

In 1802, a constitutional amendment made Napoleon the first consul for life. Two years later, in 1804, he crowned himself emperor of France in a lavish ceremony at the Cathedral of Notre Dame in Paris.

From 1803 to 1815, France was engaged in the **Napoleonic Wars**, a series of major conflicts with various coalitions of European nations. In 1803, partly as a means to raise funds for future wars, Napoleon sold France's Louisiana Territory in North America to the newly independent United States for $15 million. This transaction would later become known as the **Louisiana Purchase**.

In October 1805, the British wiped out Napoleon's fleet at the Battle of Trafalgar. However, in December of that same year, Napoleon achieved what is considered to be one of his greatest victories at the Battle of Austerlitz, in which his army defeated the Austrians and Russians. The victory resulted in the dissolution of the Holy Roman Empire and the creation of the Confederation of the Rhine.

Beginning in 1806, Napoleon sought to wage large-scale economic warfare against Britain with the establishment of the so-called Continental System of European port blockades against British trade. In 1807, following Napoleon's defeat of the Russians at Friedland in Prussia, Alexander I (1777-1825) was forced to sign the Treaty of Tilsit. In 1809, the French defeated the Austrians at the Battle of Wagram. During these years, Napoleon reestablished a French aristocracy and began handing out titles of nobility to his loyal friends and family. Meanwhile, his empire continued to expand across much of western and central continental Europe.

Napoleon's Downfall and First Abdication

In 1810, Russia withdrew from the Continental System. In retaliation, Napoleon led a massive army into Russia. Rather than engaging the French in a full-scale battle, the Russians adopted a "scorched-earth" strategy of retreating whenever Napoleon's forces attempted to attack. As a result, Napoleon's troops trekked deeper into Russia despite being ill-prepared for an extended campaign. In September 1812, both sides suffered heavy casualties in the indecisive Battle of Borodino.

Napoleon's forces marched on to Moscow, only to discover almost the entire population evacuated. Retreating Russians set fires across the city in an effort to deprive enemy troops of supplies. After waiting a month for a surrender that never came, Napoleon was forced to order his starving, exhausted army out of Moscow. During the disastrous winter-time retreat, his army suffered continual harassment from a suddenly aggressive and merciless Russian army. Of Napoleon's 600,000 troops who began the campaign, only an estimated 100,000 made it out of Russia.

At the same time as the catastrophic Russian invasion, the **Peninsular War** (1808-1814) tested his forces when the Spanish and Portuguese, with assistance from the British, attempted to drive the French from the Iberian Peninsula. Meanwhile in Germany, during the Battle of Leipzig (1813), also known as the Battle of Nations, Napoleon's forces were defeated by a coalition that included Austrian, Prussian, Russian, and Swedish troops. Napoleon retreated to France. In March 1814, coalition forces captured Paris.

On April 6, 1814, Napoleon was forced to abdicate the throne. With the Treaty of Fontainebleau, he was exiled to Elba, a Mediterranean island off the coast of Italy. He was given sovereignty over the small island, while his wife and son went to Austria.

Hundred Days Campaign and Battle of Waterloo

On February 26, 1815, after less than a year in exile, Napoleon escaped Elba and sailed to the French mainland with a group of more than 1,000 supporters. On March 20, he returned to Paris, where he was welcomed by cheering crowds. The new king, Louis XVIII (1755-1824) fled, and Napoleon began what came to be known as his Hundred Days campaign. A coalition of allies–the Austrians, British, Prussians, and Russians–prepared for war.

In June 1815, his forces invaded Belgium, where British and Prussian troops were stationed. On June 16, Napoleon's troops defeated the Prussians at the Battle of Ligny. However, two days later, on June 18, at the **Battle of Waterloo** near Brussels, the French were crushed by the British, with assistance from the Prussians. On June 22, 1815, Napoleon was once again forced to abdicate. In October 1815, Napoleon was exiled to the remote, British-held island of Saint Helena, in the South Atlantic Ocean. He died there on May 5, 1821, at age 51, most likely from stomach cancer.

The Congress of Vienna

After Napoleon's first defeat in 1814, the Congress of Vienna attempted to draw up a peace plan that would last for many years. Eventually, the ideas of the foreign minister of Austria, Klemens von Metternich, would be accepted.

Metternich insisted on three goals. First, he wanted to make sure that the French would not attack another country again. Second, he wanted a **balance of power** in which no one nation was too strong. Third, he wanted to put kings back in charge of the countries from which they had been removed.

Across Europe, kings and princes reclaimed their thrones. Most monarchs were conservatives, who did not encourage individual liberties or equal rights. However, many people still believed in the ideals of the French Revolution, that all people should be equal and share in power. Later, they would fight for these rights again.

The French Revolution had ignited the spirit of **nationalism** by teaching that each government should be based on the will of the people. (Nationalism is the belief that each nationality or ethnic group is entitled to its own government and national homeland.) The statesmen at the Congress of Vienna failed to take into account the desire of many people to control their own governments. Instead, they favored maintaining traditional rulers. As a result, many European peoples were still not united, while others continued to live under foreign rule.

Comparing the American and French Revolutions

In some ways, the French Revolution was remarkably similar to the American. Both revolutions applied principles of the Enlightenment; both swept away traditional systems; both followed similar-stage courses, moving from moderate to radical before a final conservative swing; and both helped set in motion modern constitutional government, along with democracy and nationalism.

There were, however, striking differences. Unlike the American colonies, France had a classic Old Regime, with aristocratic privilege and monarchy. Instead of being far removed from the centers of civilization, it was the most populous and cultured state of Western Europe. Its revolution, therefore, was more violent and more decisive.

The French Revolution was an immediate failure. At the turn of the 19th Century, it had not secured liberty, equality, or fraternity. Except for certain prosperous members of the middle classes, the French economy promised less for most people in 1796 than it had two decades earlier. Most discouraging was the realization that the Revolution had betrayed its own ideals, leaving the French people cynical and disillusioned.

The Revolution had brought great changes, as noted in the opening paragraph. The effects of the French Revolution would also soon be felt in the Americas.

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12.4: Latin America Revolutions



Simon Bolivar Central Park NYC Source: Wikipedia

The Independence of Latin America

The American and French Revolutions stirred independence movements in other parts of the world. A growing spirit of nationalism and the French ideals of liberty, equality, and fraternity inspired many Latin Americans to rise up against their French, Spanish, and Portuguese masters. Though mostly successful, these movements would also bring an increase in poverty, and the dream of a united Latin America would quickly fall apart.



Social Structure in Latin America Source: Moore Public Schools

Latin American Society

The term *Latin America* applies to the lands south of the United States where Spanish, Portuguese, and French are spoken. All these languages developed from Latin. Generally, the region includes Mexico, Central America, South America, and islands of the

Caribbean. On the surface, the Latin American revolutions of the early 1800s appear similar to the American Revolution. In every case, revolutionaries overthrew a government controlled by a European country. Then, the leaders of the revolution set up a new national government.

However, there were important differences between conditions in Latin America and in the United States. In Latin America, colonial society was sharply divided into classes based on birth. Struggles among these classes played an important part in the revolutions.

- At the top of Latin American society were the **peninsulares**, people who had been born in Spain or Portugal. They held the most important positions in colonial government and in the Roman Catholic Church.
- **Creoles** ranked next, and were born in Latin America but whose ancestors came from Europe. This class included many wealthy landowners and lesser government officials. The peninsulares and the creoles formed an aristocracy in Latin American society. Together, they made up less than one-fifth of the population.
- The common people had few political rights and little share in the region's wealth. This group included mestizos, mulattoes, blacks, and Indians. Mestizos were people of mixed European and Indian ancestry. Mulattoes were of European and African ancestry. Some mestizos and mulattoes owned small farms or businesses, others rented small farms from landlords. Most blacks worked as slaves on large plantations, although there were free blacks in many towns. Millions of Indians were legally free, but they were usually treated no better than slaves.

A Revolution in Haiti

The first colony to free itself from European rule was the French colony of Saint Domingue on the island of Hispaniola. Almost all of the people who lived in the colony were slaves of African origin. In 1791, about 100,000 rose in revolt. **Toussaint L'Ouverture**, an ex-slave, soon emerged as a leader. By 1801, he had moved to the eastern part of the island and freed the slaves there. In 1804, the former colony declared itself the independent country of **Haiti**.

South American Independence

Elsewhere in Latin America, creoles took the lead in the battle for independence. Peninsulares held almost all the high government offices in Spain's Latin American lands and kept tight control over the economy of its colonies. Merchants in Spanish colonies could trade only with Spain. Likewise, all their goods could only be sent on Spanish ships. In addition, the valuable mines of Mexico and Peru were under direct Spanish control, which the creoles resented.

However, the direct cause of the Latin American revolts was Napoleon's conquest of Spain in 1808, and placing his brother, Joseph, as the king of Spain. Many creoles might have remained loyal to a Spanish king, but they felt no loyalty at all to a Frenchman placed on the Spanish throne by force.

Fighting broke out in 1810 in several parts of Latin America. Loyalties were divided. The viceroys and their armies remained loyal to Spain, as did some creoles. Indians and mestizos fought on both sides, often forced into armies against their will.

Two leaders emerged. **Simon Bolivar** was a writer, fighter, and political thinker. He survived defeats and exile to win independence for Venezuela in 1821. **Jose de San Martin** helped win independence for Argentina in 1816 and Chile in 1818. Bolivar led their combined armies to a great victory in 1824 that gave independence to all the former Spanish colonies.

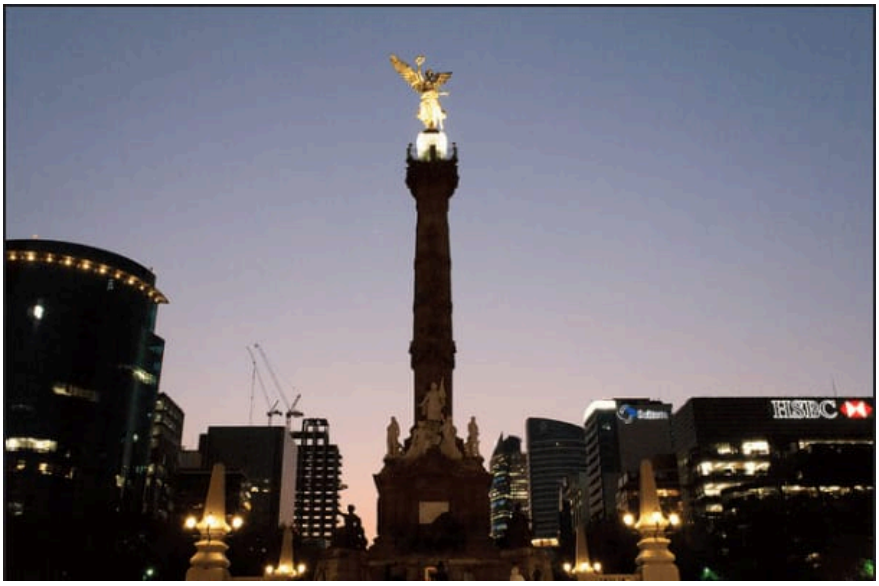
Bolivar declared Venezuela's independence from Spain in 1811, but the struggle seesawed back and forth. Bolivar built up an army from many sources. He promised to end slavery, winning many black volunteers. He also recruited Europeans. In January 1819, Bolivar led his 2,500 soldiers on a daring march through the towering Andes into what is now Columbia. Coming from this unexpected direction, he took the Spanish army completely by surprise in Bogota and defeated them. Bolivar went on to free Venezuela in 1821. Next, he marched into Ecuador.

Meanwhile the other great hero of the independence movement, Jose de San Martin was freeing the south. After declaring Argentina's independence in 1816, his army freed Chile in 1817 after a grueling march across the Andes. Next, San Martin took his soldiers north by sea to Lima, Peru, in 1821. The Spanish army retreated into the mountains of Peru. To drive them out, San Martin needed a much larger force. Otherwise, the Spaniards would remain a threat to all of independent South America. Thus, the need for San Martin and Bolivar to meet at Guayaquil, Ecuador.

No one knows how the two men reached an agreement. But San Martin left his army for Bolivar to command. Soon after, San

Martin sailed for Europe, dying almost forgotten on French soil in 1850. Bolivar followed the Spaniards into the heights of the Andes. His forces defeated the Spanish army at the Battle of Ayacucho in 1824, which was the last major battle of the war for independence.

In Brazil, independence took a different turn. When Napoleon's armies entered Portugal in 1807, the royal family escaped to Brazil, its largest colony. For the next 14 years, it would be the center of the Portuguese empire. By the time Napoleon was defeated, the people of Brazil wanted their independence. In 1822, 8,000 creoles signed a paper asking the son of Portugal's king to rule an independent Brazil. He agreed, and Brazil became free through a bloodless revolt.



Mexican Independence

In Mexico, ethnic and racial groups mixed more freely. Unlike the other Latin American revolutionary movements, Indians and mestizos played the leading role. Also, whereas in most countries the revolution began in the cities, in Mexico it began in the countryside.

On September 16, 1810, **Father Miguel Hidalgo**, a priest from the mountain village of Dolores, called on Indian peasants of his parish to rebel against their Spanish masters. Today, that call is known as the *grito de Dolores* (the cry of Dolores). This group began a 200 mile march toward Mexico City, armed with sickles, stones, and clubs, picking up thousands of new recruits and weapons along the way. Creole landlords fled for their lives. Soon, Hidalgo had a force of 60,000 men behind him. He declared an end to slavery and called for other reforms.

In Mexico City, the main Spanish army and the creoles joined forces against Hidalgo's army. Hidalgo was betrayed by one of his officers, captured, and executed by a firing squad.

The rebels found another strong leader in Jose Maria Morelos, who proved to be a far better general than Hidalgo had been. His goals were to set up a democratic government, tax the wealthy, and distribute lands to the peasants. By 1813, his army controlled all of Mexico except for the largest cities. In that same year, Mexico was declared an independent republic by its congress.

Many creoles supported the idea of independence, but they were not willing to accept Morelos' social reforms. A creole officer, Augustin de Iturbide, captured and executed Morelos in 1815. A few scattered groups of rebels fought on as guerrillas.

Suddenly, events took a new turn. In 1820, a revolution in Spain put a new group in power. Mexico's creoles feared that this Spanish government would take away their privileges. At once, the creoles united in support of independence. Iturbide made peace with the last guerrilla leader, proclaimed Mexico independent in 1821, and eventually made himself emperor. Not long afterward, he was ousted from power. When he tried to return to power in 1824, he was shot.

Caudillos Dominate Governments

By 1830, Latin America was home to 16 independent countries, but many citizens had few political freedoms. All the countries were dominated by a small group of wealthy Creole aristocrats. Army leaders had come to power during the long struggle with Spain, and they continued to control Latin America after independence. Indeed, nearly all the countries of Latin America were run by **caudillos**. (Caudillos were political strongmen, usually army officers, who ruled as dictators.) Many caudillos cared only for their own power and wealth, and did little to improve the lives of the common people. Changes of government most often took place at bayonet-point, as one caudillo was forced to give way to another.

Throughout Latin America, independence actually brought an increase in poverty, as turmoil continued in the region. The wars had disrupted trade and devastated cities and the countryside. After all the destruction, the dream of a united Latin America quickly fell apart. In South America, Bolivar's united Gran Colombia divided into Colombia, Ecuador, and Venezuela in early 1830. And by 1841, the United Provinces of Central America had split into the republics of El Salvador, Nicaragua, Costa Rica, Guatemala, and Honduras.

The Monroe Doctrine

In one way, Lain America was luckier than other nonindustrial parts of the world. Despite the political confusion, Latin America was never again carved into colonies as Africa and Asia were in the late 1800s. Having won independence, Latin America succeeded in keeping it.

Spain had not given up hope of winning back its colonies. In addition, France saw a chance to take over land in Latin America. However, both Britain and the United States were determined not to allow such a development.

In 1823, U.S. President James Monroe announced "the American continents .... Are henceforth not to be considered as subjects for future colonization by any European powers." This statement is known as the **Monroe Doctrine**. Some questioned if the United States was strong enough to enforce the Monroe Doctrine.

Great Britain wanted to protect Latin American independence for economic reasons. During the wars for independence, many Latin American countries began trading with Britain rather than with Spain. British banks and businesses invested heavily in South America, especially in Argentina and Brazil.

In the end, both countries were happy with the economic advantages they gained from Latin American independence.

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13: POWER OF INDUSTRIALIZATION

The First Industrial Revolution was the period of social and economic change that transformed human groups from an agrarian society into an industrial one in certain areas in Europe and North America. It was followed by the Second Industrial Revolution, where coal mines, steelworks, and textile factories replaced homes as the place of work. These two revolutions gave rise to a number of new ideologies as the world marched onto the 19th and 20th centuries.

13.1: Introduction

13.2: Industrial Revolutions

13.3: Capitalism and Communism

13.4: Nationalism

13.5: Socialism

13.6: First Wave Feminism

Thumbanil: The Black Country in England, west of Birmingham; via Wikipedia).

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13.1: Introduction

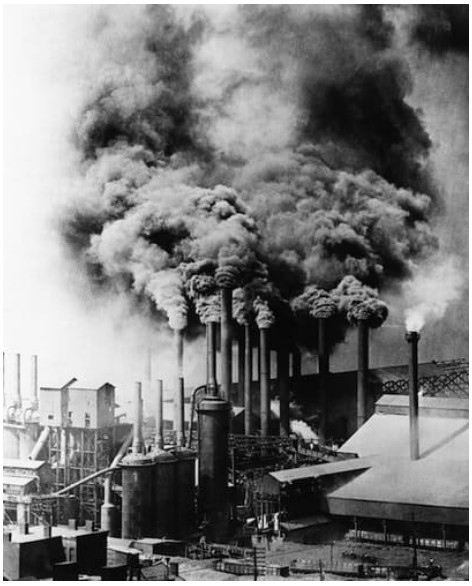
The Industrial Revolution was accompanied by many changes in economic and social structures, the main change being a transition from farm work to factory-related activities. It resulted in the creation of a class structure that differentiated the commoners from the well-off and the working category. Family systems became distorted as people moved into cities and left the farm areas, which consequently played a major role in the transmission of diseases. Also, the women's place within the society shifted from being homecare to employed workers, hence reducing the number of children per household. Furthermore, industrialization contributed to increased cases of child labor and education systems. Meanwhile, philosophers and political scientists started to develop new theories surrounding industrialization, such as laissez-faire capitalism, socialism, communism, and nationalism.

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13.2: Industrial Revolutions

The Industrial Revolution

Abundant fossil fuels and innovative machines powered and launched an era of accelerated change that continues to transform human society.



Smokestacks in Pittsburgh, Pennsylvania, 1890s © Bettmann/CORBIS

The Transformation of the World

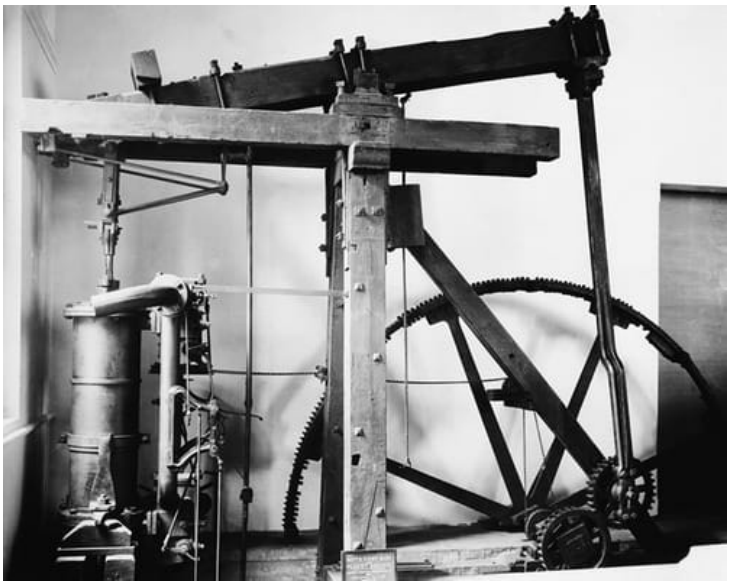
Try to imagine what your life would be like without any machines working for you. If you were to make a list of the machines in your household and on your person; you may arrive at a surprising number. Now, imagine earlier generations during their childhood years. How did they move from place to place? How did they communicate? What foods did they eat?

At one time, humans fueled by the animals and plants they ate, and the wood they burned, provided most of the energy in use. Windmills and waterwheels captured some extra energy, but there was little in reserve. All life operated within the fairly immediate flow of energy from the Sun to Earth.

Everything changed during the First Industrial Revolution, which began around 1750. People found an extra source of energy with an incredible capacity for work. That source was fossil fuels — coal, oil, and natural gas — formed underground from the remains of plants and animals from much earlier geologic times. When these fuels were burned, they released energy that had been stored for hundreds of millions of years. Despite their relative abundance, these resources are not evenly distributed on Earth. Some places have much more than others, due to geographic factors and the diverse ecosystems that existed long ago.

Early Steam Engines

The story of the Industrial Revolution begins on the small island of Great Britain. By the early 18th century, people had used up most of their trees for building houses and ships, as well as for cooking and heating. In their search for something else to burn, they turned to the hunks of black stone (coal) that they found near the surface of the earth. Soon, they were digging deeper to mine it. The coal mines filled with water that needed to be removed, and horses pulling up bucketfuls proved slow going.



James Watt's "Sun and Planet" steam engine © Bettmann/CORBIS

The problem was partially solved in 1776. James Watt (1736–1819) designed an engine in which burning coal produced steam, which drove a piston assisted by a partial vacuum. It proved to more quickly and efficiently pump water out of the coal mines, which allowed for better extraction of the natural resource. His patent ran out in 1800, and others added their designs to the product. By 1900, engines burned 10 times more efficiently than they had a hundred years before. (Fun fact.. Watt didn't have a completely new idea. There had been earlier steam engines in Britain, as well as China and in Turkey, that were used to turn the spit that roasts a lamb over a fire.)

At the outset of the 19th century, British colonies in North America were producing an abundance of cotton, using machines to spin the cotton thread on spindles and to weave it into cloth on looms. When they attached a steam engine to these machines, they could easily outproduce India, which was the world's leading producer of cotton cloth. One steam engine could power many spindles and looms, so people started to leave their homes and work together in factories.

Around the same time, the British invented steam locomotives and steamships, which revolutionized travel. In 1851, they held the first world's fair where telegraphs, sewing machines, revolvers, reaping machines, and steam hammers were demonstrated. The characteristics of an industrial society — smoke rising from factories, bigger cities and denser populations, railroads — could be seen in many places in Britain, the world's leading manufacturer of machinery.

Why Britain?

Britain wasn't the only place that had deposits of coal. So why didn't the Industrial Revolution begin in China, or somewhere else that boasted this natural resource? Did it start in isolation in Britain, or were there global forces at work that shaped it? Was it geography or cultural institutions that mattered most? Historians have vigorously debated these questions, amassing as much evidence as possible for their answers.

Possible reasons why industrialization began in Britain include:

- Shortage of wood and the abundance of convenient coal deposits
- Commercial-minded aristocracy; limited monarchy
- System of free enterprise; limited government involvement
- Government support for commercial projects, for a strong navy to protect ships
- Cheap cotton produced by enslaved people in North America
- High literacy rates
- Rule of law; protection of assets
- Valuable immigrants (Dutch, Jews, Huguenots [French Protestants])

Possible reasons why industrialization did not begin in China include:

- Location of China's coal, which was in the north, while economic activity was centered in the south
- The rapid growth of population in China, giving less incentive for machines and more for labor-intensive methods
- Confucian ideals that valued stability and frowned upon experimentation and change
- Lack of Chinese government support for maritime explorations, thinking its empire seemed large enough to provide everything needed
- China's focus on defending self from nomadic attacks from the north and west

Global forces influencing the development of industrialization in Britain include:

- Britain's location on the Atlantic Ocean
- British colonies in North America, which provided land, labor, and markets
- Silver from the Americas, used in trade with China
- Social and ideological conditions in Britain, and new thoughts about the economy, that encouraged an entrepreneurial spirit

If you're wondering what oil and natural gas were doing while coal was powering the Industrial Revolution, they had been discovered long before and were in use, but mostly as fuels for lamps and other light sources. It wasn't until the mid-20th century that oil caught up — and surpassed — coal in use.



Calcutta Harbor, c. 1860 © Hulton-Deutsch Collection/CORBIS

The Spread of the Industrial Revolution

Britain tried to keep secret how its machines were made, but people took the techniques back to other countries. Sometimes they smuggled the machines out in rowboats to neighboring countries. The next countries to develop factories and railroads were Belgium, Switzerland, France, and the states that became Germany. Building a national railroad system proved an essential part of industrialization. Belgium began its railroads in 1834, France in 1842, Switzerland in 1847, and Germany in the 1850s.

In 1789, Samuel Slater emigrated from Britain to Rhode Island and set up the first textile factory on U.S soil. He did this from memory, having left Britain without notes or plans that could have been confiscated by British authorities. Next, between 1810-1812, Francis Cabot Cowell, of Massachusetts, visited Britain and returned to set up the first power loom and the first factory combining mechanical spinning and weaving in the States.

Railroad construction in the United States boomed from the 1830s to 1870s. The American Civil War (1861–65) was the first truly industrial war — the increasingly urbanized and factory-based North fighting against the agriculture-focused South. Industrialization grew explosively afterward. By 1900, the United States had overtaken Britain in manufacturing, producing 24 percent of the world's output.

After 1870, both Russia and Japan had lost wars, and were forced to abolish their feudal systems and to compete in the

industrializing world. In Japan, the monarchy proved flexible enough to survive through early industrialization. In Russia, a profoundly rural country, the Czar and the nobility undertook industrialization while trying to retain their dominance. Factory workers often worked 13-hour days without any legal rights. Discontent erupted repeatedly, and eventually, a revolution brought the Communist party to power in 1917.

Industrialized nations used strong armies and navies to colonize many parts of the world, gaining access to the raw materials needed for their factories. This practice is known as imperialism. In 1800, Europeans occupied or controlled about 34 percent of the land surface of the world; by 1914 this had risen to 84 percent. The story of Imperialism is part of the World History B course.

Consequences of the Industrial Revolution

Industrialization has not stopped, rather it continues to evolve. For many people, we are in the Fourth Industrial Revolution, although an equal number of people would probably disagree. Scientists argue that the Internet is the driving force.

How has the world changed between the 1st and 4th? In 1700, before the widespread use of fossil fuels, the world had a population of 670 million people. By 2011, the world's population had reached 6.7 billion, a 10-fold increase in a mere 300 years. In the 20th century alone, the world's economy grew 14-fold, the per capita income grew almost fourfold, and the use of energy expanded at least 13-fold. This kind of growth has never before occurred in human history.

The benefits of industrialization have come at a great cost. For one thing, the rate of change (acceleration) is now so rapid that individuals and social systems struggle to keep up. And strong arguments can be made about depersonalization in the age of mass production.

The increased complexity of the industrial system has also brought increased fragility. Industrialization depends on the interaction of many diverse components, any one of which could fail. We know that many of the essential components of the industrial system, and the natural resources it depends on, are being compromised — the soil, the oceans, the atmosphere, the underground water levels, plants, and animals are all at risk. Will growth continue unchecked, or are we approaching the end of an unsustainable industrial era? Whatever the future holds, we'll be debating — and dealing with — the consequences of modernization for years to come.

Attribution: Material modified from CK-12 8.1 Industrial Revolution

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13.3: Capitalism and Communism

The Economics of the Hunt

In the words of economic historian Roger Backhouse, “Economics does not have a beginning or a ‘founder’; people have always thought about questions that we now consider part of economics.” For example, the earliest humans spent lots of energy tracking and killing large game, which would need to be distributed. Then, each individual would decide to conserve or use. Even without developed cultural, commercial, or legal systems, effective economic decision-making was often imperative for survival.

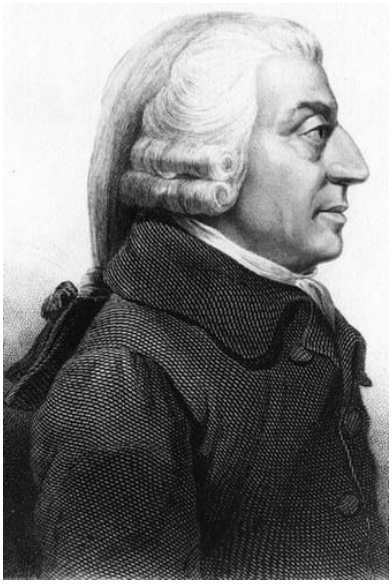
As hunter-gatherer groups coalesced into more organized societies, decisions about distributing resources and designating jobs became more complex. For many thousands of years, people worked according to “custom” (doing work that was passed down from previous generations) or “command” (working to avoid violence or other retribution). The blacksmith in medieval Europe, the farmer in India, and the pyramid-building slave in Egypt did not work to advance their own goals, dreams, or prosperity.

Early economies were also marked by an ambivalent attitude toward money and the pursuit of wealth for its own sake. Those who worked with money (merchants, lenders, and even craftsmen with specialized skills) were often viewed suspiciously and sometimes even punished for innovating within their trades. Consequently, skills and technology advanced gradually and similar jobs and standards extended across many generations.

Around 1500 CE, several drastic changes were set in motion. Overseas trade established new networks and boosted collective learning and commercialization. Globally traded currency created an easily recognizable and transferrable store of wealth and medium for exchange. Individual markets, once physical places for the simple exchange of goods, began merging to create the market system. By the 1600s and 1700s, custom and command ceased to exert as much influence as the pursuit of wealth. Rather than survival, obedience, or tradition, it was “the lure of gain…[that] steered the great majority to his or her task” (Heilbroner, p. 21). It was in this era, on the verge of the Industrial Revolution, that Adam Smith lived and worked.

Adam Smith

When Adam Smith (1723–1790) was born in Scotland, industrialization and a profit-driven market system were replacing custom and command-driven economic systems across Europe. These changes reflected the intellectual shift toward rationality, progress, liberty, and secularism, generally referred to as the Enlightenment.



An undated etching of Adam Smith, public domain.

As a professor and lecturer, private tutor to the children of European royalty, government economic adviser, and a customs

commissioner for Scotland, Smith had a comprehensive understanding of economics, which was captured most powerfully in *An Inquiry Into the Nature and Causes of the Wealth of Nations*, better known (and referred to hereafter) as *The Wealth of Nations*.

Composed at the dawn of the Industrial Revolution, *The Wealth of Nations* describes a world increasingly dominated by commerce and capitalism. Here, Smith gives his observations of a visit to a pin-making factory:

> One man draws out the wire, another straights it, a third cuts it, a fourth points it, a fifth grinds it at the top for receiving the head; to make the head requires two or three distinct operations; to put it on is a peculiar business, to whiten the pins is another; it is even a trade by itself to put them into the paper; and the important business of making a pin is, in this manner, divided into about eighteen distinct operations.... [An average factory of ten workers] could make among them upwards of forty-eight thousand pins in a day. Each person, therefore...might be considered as making four thousand eight hundred pins in a day. But if they had all wrought separately and independently, and without any of them having been educated to this peculiar business, they certainly could not each of them have made twenty, perhaps not one pin in a day. (*The Wealth of Nations*, p. 10)

In other words, the division of labor enabled one man to be as much as 4,800 times more productive than if he worked alone! In addition, Smith argued that people have a natural drive to improve their own lives. This self-interest propels markets to satisfy individual demands by producing the goods and services people want. He called this the “invisible hand”.

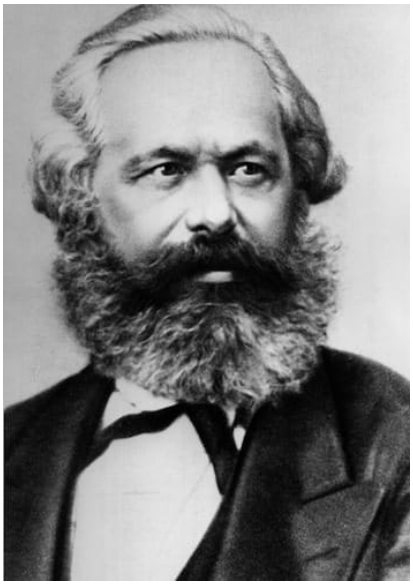
He suggested that competition between businesses prevents the exploitation of consumers by ensuring fair prices and quality products, encouraging constant economic innovation, and satisfying consumer demand. In short, competition keeps everyone honest, because customers treated unfairly by one business can always patronize another instead.

Adam Smith was the 'forefather' of capitalist thinking. Simply put, **capitalism** is an economic and political system in which a country's trade and industry are controlled by private owners for profit, rather than by the state. His remarkable insights not only captured his own time accurately; they also foresaw much of the economic future. Free-market capitalism has been the world’s foremost economic model for the last 200-plus years.

Though Smith predicted many of the successes of industrial capitalism, he lived too early in the Industrial Revolution to see its worst excesses. It would take several more decades to produce a critic whose cynicism toward capitalism matched Smith’s optimism. That critic was Karl Marx.

Karl Marx

Karl Marx (1818–1883) was born in the midst of the Industrial Revolution, into a middle-class family in Prussia (a former German kingdom straddling parts of present-day Germany and Poland). For most of his professional life, Marx was a writer for a variety of liberal, radical, and foreign newspapers, moving between Prussia, France, Belgium, and England because he was continually blacklisted or deported for his radical views.



Karl Marx, January 1870 © adoc-photos/CORBIS

Marx's attitude toward capitalism was scathing. In an age when "the Industrial Revolution had changed the process of production into a factory system and created a new ruling class of factory owners", Marx perceived injustice, inequality, and the inevitability of change. Marx and his frequent co-author, Friedrich Engels were outraged at the hardships faced by the working classes of industrial European cities, and they channeled this anger into two monumental written works that formed the basis of modern communism: *The Communist Manifesto* (1848) and *Das Kapital* (1867).

Marx's analysis sees the "history of all...societies [as] the history of class struggle." In his interpretation, human history is a series of eras, each defined by systems for producing goods, which created classes of rulers and the ruled. This process had already progressed from slavery to feudalism to capitalism and, in Marx's view, would eventually lead to a classless society called communism.

Why did Marx object to capitalism? He believed that "capitalists" (the owners of the machines, property, and infrastructure used to produce things) were a separate class from the "**proletariat**" (workers) who own nothing but the right to sell their labor in exchange for wages. Marx theorized that capitalists, in competition with each other for profits, would squeeze as much work as possible out of the proletariat at the lowest possible price. Furthermore, competition would cause some capitalists' firms to fail, increasing unemployment, misery, and poverty among the proletariat. Technological innovations were not necessarily positive. New machines would add to unemployment by rendering human labor increasingly inefficient and obsolete, while also making work dull, repetitive, and alienating.

Yet Marx was not altogether dismissive of capitalism. He saw it as a necessary stage for building a society's standard of living. But in his view, the proletariat's discontent would inevitably lead it to an overthrow of the ruling classes. Then, a more equitable society would be created. First, **socialist** (wherein the state would control the economy and distribute resources more evenly) and then purely **communist** (a stateless, classless, egalitarian society without private property or nationality).

Marx's beliefs, theories, and predictions represent a school of thought called Marxism. It was most influential in the 20th century, when it inspired various brands of revolutionary activity, including the Russian Revolution in 1917 and the rise of communist governments in China, Vietnam, and Cuba, as well as in many Eastern European and African nations. It has since fizzled out, with the U.S.S.R. collapsing in the early 1990s, China shifting toward a market-friendly economy, and smaller communist countries that depended on them adopting more market-oriented systems. How these things happened will be reviewed in the World History B course.

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13.4: Nationalism

Central to nationalist movements was the concept that the state should correspond to the identity of a “people,” although who or what defines the identity of “the people” proved a vexing issue on many occasions.

The French Revolution provided one model. The revolutionaries had declared that they represented the whole "nation," not just a certain part of it. They erased the legal privileges of some (the nobles) over others, made religion subservient to a secular government, and called the whole "nation" to arms when threatened by the conservative powers of Europe. The revolutionary armies sang a national anthem, the *Marseillaise*. Central to French national identity was fighting for *la patrie*, the fatherland, in place of the old allegiance to king and church.

As a result of the French revolutionary and Napoleonic wars, the countries invaded by the French eventually adopted their own nationalist beliefs. The democratic French principle of self-determination was turned into a sacred right to defend one's own national identity. Examples can be found in the Spanish revolt of 1808, Austria and Prussia's struggles of "liberation" against Napoleon, Russia's leadership of the anti-Napoleonic coalition, and fierce British pride in defiance to French military pretensions.

You learn more about nationalism in the World History B course.

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13.5: Socialism

Socialism was a specific historical phenomenon born out of two related factors: the social disorder that occurred with the French Revolution and the growth of industrial capitalism. It sought to address both the economic repercussions of the industrial revolution, especially in terms of the living conditions of workers, and to provide a new moral order for modern society.

Created in 1834, the movement was more about ethics than economics. The opposite of individualism and egoism, socialism proposed a new and better moral order, where the members of a society would care not only for themselves but for one another.

By the middle of the 19th century, the word socialism came to be used more widely to describe several different movements. A more economic definition developed: Material goods should be held in common, and producers should keep the fruits of their labor to promote a better, happier, more healthy community. Now, the concept straddled moral and social disintegration, as well as industrialization and economics.

Until 1848, socialism consisted of movements that shared a concern with the plight of working people and the regrowth of social bonds. This kind of socialism was fundamentally *optimistic* – early socialists thought that almost everyone in European society would eventually become a socialist once they realized its potential. This kind of socialism is often referred to as "utopian socialism."

After 1848, socialism was increasingly *militant*. Socialists realized that a major restructuring of society could not happen peacefully, given the strength of both conservative and liberal opposition. The most important militant socialism was Marxism, named after its creator Karl Marx. (See Chapter 13.3 and below.)

Three early socialist movements stand out as examples of so-called "utopian" socialism:

- Saint-Simonians--called egoism, the selfish pursuit of individual wealth, “the deepest wound of modern society”; were mostly highly educated young elites in France; the first "technocrats," people who believe that technology can solve any problem
- Owenites--believed that productivity was tied to happiness; created a number of cooperative, communalist “utopian” communities (many in the United States)
- Fourierists--believed that 810 specific kinds of personalities existed in the world; if 1,620 people (one man and one woman of each type) came together in a community, and each did the kind of work they "should" do, perfect happiness became possible

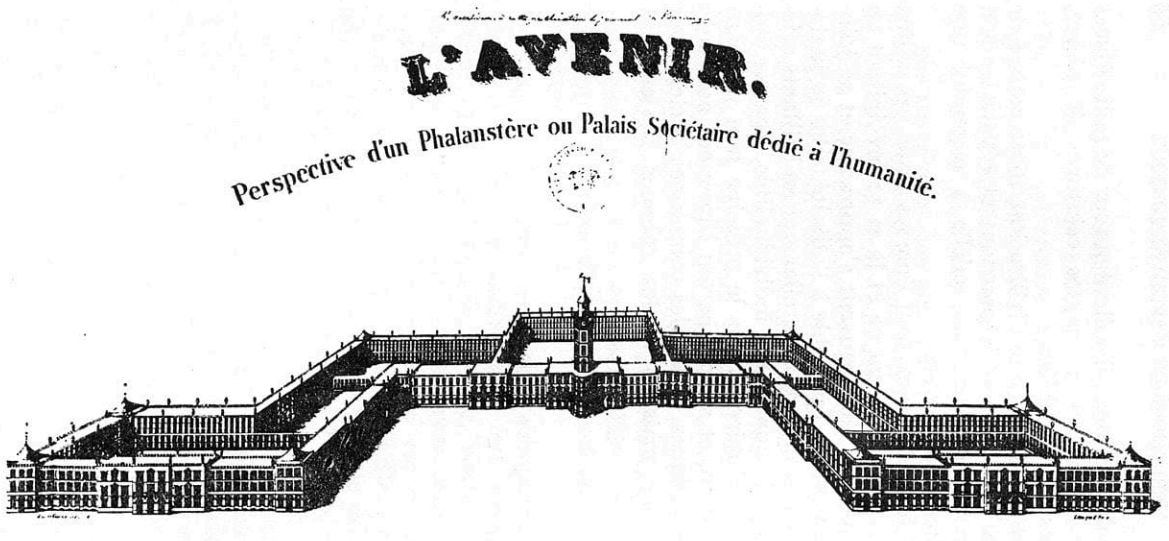


Figure 3.8.1: Illustration of a Fouriest phalanx (community). The heading simply reads “The Future.”

In general, the broad “Utopian” socialism of the 1840s was peaceful in orientation, democratic, believed in the “right” to work, and hoped that the higher orders might join it.

In 1848, from Paris to Vienna to Prague, Europeans rose up and, temporarily as it turned out, overthrew their monarchs. In the end, however, the revolutions collapsed. The awkward coalitions of socialists and other rebels soon fell to infighting, and kings eventually reasserted control. As a result of the revolutions, socialism became increasingly militant, focused on the necessity of confrontational tactics, even outright violence, to achieve a better society. Two post-Utopian and rival forms of socialist theory matured in this period: state socialism and anarchist socialism.

- State socialism believed that social reform had to come from above. It was unrealistic to imagine that groups could somehow spontaneously organize themselves into self-sustaining, harmonious units. One method of reform could come through universal manhood suffrage, which would lead to a government capable of implementing necessary economic changes, primarily by guaranteeing work for all citizens.
- In stark contrast was anarchist socialism. (Anarchism means the rejection of the state, not the rejection of all forms of social organization or even hierarchy.) There were two major thinkers: the French Pierre-Joseph Proudhon and the Russian Mikhail Bakunin. Both discussed the importance of cooperatives of workers but differed on whether a violent revolution was needed.

In the end, the most influential socialist was a German: Karl Marx. You learned about his connections to communism in Chapter 13.3.

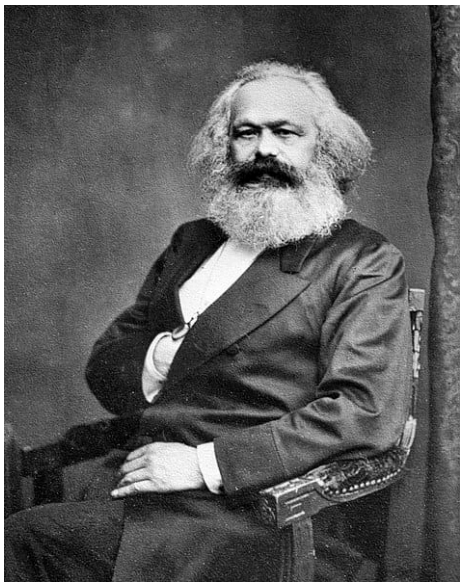


Figure 3.8.2: The best-known portrait of Marx, dating from 1875.

According to Marx, history is a story of class struggle. From ancient pharaohs to feudal kings and their nobles, the rich and powerful had always abused and exploited the poor and weak. This struggle was between two main groups: the bourgeoisie and the proletariat. The bourgeoisie were the rising middle classes, the owners of factories and businesses, the bankers, and all of those with direct control over industrial production. The proletariat was the industrial working class.

In the pre-modern era, workers generally had direct access to their livelihood: a small parcel of land, access to the common lands, the tools of their trade in the case of artisans. In the modern era, those rights and those tools were systematically taken away. The common lands were closed off and replaced with commercial farms. Artisans were rendered obsolete by the growth of industry. Peasants were pushed off the land or owned plots so small their children had to look for work in the cities. The net effect was workers had "nothing to sell but their labor".

At the same time, the people who did own property, "the bourgeoisie," were under pressure themselves. In the climate of the new capitalism, of unregulated markets and cutthroat competition, it was easy to fall behind and go out of business. Thus, former members of the bourgeoisie became proletarians themselves.

Meanwhile, industry produced more and more products. Eventually, there was simply too much out there and not enough people who could afford to buy it. This resulted in a "crisis of overproduction" and a massive economic collapse. Thanks to the Industrial Revolution, products need consumers more than consumers need products.

In the midst of one of these collapses, the proletariat *could* realize their common interests in seizing the unprecedented wealth that industrialism had made possible and using it for the common good. Instead of a handful of super-rich bourgeoisie, *everyone*

could share in material comfort and freedom from scarcity, something that had never been possible before. According to Marx, given the inherent tendencies of capitalism, a revolution was inevitable. In turn, revolutions did happen, most spectacularly in 1848.

After the revolutions of 1848 failed, Marx shifted his attention away from revolution and towards the inner working of capitalism itself. In fact, his great work *Capital* is a vast and incredibly detailed study of how England's capitalist economy worked and what it did to the people "within" it.

In some of his writings, Marx indicated that the proletariat would revolt spontaneously, without guidance from anyone else. In the second section of his early work *The Communist Manifesto*, he alluded to the existence of a political party, the communists, who would work to help coordinate and aid the proletariat in the revolutionary process. Toward the end of his life, Marx was increasingly worried that socialists, including self-styled Marxists, would try to stage a revolution "too early" and it would fail or result in disaster.

In sum, Marx did not leave a clear picture of what socialists were supposed to do, politically, nor did he describe how a socialist state would work if a revolution was successful. After his death, socialist revolutions *were* successful, and those nations had to try to figure out how to govern in a socialistic way. However, these stories are part of the World History B course.

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13.6: First Wave Feminism

Even as socialist parties were growing in size and strength, another political and cultural conflict raged: the emergence of feminism. According to the ideas of “separate spheres”, the man’s job was to represent the family unit in public and make decisions that affected the family. Meanwhile, the woman’s job was to maintain order in the home and raise the children, albeit under the “veto” power of her husband. The Code Napoleon, in Article 231, proclaimed that the husband owed his wife protection, and the wife owed her husband obedience.

As of 1850, women across Europe could not vote, could not initiate divorce (in those countries in which divorce was even possible), could not control custody of children in the case of divorce, could not pursue higher education, could not open bank accounts in their own name, could not maintain ownership of an inherited property after marriage, could not initiate lawsuits or serve as legal witnesses, and could not maintain control of their own wages if working and married. Despite the claim by male socialists that the working class was the “wretched of the earth,” male workers enjoyed vastly more legal rights than did women of any social class at the time.

“First-wave” feminism occurred during the late 19th and early 20th Centuries. It was the battle against legally-mandated discrimination against women, involving property laws, control over children within the family, and the right to vote. Of all of the cultural struggles and legal battles of the period, first-wave feminism faced the greatest opposition from those in power: men. Biologists routinely claimed that women were simply physiologically less intelligent than men. Women who had risen to positions of note were constantly attacked and belittled.

In response, first-wave feminists argued that women were only “inferior” because of their inferior education. If women were educated at the same level and to the same standards as men, they would be able to exercise their reason at the same level, and would deserve to be treated as full equals by the law.

First-wave feminism’s defining concern was suffrage - the right to vote. In 1867, the National Society for Women’s Suffrage was founded in Britain, and comparable movements spread across the continent over the next three decades. However, only in Finland and Norway did women gain the vote before World War I. In some cases, it took a shockingly long time: France only granted it in 1944 as a concession to the allies who liberated the country from the Nazis, and it took Switzerland until 1971!

It would be misleading to claim that first-wave feminism was solely focused on suffrage. For middle-class women, marriage was a necessity, not a choice. Working-class women worked in terrible conditions just to survive. As a result, feminists argued that women needed economic independence. First, the ability to support themselves before marriage without loss of status or respectability. Second, the right to retain the property and earnings they brought to and accumulated during a marriage. Voting rights and the right to initiate divorce were thus “weapons of self-defense”.

After decades of campaigns by feminists, divorce became a possibility in countries like Britain and France in the late nineteenth century, but it remained difficult and expensive to secure. For a woman to initiate divorce, she had to somehow have the means to hire a lawyer and navigate labyrinthine divorce laws; as a result, only the well-off could do so. In other countries, like Russia, divorce remained illegal. (On a side note: socialists thought gender divisions were byproducts of capitalism: once capitalism was eliminated, gender inequality would supposedly vanish).

Women's suffrage societies – groups that campaigned for the right to vote – began to emerge in Britain in the mid-19th century. These suffragists believed in peaceful, constitutional campaign methods. However, under Emmeline Pankhurst (1858-1928) and her daughters, militant tactics became more prominent. Upon her death, British women obtained full equality in the voting franchise.



Figure 5.5.1: Suffragettes who went on hunger strikes were often brutally force-fed while jailed; here, their jailors are described as a “modern inquisition.” (Great Britain)

By World War I, by and large, women secured the right to enter universities, and the first female academics secured teaching positions soon after - the first woman to hold a university post in France was the famous Marie Curie (1867-1934), whose work was instrumental in understanding radiation. Further, women could initiate divorce in some countries, along with the right to control their own wages and property and to fight for the custody of children.

How feminism faired in the 20th century is part of the World History B course.

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14: IMPERIALISM

“Imperialism” in the context of modern history refers to global empire-building by modern states, and is sometimes referred to as “neo-imperialism.” Specifically, imperialism refers to the enormous growth of European empires in the nineteenth century, culminating in the period before World War I in which European powers controlled over 80% of the surface of the globe. The aftershocks of neo-imperialism are still felt in the present, with national borders and international conflicts alike tied to patterns put in place by the imperialist powers over a century ago.

14.1: Technology

14.2: Imperialiasm

14.3: The Second Industrial Revolution

14.4: India

14.5: Africa

14.6: Effects

14.7: Counter Examples – Ethiopia and Japan

14.8: China

14.9: Indochina

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14.1: Technology

Technology made the new imperialism possible. It vastly increased the speed of communication, armed European soldiers with advanced weapons that overwhelmed resistance, and protected Europeans from tropical diseases. Simply put, European dominance grew from about 35% of the globe to over 80% over the course of the nineteenth century. In hindsight, European technological dominance was a historical accident, the circumstantial development of tools and techniques that originated with the Industrial Revolution.

For the first time, cities in Europe acquired the means to communicate almost instantaneously (via telegraph) with their colonies. Before telegraphs, it could take up to two years for a message and reply to travel between England and India. After telegraph lines were constructed over the course of the middle decades of the 19th century, a message and reply could make the circuit in just two days. This mode of communication vastly increased the efficiency of governing in the context of global empires.

Europeans were not just able to communicate with territories thousands of miles away, they could survive there as well. Except for relatively small territories along the coast, Africa had never been colonized by Europeans. The continent was largely impenetrable. There were few harbors for ships, the interior of the continent had no rivers that were navigable by sail, and most importantly, there were numerous lethal diseases (especially a particularly virulent form of malaria) to which Europeans had little resistance. Until the second half of the century, Africa was sometimes referred to as the "white man's graveyard," since Europeans who traveled there to trade or *try* to conquer territory often died within a year.

In 1841, British expeditions discovered that daily doses of quinine, a medicine derived from a South American plant, served as an effective preventative measure against the contraction of malaria. Thus, since malaria had been the most dangerous tropical disease, Europeans were able to survive in the interior of Africa at much higher rates. Once Pasteur's discoveries in bacteriology did occur, it became viable for large numbers of European soldiers and officials to take up permanent residence in the tropical regions of Africa and Asia.

Advances in medicine were joined by those in transportation. The steamboat, with its power to travel both with and against the flow of rivers, enabled Europeans to push into the interior of Africa (and many parts of Asia as well). Steamboats were soon armed with small cannons, giving rise to the term “gunboat.” In turn, when Europeans began steaming into harbors from Hong Kong to the Congo and demanding territory and trading privileges, the term "gunboat diplomacy" was invented.



Figure 6.1.1: A typical small and, in this case, unarmed steamship on the Congo River in Central Africa. “Steamers” as they were called varied greatly in size and armaments.

In addition, major advances in weapons technology provided an overwhelming advantage in the ability of Europeans to inflict violence in the regions they invaded. In the 1860s, the first breech-loading rifles were developed, and used widely in the Austro-Prussian War of 1866. Breech-loaders were incredibly accurate and quick to reload compared to earlier muzzle-loading firearms.

A European soldier armed with a modern rifle could fire accurately up to almost half a mile away in any weather, while the inhabitants of Africa and Asia were armed either with older firearms or hand weapons. Likewise, the first machine gun, the Maxim Gun, was invented in the 1880s. For a few decades, Europeans (and Americans) had a monopoly on this technology.



Figure 6.1.2: A British soldier with a maxim gun in South Africa.

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14.2: Imperialiasm

“Imperialism” is a policy of extending a country's power and influence through diplomacy or military force. To distinguish this later period from the earlier expansion of (e.g. the Spanish empire in the Americas), 19th-century imperialism is often referred to as “neo-imperialism.” By the start of World War I (1914), European powers would control over 80% of the surface of the globe. The aftershocks of this period are still felt in the present, with national borders and international conflicts tied to patterns put in place by the imperialist powers over a century ago.

Modern imperialism was a product of factors that had no direct parallel in earlier centuries. For a brief period, Europe (joined by the United States at the end of the century) enjoyed a monopoly on industrial production and technology. Scientific advances directly helped European power, such as providing life-saving medicines in regions like Sub-Saharan Africa. In addition, ideological developments inspired Europeans to consider their conquests as morally justified. It was, in short, a “perfect storm” of technology and ideology that enabled and justified Europe’s global feeding frenzy.

While Europeans tended to justify their conquests by citing a “civilizing mission” that would bring Christianity and Western Civilization to supposedly benighted regions, one other factor provided a much more tangible excuse for conquest: the rivalry between European states. After the Crimean War, the Congress System ceased to exist. The wars of the Italian and German unification demonstrated the stakes of intra-European conflict. Meanwhile, during the second half of the 19th century, all of the major European powers jockeyed for position on the world stage. Perhaps the most iconic example was the King of Belgium, Leopold II, who created the Belgian Congo in Africa. In addition to elevating Belgium’s status in Europe, he received enormous profits. In the end, his personal fiefdom - the Congo Free State - would become the most horrendous demonstration of a high-minded “civilizing mission” with the reality of carnage and exploitation.

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14.3: The Second Industrial Revolution

The Industrial Revolution was discussed in World History A. However, there is a quick review here, since it does contribute to the expansion of neo-imperialism.

Technology created a *motive* for imperialism, because of a phenomenon referred to as the "Second Industrial Revolution." This revolution consisted of the development and spread of new innovations, such as modern steel (1856), electrical generators (1870), electrical appliances and home wiring (circa 1900), and both bicycles and automobiles by the 1890s. Alexander Graham Bell invented the telephone in 1876, and thousands of phones, carrying millions of calls annually, were in operation already by the early 1880s. These advances created a huge demand for the raw materials – rubber, mineral ores, cotton – that were components of the new technologies.

During the First Industrial Revolution, the raw materials necessary for production had been in Europe itself: coal deposits and iron ore. The other raw material, cotton, was available via slave labor in the southern United States, as well as Egypt (which seized virtual independence from the Ottoman Empire in 1833). However, the raw material of the Second Industrial Revolution was mostly located outside of the older areas under European control. So, business interests pressured their respective governments to seize as much territory overseas as possible. For example, when oil fields were discovered in Persia in 1908, European interest in Middle Eastern imperialism reached a fever pitch.

Mines and plantations were crucial in Africa and Asia. Mining in particular offered the prospect of huge profits. There were Canadian nickel deposits for steel alloys, Chilean nitrates, Australian copper and gold, and Malaysian tin, mineral resources coveted by Europeans. Thus, while the motives behind imperialism were often strongly ideological, they were also tied to straightforward economic interests. Indeed, many of the strongest proponents of imperialism had ties to industry.

Other than seizing control of the Philippines from Spain in 1898 and exercising considerable power in Central America, the United States was not a major imperial power. However, it was a major manufacturing power and the major source of exports from the 1870s to the early 1900s. As a result, Europeans feared becoming economically obsolete. Thus, European politicians and businessmen focused on territorial acquisition overseas to counterbalance the vast natural resources of the US.

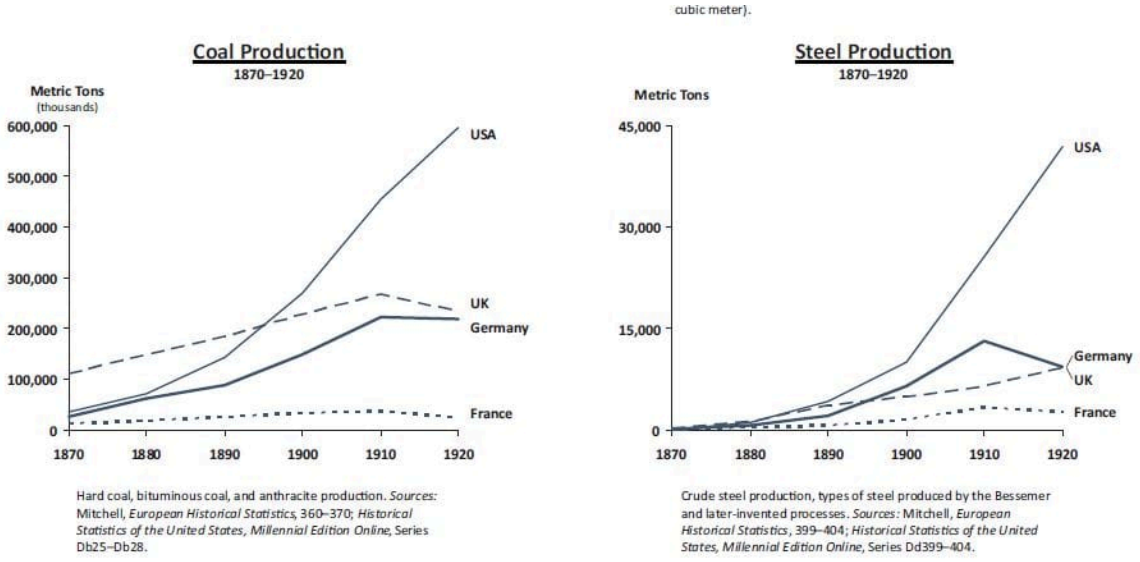


Figure 6.2.1: American resource production and industrial output vastly outpaced European production over time; already by the 1870s astute European observers correctly anticipated the rapid acceleration of American production.

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14.4: India

From the middle of the 19th until the early 20th centuries, wordsmiths said that 'the sun never set' on British Empire and its dominions. That was, quite literally, true. Roughly 25% of the surface of the globe was directly or indirectly controlled by the British in the aftermath of World War I (1918). Enormous bureaucracies of "natives" worked under white British officials everywhere from the South Pacific to North Africa. The ultimate expression of British imperialism was in India, where just under 100,000 British officials governed a population of some 300,000,000 Indians.

Until 1857, India was governed by the British East India Company (the EIC), the state-sponsored monopoly established in the 17th century to profit from overseas trade. Through a long, slow creep of territorial expansion and one-sided treaties with Indian princes, the EIC governed almost all of the Indian subcontinent by 1840. The subcontinent produced huge quantities of precious commodities, including cotton, spices, and narcotics. In fact, the EIC was the single largest drug cartel in world history, with the explicit approval of the British government.

By the 1830s, 40% of the total value of Indian exports took the form of opium, which led to the outbreak of the first major war between a European power, namely Britain, and the Chinese Empire. In 1840, Chinese officials tried to stop the ongoing shipments of opium from India. A single British gunboat, the Nemesis, arrived after inconclusive fighting had gone on for five months. In short order, the Nemesis began an ongoing rout of the Chinese forces. The Chinese navy and imperial fortresses were nearly helpless before gunboats with cannons, and steamships were able to penetrate Chinese rivers and the Chinese Grand Canal, often towing sailing vessels with full cannon batteries behind them.



Figure 6.3.1: A British commemoration of victory in the Opium War. The Nemesis is in the background on the right.

In the end, the Royal Navy forced the Chinese state to re-open their ports to the Indian opium trade, and the British obtained ownership of Hong Kong. Other European states secured the legal right to carry on trade in China, administer their own taxes and laws in designated port cities, and support Christian missionary work. The authority of the ruling Chinese dynasty, the Qing, was seriously undermined in the process. (A second Opium War occurred in the late 1850s, with the British joined by the French against China - this war, too, resulted in a European victory.)

Meanwhile, trouble for the British was brewing in India. In 1857, *sepoy*, Indian soldiers in the employ of the EIC, were issued new rifles. Unsubstantiated rumors circulated that the bullets were lubricated with both pig fat and cow fat. Loading the gun involved biting the cartridge open, so the soldier would be in direct contact with the fat, which was forbidden in Islam and Hinduism. Simultaneously, European Christian missionaries were at work trying to convert both Muslims and Hindus to Christianity, sometimes aggressively. These events culminated in an explosion of anti-Christian and anti-British violence that temporarily plunged India into a civil war. The British responded to the uprising, dubbed “The Mutiny” by massacring whole villages, while sepoy rebels targeted any and all British they could find, including the families of British officials. Eventually, troops from Britain and loyal Sepoy forces routed the rebels and restored order.



Figure 6.3.2: A British depiction of the Sepoy Rebellion, attributing the uprising to greed rather than its actual causes. Note also the use of racial caricatures in depicting the sepoys.

After this Sepoy Rebellion, the East India Company was disbanded by the British parliament, and India was placed under direct rule from London. India was henceforth referred to as the "British Raj," meaning British Rulership, and Queen Victoria became the Empress of India in addition to Queen of Great Britain. She promised her Indian subjects that anyone could take the civil service examinations that entitled men to positions of authority in the Indian government. Elite Indians quickly enrolled their sons in British boarding schools. The first Indian to pass the exam (in 1863) was Satyendranath Tagore, but white officials consistently refused to take orders from an Indian. As a result, elite Indians all too often hit a "glass ceiling" in the Raj, able to rise to positions of importance but not real leadership. In turn, resentful elite Indians became the first Indian nationalists, organizing what later became the Indian independence movement.

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14.5: Africa

While India was the most important and lucrative part of the British Empire, the conquest of Africa by the European powers stands as the highpoint of the new imperialism as a whole. Africa represents about a quarter of the land area of the entire world. In the 1880s, it had about one-fifth of the world's population, with over 700 distinct societies and peoples. Europeans knew so little about the African interior that maps generally displayed huge blank spots until well into the 1880s. Likewise, as of 1850, Europeans only controlled small territories on the coasts. The most substantial European holdings consisted of Algeria, seized by France in the 1830s, and South Africa, split between British control and two territories held by the descendants of the first Dutch settlers, the Boers. The rest of the continent was almost completely free of European dominance (although the Portuguese did maintain sparsely populated colonies in two areas).

Towards the end of the 19th century, that all changed. In 1876, roughly 10% of Africa was under European control. By 1900, the figure was roughly 90%. The search for profits, raw materials, the ongoing power struggle between the great powers, and the "civilizing mission," reached their collective zenith in Africa. The sheer speed of the conquest is summed up in the phrase "the Scramble for Africa."

In 1884, Otto Von Bismarck organized the Berlin Conference to determine what was to be done with a huge territory in central Africa called the Congo, which had fallen under the domination of Belgium. Representatives of the European states, joined by the United States and the Ottoman Empire, divided up Africa into spheres of influence and conquest. No Africans were present at the meeting. Instead, the Europeans agreed on trade between their respective territories and stipulated which (European) country was to get which piece of Africa. The impetus behind the seizure of Africa had much more to do with international tension than practical economics – there were certainly profits to be had in Africa, but no European knew for sure what those resources were or where they were to be found. Thus, in a collective land grab, European states emerged from the Conference intent on taking over an entire continent.

The Berlin Conference was the opening of the Scramble for Africa itself, the explosion of European land-grabs in the African continent. In some territories, notably French North Africa and parts of British West Africa, while colonial administrations were both racist and enormously secure in their own cultural dominance, they usually did embark on building at least some modern infrastructure and establishing educational institutions open to the "natives". However, as in the Raj, Europeans jealously guarded their own authority. In other regions, however, colonization was equivalent to genocide.

An example of human devastation occurred in the Congo. In 1876, Belgium King Leopold II created a colony under the guise of exploration and philanthropy. He claimed that his purpose was to protect the people of the region from the ravages of the slave trade. His acquisition was larger than England, France, Germany, Spain, and Italy combined; it was eighty times larger than Belgium itself. The Berlin Conference's official purpose was authorizing Leopold's already-existing control of the Congo. At the Conference, the European powers declared the territory to be the "Congo Free State," essentially a royal fiefdom ruled, and owned, by Leopold directly, not by the government of Belgium.

Leopold's real purpose was personal enrichment for himself and a handful of cronies. His methods of coercing African labor were atrocious: raids, floggings, hostages, destruction of villages and fields, and murder and mutilation. Belgian agents would enter a village and take women and children hostage, ordering men to go into the jungle and harvest a certain amount of rubber. If they failed to reach the rubber quota in time, or sometimes even if they did, the agents would retaliate against the children and women of the village. Sometimes, the entire village would be killed. The development of infrastructure was limited to the business of extracting ivory and rubber. In a period of 25 years, the population of the region was cut in half. In 1908, after public outcry and decades of dangerous and incredibly brave work by a few journalists, the Belgian Parliament stripped Leopold of the colony – it then took over direct administration.

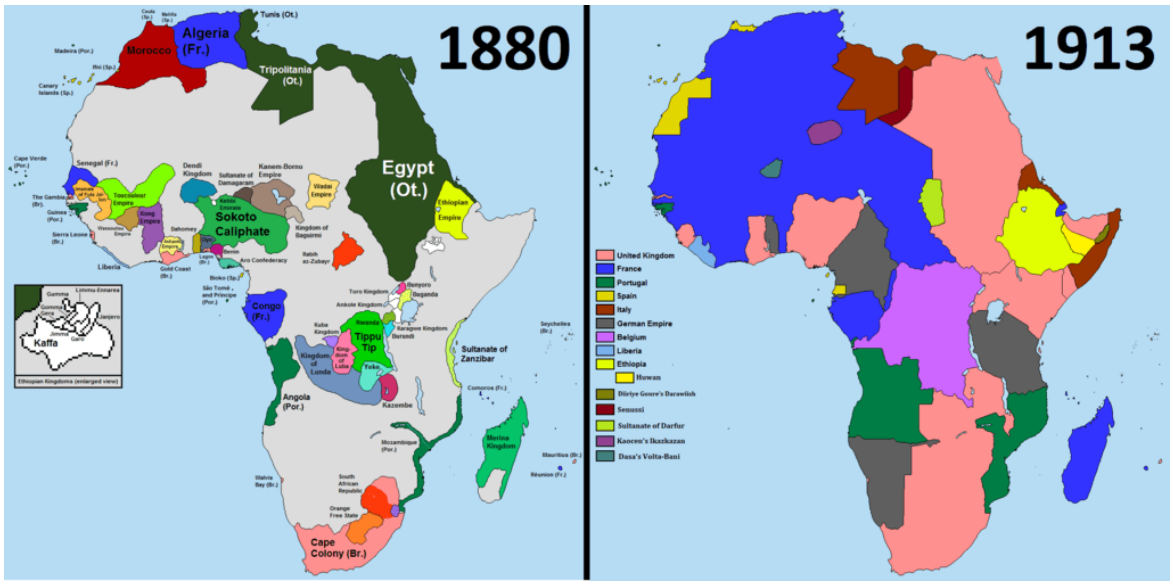


Figure 6.4.1: Map of Africa during the "Scramble" era. (Click here for a large image.)

One comparable example was the treatment of the Herero and Nama peoples of southwest Africa by the German army from 1904 - 1905. When the Herero resisted the German takeover, they were systematically rounded up and left in concentration camps to starve. When survivors were stalked across the desert by the German army, the Germans poisoned or sealed wells and water holes. Shortly afterward, when the Nama rose up, they too were exterminated. In the end, over two-thirds of the Herero and Nama were murdered.

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14.6: Effects

Imperialism can be described as “plunder economies.”

- First, colonial regimes seized the land from the people who lived there through force, backed by pseudo-legal means. Unless a given person, or group, had a legal title in the western sense to the land they lived on, they were liable to have it seized. Likewise, traditional rights to hunt, gather material, and migrate with herds were lost.
- Second, colonial regimes expropriated raw materials like rubber, generally shipped back to Europe to be turned into finished products.
- Third, colonial regimes exploited native labor. Examples could be found in outright slavery like the Congo, the Portuguese African colonies, and forced labor in French and German colonies. In other cases, "semi-slavery" existed, as on the island of Java where the Dutch imposed quotas of coffee and spices on villages. Subsistence-level wages paid to workers were offered in most of the territories controlled by the British.

In addition to labor exploitation, European powers imposed “borders” where none had existed. This action split up existing kingdoms, tribes, and cultures and then arbitrarily lumped different groups together. Sometimes European powers favored certain local groups over others in order to better maintain control. For example, British policy used the Tutsi tribe (“class” is more accurate) to govern over the majority Hutus in what would later become Rwanda. Thus, the effects of imperialism lasted after former colonies achieved their independence in the 20th century, using almost all of the borders originally created by the imperialists.

In a somewhat ironic twist, only certain forms and areas of exploitation made a profit for Europeans and their governments. Numerous private merchant companies founded to exploit colonial areas went bankrupt. The entire French colonial edifice never produced significant profits. Since governments generally stepped in to declare protectorates and colonies after merchant interests went under, the cost of maintaining an empire grew along with the territorial claims. Thus, while economic motives were always present, much of imperialism boiled down to the increasingly hostile great powers of Europe.

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14.7: Counter Examples – Ethiopia and Japan

European and the United States' monopoly on advanced technology did not always translate into successful conquest. As the Scramble for Africa began in earnest in the 1870s, the recently-united nation of Italy sought to shore up its status as a European power by establishing its own colonies. Italian politicians targeted East Africa, specifically Eritrea and Ethiopia. In 1889, the Italians signed a treaty with the Ethiopian emperor, Menelik II. However, the treaty contained different wording in Italian and Amharic (the major language of Ethiopia).

- The Italian version stipulated that Ethiopia would become an Italian colony.
- While the Amharic version simply opened diplomatic ties with Europe through Italy.

Once he learned of the deception, Menelik II repudiated the treaty. Simultaneously, he directed the government to acquire modern weapons and hired European mercenary captains willing to train his army.

In the early 1890s, war broke out between Italy and Ethiopia. At the decisive battle of Adwa (1896), the well-trained and well-equipped Ethiopians defeated the Italian army. The Italians were forced to formally recognize Ethiopian independence, and soon other European powers followed suit. Thus, a non-European power could and did defeat European invaders thanks to Menelik II's quick thinking. Nowhere else in Africa did a local ruler so successfully organize to repulse the invaders, but if circumstances had been different, they certainly could have done so.

Something comparable occurred in Asia on an even larger scale. In 1853, in the quintessential example of "gunboat diplomacy," an American naval admiral, Matthew Perry, forced Japan to sign a treaty opening it to contact with the west through thinly-veiled threats. As diplomacy and then trade with the Japanese shogunate began, a period of chaos gripped Japan as the centuries-old political order fell apart. In 1868, a new government, remembered as the Meiji Restoration, embarked on a course of rapid westernization after dismantling the old feudal privileges of the samurai class. Japanese officials and merchants were sent abroad to learn about foreign technology and practices. European and American advisers were brought in to guide the construction of factories and train a new, modernized army and navy. The Japanese state was organized along authoritarian lines. While the symbolic importance of the emperor was maintained, practical power was held by the cabinet and the heads of the military.

Westernization meant economic, industrial, and military modernization, as well as reaping the rewards. Just as European states had industrialized and turned to foreign conquest, the new leadership of Japan looked to the weaker states of their region as "natural" territories to be incorporated. The Japanese undertook a series of invasions, most importantly in Korea and the northern Chinese territory of Manchuria, and began the process of building an empire on par with that of the European great powers.

Japanese expansion threatened Russian interests, ultimately leading to the Russo-Japanese War (1904-1905). To the shock and horror of much of the western world, Japan handily defeated Russia. As a result, Russia recognized Japanese control of Manchuria, along with various disputed islands in the Pacific. Whereas Ethiopia had defended its own territory and sovereignty, Japan was now besting European powers at their own game: seizing foreign territory through force of arms.



Figure 6.6.1: Japanese depiction of an assault on Russian forces. Note the European-style uniforms worn by the Japanese soldiers.

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14.8: China

The Opium Wars undermined China's traditional mechanisms of foreign relations and controlled trade, and made it possible for Western powers, particularly Britain, to exercise influence over China's economy and diplomatic relations. During the 7th Century, opium was used for medicinal purposes. By the 17th century, the practice of mixing opium with tobacco for smoking spread from Southeast Asia, creating far greater demand. In 14.3, you learned about the First Opium War. This section will discuss the Second Opium War, and the aftermath on China and the rest of the world.

The 1850s saw the rapid growth of Western imperialism. To expand their privileges in China, Britain demanded the Qing authorities renegotiate the 1842 Treaty of Nanking. These demands included

- opening all of China to British merchant companies
- legalizing the opium trade
- exempting foreign imports from internal transit duties
- suppression of piracy
- regulation of the coolie trade
- permission for a British ambassador to reside in Beijing
- the English-language version of all treaties to take precedence over the Chinese language.

After an incident regarding the cargo ship called the *Arrow* and the bombardment of Canton by British troops, the Treaty of Tientsin was signed. Shortly afterward, the hostilities resumed. In 1860, with Anglo-French forces marching on Beijing, the emperor and his court fled the capital for the imperial hunting lodge at Rehe. Once in Beijing, the Anglo-French forces looted the Old Summer Palace and burnt it to the ground. Prince Gong, a younger half-brother of the emperor, was forced to sign the Convention of Beijing (1860). The agreement comprised three distinct treaties concluded between the Qing Empire and the United Kingdom, France, and Russia, and included many of the demands listed above.

In 1899, U.S. Secretary of State John Hay sent notes to France, Germany, Britain, Italy, Japan, and Russia, asking them to declare formally that they would uphold Chinese territorial and administrative integrity and would not interfere with the free use of the treaty ports within their spheres of influence in China. The Open Door Policy stated that all nations, including the United States, could enjoy equal access to the Chinese market. In reply, each country tried to evade Hay's request, taking the position that it could not commit itself until the other nations had complied. Competition between the various powers for special concessions within Qing dynasty China for railroad rights, mining rights, loans, foreign trade ports, and privileges continued.

Meanwhile.... In the mid-19th century, a series of natural disasters, economic problems, and defeats at the hands of the Western powers weakened the central imperial authority and led to rapid development of anti-Qing movements. The Qing dynasty was blamed for transforming China from the world's premiere power to a poor, backward country.

- While the Taiping Rebellion was not the first mass expression of the anti-Qing sentiment, it turned into a long civil war that cost millions of lives. It lasted from 1850 to 1864 and was fought between the Qing dynasty and the millenarian movement of the Heavenly Kingdom of Peace.
- A string of civil disturbances followed, including the Punti-Hakka Clan Wars, Nian Rebellion, Dungan Revolt, and Panthay Rebellion. All rebellions were ultimately put down, but at enormous cost and with millions dead. The results were a serious weakening of central imperial authority and the introduction of changes in the military that would further undermine the influence of the Qing dynasty.
- In response to calamities within the empire and threats from imperialism, some reformist movements emerged. However, they were undermined by corrupt officials, cynicism, and quarrels within the imperial family. The anti-Qing sentiment only strengthened as the internal chaos and foreign influences grew.
- The Boxer Rebellion, a violent anti-foreign and anti-Christian uprising that took place between 1899 and 1901, exposed and deepened the weakening of the Qing dynasty's power. As a result of the rebellion, the European powers ceased their ambitions to colonize China. Concurrently, the Japanese replaced the Europeans as the dominant power. Chinese Empress Dowager Cixi reluctantly started reforms known as the New Policies. The question of the historical interpretation of the rebellion remains controversial.

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14.9: Indochina

To ensure their presence in Southeast Asia, the French used the pretext of anti-Catholic persecution in Vietnam to take advantage of the internal weaknesses of Cambodia and Laos, establishing a colony with the predominant goal of economic exploitation. In 1857, the Vietnamese emperor Tu Duc executed two Spanish Catholic missionaries. This event coincided with the Second Opium War, when France and Britain had dispatched a joint military expedition to the Far East. In 1858, a joint French and Spanish expedition landed at Tourane (Da Nang) and captured the town. What began as a limited campaign (known as Cochincina Campaign) ended as a French war of conquest. By 1884, the entire country gradually came under French rule. Cochichina, Annam, and Tonkin were formally integrated into the union of French Indochina in 1887.

On paper, Cochinchina was the only region of French Indochina with direct rule. But in reality, political interference was equally intrusive across the entire area. The French adopted a policy of assimilation rather than accommodation. However, their settlement in Indochina did not occur at a grand scale as French Indochina was seen as a colonie d'exploitation économique (economic colony) rather than a colonie de peuplement (settlement colony).

> Cultural assimilation is the process in which a minority group or culture comes to resemble a society's majority group's values, behaviors, and beliefs whether fully or partially. When a culture fully assimilates, they risk losing their cultural identity because they are adopting the dominant culture and losing the parent culture.
>
> Cultural accommodation is the integration of a culture into the dominant society without forcing that culture to fully assimilate and adopt all of the dominant culture's mores, beliefs, and values.

Vietnam was to become a source of raw materials and a market for tariff-protected goods produced by French industries. Funding for the colonial government came from taxes on local populations, and the French government established a near-monopoly on the trade of opium, salt, and rice alcohol. The exploitation of natural resources for direct export was the chief purpose of all French investments, with rice, coal, rare minerals, and later rubber as the main products.

At the turn of the 20th century, the emerging automobile industry resulted in the growth of the rubber industry in French Indochina. Plantations were built throughout the colony, especially in Annam and Cochinchina. Soon, France became a leading producer of rubber and Indochinese rubber was prized in the industrialized world. However, because all investments aimed to attain immediate high returns for investors, only a small fraction of profit was reinvested.

Economically, the French did not develop Laos and Cambodia to the scale that they did Vietnam. The colonial government's budget originally relied largely on tax collections in Cambodia as its main source of revenue, and Cambodians paid the highest taxes per capita in French Indochina. As French rule strengthened, development slowly began in Cambodia, where rice and pepper crops allowed the economy to grow.

Economic progress benefited the French and the small class of the local wealthy created by the colonial regime. The masses were deprived of economic and social benefits. The French imposed high taxes to finance their ambitious program of public works and recruited forced labor from local populations without protection against exploitation in the mines and rubber plantations.

Resistance to French Imperialism

Nationalist sentiments emerged in French Indochina shortly after the colonial rule was established. In 1885, Phan Dinh Phung led a rebellion against the colonizing power. The Can Vuong movement, which sought to expel the French and install the boy Emperor Ham Nghi at the head of an independent Vietnam, initiated the revolt. The insurrection in Annam spread and flourished in 1886, and gradually faded out by 1889. In this movement, all levels of Vietnamese society, royalty, scholar-gentry, and peasantry, worked together against the French.

At the beginning of the 20th century, two parallel movements emerged. The Dong Du ("Go East") Movement led by Phan Boi Chau planned to send Vietnamese students to Japan to learn modern skills so in the future they could lead a successful armed revolt against the French. Duy Tan ("Modernization") led by Phan Chau Trinh favored a non-violent struggle to gain independence, stressing education for the masses and modernization. The French suppressed both movements and Vietnamese revolutionaries began to radicalize.

Cambodia--In 1885, Si Votha, half brother of king Norodom and contender for the throne, led a rebellion to dispose of the French-

backed Norodom after returning from exile in Siam. Gathering support from opponents of Norodom and the French, Si Votha led a rebellion that was primarily concentrated in the jungles of Cambodia and the city of Kampot. French forces later aided Norodom to defeat Si Votha. Unlike in Vietnam, Cambodian nationalism remained relatively quiet during much of French rule, although Khmer nationalism began to emerge outside of Cambodia.

Laos--In 1901, a revolt broke out in the south of Laos among groups of Lao Theung led by Ong Kaeo. The revolt challenged French control over Laos and was not fully suppressed until 1910. Between 1899 and 1910, political unrest in the northern Phongsali Province occurred as local hill tribe chiefs challenged French rule and assimilation policies being carried out in the highlands. Although the revolt initially started as a resistance against French influence, it focused on stopping French suppression of the opium trade.

Chapter 14 Conclusion

It is easy to focus on the technologies behind the new imperialism, to marvel at its speed, and to consider the vast breadth of European empires while overlooking what lay behind it all: violence. Until 1914, Europeans exported that violence hundreds or thousands of miles away as they occupied whole continents. In 1914, however, it came home to roost in the First World War.

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15: WORLD WAR I

After its ending, World War I was called "The Great War" and "The War to End All Wars." While the last term was, sadly, wrong, World War I was the world's first mechanized, "impersonal" war in which machines proved to be much stronger than human beings. It devastated enormous swaths of territory, and left the economies of the Western World either crippled or teetering. To make matters worse, the war utterly failed to resolve the issues that had caused it. What started as a culmination of nationalist rivalries, fears, and hatreds ended up turning people towards the messianic, violent rhetoric of fascism and Nazism.

15.1: Background to the War

15.2: The Start of the War

15.3: The Early War

15.4: The Evolution of the War

15.5: The Eastern Front and the Ottoman Empire

15.6: The Late War

15.7: The Aftermath

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15.1: Background to the War

By the beginning of the 20th century, a great rivalry existed between Europe's "great powers". This term meant that specific countries (generally considered to be Britain, France, Austria, Russia, and Germany) were able to command large armies, maintain significant economies and industrial bases, and conquer and hold global empires. Their respective leaders, and many of the regular citizens, were fundamentally suspicious of one another. The biggest worry of the political leadership was that one country would come to dominate the others. Long gone was the notion of the balance of power as a guarantor of peace. Now, each of the great powers sought to supplant its rivals in the name of security and prosperity. As a result, there was an ongoing, elaborate diplomatic dance as each power tried to shore up alliances, seize territory around the globe, and outpace the others.



Figure 7.1.1: Once the war began, the Triple Entente of Russia, France, and Britain faced the Central Powers of Germany and Austria. Italy was initially allied with the Central Powers but abandoned them once the war began, switching sides to join the Entente in 1915.

The thing that inflamed jingoism (extreme patriotism) and resentment among the great powers had been imperialism. The British were determined to maintain their enormous empire at any cost, and the Germans now posed a threat with its newly strengthened navy. The great powers constantly bickered over their colonies, especially in Africa and Asia. Violence in the colonies was almost always directed at the native peoples, with the balance of power squarely on the side of Europeans. Thus, even European soldiers overseas had no experience of facing foes armed with comparable weapons.

The nature of nationalism had changed significantly. For example, to be a good Englishman was to resent and fear the growth of Germany. Many Germans came to despise the Russians, in part to the growth of anti-Slavic racism. The lesser powers of Europe, like Italy, resented their own status and wanted to seize enough power to join the ranks of the great powers. By 1914, nationalism was nothing like the optimistic, utopian movements of the nineteenth century; it was hostile, fearful, and aggressive.

Public opinion mattered since every one of the great powers had some form of representative government. (In 1905, Russia saw the creation of an elected parliament, the Duma, and an open press.) Newspapers tended to deliberately inflame patriotic passions rather than encourage rational calculation. Patriotic loyalty was often connected with a willingness to fight, kill, and die for one's country. Journalism whipped up opinions and passions by stoking hatred, fear, and resentment, which led to a more widespread willingness to go to war.

The great powers sought to shore up their security and power through alliances. By 1914, an alliance obligated military action if any one power should be attacked. The willingness to go to war for the sake of alliance meant that even a relatively minor event might spark the outbreak of total war. That is precisely what happened.

By 1914, alliances had set the stage for the war.

- German politicians, fearing the possibility of a two-front war against France and Russia simultaneously, concluded an alliance

with the Austrian Empire in 1879.
- France and Russia created a strong alliance in 1893 in large part to contain the ambitions of Germany, whose territory lay between them.
- Great Britain was generally more friendly to France than Germany, but had not entered into a formal alliance with any other power. It was, however, the traditional ally and protector of Belgium.
- Russia grew increasingly close to the new nation of Serbia, populated by a Slavic people who were part of the Eastern Orthodox branch of Christianity.

In the summer of 1914, each of the great powers reached the conclusion that war was inevitable, and that trying to stay out of the immanent conflict would lead to national decline. Germany was surrounded by potential enemies in France and Russia. France had cultivated a desire for revenge against Germany ever since the Franco-Prussian War. Russia feared German power and resented Austria for threatening the interests of Slavs in the Balkans. Great Britain alone had no vested interest in war, but it was unable to stay out of the conflict once it began.

East Asian countries also had reasons to enter the way. Japan had to honor an agreement made with England in 1902 and also wanted to gain territories in the Pacific that had been held by Germany. Meanwhile, China sought to regain control over the vital Shantung Peninsula and reassert its strength before Japan.

All of the great European powers could field forces of a million men or more. In the past, political leaders had often either led troops themselves or at least had significant influence in planning and tactics. By the early 20th century, war plans and tactics were entirely in the hands of the general staffs, meaning political leaders would be obliged to choose from a limited set of "pre-packaged" options given to them by their generals.

Thus, when the war started... According to the general staff, it was all or nothing: either commit all forces to a swift and decisive victory, or suffer a certain defeat. There could be no small incremental build-ups or tentative skirmishes; this was about a total commitment to a massive war. An old adage has it that “generals fight the last war,” basing their tactics on what worked in previous conflicts. In 1914, the “last war” would have been the Franco-Prussian War (1870-1871), which Prussia had won through swift, decisive action and overwhelming force.

The die was cast.

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15.2: The Start of the War

Franz Ferdinand was the heir to the Habsburg throne, a respected Austrian politician who also happened to be friends with the German Kaiser. He, also, tended to favor peaceful diplomacy over the potential outbreak of war. In 1914, he was assassinated by a young Serbian nationalist, named Gavrilo Princip, a member of the terrorist group, The Black Hand. This event was the immediate cause of World War I.

Serbia was a new nation. (It had fought its way to independence from the Ottoman Empire in 1878.) The Serbs hoped to conquer and unite the Balkans in one Serbian-dominated country. Austria stood in the path of this ambition since Austria controlled neighboring Bosnia (in which Serbs were a significant minority of the population). Thus, the last thing Austrian politicians wanted was an anti-Austrian movement launched by the ambitious Serbs.

Serbian nationalists were proud of their Slavic heritage, and Russia became a powerful ally in large part because of the Slavic connection (i.e. they spoke related languages and the Russian and Serbian Orthodox churches were part of the same branch of Christianity). Russia was also a rival of Austria. However, the Serbs did not believe that Austria would risk a full-scale war with Russia in order to hold on to Bosnia.



Figure 7.2.1: The leaders of the Black Hand, the conspiracy responsible for the assassination of Archduke Franz Ferdinand and sparking the beginning of World War I.

After the assassination, the Austrian government demanded that Serbia allow Austrian agents to carry out a full-scale investigation of the assassination. Serbian honor would never allow such a thing. Austrian troops started massing near the Serbian border, and the great powers of Europe started calling up their troops. Germany, believing that its own military and industrial resources were such that it would be the victor in a war against France and Russia, promised to stand by Austria regardless of what happened. Russia warned that Austrian intervention in Serbia would cause war. France assured Russia of its loyalty. Only Britain was as-yet unaccounted for.

No one was completely certain that a war would actually happen; but if it did, each of the great powers was confident that they would be victorious in the end. A desperate diplomatic scramble ensued as diplomats, parliaments, and heads of state tried at the last minute to preserve the peace; but in the end, it was too late. On July 28, Austria declared war on Serbia, activating the pre-existing system of alliances. By August 4, all of the great powers in Europe were involved.

Two primary 'sides' emerged.

- Central Powers--Germany, Austrian Empire, and Ottoman Empire
- Triple Entente--Great Britain, France, and Russia. (Other countries, such as Italy, Japan, China, and the United States joined later.)

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15.3: The Early War

Apprehension and enthusiasm marked the start of the war. Before the war was even declared, 30,000 young men and women marched in Berlin, singing patriotic songs and gathering at the feet of statues of German and Prussian heroes. Everywhere, thousands of young men enlisted in the military of their own free will. Anti-ware protests abruptly stopped. Many felt that the war would resolve nationalistic rivalries once and for all. Indeed, it was widely thought in France and Germany that the war would be over by Christmas.

In the early 20th century, war was an ideal of bravery and honor that many young men longed for as a way to prove themselves, prove their loyalty, and purge their boredom and uncertainty about the future. A whole generation had absorbed tales of glory on the battlefield, of the Napoleonic Wars, the Crimean War, the Franco-Prussian War, and the conquests overseas. Depending on their nationality, they were either ashamed and angry, or fiercely proud, of their country's performance in past wars. As a result, many saw a new war as a chance to settle accounts. France could get even for the Franco-Prussian War. Germany could prove it was the most powerful nation in Europe. Russia could prove that it was a powerful modern nation - and so on.

The war began with the German invasion of France through Belgium. German tactics centered on the "Schlieffen Plan," which called for a rapid advance into France, knocking the country out of the war in six weeks. Subsequently, German troops would be whisked back east via railroads in time to engage Russia. (The generals believed that it would take the Russians at least that long to mobilize their armies.)

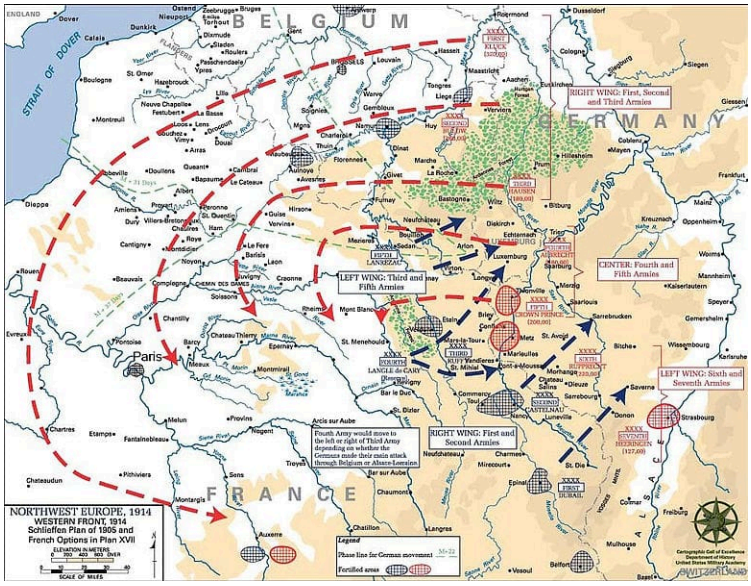


Figure 7.3.1: The Schlieffen Plan, in theory. In reality, while it met with initial success, French and British troops succeeded in counter-attacking and pushing back the German advance.

Belgium was a neutral country leading up to the war, and German planners had expected Belgium to surrender swiftly. Instead, Belgian soldiers fiercely resisted the German invasion. In turn, German troops deliberately massacred civilians and destroyed towns. Thousands of Belgian refugees fled to Britain. The bloodshed shocked the sensibilities of the French and British reading public. As a result, Britain swiftly declared war on Germany.

Within a few weeks, the Schlieffen Plan came to a halt as a result of a fierce French counter-attack. Simultaneously, the Russians surprised everyone by mobilizing their forces much more quickly than expected, attacking both Germany and Austria in the east. By the autumn of 1914, the scale of battles grew to exceed anything had ever seen. Soldiers on all sides encountered for the first time the sheer destructive power of modern weaponry. To shield themselves from the clouds of bullets coming out of machine guns, soldiers dove into the craters created by artillery shells. In the process, trench warfare was invented.

Leading up to the war, enormous new battleships (known as dreadnoughts), high-explosive artillery shells, and machine guns had been invented. As the death toll mounted, the human (and financial) costs associated with modern warfare shattered the image of national strength. At the same time, some generals stuck to outdated tactics such as sending calvary in bright uniforms into

hopeless charges, ordering offensives that were doomed to fail, and calling up every soldier available on reserve.

That Christmas, in a well-remembered symbolic moment, a brief and unauthorized truce was held on the Western Front. French and German soldiers climbed out of their respective trenches and meet in the “no man’s land” between the lines. Never again in the war would a moment of voluntary peace re-emerge. While they did not know it at the time, the soldiers faced four more years of carnage to come.

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15.4: The Evolution of the War

While they began as improvised, hastily-dug ditches, the trenches involved into vast networks of fortified rifts that stretched from the English Channel in the north to the Swiss Alps in the south. Behind the trenches lay the artillery batteries, capable of hurling enormous shells for miles. Farther back were the command posts of the high-ranking officers.

New technologies of war created tactical problems. Because of trenches, machine guns, mines, and modern rifles, it was far more effective to entrench oneself and defend a position than it was to charge and try to take the enemy's position. The British phrase for an attack was "going over the top," which involved thousands of men climbing out of their trenches and charging across the no man's land that separated them from the enemy. While they were charging, the enemy would simply open fire from their trenches. Without exception, not a single offensive captured a significant amount of territory between 1915 and early 1917. As a single example, one British attack in 1915 temporarily gained 1,000 yards at the cost of 13,000 lives.

Three years of trench warfare was a state of ongoing misery: men stood in mud, sometimes over a foot deep, in the cold and rain, as shells whistled overhead and occasionally blew them up. They lived in terror of having to attack the enemy line, knowing that they would all almost certainly be slaughtered. Thousands of new recruits showed up on the lines every month, many of whom would be dead in the first attack. In 1915, in a vain attempt to break the stalemate, both sides started using poison gas, which was completely horrific, burning the lungs, eyes, and skin of combatants. By 1917, both sides had been locked in place for three years, and the soldiers of both sides were known to remark that only the dead would ever escape the trenches in the end.



Figure 7.4.1: Soldiers in a trench in 1915.

Individual battles in World War I sometimes claimed more lives than had entire wars in past centuries. The numbers are staggering.

- The Battle of Verdun (1916) resulted in 540,000 casualties among the French and 430,000 among the Germans. It achieved nothing besides the carnage, with neither side winning significant territorial concessions.
- The Battle of the Somme (1916), a disastrous British offensive, saw 60,000 soldiers killed or wounded on the first day alone. Ultimately, the battle resulted in 420,000 British casualties (meaning either dead, missing, or wounded to the point of being unable to fight), 200,000 French casualties, and 650,000 German casualties.

In this context of ongoing carnage, commanders were forced to recognize that spectacular breakthroughs were probably unachievable. Instead, by 1916 many of the war's top strategists concluded that the only way to win was to outspend the enemy, churning out more munitions and supplies, drafting more men, committing more civilians to the war effort at home, and sacrificing more soldiers than could the other side. At its worst, commanders considered tens or even hundreds of thousands of deaths as signs of "progress", because they implied that the other side must be running out of soldiers, too.

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15.5: The Eastern Front and the Ottoman Empire

In contrast to the trench warfare on the Western Front, the Russian, German, and Austrian armies in the east were highly mobile, sometimes crossing hundreds of miles in an attempt to outflank their enemies. In the early years, the Russian army fought effectively, consistently defeating Austrian forces. However, Russia was hampered by its inadequate industrial base and by its lack of rail lines and cars. The Germans were able to outmaneuver the Russians, often surrounding Russian armies one by one and defeating them. In 1916, the Russian had won a major offensive against Austria, but it did not force Austria out of the war. In the aftermath, a lack of support and coordination from the other Russian generals ultimately checked the offensive.

By late 1916, the war had grown increasingly desperate for Russia. The Tsar's government was teetering and morale was low. The home front was in dire straits, with serious food shortages, and there were inadequate munitions (especially for artillery) making it to the front. Thus, the German armies steadily pushed into Russian territory. Russian forces checked the German advance in the winter of 1916 - 1917, but the war was deeply unpopular on the home front and increasing numbers of soldiers deserted rather than face the Germans. It was in this context of imminent defeat that a popular revolution overthrew the Tsarist state - that revolution is described in the next chapter.

Meanwhile, the Ottoman Empire, long considered the "sick man of Europe" by European politicians, proved a far more resilient enemy than expected. In 1908, well before the war began, a coup of army officers and political leaders known as the Committee of Union and Progress (also referred to as "Young Turks") had seized control of the Ottoman state and embarked on a rapid program of Western-style reform. With war clouds gathering over Europe in 1914, the Young Turks threw in their lot with Germany, the one European power that had never menaced Ottoman territories and which promised significant territorial gains in the event of a victory.

In 1915, British forces staged a full-scale invasion of Ottoman territory which rapidly turned into an outright disaster. In a poorly-planned assault on the Gallipoli Peninsula near Constantinople, hundreds of thousands of British Imperial troops (including tens of thousands of Australians and New Zealanders recruited to fight for "their" empire) were gunned down by Turkish machine guns. In the months that followed, British forces failed to make headway against the Ottomans.



Figure 7.5.1: An Australian propaganda poster calling for volunteers.

In 1916, British forces focused on capturing the eastern stretch of the Ottoman Empire: Mesopotamia, the site of the earliest civilization in human history (and which became the country of Iraq in 1939). With the support of Arab nationalists, the British steadily progressed westward. By 1917, Ottoman forces were in disarray and the collapse of the Ottoman Empire looked all but certain.

British and French politicians developed plans to divide up the Ottoman territory into protectorates (dubbed "mandates" after the war) under their control. However, the Young Turk leader Mustafa Kemal launched a major military campaign to preserve not

Ottoman but *Turkish* independence.

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15.6: The Late War

World War I was fought primarily in Europe. It was a “world” war, however, for two reasons.

- Hundreds of thousands of troops from around the world fought in it, the most numerous of which were citizens of the British Empire from as far away as India and New Zealand.
- Military engagements occurred in the Ottoman territories of the Middle East, in Africa between European colonial armies, and in Asia (albeit at a much smaller scale). Japan even supported the Entente war effort by taking a German-controlled Chinese port, Tsingtao.

Another major power was a latecomer to the fighting. The United States was dominated by "isolationist" sentiment. Most Americans believed that the war was a European affair that should not involve American troops. However, the US was an ally of Britain and provided both military and civilian supplies to the British, along with large amounts of low-interest loans to keep the British economy afloat. In 1917, as the war dragged on, the German generals decided to use their new submarines, the U-Boats, to attack any vessel suspected of carrying military supplies to the British or French. When ships carrying American civilians were sunk (especially the Lusitania, a passenger vessel carrying over 1,000 people, including many Americans), American public sentiment shifted and the US declared war on Germany in April of 1917.

The importance of the entrance of the United States in the war was not the superiority of American troops or technology. Instead, the key factor was that the US had a gigantic industrial capacity, dwarfing all of the great powers of Europe put together, and millions of fresh troops that could be called up or drafted. Germany, meanwhile, had been totally committed to the war for almost three years, and its supplies (of money, fuel, munitions, food, and people) were running very thin. Most German civilians still believed that Germany was winning, but as the carnage continued on the Western Front, the German general staff knew that they had to achieve a strategic breakthrough.

By 1918, it was clear to the German command that they were losing. The only hope appeared to be one last desperate offensive that might bring the French and British to the negotiating table. Thus, German forces staged a major campaign, breaking through the western lines and coming within about 40 miles of Paris, but by then German troops had outpaced their supply lines, lost cover, and were now up against the combined reserves of the French, British, and Americans. Another attempted offensive in July failed, and the Entente (and American) powers began to push the German forces back.

Back in Germany, criticism of the Kaiser appeared for the first time in the mainstream press, and hundreds of thousands of workers protested the worsening economic conditions. In late September, the head of the German General Staff, Ludendorff, advised the Kaiser to sue for peace. A month later, the Reichstag passed laws making the government’s ministers responsible to it instead of the Kaiser. Protest movements spread across Germany and the rapidly-collapsing Austro-Hungarian empire, as nationalist movements declared independence in Yugoslavia, Hungary, Czechoslovakia, and the Balkans.

On November 11 of 1918, a voluntary commission of German politicians led by the German Socialist Party (SPD) formally sued for peace. The Kaiser snuck away on a train to Holland, where he abdicated. The German General Staff, Hindenburg and Ludendorff did their best to popularize the idea that Germany “would have won” if not for sabotage perpetrated by a sinister conspiracy of foreign agents, communists, and Jews. In fact, if the commission had not sued for peace when they did, French, British, and American troops would have simply invaded Germany and even more people would have died.

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15.7: The Aftermath

At the end of the war, approximately forty million people, both soldiers and civilians, were dead. For Russia and France, of the twenty million men mobilized during the war, over 76% were casualties (either dead, wounded, or missing). A whole generation of young men was almost wiped out, which had lasting demographic consequences for both countries. For Germany, the figure was 65%, including 1.8 million dead. The British saw a casualty rate of “only” 39%, but that figure still represented the death of almost a million men, with far more wounded or missing. Even the smaller nations like Italy, which had fought fruitlessly to seize territory from Austria, lost over 450,000 men. Environmentally, a huge swath of Northeastern France and parts of Belgium were reduced to lifeless fields of mud and debris.

Politically, the war spelled the end of three of the most powerful empires of the early modern period: the Russian Empire, the Habsburg Empire of Austria, and the Ottoman Empire of Southwest Asia. The Austrian Empire was replaced by new independent nations, with Austria reduced to a “rump state”. France and Great Britain divided up control of former Ottoman territories in new “mandates”. Meanwhile, Turkey itself achieved independence led by Mustafa Kemal, or “Ataturk,” meaning “father of the Turks.” In Russia, after a bloody civil war, the world’s first communist nation emerged: the Union of Soviet Socialist Republics. While Germany had not been a major imperial power, it also lost its overseas territories.

After the euphoria many soldiers felt at the start of the war, the survivors were left psychologically shattered. For soldiers who survived but were unable to function in society, the British term “shell shock” was applied, a vague diagnosis for what is now known as Post Traumatic Stress Disorder. Today, P.T.S.D. is understood as a psychological issue that requires medical and therapeutic intervention. In 1918, it was considered a form of “hysteria”, a deeply gendered diagnosis that compared traumatized soldiers to “hysterical” middle-class women suffering from depression. The focus of treatment revolved around trying to force former soldiers to somehow “tough” their way back to normal behavior. Some progress was made in treating shell shock cases by applying the “talking cure,” an early form of therapy related to the practices of the psychologist Sigmund Freud, but most of the medical community held to the assumption that trauma was just a sign of weakness.

Europeans dubbed the conflict "The War to End All Wars." It was inconceivable that it could happen again; the costs had simply been too great to bear. The European nations were left indebted and depopulated, the maps of Europe and the Middle East were redrawn as new nations emerged from old empires, and there was profound uncertainty about what the future held. Most hoped that the bloodshed was over and that the process of rebuilding might begin. Some, however, saw the war’s conclusion as deeply unsatisfying and, in a sense, incomplete: there were still scores to be settled. It was from that sense of dissatisfaction and a longing for continued violence that the most destructive political philosophy of the twentieth century emerged: fascism (which will be discussed in a later chapter).

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16: INTERWAR

16.1: Russian Revolution
16.3: Partition of the Ottoman Empire
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16.2: Treaty of Versailles (1919)

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16.1: Russian Revolution

At the death of his father Tsar Alexander III in 1984, Nicholas became one of the most powerful monarchs in Europe. Russia may have been technologically and socially backward compared to the rest of Europe, but it commanded an enormous empire and boasted a powerful military. In addition, the Tsars had successfully resisted most of the modernity that had changed the political structure of the rest of Europe. Nicholas ruled in much the same manner as his immediate predecessors, holding nearly complete authority over day-to-day politics and the Russian Church.

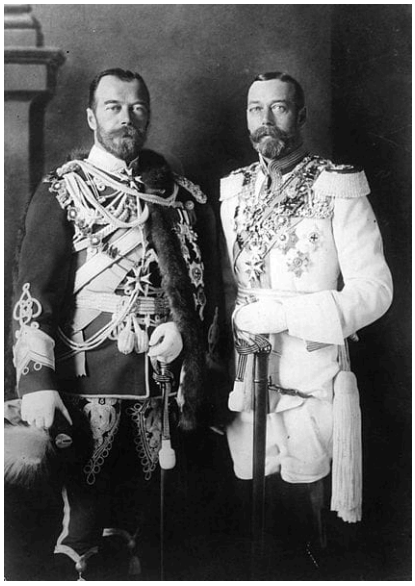


Figure 8.1.1: Family resemblance: cousins Tsar Nicholas II (on the left) and King George V of Britain (on the right).

During his reign, modernity finally caught up with Russia. Events outside of its immediate control undermined its ability to exercise complete control over the press and Russian society. The immediate cause of the downfall of Nicholas's royal line, and the entire traditional order of Russian society, was war: The **Russo - Japanese War** of 1904 - 1905 followed by World War I.

Many Russians blamed the Tsar for the country's defeat in the Russo-Japanese War. Shortly thereafter, 100,000 unarmed workers tried to present a petition to the Tsar asking for better wages, better prices on food, and the end of official censorship. Troops fired on the crowds, sparking a nationwide wave of strikes. For months, the nation was rocked by open rebellions in navy bases and cities. Nicholas finally agreed to allow a representative assembly, the **Duma**, to meet, and after months of fighting the army managed to regain control.

Very soon, it was clear that the Duma was not going to serve as a counter-balance to Tsarist power. The Tsar retained control of foreign policy and military affairs. In addition, the parties in the Duma had no experience of actually governing, and quickly fell to infighting and petty squabbles, leaving most decision making to the Tsar and his circle of aristocratic advisors. Positive changes did occur: unions were legalized and the Tsar was not able to completely dismiss the Duma. Most importantly, the state could no longer censor the press effectively.

Nicholas's only male heir, the prince Alexei, was a hemophiliac (i.e. his blood did not clot properly when he was injured, meaning any minor scrape or cut could be potentially lethal). Nicholas's wife, the Tsarina Alexandra, called upon the services of a wandering, illiterate monk and faith healer named Grigorii Rasputin. Rasputin was somehow able (perhaps through a kind of hypnotism) to stop Alexei's bleeding, and the Tsarina believed that he had been sent by God to protect the royal family. He quickly became a powerful influence, despite being the son of Siberian peasants and his questionable morals.

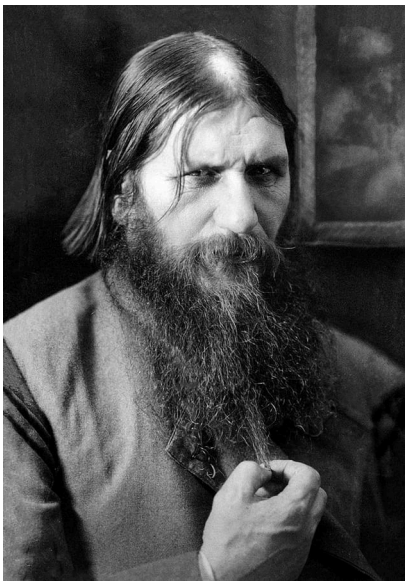


Figure 8.1.2: Grigori Rasputin in 1916, shortly before his death.

When World War I began in 1914, the Russian state teetered on the verge of collapse. In the autumn of 1915, Nicholas departed for the front to personally command the Russian army. In 1916, several Russian nobles were convinced that Rasputin was the cause of Russia's problems, and managed to assassinate him. By then, however, the German armies were steadily pressing toward Russian territory, and tens of thousands of Russian troops were deserting to return to their home villages. As the social and political situation began to approach outright anarchy, one group of Russian communists stood ready to take action: the Bolsheviks.

As a Russian revolutionary anarchist, socialist and founder of collectivist anarchism, Mikhail Bakunin believed that the only way to create a perfect socialist future was to utterly destroy the existing political and social order, after which "natural" human tendencies of peace and altruism would manifest and create a better society for all. According to Marx's theory, a revolution could only happen in an advanced industrial society. The proletariat would recognize that it had "nothing to lose but its chains" and overthrow the bourgeois order. In Russia, however, industrialization was limited to some of the major cities of western Russia, and most of the population was still poor peasants in small villages.

Vladimir Lenin saw a way to blend the two theories. As an ardent revolutionary and a major political thinker, he created the concept of the "vanguard party": a dedicated group of revolutionaries who would lead both workers and peasants in a massive uprising, which could lead to full-scale revolutionary change and creation of a new society. Led by the party, a communist revolution could “skip” a stage of (the Marxist version of) history, jumping directly from feudalism to socialism and bypassing industrial capitalism.

In Lenin’s mind, the obvious choice of a vanguard party was his own Russian communist party, the **Bolsheviks**. By 1917, the Bolsheviks were a highly organized militant group of revolutionaries with contacts in the army, navy, and working classes of the major cities. When political chaos descended on the country as the possibility of full-scale defeat to Germany loomed, the Bolsheviks had their chance to seize power.

In February of 1917, workers in St. Petersburg demonstrated against the Tsar's government to protest the price of food. Within days, similar demonstrations exploded across the country. The army refused to put down the uprisings and instead joined them. The Duma demanded that the Tsar step aside and hand over control of the military. By early March, just a few weeks after it had begun, the Tsar abdicated, realizing that he had lost the support of almost the entire population.

In the aftermath of this event, power was split. Representing the interests and beliefs of the educated middle classes, the Duma hoped to create a democratic republic like those of France, Britain, or the United States, but they had no road map to bring it about. Likewise, the Duma had no way to enforce the new laws it passed, nor could they compel Russian peasants to fight on against the Germans. Most critically, the members of the Duma refused to sue for peace with Germany, believing that Russia still had to honor its commitment to the war.

Soon, councils of workers and soldiers (called *soviets*) sprang up and declared that they had the real right to political power. There was a standoff between the provisional government, which had no police force to enforce its will, and the soviets, which could control their own areas but did not have the ability to bring the majority of the population (who wanted, in Lenin’s words, “peace,

land, and bread") over to their side. Many fled the cities for the countryside, peasants seized land from landowners, and soldiers deserted in droves. By 1917, 75% of the soldiers sent to the front against Germany deserted.

By late summer 1917, no group had power over the country as a whole. So in October, the Bolsheviks took control of the most powerful soviet, Petrograd (former St. Petersburg). Next, the Bolsheviks seized control of the Duma, expelled the members of other political parties, and then stated their intention to pursue unconditional peace with Germany and give land to the peasants with no compensation for landowners. In early 1918, after consolidating their control in Petrograd and Moscow, the Bolsheviks signed the **Treaty of Brest-Litovsk**, granting Germany huge territorial concessions in return for peace (Germany would lose those new territories when it lost the war itself later that year).

Almost immediately, a civil war broke out. The Bolshevik "Red Army" engaged the "White" royalist army all over western Russia and Ukraine. Despite the fact that very few Russians were active supporters of communist ideology, the Red Army still proved both coherent and effective under Bolshevik leadership. The ensuing war was brutal. Ultimately, 10 million people were killed in the conflict that lasted four years. In the end, the Bolsheviks prevailed. A few Eastern European countries, including Finland and Lithuania, did gain their independence, but everywhere else the Bolsheviks succeeded in creating a new communist empire in its place: the Union of Soviet Socialist Republics (USSR).



Figure 8.1.3: Lenin making a speech in 1920 in support of the Red Army during the civil war.

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16.3: Partition of the Ottoman Empire

At the end of the war, the Allies occupied Constantinople (Istanbul) and the Ottoman government collapsed. The Treaty of Sèvres, a plan designed by the Allies to dismember the remaining Ottoman territories, was signed on August 10, 1920, although it was never ratified by the Sultan.

Turkish revolutionaries led by Mustafa Kemal Atatürk, a successful Ottoman commander, rejected the terms enforced at Sèvres and under the guise of General Inspector of the Ottoman Army, left Istanbul for Samsun to organize the remaining Ottoman forces to resist the terms of the treaty. After Turkish resistance gained control over Anatolia and Istanbul, the Sèvres treaty was superseded by the Treaty of Lausanne, which formally ended all hostilities and led to the creation of the modern Turkish Republic. As a result, Turkey became the only power of World War I to overturn the terms of its defeat and negotiate with the Allies as an equal.

Many regions of Southeast Asia were assigned as mandates of the great powers.

- Britain obtained the mandates of Palestine from 1923 until 1948, as well as mandatory Iraq from 1920 until 1932.
- France held the mandate of Syria and Lebanon from 1923 to 1946.



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16.4: East Asia

Prior to World War I, Japan and Britain had signed the Anglo-Japanese Treaty of Alliance (1902-1921). This treaty was replaced by the Four-Power Treaty of Insular Possession of 1923. In the original document, the British recognized Japanese interests in Korea. The new balance of power in Korea favored Japan and allowed Britain to concentrate its interests elsewhere in Asia. Hence, Tokyo moved to gain influence over Korean banks, opened its own financial institutions in Korea, and began constructing railroads and obstructing Russian and French undertakings on the peninsula.

The United States was a leading negotiator in East Asia immediately before and after the war.

- After the Russo-Japanese War, the Japanese and US governments pledged to maintain a policy of equality in Manchuria.
- In 1917, the Lansing-Ishii Agreement was signed, which upheld the Open Door Policy in China. However, the United States recognized Japan's "special interests" in China due to its geographic proximity.
- The Lansing-Ishii agreement was replaced the Nine-Power Treaty (1922). Coming out of the Washington Naval Conference of 1921-1922, the treaty affirmed the sovereignty and territorial integrity of China as per the Open Door Policy. However, World War II effectively violated the treaty.
- The Open Door Policy was a principal that was never formally adopted via treaty or international law. It was invoked or alluded to but never enforced. In practice, it was used to mediate competing interests of the colonial powers without much meaningful input from the Chinese, creating lingering resentment.

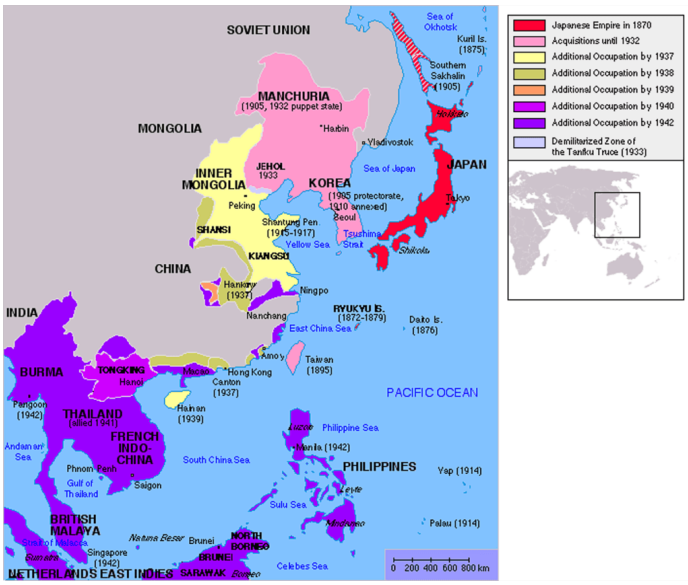
Conflicts between China and Japan

As alluded to above, the end of the 19th and beginning of the 20th centuries witnessed growing conflicts between China and Japan. Indeed, there was a series of wars that broke out between the two countries.

The First Sino-Japanese War (1894-1895) was a conflict between the Qing dynasty of China and the Empire of Japan primarily over influence in Joseon Korea. After more than six months of unbroken successes by Japanese land and naval forces and the loss of the port of Weihaiwei, the Qing government sued for peace in February 1895.

The Second Sino-Japanese War (1937–1945) was primarily waged between the Republic of China and the Empire of Japan, and contributed to the wider Pacific Theater of the Second World War. The beginning of the war is conventionally dated to the Marco Polo Bridge Incident on 7 July 1937, when a dispute between Japanese and Chinese troops in Peking escalated into a full-scale invasion. Unlike the West, World War II in Asia is often dated to this incident. During WW II, China fought Japan with aid from the Soviet Union and the United States.

Maximum extent of the Japanese empire 1932-1942



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16.5: Fascism

Fascism centered on the glorification of the state, the rejection of liberal individualism, and an incredible emphasis on hierarchy and authority. (The term 'fascism' was invented by the Italian Fascist Party, and came from the word *fascii*: a bundle of sticks with an axe embedded in the middle. In ancient Rome, the bodyguards of the ancient Roman consuls carried fascii as a badge of authority over war, peace, law, and death, and that symbolism appealed to the Italian Fascists.)

Fascism was a twentieth-century phenomenon, but its ideological roots were firmly planted in the nineteenth century. Fascism was an extreme form of nationalism. The nation was not just the home of a “people”, it was *everything*. The nation became a mythic entity that had existed since the ancient past. Fascists claimed that the cultural traits and patterns of the nation defined who a person was and how they regarded the world.

We often hear the terms used interchangeably today, but Fascism and Nazism were, and are, not the same.

Nazi ideology emphasized biology. The Nazis believed that races were biological entities. Something in the blood of each "race" could create or destroy something as vague as “true culture.” Only the so-called Aryan race had ever created culture or been responsible for scientific progress. Other races, including some non-European groups like the Persians and the Japanese, were considered “culture-preserving” races who could at least enjoy the benefits of true civilization. At the bottom end of this invented hierarchy were “culture-destroying” races, such as the Jews and Slavs, like Russians and Poles.

Italian Fascism was essentially ideological and emotional: it glorified the *idea* of the Italian people and in turn, many *actual* Italians did come to feel great national pride, even if they were working in difficult conditions in a stagnant economy. Fascist propaganda tried to instill Italian pride and Fascist identity among Italian citizens. Meanwhile, Fascist-led police forces targeted would-be dissidents, sentencing thousands to prison terms or in closed prison villages (not unlike some of the Russian gulags).

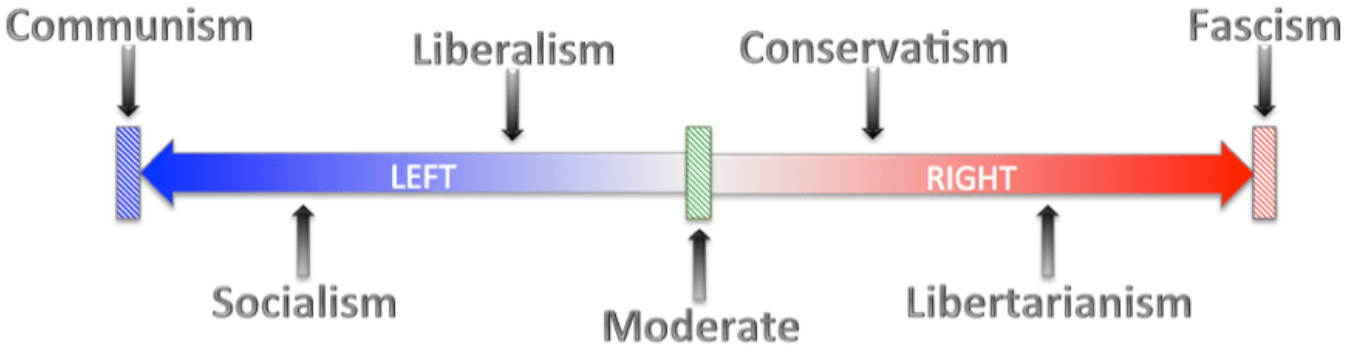
Differences between Fascism and Nazism

Areas of Differentiation	Fascism	Nazism
Source of Origin	Benito Mussolini (of Italy)	Adolf Hilter (of Germany)
Area of Practice	Mainly in Italy	Mainly in Germany
Armed paramilitary organization	Blackshirts	Gangs of Nazis or the ‘Brownshirts’
Beliefs	Organize all people and institutions under state control/power	Supported racial superiority
Class system	Supported using the class system to promote better social order	Considered class system to be a hindrance
Origins of name	Italian word	From the National Socialist German Workers party

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16.6: Political Systems

Many fascists were former communists. For example, Benito Mussolini, the leader of the Italian Fascist Party, had been a prominent member of the Italian Communist Party before World War I. Both fascism and communism rejected bourgeois parliamentary democracy. In addition, there are located on different ends of the political spectrum.



Comparing Fascism/Nazism and Communism Fascism/Nazism and Communism are two different totalitarian political systems with some common characteristics.

	Fascism/Nazism	Communism
Basic principles	Authoritarian; action-oriented; charismatic leader; state more important than individual	Marxist-Leninist ideas; dictatorship of proletariat; state more important than individual
Political	Nationalist; racist (Nazism); one-party rule; supreme leader	Internationalist; one-party rule; supreme leader
Social	Supported by middle class, industrialists, and military	Supported by workers and peasants
Cultural	Censorship; indoctrination; secret police	Censorship; indoctrination; secret police
Economic	Private property control by state corporations or state	Collective ownership; centralized state planning
Examples	Italy, Spain, Germany	U.S.S.R.

• What characteristics do they have in common? How do they differ?

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16.7: The Great Depression

During the 1920s, some of the most interesting writing and art of the modernist movement occurred. The political order of Europe and the United States was beset by struggle and conflict. Yet, there was at least some economic growth. That growth came crashing to a halt in 1929 with the advent of the Great Depression.

The Great Depression was the worst economic disaster in the modern era. It constituted an almost total failure of governments, businesses, and banks to anticipate or prevent economic disaster. Nor could they effectively deal with it. The Depression partially explains the appeal of extremist politics like Nazism. The average person was profoundly frightened by what had happened to their world. Instead of progress resulting in better standards of living, all of a sudden the hard-won gains of the recent past were completely ruined.

Why did the Great Depression happen?

World War I had left a financial mess. As part of the Treaty of Versailles, massive reparations were imposed on Germany - 132 billion gold marks. In addition, the former members of the Triple Entente owed approximately $10 billion to the United States on loans. Over the course of the 1920s, as the German economy struggled to recover, the US government oversaw enormous loans to Germany. In the end, a “triangle” of debt and repayment locked the economies of the United States and Europe. US loans underwrote German reparation payments to Britain and France, with Britain and France then trying to pay off their debts to the US. At the end of the 1920s, none of the debts were anywhere near paid off, and more loans were still flooding the market.

The Great Depression actually started in the United States with a massive stock market crash on October 24, 1929. When the stock market crashed, American banks demanded repayment of the European loans, from Germany and its former enemies alike. The capital to repay those loans simply did not exist. Businesses shut down, governments defaulted on American loans, and unemployment soared. In one year, Germany’s industrial output dropped by almost 50% and millions were out of work. At the same time, inspired by liberal economic theories, governments started cutting back on social programs, balancing state budgets, and slashing spending. So, even less capital (money) was available.

In the United States and Western Europe, the Great Depression would drag on for a decade (1929 - 1939), at which point World War II overshadowed economic hardship as the great crisis of the century.

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16.2: Treaty of Versailles (1919)

Even after all of the hopes and aspirations of the last century, Europe had degenerated into a horrendous and costly war. The war had *not* purified and invigorated the great powers; they were all left reeling, weakened, and at a loss for how to prevent a future war. Science had advanced, but its most noteworthy accomplishment was the production of more effective weapons. The global empires remained, but the seeds of their dissolution were already present.

The results were bitterness and reprisals. The Treaty of Versailles that ended the war imposed harsh penalties on Germany.

- It was to return Alsace and Lorraine to France.
- Pay a massive indemnity (a sum of money paid as compensation) to the Allies.
- Accept the "war guilt clause," in which it assumed full responsibility for starting the war.

Simultaneously, the Austrian Empire collapsed, with Hungary, Czechoslovakia, and the new Balkan nation of Yugoslavia all becoming independent countries and Austria a short-lived republic. Almost no one would have believed that another "Great War" would occur in twenty years.

World War I did not resolve any of the problems or international tensions that had started it. Powerful and devastating modern weapons were developed, and no single power was able to assert dominance.

World War I provided the trauma, the bloodshed, and the skepticism toward liberalism and socialism that underwrote the rise of fascism. Fascism was a modern conservatism, that promoted order and hierarchy, but which did not seek a return to the days of feudalism and monarchy. It was a populist movement, a movement of the people by the people, but instead of petty democratic bickering, it glorified the (imagined) nation.

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17: WORLD WAR II

World War II was the defining disaster for millions of people across the globe. In addition to the total war experienced in World War I, the conflict stretched across the entire planet, not just parts of Europe, Africa, and the Middle East. While nationalist rivalries and international tensions certainly led to the war, the primary cause was unquestionably Adolf Hitler's personal obsession with creating a vastly expanded German empire. (Note: Germany, Italy, Japan, and their allies are referred to as "The Axis" in World War II. Britain, the US, the USSR, and their allies are referred to as "The Allies".) By the war's end, approximately 55 - 60 million people had died, including 25 million Soviets and 6 million Jewish victims of the Holocaust.

17.1: Leading up to War

17.2: The Early War

17.3: The War in the East

17.4: The Turn of the Tide

17.5: The Aftermath

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17.1: Leading up to War

Over the course of the 1930s, the Nazi government steadily broke with the provisions of the Treaty of Versailles. The pre-Nazi German state had already suspended reparation payments. When the Nazis came to power, they simply refused to negotiate resuming payments. By 1934, Germany secretly began the process of re-arming. A year later, it more openly moved to build a military larger than the one from World War I. By 1939, Hitler felt confident that the German war machine was ready for a full-scale invasion of the surrounding lands.

In a sense, the 1930s consisted of Hitler "playing chicken" with the rest of Europe. He would launch a dangerous and provocative initiative. Then, he would wait and see if the rest of Europe (meaning primarily France and Britain) would respond with the threat of force or instead back down. Those nations did back down, repeatedly, until the invasion of Poland in September of 1939 finally proved that Hitler could not be stopped without war.

Political historians often refer to this policy as “appeasement.” The French and British governments would give Hitler what he wanted in hopes that he would not do it again. Pieces of foreign territory, political unions with closely related German territories, and the growth of German military power were seen by British and French politicians as things that Germans might have legitimate grievances about. Thus, they played along with the idea that Hitler might be appeased once those issues were addressed.

Arguably, one should not be too quick to write off appeasement. World War I had been so awful that most Europeans believed that Hitler would not want to plunge Europe back into another world war. French and British wanted to avoid full-scale war at any cost. Indeed, their civilian populations were totally opposed to war and, especially in France, their governments were unstable and unpopular. Thus, British and French political leaders did not think they were 'caving in' to Hitler, rather they were preserving peace.

In March of 1938, Germany annexed Austria, an event known as the *Anschluss*. Most Austrians welcomed the German tanks that rolled into Austrian cities, and there was practically no resistance. This action was a blatant violation of the Treaty of Versailles. But, there was no foreign response, and Hitler's Nazi regime received a boost in public relations. In one swoop, Nazi laws and policies were imported to Austria, and there was a looting spree as Catholic Austrians attacked their Jewish countrymen.

In September of 1938, the threat of German intervention in the Sudetenland, a region of northwestern Czechoslovakia with a significant German minority, prompted an international crisis. The British and French governments hastily convened a conference in Munich. Instead of defending Czech sovereignty, the French and British agreed that Germany should annex the Sudetenland to “protect” its German population. Then, in early 1939, German troops simply occupied the rest of Czechoslovakia. The Czech lands were divided between Germany and a newly-created protectorate, while Slovakia became a puppet state under an anti-Semitic Catholic priest, Jozef Tiso.



Figure 10.1.1: Hitler greeting the British prime minister Neville Chamberlain at the Munich Peace Conference that agreed to the German annexation of the Sudetenland.

While Germany was expanding its territories, it also formed political alliances. In May of 1939, Italy and Germany pledged an alliance with one another. More importantly, in August of 1939 Germany and the USSR signed the Molotov–Ribbentrop Pact - a mutual non-aggression pact that neutralized the USSR. Hitler had absolutely no intention of honoring the pact in the long term. However, the Soviet Premier Josef Stalin *did*. First, he thought that Germany was not strong enough to threaten Soviet territory. Further, he believed that any conflict would be between capitalist nations, not his communist state. To sweeten the deal for the Soviets, the pact secretly included provisions to divide Poland between Germany and the USSR in the immediate future.

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17.2: The Early War

War came in September of 1939. The Nazis claimed that Poles had been abusing and mistreating ethnic Germans in Poland, which was perpetuated by the Nazi propagandists. Using this excuse, the German army invaded Poland. Realizing that appeasement had failed, France and Britain declared war on Germany. As part of the pre-war agreement with Germany, the Soviet Union invaded Poland from the east as German forces invaded from the west.

German strategists had learned from World War I to overcome trench warfare. Military technology had advanced rapidly between the wars, with the major nations developing fast-moving, heavily armored tanks and heavy bombers supported by fighter planes. It would be possible to strike much more quickly and much harder than had the ragged lines of charging soldiers “going over the top” twenty years earlier.

Likewise, as American intervention had proved in World War I, the Second World War combatants recognized the key role industrial production played. Who won the war would also be decided by who could continue to churn out weapons and equipment at the highest rates for the longest time. In that sense, industrial capacity was as important as fighting ability. German strategists had learned all of these lessons, and the German army - the *Wehrmacht* - struck with overwhelming force, backed by an industrial base designed to support a lengthy war.

When Germany finally attacked Poland in September of 1939, the Wehrmacht unleashed (what the Allies called) Blitzkrieg, lightning war, which consisted of fast-moving armored divisions supported by overwhelming air support. Behind those armored divisions, the main body of German infantry neutralized the remaining resistance and succeeded in taking thousands of prisoners of war. With Poland defeated, global attention shifted to the border of France.

(Blitzkrieg had originally been conceived by a French officer, Charles de Gaulle. It was rejected by the French General Staff but was acquired by the Germans and implemented by the *Wehrmacht*. The irony is that De Gaulle would go on to become the leader of the anti-Nazi Free French forces in the war after France itself surrendered.)

While France had declared war on Germany immediately, it did not actually attack. After WWI, the French built a huge series of bunkers and fortresses along the French-German border known as the Maginot Line. There, from September 1939 until May 1940, the French military essentially waited for Germany to invade. (This period came to be referred to as the "*drôle de guerre*,” or “joke war” by the French. The British called it the “phony war,” and the German's *sitzkrieg* or “sitting war”.) Most people believed the Maginot Line would hold the Germans back, so there was no need to attack Germany.

Instead, the Germans had the idea to go around the Maginot Line. In April, German forces invaded and swiftly defeated Denmark and Norway, despite a valiant resistance by the Norwegians. Then, on the 10th of May, they attacked the Netherlands, Belgium, and France, sending the bulk of their forces through a forest on the French - Belgian border that the French had thought was impassable to an army. The Germans proved far more effective than the French or British at using tanks and artillery, and they immediately began driving the French and British forces back. The Maginot Line, meanwhile, went unused, with the German invasion simply bypassing it completely with the Belgian invasion.

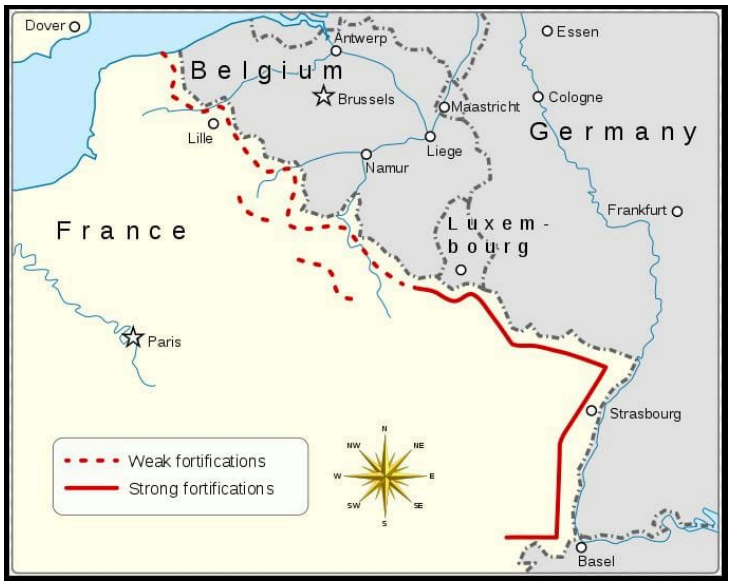


Figure 10.2.1: German forces invaded France through southern Belgium, bypassing the Maginot Line's "strong fortifications" entirely.

In late May, over 300,000 British and French soldiers retreating from the Germans were pinned down on the coast of the English Channel near the French town of Dunkirk. There, a flotilla of navy and fishing vessels managed to evacuate them back to England while the British Royal Air Force held off the opposing German *Luftwaffe* (air force). This retreat counted as a success by the standards of the Allies at the time, although British Prime Minister Winston Churchill reminded his countrymen that successful retreats were not how wars were won.

Next, the French sent their armored forces toward Holland while the Germans smashed into France itself. The British and French proved inept at working together, and Allied morale collapsed completely. The French did not realize the potential of tank warfare: they treated tanks more as mobile artillery platforms than as weapons in their own right, and they had no armored divisions, just tanks interspersed with infantry divisions.

In the end, France surrendered to Germany on June 22. Germany occupied the central and northern parts of France but allowed a group of right-wing French politicians and generals to create a Nazi-allied puppet state in the south. That state became known as the Vichy Regime. There, the Vichy government rapidly set up a distinctly French fascist state, complete with concentration camps, anti-Semitic laws, and a state of war with Britain.

Thus, as of June of 1940, no major powers remained to oppose Germany but Britain (the United States remained neutral). Hitler had initially hoped that the British would agree to surrender the continent, so he could turn against the USSR. Instead, Britain refused to back down and handed over power to an emergency government headed by the new prime minister, Winston Churchill.

Starting in July of 1940, the Luftwaffe began a campaign to utterly destroy the (British) Royal Air Force (RAF) and to terrify the British into surrendering. German plans revolved around a naval invasion of the British Isles across the English Channel, but German strategists conceded that they would have to cripple the RAF for the invasion to be possible. The resulting months of combat in the skies came to be known as The Battle of Britain. It was the "greatest" series of air battles ever fought, lasting from July through September of 1940, with thousands of planes battling in the skies every day and night.

The British were quite well prepared. They had the newly-created technology of radar, which allowed them to anticipate German attacks. In addition to the RAF, the British had numerous batteries of anti-aircraft guns that inflicted significant losses on the Luftwaffe. Many British pilots survived crashes and were rescued, whereas German pilots who were shot down either died or were captured. Most importantly, British factories churned out twice as many new planes as did German ones over the course of the war. Thus, the RAF was able to counter German attacks with new, effective fighters and increasingly seasoned pilots. By the end of September, much to Hitler's fury, Germany had to abandon the immediate goal of invading Britain.

Meanwhile, the United States stayed out of the war due to the policy of "isolationism". In part because of the heroism of the British defense, the US Congress passed the Lend-Lease Act in March of 1941 which authorized unlimited support for Britain, mostly taking the form of food and military supplies provided on credit. With German blockades preventing imports, every aspect of the British economy (especially agriculture and other forms of food production) was directed by emergency wartime ministries to keep the British population from starving.

In September of 1941, Germany, Italy, and Japan signed the Tripartite Pact. The Pact stipulated that any of the three powers would declare war on a neutral country that declared war on one of the others. Germany hoped that the Pact would make US politicians think twice about joining Britain in the war effort. In hindsight, it backfired against Germany, since the Japanese attack on the United States led Germany to honor its agreement and declare war on the US.

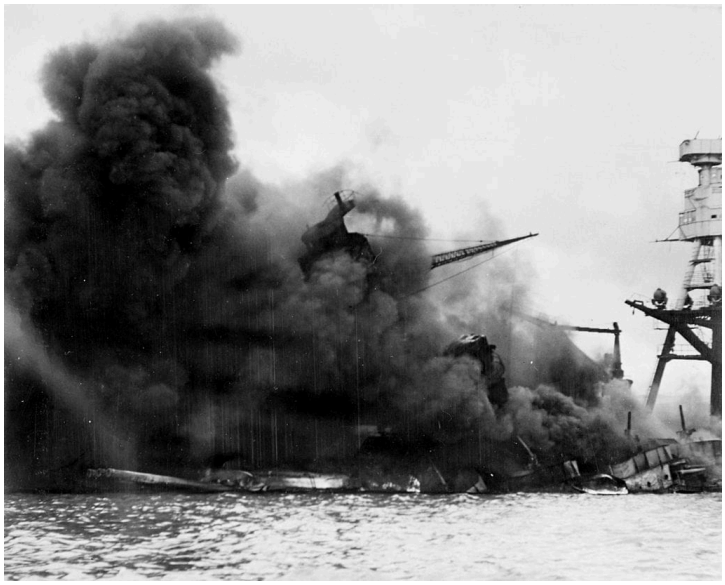


Figure 10.2.2: The sinking of the battleship the USS Arizona by the Japanese during the attack on Pearl Harbor on December 7, 1941.

In the meantime, a series of events shifted the focus of the war to North Africa, Greece, and the Balkans. Mussolini had ordered the Italian army to invade British territories in Africa (most importantly Egypt) and to attack Yugoslavia and Greece in 1940. The Italians were largely ineffective. All their attacks did was inspire a spirited British counter-offensive and a strong anti-Italian resistance movement in the Balkans. However, the Germans needed food and oil from the Balkans and southeastern Europe. It would be literally unable to continue the war if the Allies managed to take over these regions.

Thus, Germany sent forces to the Balkans and Africa to support their Italian allies. By the spring of 1941, the Germans held all of southeastern Europe and had pushed the British back in Africa. Important victories, but a setback to the Nazi's war timetable. Another setback occurred when the Spanish dictator Franco indicated that Spain was simply too poor and weak to join the Axis, despite the obvious political affinity between fascist Spain and Nazi Germany.

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17.3: The War in the East

World War II seemed like it was over within a year: Germany controlled Poland, Norway, the Netherlands, Denmark, France, and Belgium, and was making headway in the Balkans and North Africa. Hitler had originally wanted to war against USSR after the rest of Europe was defeated. The fact that Britain was not only holding out, but holding on, led to a change in German plans: the Soviet invasion would have to occur before Britain was defeated.

In the overall context of the war, by far the largest and most important target for Germany was the Soviet Union. By the spring of 1941, Hitler felt confident that an all-out attack on the USSR was certain to succeed, now that German military resources could be concentrated in the east. According to his own racial ideology, the Slavs of Eastern Europe (most obviously the Russians) were so inferior to the "Aryan" Germans that they would be unable to mount an effective resistance. Thus, Hitler anticipated the conquest of the Soviet Union taking about ten weeks.

While we now know that he was completely wrong about Hitler's intentions, Stalin had good reason for thinking that Germany would not dare attack. The USSR had one-sixth of the land surface of the earth, with a population of about 170,000,000. As of 1941, its standing army was 5.5 million strong, with 12 million in reserve, and a vast superiority in quantity (albeit not quality) of equipment. Indeed, by the end of the war, the Soviets had mobilized 30.6 million soldiers (of whom 800,000 were women: the USSR was the only nation to rely on women in front-line combat roles, at which they equaled their male countrymen in effectiveness). Given that vast strength, Stalin was astonished when the Germans attacked, reportedly spending hours in a daze before ordering an armed response.

Codenamed Operation Barbarossa, in June of 1941, Germany invaded the USSR. The first few months were a horrendous disaster for the Soviets. The Soviet air force was utterly destroyed, as were most of its armored divisions, and hundreds of thousands of Soviet soldiers were taken prisoner. (During the 1930s, Josef Stalin had "purged" the army, killing almost all of the experienced commanders.) In many areas, the locals actually welcomed the Germans as a better controlling force than the Bolsheviks had been, putting up no resistance at all. Even though Hitler himself was frustrated to discover that his ten-week estimate of conquest was inaccurate, the first months of the invasion still amounted to an astonishing success for German forces.

Despite its early success, the German advance halted by winter. The initial welcome of German soldiers quickly vanished, when the locals learned that the German army and the Nazi SS were pressing people into work gangs, murdering resisters, and shipping everything that could possibly be useful for the German war effort back to Germany, including both equipment and foodstuffs. Thus, groups of "partisans" (i.e. insurgents) mounted successful resistance movements and engaged in guerrilla warfare that cost the Germans men and resources. Likewise, German forces had advanced so quickly that they were often bogged down in transit, with their supply lines stretched to the breaking point.



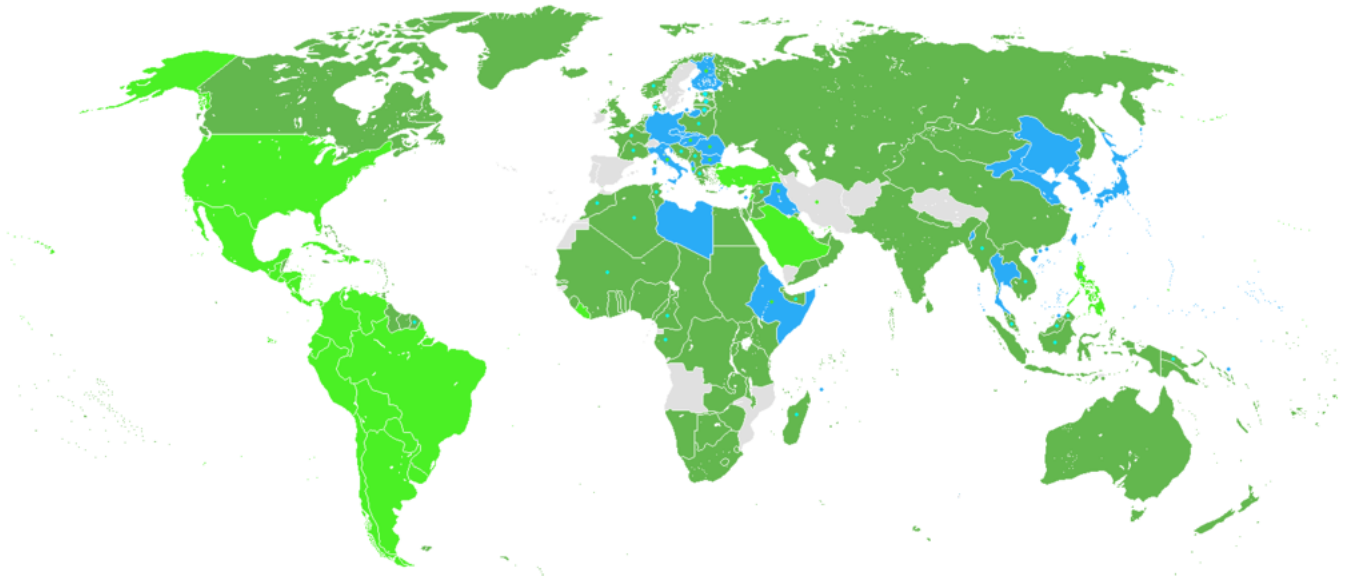
Figure 10.3.1: The German advance between June and December 1941 opened a front stretching from the Baltic to the Black Sea, representing a terrible loss of territory and life to the Soviets.

Just as it had thwarted Napoleon, the Russian winter played a key role in freezing the German invasion in its tracks. Mud initially slowed the German advance in autumn, then the bitter cold of winter set in. The Germans were not equipped for winter conditions, having set out in their summer uniforms. Despite the Wehrmacht's mechanization, German forces still used horses extensively for the transportation of supplies, with many of the horses dying from the cold. Even machines could not stand up to the conditions. It got so cold that engines broke down and tanks and armored cars were rendered immobile. Thus, the German army, while still huge and powerful, was largely frozen in place in the winter of 1941 - 1942.

Incredibly, the Soviets were able to use this breathing room to literally dismantle their factories and transport them to the east. Whole factories, particularly in Ukraine, were stripped of motors, turbines, and any other useful equipment that could be moved, and sent hundreds of miles outside of the range of the German bombers. There, they were rebuilt and put back to work. By 1943, the Soviets were producing more military hardware than were the Germans. Likewise, Germany lost over 1.4 million men as casualties in the first year.

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17.4: The Turn of the Tide



Map of Participants in World War II key. (Note: A full-screen resolution can be found here.)

- *Dark Green*: Allies before the Japanese attack on Pearl Harbor, including colonies and occupied countries.
- *Light Green*: Allied countries that entered the war after the attack on Pearl Harbor.
- *Blue*: Axis Powers, their colonies and allies.
- *Grey*: Neutral countries during WWII
- Dark green dots represent countries that initially were neutral but during the war were annexed by the USSR
- Light green dots represent countries that later in the war changed from the Axis to the Allies
- Blue dots represent countries either being conquered by the Axis Powers or becoming puppets (Vichy France and several French colonies).

Despite the power of the Allies, the Axis war effort continued with amazing success well into 1942. A German army under the general Erwin Rommel ("the Desert Fox") in North Africa pushed to within a few hundred miles of the Suez Canal in Egypt, threatening to cut the Allies off from much of their oil supply. Once the winter of 1941 - 1942 was over, the Germans continued to advance into Soviet territory, endangering the rebuilt factories and Soviet oil fields in the Caucuses. Meanwhile, Japan took advantage of the success of the Pearl Harbor attack and occupied dozens of islands across the Pacific. A series of Allied victories in 1942 and 1943, however, turned the tide of the war.

Two major naval engagements in the Pacific spelled disaster for Japan.

- May of 1942, at the Battle of the Coral Sea, American forces defeated a Japanese invasion force targeting Australia and drove the Japanese fleet back.
- June of 1942, at the Battle of Midway, American forces sank four Japanese aircraft carriers. The Americans had the industrial capacity to rebuild, whereas there was no way that Japan could do so. From that point on, American forces slowly but steadily "island-hopped" across the Pacific, driving Japanese forces from the islands they had occupied.

In Egypt, British forces managed to decisively defeat and push back the Germans. An American army soon landed to help them. In November 1942, Vichy French territories in North Africa had fallen after an ineffectual resistance earlier, which led Hitler to order the complete occupation of France. This action brought an end to the fascist puppet state of the Vichy Regime in Europe. By July of 1943, the Allies were poised to bring the fight to Italy itself.

The “real” turn of the tide occurred in the Soviet Union. In late 1942, for months, Russian and Ukrainian civilians and soldiers alike fought the Germans in brutal street battles, with the people of Stalingrad often engaging German tanks armed only with grenades, handguns, and Molotov cocktails. This action held the German army at bay until the main Soviet army was assembled.

By November, the Germans were being beaten. Then, in February 1943, the German general in charge directly disobeyed Hitler and surrendered. Here, the Germans were not in their element – urban warfare was not the same as Blitzkrieg, and the fanatical resistance of the Soviets (who paid with over 1.1 million casualties) stopped them.

Later that year an enormous Soviet army led by 9,000 tanks defeated a German army near the city of Kursk, 500 miles south of Moscow. Kursk is often considered to be the "real" turning point in the Soviet war, since the Germans were consistently on the retreat after it. Although the Germans were able to employ Blitzkrieg tactics, the Russians now had anti-tank military hardware and tactics that rendered it much less effective.

Back in the west, with Italian forces in shambles and the Fascist government in disarray, the Italian king dismissed Mussolini in July of 1943. The new Italian government quickly made peace with the Allies, prompting a swift invasion of northern Italy by Germany as the Allies seized the south. For over a year, the Allies pushed north against the German forces occupying central and northern Italy. The fighting was brutal, but allied forces made steady headway in driving German forces back toward the Reich itself.

By 1944, Germany was clearly on the defensive. British and American forces pushed north through Italy as the Soviets closed from the east. On June 6, 1944, known as D-Day, British, American, and Canadian forces launched a surprise invasion across the English channel with hundreds of thousands of troops (over 150,000 on the first day alone). After securing the coastline, the Allies steadily pushed against the Germans, suffering serious casualties in the process as the Germans refused to give up ground without brutal fighting.

By April of 1945, the Allies were within striking distance of Berlin. The western Allies agreed to let the Soviets carry out the actual invasion of Berlin, a conquest that took eleven days of hard fighting. On May 7, Germany surrendered, about a week after Hitler had committed suicide in his bunker.

Meanwhile, the fighting in the Pacific continued for months. By March of 1945, American planes could bomb Japan itself, and civilian as well as military targets were destroyed, often with incendiary bombs. One attack destroyed 40% of Tokyo in three hours. The death toll was immense. Nevertheless, Japanese forces resisted every inch taken by the Americans. For example, the island of Okinawa took about two months to conquer, resulting in about 100,000 Japanese and 65,000 American casualties.

The prospect of the invasion of Japan was extremely daunting. While the US military might ultimately prevail, the loss of life would be horrendous. This ultimately led to the deployment of the most terrible weapons ever invented by the human species: nuclear arms.

The Manhattan Project, a secret military operation housed in a former boarding school in Los Alamos, New Mexico, succeeded in creating and detonating an atomic bomb on July 16. United States President Truman warned Japan that it faced "prompt and utter destruction" if it did not surrender. When it did not, he authorized the nuclear attacks on Hiroshima (August 6) and Nagasaki (August 8). Hundreds of thousands, the large majority civilians, died either in the initial blasts or from radiation poisoning in the months that followed. At the behest of the Japanese emperor, negotiations began a few days later, with Japanese representatives signing an unconditional surrender on September 2. With that, World War II was over.

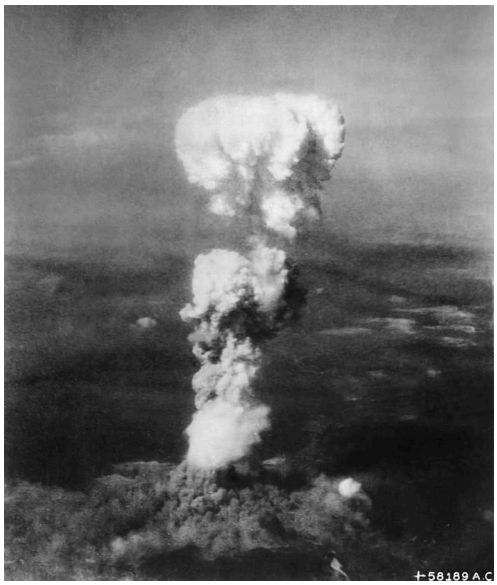


Figure 10.4.1: A photograph of the infamous “mushroom cloud” following the atomic blast that destroyed Hiroshima.

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17.5: The Aftermath

Forms of genocide** have occurred since the ancient world. However, the Holocaust had the distinction of being much more industrialized. During the 1930s and throughout World War II, the Nazis of Germany systematically murdered European Jews, Romani (gypsies), and thousands of ideological “enemies". Altogether, over 6 million people were killed in this event. Some historians estimate that approximately two-thirds of Europe’s Jewish population, and one-third of the entire global Jewish population, met their death at the hands of Nazi Germany.

The overall death toll of the war was unprecedented, with civilians accounting for most of the dead. Millions more were left homeless and displaced, especially in central and eastern Europe. As a whole, Europe was in shambles, with whole cities destroyed, and even the victorious Allied nations were economically crippled. In addition, the world was forced to grapple with the fact that human beings now had the ability to extinguish *all* life on earth through atomic weapons. These two traumas - the Holocaust and the Bomb - forced the global community as a whole to rethink its own identity in the aftermath.

**A genocide is defined as the deliberate killing of a large number of people from a particular nation or ethnic group with the aim of destroying that nation or group.

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18: THE COLD WAR EMERGES

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18.1: World War II and its Aftermath

World War Two in Europe was nearly over when Joseph Stalin (Russia), Franklin D. Roosevelt (United States), and Winston Churchill (Great Britain) met at Yalta in February 1945, but the war in the Pacific was still ongoing. This fact weighed heavily on the British and Americans, who were hoping for Soviet help in defeating Japan. Stalin had signed a Non-Aggression Pact with the Japanese in 1941, which both sides maintained during the conflict.

At Yalta, Stalin pledged to declare war on Japan three months after the German surrender. In exchange, Roosevelt and Churchill essentially agreed to the Soviet military occupation of Eastern Europe. After World War II was over, this agreement would bring about the beginning of the Cold War between the U.S. and the Soviet Union. The conflict was not be fought directly between the two superpowers, but rather through proxy wars in the developing world over most of the next five decades.

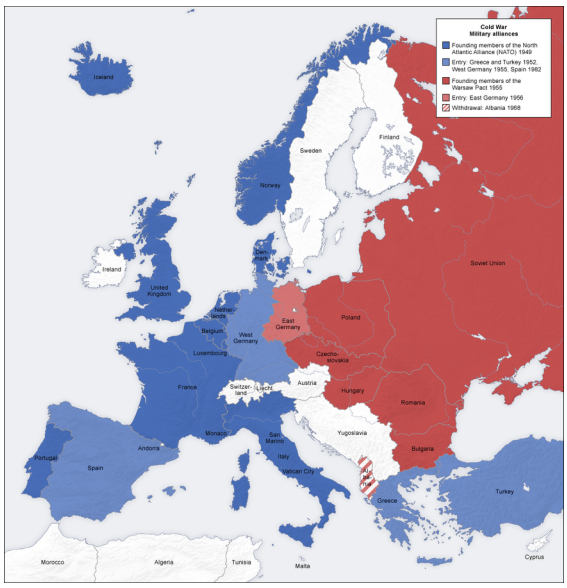


Figure 17.1: Cold War Military Alliances in Europe

The United States and the Soviet Union had been allies in World War II. After the war ended, things changed. In 1946, the head of the U.S. embassy in Moscow, George Kennan argued that Russian imperialism had not ended with the Russian empire and under the Soviets would advance under what he called the “new guise of international Marxism”. (The U.S.S.R. was being ruled not as a communist democracy but as a totalitarian dictatorship under Josef Stalin.) Marx’s ideal of a “dictatorship of the proletariat”, where workers would live together in such harmony that police and armies would be unnecessary, never arrived for the Russian people.

Kennan went on to state that there could be no cooperation between the United States and the Soviet Union. Instead, the Soviets had to be “contained.” As the Russians had advanced toward Germany in the final years of World War II, they had not only retaken Russian territory but had held onto the lands Stalin had conquered when he was Hitler’s ally and expanded their control over Eastern Europe.

Despite promised democratic elections, by 1949 the Soviets had set up one-party communist states mirroring their own in Poland, Czechoslovakia, Hungary, Romania, and Bulgaria. Stalin’s desire to dominate eastern Europe as a buffer zone against attacks from the West was understandable, given the history of European wars and the tremendous sacrifices of blood and treasure by the Soviets during the war that had just ended.

In 1946, former Prime Minister Winston Churchill visited President Harry Truman in his home state of Missouri and made a speech at Westminster College. Churchill said the situation in Europe felt as if Stalin had dropped an “iron curtain” separating East from West. It was an apt description: neither the Soviets nor the new communist regimes permitted free travel between the two sides. Indeed, Germany itself had been divided: the western portion uniting into a federal republic, the *Bundesrepublik Deutschland* (GDR), complete with elections and multiple political parties. At the same time, East Germany became the *Deutsche*

Demokratische Republik (DDR), a one-party communist satellite state of the Soviet Union.



The "Iron Curtain" of Eastern Europe.

When World War II ended, the conflict between communist and non-communist anti-Nazi partisans turned into a full-blown civil war. However, Greece was outside of Stalin's sphere of influence. The British and Americans began supporting the beleaguered parliamentary monarchy against the communists, who were defeated in 1947. The conflict in Greece showcased the new "Truman Doctrine" of containment, under which the U.S. was willing to concede to Soviet domination of Eastern Europe, but would "contain" the spread of communist regimes in any other country. It's this policy of containment that would be utilized for the next 50 years.

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18.2: Cold War Era Organizations

The Allies had already begun calling themselves the “United Nations,” especially as Latin American republics and other countries began joining the fight against the Axis. In April 1945, diplomats gathered in San Francisco (United States) to design a way for the United Nations to address world problems in a post-war world. In a shift from the unarmed diplomacy of the League of Nations, the UN would have a military. The Security Council, consisting of the original Four Policemen and France, would consult on how best to keep the peace and when to deploy the military power of the assembled nations. There would also be a General Assembly made up of all nations, an International Court of Justice, and a council for economic and social matters. The Soviets expressed concern over how the Security Council would work, but on June 26, 1945, fifty nations signed the U.N. charter.

> **Side Note:** As of April 2022, there are 193 UN Member States. Each of the Member States of the United Nations has one seat in the General Assembly. The Security Council contains five permanent members: China, France, Russian Federation, the United Kingdom, and the United States, and ten non-permanent members elected for two-year terms by the General Assembly. To learn more about the United Nations, you can visit their website.



Figure: During the winter of 1947, thousands protest in West Germany against the disastrous food situation. The sign says, “We want coal, we want bread.”

In an effort to rebuild Western Europe, as well as supply food products, the United States launched the Marshall Plan. The Soviets responded to the $15 billion aid program with an order that their satellite nations reject it. Why? Stalin was worried that the financial assistance would make small nations dependent on western corporations. The United States was anxious to rebuild Europe as quickly as possible, but also to counter the influence of growing communist parties in Italy, France, and other Western European countries. U.S. Secretary of State George C. Marshall shipped food and other material aid, as well as provided financial support to any European country that requested it. The result was the largely capitalist rebuilding of Western Europe and West Germany, while Eastern Europe began industrializing by following Soviet-inspired Five-Year Plans.



Meanwhile, European nations entered new military alliances along East-West lines. In April 1949, Great Britain, France, and other Western European Allies united with the U.S. and Canada in a military alliance, the North Atlantic Treaty Organization (NATO). The group pledged to defend one another in case of attack. NATO became alarmingly relevant later that summer when the Soviets detonated their first atomic bomb, breaking the U.S. monopoly on nuclear weapons. In the ensuing decades, both superpowers would develop advanced missiles, air forces, and submarines to deliver an overwhelming nuclear attack on the other side's homeland in case of war.

> **Side Note:** As of March 2022, NATO is an Alliance that consists of 30 independent member countries. You can learn more about this organization on their website.

The superpowers adopted a policy of "mutually assured destruction" as a means of preventing a conflict which would almost certainly have destroyed most of the humans and probably much of life on the planet. Britain was next to join the nuclear club in 1952, followed by France in 1960, China in 1964, India in 1974, Pakistan in 1998, and North Korea in 2006. Israel developed weapons in secret in the 1960s, and South Africa developed a couple of weapons in the 1970s but scrapped them and joined the non-proliferation movement by 1991, at the same time the De Klerk government was freeing Nelson Mandela and beginning to end apartheid. In 1991, Kazakhstan left the Soviet Union and inherited a nuclear arsenal larger than that of Britain and France, but became the first nation to scrap its nuclear arsenal.

> **Side Note:** As of March 2022, international watchdog organizations indicated that nine countries - China, North Korea, France, India, Israel, Pakistan, Russia, the United Kingdom, and the United States - possess a total of nearly 13,080 nuclear weapons. Russia and the United States possess roughly 90% of the world's nuclear weapons, with over 5,500 weapons each.

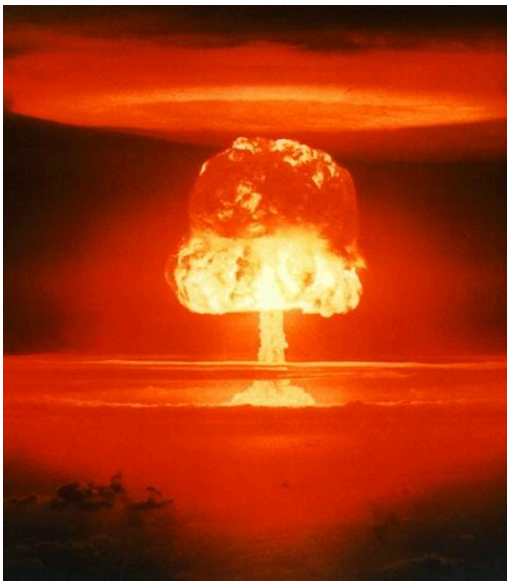


Figure: Operation Castle series of U.S. tests of thermonuclear weapons (H-bombs) in the Marshall Islands.

Another important event that happened in 1949--communist forces led by Mao Zedong defeated the Nationalist armies of Chiang Kai-Shek and established the People's Republic of China. (We'll talk about East Asia in a later chapter.)



Figure: Nikita Khrushchev, Time Magazine's Man of the Year for 1957

Joseph Stalin died in 1953. After a power struggle in the Politburo, a new Premier, Nikita Khrushchev, took power in Moscow. Khrushchev distanced himself from what he called Stalin's "cult of personality". He also revealed the extent of Stalin's atrocities against perceived political enemies, which had led to the deaths of millions in purges, forced labor, and famine in the previous decades. (A politburo is the principal policymaking committee of a communist party.)

Khrushchev announced a new Soviet foreign policy of "peaceful coexistence" with the West. Further, he pledged to **not** extend communism by invading other countries but create a military alliance, the Warsaw Pact, within the Soviet Bloc in Europe to counterbalance NATO. Khrushchev wanted Soviet communism to provide a higher standard of living for workers. Achieving this goal was difficult if the military budget was too large, so he sought to lessen tensions with the U.S. and its allies. But there were limits to Khrushchev's "liberalism". For example, in 1956, democratic reforms in Hungary led to the possibility of spreading anti-Soviet dissent in neighboring communist countries. The Soviets and their Warsaw Pact satellite countries sent troops and tanks to repress any political changes in Hungary and Eastern Europe.

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18.3: Early 20th Century Latin America

At the beginning of the 20th century, the Mexican Revolution occurred when Pancho Villa in northern Mexico and Emiliano Zapata in southern Mexico created an opportunity for new liberal forces led by Alvaro Obregon. In 1917, after defeating Villa on the battlefield, Obregon held a constitutional convention, which produced a document that embraced agrarian reform, an eight-hour workday, and the right to organize labor unions. There was also a declaration that the subsoil belonged to the state in the name of the people. In other words, subsurface minerals belonged to the people or to the state, rather than to individuals or companies. These ideas were inspirational for the rest of Latin America and even other parts of the world: the Mexican Revolution predated the Bolshevik Revolution by several months.



Figure: Logo of Petróleos Mexicanos, the state-owned oil company established by Cárdenas. The motto means, “For the rescue of sovereignty”.

It took time, but in the 1930s, under President Lázaro Cárdenas, land reform was implemented that brought back indigenous communal landholdings. And in 1938, Cárdenas nationalized Mexican oil, taking over leases given to U.S. and British oil companies. The American president, Franklin Roosevelt, who had begun a “Good Neighbor Policy” to emphasize trade and cooperation rather than military force, did not intervene when oil companies objected. Britain accepted the change in order to assure Mexican support in what everyone understood would soon be World War II.

Populists

Cárdenas was part of a wave of populist heads of state in Latin America, charismatic leaders who tried to address the needs of “the people,” which included rural peasants as well as the urban working class. Latin American Populism also attracted a rising professional middle class, shut out of political power by traditional oligarchies. In Argentina, this new middle class included first-generation immigrants from Europe who supported a new Radical Party. Argentina was second only to the United States as an immigration choice for impoverished Europeans, particularly Italians, Germans, and Eastern European Jews. In other cases, army officers who had received professional training either at home or abroad by European military missions felt that the oligarchs were insufficiently patriotic and needed to be replaced.

The populists also supported nationalist economic measures, including policies of land reform and efforts to reduce dependency on international markets for mining or agricultural goods. The crisis of the Great Depression emphasized the importance of building independent domestic economies and making education, housing, and infrastructure improvements for all people. The global war against fascism inspired many to embrace democracy and overthrow long-standing military regimes, like in Guatemala, Venezuela, and Cuba. However, these attempts at democratic practices were frequently short-lived.



Figure: Brazilian President Getúlio Vargas (left) and US President Franklin D. Roosevelt (right) in 1936

Brazil

Two of the most notable populist leaders were: Getúlio Vargas of Brazil and Juan Perón of Argentina. Vargas lost in a fraudulent election to an oligarchy-backed candidate in 1930; a brief uprising made him president. In 1937, Vargas established an authoritarian state in order to prevent communist-supported leftists from being elected. However, he also rooted out a new fascist movement and disbanded it, setting himself up to accept U.S. aid and support the Allies in World War II. Brazil was the only nation in Latin America to send troops to fight alongside the Allies in Europe. Vargas stepped down in 1945. But, he ran again for president in 1950 and was reelected.

Argentina

Perón was an army officer who had served as a military attache in Italy in the 1930s, witnessing up close the fascist regime of Benito Mussolini. At that time, Argentina was governed by politicians elected through fraud. In 1943, in the midst of World War II, the military overthrew the corrupt regime, instituting a government that they felt was more dignified and responded more directly to the people. Juan Perón, a key player in the coup, chose to become the Minister of Labor. By guaranteeing labor law and favoring the workers in negotiations, he became popular among the urban masses in Buenos Aires. Although the military regime grew nervous about his growing popularity and had Perón arrested, the workers came to his aid. He was released and was elected president of Argentina in 1946.

Perón benefited from a postwar economic boom in Argentina. He could promise and deliver on higher wages, better living and working conditions, and vacations for workers as tax revenues rolled in because of high international prices for Argentine wheat and beef. In the context of the Cold War, Perón proclaimed that he represented a “third way” between unrestrained capitalism and totalitarian communism. In other words, his government improved the lives of Argentinians without having to take sides in the superpower conflict.



Figure: President Juan Perón and his wife, “Evita”, arrive in Madrid.

Perón bet on never-ending good times, especially when it seemed that the Korean War might lead to a World War III in which Argentina would benefit. However, shortly after he was reelected in 1952, Perón’s popular wife, Eva Duarte, died of ovarian cancer at age 33. Hundreds of thousands attended her funeral and a cult of “Santa Evita” quickly took hold.

The Argentine economy began to suffer as the world recovered from World War II and Argentina faced competition for its wheat and beef in the international market. Like Vargas, Perón also faced inflation and political scandals. A bitter fight with the Catholic Church led to Perón’s ousting by the military in 1955 and the suppression of the Peronist movement. He was invited back from exile and reelected president in 1973.

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18.4: Cold War and Latin America

During the early 20th century, some nations like Costa Rica, Guatemala and Honduras were still thoroughly dominated by the United Fruit Company (UFC), an US corporation. After World War II, the Dulles brother (John Foster and Allen) became leaders in developing U.S. foreign policy in Latin America. The decision-making was influenced by economics and Cold World attitudes.

Guatemala

In 1954 the democratically-elected government of Guatemala planned to buy back the land from UFC and redistribute it to the poor. The Dulles brothers accused the Guatemalan government of having close ties with the Soviets and sent in the CIA to overthrow it in a military coup. Guatemalans resisted the new regime and the country fell into a civil war that lasted from 1960 to 1996 and killed up to 200,000 people.



Figure: President Dwight Eisenhower with John Foster Dulles, 1956.

This incident demonstrated how the outside world questioned the threats of Latin American nations. Phrases such as socialist, anti-capitalist movements were often heard when referring to these events. In many cases, the anti-capitalism expressed by Latin Americans was actually resistance to what they perceived as economic imperialism by nations like the U.S. Latin American nationalist leaders like Getúlio Vargas in Brazil (President from 1930-45 and 1951-54), Juan Perón in Argentina (President from 1946-55 and 1973-4), or Lázaro Cárdenas in Mexico (President from 1934-40), were not Marxists, or even particularly socialist in their orientation or policies.

Industrialization was a *capitalist approach* to reducing dependency. Nations, like Mexico, usually compensated foreign companies for the materials that they expropriated. Even when the government's goal was something like land reform, they usually tried to compensate the former owners.

The conflict over land reform in Guatemala was misrepresented by the Dulles brothers. It was an open secret that UFC was defrauding the Guatemalan government. A truly communist government determined to eliminate capitalism would have simply claimed that UFC had acquired the lands illegally and taken them with no offer of compensation. Instead, the Guatemalan government offered UFC a price for the lands it took back based on the values claimed in the corporation's tax filings.



Figure: Guevara (right) with Alberto Granado (left) in June 1952 on the Amazon River aboard their wooden raft, which was a gift from the lepers whom they had treated during their motorcycle journey.

Bolivia

Elsewhere in Latin America, many idealists used violence to protect the interests of corporations or justify the defenses of democracy. An example would be Ernesto "Che" Guevara, who witnessed the Bolivian Revolution of 1952 before moving on to Guatemala in 1954. Bolivia's struggle began when the candidate of the *Movimiento Nationalista Revolucionario* (MNR) won the presidential election of 1951 but was prevented by the military from taking office. Victor Paz Estenssoro armed civilians and the MNR took power after 3 days and 600 casualties. He served his first term from 1952 to 1956, and accepted US financial aid in return for compensating the tin mines he nationalized. Estenssoro softened the revolution's approach to rewriting the mineral and petroleum laws, but he did redistribute land. Bolivians approved of his leadership and he was re-elected in 1960, 1964, and 1985.

Seeing the changes in mining codes, peasants on the *altiplano*, the high Andean plateau around the city of Cochabamba, began seizing haciendas and dividing the land up amongst themselves. The government passed an Agrarian Reform Decree in 1953. Before the revolution, approximately 92% of Bolivia was owed by the wealthy class. Under the reform, 185,000 peasant families, about half of all rural families, received titles to an average of about 20 hectares each.

National agricultural output fell by about 10% after the land distribution, but probably because people were growing and keeping more products for home use rather than taking them to commercial or export markets. Some cities saw food shortages, but these were offset by imports and some foreign aid.

Cuba

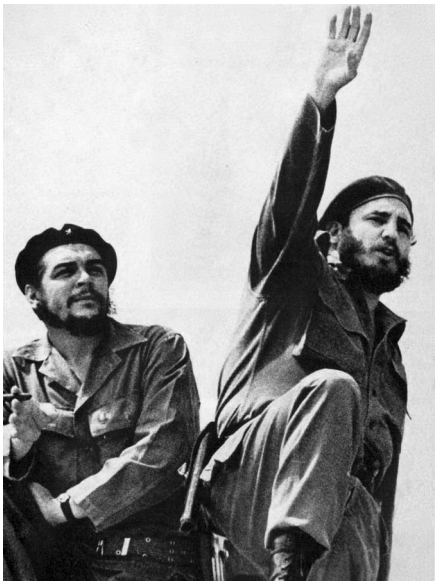


Figure: Che Guevara and Fidel Castro, 1961.

After witnessing this revolutionary change in Bolivia, Guevara went to Guatemala and watched a similar attempt crushed by imperialist armies. This experience, and his marriage to a Peruvian Marxist economist named Hilda Gadea Acosta, radicalized Che. When he was placed on an enemies list by the new Guatemalan regime, Guevara escaped to Mexico where he met Raúl and Fidel Castro, who were in exile there following a failed revolutionary coup in Cuba.

As an ally of the Castros, he joined the revolution in 1955. Arriving in late November 1956 on the eastern tip of Cuba, the small group had their first skirmish with Fulgencio Batista's army. The survivors fled into the Sierra Maestra mountains and enlisted peasants into a guerilla army that harried the Cuban army for the next two years. In 1959, Batista fled Cuba, and Fidel Castro created a new provisional government. Though Castro had called for elections during the revolution, he postponed them indefinitely. Once he came to power, Castro implemented a communist regime and forged close ties with the Soviet Union.

The cold war was played out mostly through proxy wars: regional conflicts like the Korean War, the Vietnam War, and the Russia-Afghanistan War where the combatants were provisioned, supported, and sometimes joined by troops from the superpowers. Occasionally, the heat level increased and the U.S. and U.S.S.R. barely avoided direct conflict.

One of those times was during the Cuban Missile Crisis. The U.S.S.R. became a trading partner of Cuba after the revolution. US President Kennedy supported a CIA-sponsored plan to invade Cuba using anti-Castro Cubans in 1961, but the Bay of Pigs invasion was a fiasco. In October 1962, the U.S. discovered that the U.S.S.R. had deployed nuclear missiles in Cuba, less than 100 miles from the continental U.S. The 13-day standoff ended with the Soviet Union withdrawing its missiles in return for US promises not to try to overthrow Castro.

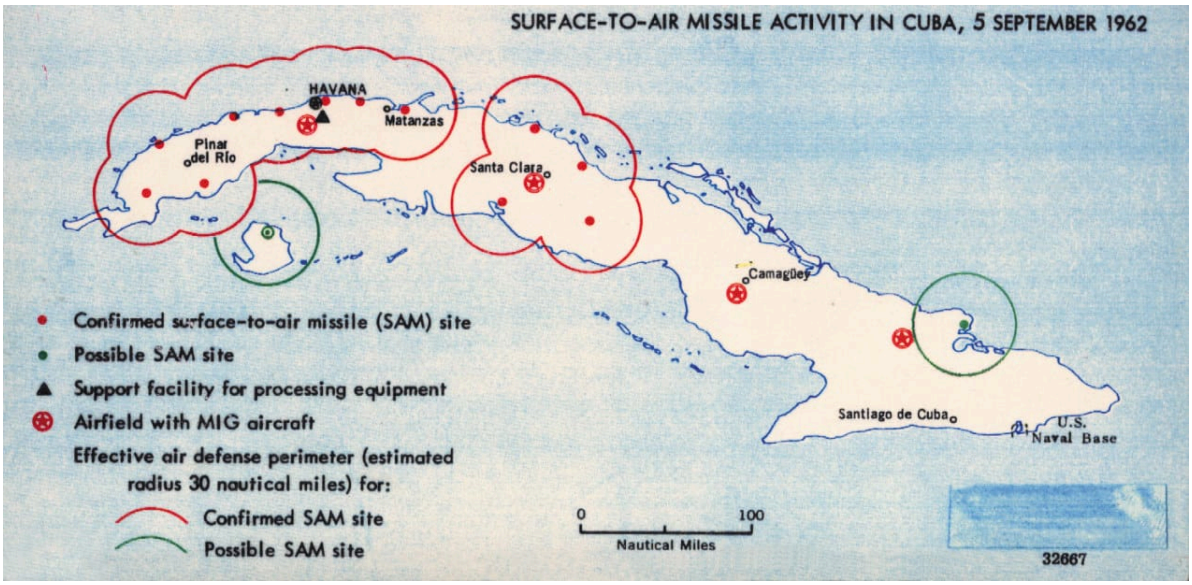


Figure: CIA map showing Surface-to-Air Missile activity in Cuba, September 1962.

Guevara increasingly believed that the global north (the northern hemisphere nations) was guilty of oppressing the global south. He even criticized the U.S.S.R. for not doing enough to end imperialism, accusing Russia of forgetting Marx. Che supported the independence movements of indigenous peoples and left Cuba to try to encourage these revolutions, first in the Congo and then in Bolivia, where he was captured by CIA-assisted Bolivian government forces in 1967 and summarily executed.

Fidel Castro continued as Cuban president until 2008 when his brother Raul became President. Fidel died in 2016 and Raul handed over the Presidency in 2018. Miguel Mario Díaz-Canel Bermúdez has been the president of Cuba since 2019 and as the first secretary of the Communist Party since 2021.



Figure: Venezuelan President Hugo Chávez relied on oil revenue to run programs for the poor, but failed to diversify his economy.

Venezuela

Venezuela's territory is thought to hold at least 20% of the world's oil reserves. Beginning in the 1910s, the country's president granted concessions to his friends to explore, drill, and refine oil. These concessions were quickly sold to foreign oil companies. In 1941, a reform government gained power and passed the Hydrocarbons Law of 1943 under which the government would receive 50% of the profits of the oil industry. The outbreak of World War II increased demand for oil, and the Venezuelan government granted a series of new concessions that were snapped up in spite of the 50% tax.

The postwar explosion of automobile ownership (especially in the U.S.) continued to drive demand, and Venezuelan production increased. Venezuela bought the Cities Service company and CITGO gas became a key export of Venezuela. In 1976, the government nationalized the oil industry. Oil was a mixed blessing for Venezuela, providing high levels of revenue to support government programs benefiting the people; but also preventing the Venezuelan industry from diversifying.

In recent decades, Venezuela used its oil revenue to pay for a wide range of social welfare programs for its people. The U.S. criticized these policies as socialist, but they were rarely done without widespread popular support in Venezuela. Hugo Chávez, who was president from 1998 to his death in 2013, criticized the U.S. government vehemently but also continued the Venezuelan policy of giving free heating oil to hundreds of thousands of poor people in the US and Europe.

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18.5: Cold War in the United States

During a speech, Wisconsin Senator Joseph McCarthy waved a sheet of paper in the air, and falsely announced that he was holding a list of 205 names "that were made known to the Secretary of State as being members of the Communist party and who nevertheless are still working and shaping [U.S.] policy." Since McCarthy had no actual list, the number quickly changed to fifty-seven, then eighty-one. Finally, he promised to disclose the name of just one communist, the nation's "top Soviet agent." The shifting numbers brought ridicule, but it didn't matter: McCarthy's lies won him fame and fueled a new "Red Scare."

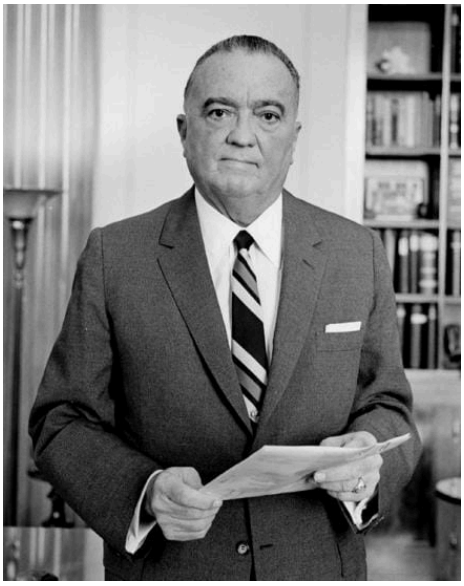


Figure: J. Edgar Hoover, head of the Federal Bureau of Investigation, 1961.

McCarthyism was part of a widespread anti-communist propaganda campaign directed by the U.S. government. Starting in 1956, the Federal Bureau of Investigations (FBI) began a counterintelligence program, COINTELPRO, to disrupt the Communist Party of the USA (CPUSA). The scope of COINTELPRO's targets grew to include civil rights groups, feminists, environmentalists, Native American activists, and anti-war protestors. The program was formally dissolved in 1971. Many people believed the FBI had greatly overstepped its authority.

In Congress, the House Un-American Activities Committee (HUAC) and the Senate Permanent Subcommittee on Investigations held over a hundred investigations and hearings on communist influence in American society between 1949 and 1954. The Internal Security Act of 1950 required all "communist organizations" to register with the government, gave the government greater powers to investigate sedition, and made it possible to prevent suspected individuals from gaining or keeping their citizenship. In the first year, the new law turned away over 50,000 immigrants from Germany and over 10,000 displaced Russians.

There were, of course, communists in the United States. The CPUSA enjoyed most of its influence as labor organizers and as strong opponents of Jim Crow segregation. But even at the height of the Depression, communism never attracted many Americans. McCarthy's and Hoover's witch-hunts hurled accusations and ruined careers less on people's communist sentiments and more on their opposition to civil rights and anti-war protestors.

Arms Race and Space Race

The so-called Arms Race was not only about nuclear technology, but also a contest to improve the distance and accuracy of missiles that could carry a nuclear load. This race led indirectly to the Space Race, as both the U.S. and the Soviets initiated programs for space exploration.

At the end of World War II, as Germany collapsed, the United States and the Soviet Union had raced toward Berlin, hoping to acquire elements of the Nazi V-2 missile program and jet propulsion project. The Nazis had developed a "vengeance weapon" to terrorize England (but never used it). The V-2 was the world's first guided ballistic missile, capable of carrying an explosive

payload up to six hundred miles.

Germany's top rocket scientist, Wernher von Braun, surrendered to U.S. troops and eventually became the leader of the American space program. About 1,600 German scientists and engineers found their way into the American program. The Soviet Union's program was managed by Red Army colonel Sergei Korolev, and employed about 2,000 Germans. Both engineering teams worked to adapt German rocket technology to create an intercontinental ballistic missile (ICBM) that could carry the new nuclear weapons.



Figure: F-86s of the 4th Fighter-interceptor wing, Korean War.

Jet technology developed even more rapidly. By the time of the Korean War (1950-1953), jet fighters supported both sides, using identical German technology acquired after World War II. Commercial jetliners were introduced in the 1950s, replacing ocean liners as long-distance passenger transport by the 1970s.

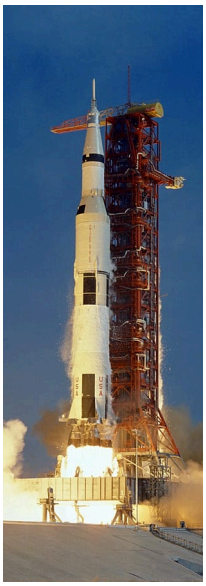


Figure: The Apollo 11 Saturn V rocket lifts off, July 16, 1969.

When it came to the missile race, the Soviets came in first. They even used the ICBM launch vehicle in October 1957, to send Sputnik, the world's first human-made satellite, into orbit. It was a decisive technological victory, and the Soviet propaganda ministry took full advantage of the opportunity to begin a space race while at the same time warning the U.S. that it could deliver nuclear weapons to American targets.

In response, the U.S. government rushed to perfect its own ICBM technology. In 1958, it established the National Aeronautics and Space Administration (NASA) to launch satellites and astronauts into space. The initial U.S. attempts to launch a satellite into orbit suffered spectacular failures, heightening fears of Soviet domination in space. While the U.S. space program struggled, the Soviet Union's Luna 2 capsule became the first human-made object to touch the moon in September 1959. Then the U.S.S.R. successfully launched a pair of dogs (Belka and Strelka) into orbit and returned them to Earth alive in August 1960 while the U.S. Mercury program languished behind schedule.

Next came the launching of human presence in space. Cosmonaut Yuri Gagarin was launched into orbit on April 12, 1961. U.S. astronaut Alan Shepard accomplished a suborbital flight in the Freedom 7 capsule on May 5. The United States had been embarrassed, and John Kennedy used America's frustration over early losses in the "space race" to bolster funding for a manned moon landing, which succeeded on July 20, 1969.

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18.6: Cultural Movements

The cultural and social impact of the postwar was the global youth movement of the 1960s and 1970s. Those babies born between 1946-1964 are referred to as the Baby Boom generation. Because of their high numbers and the relative prosperity of the economy during their careers, the baby boomers are an economically influential generation. In addition, enormous numbers of young people from middle-class or even working-class backgrounds became the first in their families to ever attend universities. Meanwhile, the political climate of the Cold War and decolonization contributed to an explosion of discontent that reached its height in the late 1960s, especially among this generation.

Youth Movements

There were essentially two distinct, but closely related, paths of the youth movement:

- a largely apolitical counterculture of so-called “hippies” (a term of belittlement invented by the mainstream press)
- an active protest movement against various forms of perceived injustice

Of course, many young people were active in both aspects, listening to folk music or rock n’ roll, experimenting with the various drugs that became increasingly common and available, but also joining in the anti-war movement, the second-wave feminist movement, or other forms of protest.



Figure 14.4.1: The album cover from The Beatles’ Sgt. Pepper’s Lonely Hearts Club Band, 1967. An iconic expression of the youth culture of the day, the individuals pictured behind the band members include everyone from their fellow musical pioneer Bob Dylan to the “godfather of the beat generation,” William S. Burroughs, to the Beatles’ younger selves (on the left).

In the 1960s, in Western society, there were more highly-educated young people than ever before. Far more young people from non-elite backgrounds completed secondary schools and enrolled in universities. In turn, it was often college students who formed the core of the politicized youth movement. By being taught to think critically, be globally aware, and well informed, many students seriously critiqued their own society's values, some of which they felt were outdated.

The Vietnam War was a key factor in the U.S. youth movement. According to some members, despite Soviet control of the Eastern Bloc, the U.S. government was a much more visible oppressor than was the Soviet Union. U.S. atrocities in Vietnam were perceived as visible proof of the oppressive nature of capitalism and imperialism. Thus, Vietnam served as a symbolic rallying point for the youth movement the world over, not just in the United States itself.

Elements of the youth movement and the New Left came to champion aspects of social justice. In the United States, many members campaigned for the end of both racist laws and the inherent racism of American culture. A new feminist movement

emerged to champion women's rights, argue against the oppression of women, and advocate for LGBTQ rights.

In May 1968, the youth movement reached its zenith. From Europe to Mexico, enormous uprisings led mostly by college students temporarily paralyzed universities, infrastructure, and even whole countries. One example began in the suburb of Paris called Nanterre. There, the newly-opened and poorly-designed university faced student protests over a policy forbidding male students to visit female dormitories. When a student leader was arrested, sympathetic students in Paris occupied the oldest university in France: the Sorbonne. Soon, the entire Latin Quarter of Paris was taken over by thousands of students (many of whom lived outside of Paris). Buildings were wallpapered with posters calling for revolution. Street battles engaged riot police. In support of the students, French workers went on strike. At its height, French infrastructure itself was largely paralyzed.



Figure 14.4.2: Leftist workers outside of their occupied factory during the Events of May.

As the strikes and occupations dragged on, public opinion drifted away from the uprisings. By late June, workers accepted significant concessions from business owners in return for calling off the strike. The students finally agreed to leave the occupied universities. In the aftermath, major changes did come to French universities and high schools. This event marked the beginning of the democratization of education itself, with students having the right to meet with professors, question grading policies, and demand quality education in general. Likewise, and not just in France, rules and policies associated with gender and sexuality within schools and universities were slowly relaxed over time.

The "Events of May" were the emblematic high point of the European youth movement itself. The "thirty glorious years" of the postwar economic boom ended in the early 1970s, and the optimism of the youth movement tended to ebb along with it. Likewise, the end of the Vietnam War in 1975, while welcomed by the youth movement, did rob the movement of its most significant cause: opposition to the war.

Second-Wave Feminism

In the late 1960s, second-wave feminism emerged. In 1949, Simone de Beauvoir wrote an enormous (over 1,000 pages long) book about the status of women in Western societies. Titled *The Second Sex*, the book argued that throughout the entire history of Western Civilization, women had been the social and cultural "other". In other words, when men wrote about "human history" they were actually writing about the history of men, with women lurking somewhere in the background, having babies and providing domestic labor. (In English, consider phrases like "since the dawn of mankind" or "man's relationship with nature" - the implication is that men *are* the species). Historically, almost every state, empire, and nation had been controlled by men, and women were legal and political non-entities.

In the postwar period, many women were dissatisfied and unhappy with social roles, overtly sexist laws, and oppressive cultural codes. To cite a few examples, it was perfectly legal for flight attendants ("stewardesses" in the parlance of the time) to be fired at the age of 30. They were considered too old to maintain the standards of attractiveness enforced by airlines. Pregnancy was also grounds for losing one's job. Unmarried women were generally paid far less than men since it was assumed they would eventually marry and quit their jobs. White women in the United States made 60% of the earnings of men doing the same work, with black

women earning a mere 42%. Domestic violence remained commonplace. In short, while the first-wave feminist movement had succeeded in winning key legal battles, a vast web of sexist laws and cultural codes ensured that women were held in precisely the “secondary” position identified by Beauvoir.

Starting in the mid-1960s, the second-wave feminist movement came into existence to combat precisely these forms of both legal and cultural oppression and discrimination. The French Women's Liberation Movement emerged. Likewise, in the United States, the so-called "Women's Lib" movement gained members.



Figure 14.4.3: Members of the (American) Women’s Liberation Movement marching in 1970.

The goals of second-wave feminism were to create laws that

- expressly forbid sexual discrimination in the workplace and schools
- promote a broader cultural shift that saw women treated as true social equals of men

For second-wave feminists, the movement was not simply about women having access to the same forms of employment and equal wages as men, but about attacking the sexual objectification and double standards to which women were held. For instance, why were promiscuous women the subject of shaming and mockery, while promiscuous men were celebrated for their virility?

While the battle for sexual equality is obviously far from over, second-wave feminism did achieve many important goals. Legally, many countries adopted laws banning discrimination based on gender itself, as well as age and appearance. Laws pertaining to both sexual assault and domestic violence were often strengthened and more stringently enforced. Culturally, sexual double standards, the objectification of women, and prescribed female social roles were all called into question. Eventually, a third and fourth wave of feminism would emerge. You'll learn about these events in later chapters.

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19: ASIA AFTER WORLD WAR II

The Cold War became the overarching framework of conflict around the world. At its worst, the Cold War led to “proxy wars” between United States-led or supplied anti-communists and communist insurgents inspired or supported by the Soviet Union or communist (as of 1949) China. Thus, a complex matrix of conflicts combined independence struggles within colonies on the one hand and proxy conflicts/ wars between factions caught in the web of the Cold War on the other.

19.1: Introduction

19.2: The USSR

19.3: India

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19.5: Southeast Asia

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19.1: Introduction

The Cold War became the overarching framework of conflict around the world. At its worst, the Cold War led to “proxy wars” between United States-led or supplied anti-communists and communist insurgents inspired by, or supported by, the Soviet Union or communist (as of 1949) China. Thus, a complex matrix of conflict around the world combined independence struggles within colonies on the one hand and proxy conflicts and wars on the other. Sometimes, independence movements like those of India and Ghana managed to avoid being ensnared in the Cold War. Other times, however, countries like Vietnam became battlegrounds on which the conflict between capitalism and communism erupted in enormous bloodshed.

The newly-founded United Nations generally failed to prevent the outbreak of war despite its goal of arbitrating (settling) peaceful solutions for international problems. The two superpowers, among other countries, had permanent seats on the UN Security Council, the body that was charged with authorizing the use of force when necessary. Likewise, the two “camps” of the Cold War generally remained loyal to their respective superpower leaders. Thus, making it difficult to have any unified decision-making when it came to Cold War conflicts.

In addition, some independence movements avoided becoming embroiled in the Cold War, others did not. In many cases, European imperial powers reacted violently to their colonial subjects’ demands for independent governance, leading to both bloodshed and violations of human rights. Here, again, the United Nations was generally unable to prevent violence, although it did at times at least provide an ethical framework by which the actions of the imperialist powers might be judged historically.

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19.2: The USSR

Stalin died in 1954. After a power struggle between the top members of the communist party, Stalin's successor emerged: Nikita Khrushchev, a former coal miner and engineer who rose in the ranks of the party to become its leader. Khrushchev genuinely believed that the USSR would overtake the west economically and that its citizens would in turn eventually enjoy much better standards of living than those experienced in the west.

Khrushchev broke with Stalinism soon after securing power. In Soviet history, "The Thaw" occurred, when he had four million prisoners released from the gulags as a gesture of sincerity. For a brief period, there was a flowering of literary and artistic experimentation comparable to that of the early 1920s. Censorship was relaxed, with a few accurate accounts of the gulags making it into mainstream publication. In turn, there was genuine hope for larger political reforms of the system.

This hope of a new beginning was not limited to the Soviet Union itself. In the last chapter, you read about the Hungarian uprising of 1956. Its aftermath showed that Khrushchev had no intention of allowing genuine independence in the Soviet Bloc countries of Eastern Europe. Angered both by the events in Hungary and by the growth of dissent (opinions different from the government) within the USSR itself, Khrushchev reasserted control.

It was also under Khrushchev that the Cold War reached its most frenzied pitch. Khrushchev had an explosive personality who sincerely believed in the possibility of the USSR "winning" the Cold War by

- exceeding the western world economically
- winning over the nations of the Third World to communism politically.
    - People often use the term "Third World" when referring to poor or developing nations.

To that end, he continued the Stalinist focus on building up heavy industry and military hardware, but he also devoted huge energies toward science and engineering.

During Khrushchev's tenure as premier, the "space race" joined the arms race as a major centerpiece of Cold War policy. The 'winner' would have scientific superiority and be the victor in the eyes of the world. In addition to Sputnik, Khrushchev claimed that the USSR had developed missiles that could strike targets on the other side of the world. Thus, the West feared that the Soviets could easily detonate a nuclear weapon in the US or Europe. The idea of 'mutually assured destruction' emerged.



Figure 12.5.1: A commemorative Soviet postage stamp depicting Sputnik's orbit.

After the Cuban Missile Crisis, Khrushchev was replaced by Leonid Brezhnev, a lifelong communist bureaucrat. Brezhnev would hold power until 1982, a long period usually characterized by stagnation: the Soviet system, including its nominal adherence to Marxism-Leninism, would remain in place, but even elites abandoned the idea that "real" communism was achievable. Instead,

life in the USSR was about trying to find a place in the system, rather than pursuing the more far-reaching goals of communist theory. The state and the economy were rife with corruption and nepotism, and a deep-seated, bitter cynicism became the outlook of most Soviet citizens toward their government.

During Brezhnev's tenure as the Soviet premier, another eastern bloc nation tried unsuccessfully to break away from Soviet domination: Czechoslovakia. In the Spring of 1968, the Czech communist leader Alexander Dubcek received permission from Moscow to experiment with limited reforms. He called for "socialism with a human face," meaning a kind of communist government that allowed freedom of speech, a liberalized outlook on human expression, and a diversified economy that could address sectors besides heavy industry. Dubcek relaxed censorship and allowed workers to organize into Soviets (councils) as they had in the early years of the communist revolution in Russia. These reforms were eagerly embraced by the Czechs and Slovaks.

Predictably, the reforms proved too radical for Moscow. Brezhnev sent in the Soviet military, and all of the other Warsaw Pact countries (except Romania) also sent in troops. This reaction was regarded around the world as especially crude, given that the Czechs and Slovaks did not rise up in any kind of violent way. In the end, the message was clear: no meaningful reform would be possible in the East unless the leadership in Moscow somehow underwent a fundamental change of outlook. That change did eventually come, but not until the 1980s under Mikhail Gorbachev. (You'll learn about this event later in the textbook.)

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19.3: India

Despite the enormous pressure exerted by the superpowers, some independence movements did manage to avoid becoming a proxy conflict within the Cold War. For the most part, the simplest way to avoid superpower involvement was to steer clear of communist rhetoric. From Asia to Latin America, independence movements and rebel groups that adopted communist ideology appeared to be targeted by the US, whereas those that avoided it rarely drew the ire of either superpower. Some countries fighting for independence stayed in the good graces of the USSR without openly embracing communism, such as Egypt. However, because of the Truman Doctrine, it was virtually impossible for a country to embrace communistic tendencies and avoid United States intervention. (The Truman Doctrine committed the United States to armed intervention in the case of a communist-backed uprising.)

While there were only a handful of true proxy wars throughout the Cold War, there were dozens of successful movements of independence. European empires collapsed in the decades following World War II in a phenomenon known as 'decolonization'. Whereas almost all of it was still part of European empires during World War II, nearly the entire continent of Africa was independent of European power by the end of the 1960s. Likewise, European possessions in Asia all but vanished in the postwar era.

Decolonization was often as bloody and inhumane as had been the establishment of an empire in the first place. In some cases, such as Dutch control of Indonesia and French sovereignty in Indochina, European powers clung desperately to colonies in the name of retaining their geopolitical relevance. In others, such as the British in Kenya and the French in Algeria, large numbers of white settlers refused to be “abandoned” by the European metropole, leading to sometimes staggering levels of violence. That being noted, there were also major (soon to be former) colonies that achieved independence without the need for violent insurrection against their imperial masters.

India

The case of India is iconic. As the "jewel in the crown of the British empire," India was both an economic powerhouse and a massive symbol of British prestige. During this time, the Indian National Congress had campaigned for independence without success. An astonishing 2.5 million Indian troops served the British Empire during World War II, but the social and political system was still designed to keep Indians from positions of importance in the Indian administration. Peaceful protests grew in intensity during, and in the aftermath of World War II (in part because of the financial devastation of the war). British politicians finally conceded that India would be granted independence on July 18, 1947.

The British government made it clear that the actual logistics of independence and of organizing a new government were to be left to the Indians. A conflict exploded between the Indian Muslim League and the Hindu-dominated Congress Party, with the former demanding an independent Muslim state. The British came to support the idea and the Congress Party agreed despite the vociferous resistance of the independence leader Mahatma Gandhi. When independence became a reality, India was divided between a non-contiguous Muslim state, Pakistan, and a majority-Hindu state, India.

This event is referred to as "The Partition" of India. Millions of Muslims were driven from India and millions of Hindus and Sikhs were driven from Pakistan. Countless acts of violence accompanied the expulsion of both Muslims and Hindus from what had been their homes. To this day, the countries of Pakistan and India have a strained relationship.

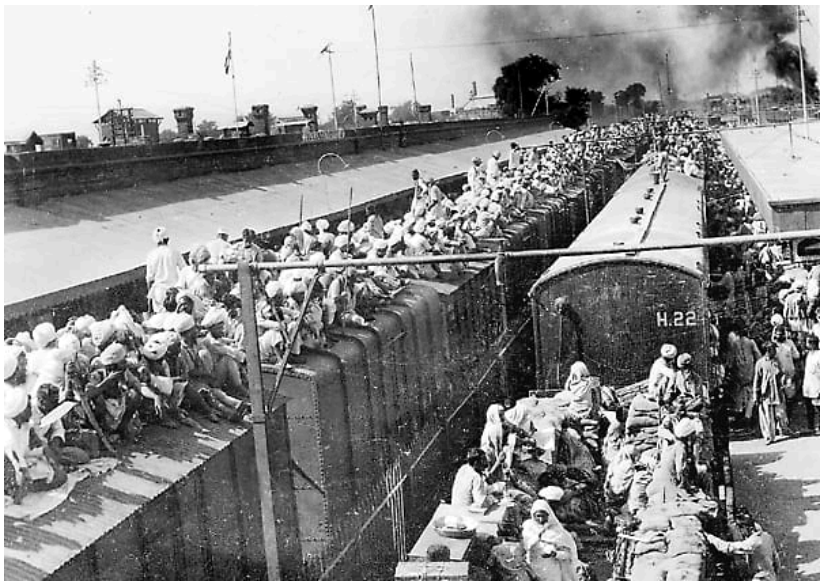


Figure 13.2.1: Refugees during the Partition.

Who was Mohandas Karamchand Gandhi? Often referred to as Gandhi, he was an Indian lawyer and anti-colonial nationalist who employed nonviolent resistance to lead a successful campaign for India's independence from British rule. His actions would inspire civil rights and freedom movements across the world, such as the Civil Rights Movement in the United States or the Anti-Apartheid movement in South Africa. Nonviolent resistance is the practice of social change through symbolic protests, civil disobedience, economic or political noncooperation, satyagraha, or other methods. Satyagraha, "holding firmly to truth", or "truth force", was utilized by Gandhi.

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19.4: China



Figure: Emperor Hirohito and General MacArthur, who led the occupation, at their first meeting at the U.S. Embassy, Tokyo, September, 1945

Japan

Although the U.S.S.R. had helped end the Pacific War by invading Manchuria in August 1945, the subsequent reconstruction of Japan was strictly a U.S. affair. By the time the military occupation ended in 1955, Japan was ruled by a democratically-elected parliamentary monarchy under Emperor Hirohito. The U.S. guaranteed Japan's security through a treaty and a military base in Okinawa. Plus, they were provided financial assistance and preferential access to U.S. markets to rebuild their economy. This action was partly an attempt to counter the perceived communist threat in Asia. As the decades passed, Japan developed a highly successful public-private economic model, ultimately producing electronics and automobiles that would dominate their sectors worldwide.

China

After World War II, the Nationalists and Communists restarted their civil war, which had been interrupted in 1937 by the Japanese invasion. Mao's armies were victorious over the Nationalists led by Chiang Kai-Shek. Indeed, entire divisions of the Nationalist army went over to the Communists. Chiang fled to the island of Taiwan, which had been relinquished to China after being a part of the Japanese Empire for fifty years. There, the Kuomintang continued the Republic of China, which was formally recognized as "China" by the United Nations until the 1970s. Cold War politics was the reason for this diplomatic decision. Even after the UN stopped recognizing Taiwan's autonomy from mainland China, the United States continued to support it.

On the mainland, the People's Republic of China was established in 1949, which led to continuing diplomatic conflict over the status of Taiwan and war on the Korean Peninsula (See the next page in this book.). An additional hotspot was Tibet. As a Himalayan region, it had historically been dominated by the Chinese Empire. Then, in the 1920s during the chaotic years of the Chinese Republic, Tibet became an independent nation run by Buddhist monks. Chinese leader Mao Zedong decided to reclaim Tibet for his new People's Republic, and sent in troops in 1951. Today, Tenzin Gyatso, the Dalai Lama, is the exiled spiritual leader of Tibet, and the "Free Tibet" movement is very active around the world.



Figure: Looking across the square at Jokhang temple, Lhasa Tibet.

Returning to the People's Republic of China... Internally, Mao's own totalitarian style had disastrous consequences for the Chinese. The communists had already begun land reform around 1946 in the parts of China they controlled, well before their final victory. This policy had gained widespread support among the vast peasant population. With the nationalists out of the way, Mao's policy became more aggressive. He called for the elimination of the landlord class of peasants and redistribution of the land more evenly. Class-motivated mass killings of landlords continued for the next 30 years and estimates of the death tolls range from 14 million to 28 million.

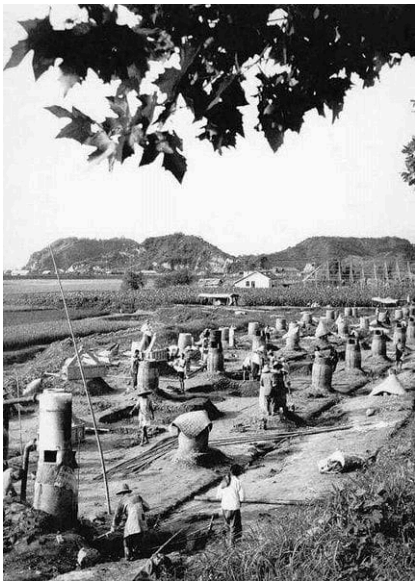


Figure: Backyard furnaces in China during the Great Leap Forward era produced very poor steel and a lot of pollution.

The purge of landlords was followed by the Great Leap Forward, an economic and social plan from 1958 to 1962 that collectivized agriculture and promoted industry. Mao set up 25,000 "people's communes" of 5,000 families each. These communes would be responsible for feeding themselves and their fellow Chinese citizens, and providing surpluses to export. Mao insisted on keeping grain exports high in spite of poor harvests. The famine that resulted, known as the Great Chinese Famine, killed 55 million people, including those individuals that were murdered or committed suicide.

The Great Chinese Famine caused some prominent communist party members to question Mao's leadership. However, he maintained support in the army and blamed the famine on a lack of socialist commitment among the Chinese. In 1966, Mao initiated his Great Proletarian Cultural Revolution, leading the military to recruit young people to reinforce Maoist ideology and purge remnants of capitalist and traditional elements from Chinese society. Schools and universities were closed, and Red Guard

troops were encouraged to harass intellectuals. Educated people were often terrorized, and banished to the countryside to be “reeducated” by the peasants. The death toll of the cultural revolution is debated, but estimates range from 3 to 10 million. This 'revolution' delayed Chinese industrialization and modernization, and a generation of Chinese was deprived of an education.



Figure: Propaganda oil painting of Mao and students holding up his “Little Red Book” during the Cultural Revolution, 1967.

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19.5: Southeast Asia

Fortunately for the human species, the Cold War never turned into a “hot” war between the two superpowers. It did, however, lead to wars around the world that were part of the Cold War setting, proxy wars between the two camps of ideologies.

Korea

At the end of World War II, the Korean Peninsula had been divided with the Soviets focusing on the north. Meanwhile, the south was heavily influenced by the United States. The U.S.S.R. helped establish a communist regime under Kim Il-sung, while the Americans had supported an authoritarian “nationalist”, Syngman Rhee. In June 1950, Kim ordered the invasion of the south in an attempt to unite the peninsula. As Kim’s forces quickly took most of the south, the United Nations Security Council ordered a military response, led by the United States. Instead of using its veto power in the Security Council, the Soviet Union abstained (declined to vote), casting doubt as to whether Stalin had okayed Kim’s invasion.



Figure: Combat in the streets of Seoul, 1950.

By October, U.S.-led United Nations forces had pushed the communist North Korean forces out of the south and had taken the northern capital, Pyongyang. U.N. armies continued to advance northward toward the Chinese border at the Yalu River. This action brought China into the war on the North Korean side. On October 25, U.N. troops were surprised by a counterattack by millions of soldiers from China, as Mao defended Chinese territory from foreign invasion.

U.S. commander Douglas MacArthur talked about his ambition to expand the conflict in Korea to a full-on war with China and contemplated using nuclear weapons. Since the USSR also had nuclear weapons and had signed a mutual-defense treaty with Mao’s Chinese government, a war with China was likely to escalate into World War III. When the general refused to back down, US President Harry Truman fired MacArthur.

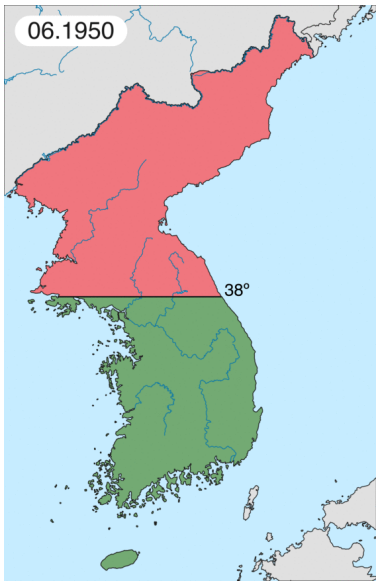


Figure: Territory often changed hands early in the war, until the front stabilized.

After three years of fighting and approximately three million deaths, the two sides agreed to a cease-fire. But, a peace treaty was never concluded and the area has remained a flashpoint. North Korea has become a totalitarian closed society, largely isolated after the fall of the Soviet Union and China's embrace of capitalism in the 1980s. The Kim family has remained in power despite famine and mismanagement, while defending their regime by developing nuclear weapons.

South Korea was ruled by Rhee and the military until a transition to democracy in the 1990s, when it became a successful industrial power following the Japanese development model. The US continues to maintain a military presence in South Korea. The border (located along the 38th parallel) between North and South is considered the most heavily militarized zone in the world.

Vietnam

In 1945, Vietnamese insurgents declared Vietnam's independence from France, and French forces hastily invaded in an attempt to hold on to the French colony of Indochina. When the Korean War exploded a few years later, the United States intervened to support France, convinced that communism was spreading like a virus across Asia. As US involvement grew, orders for munitions and equipment from the US to Japan revitalized the Japanese economy and began to forge a strong political alliance between the two former enemies.

The Korean War energized the American obsession with preventing the spread of communism. As French forces suffered growing defeats in Indochina, the US ramped up its commitment in order to prevent another Asian nation from becoming a communist state. The U.S. theory of the "domino effect" (spreading of communism from country to country) seemed entirely possible at the time. Across the U.S. political spectrum, there was a strong consensus that communism could be held in check primarily by the application of military force.

The obsession led directly to the Vietnam War. The conflict was, in fact, as much about colonialism and imperialism as it was communism. The essential motivation of the North Vietnamese forces was genuine independence from foreign powers. The war itself was an outgrowth of the conflict between the Vietnamese and their French colonial masters, one that eventually dragged in the United States.

As mentioned earlier, the war "really" began with the end of World War II. During the war, the Japanese seized Vietnam from the French. However, the French defeated the Japanese, and tried to reassert control, putting a puppet emperor on the throne and moving their forces back into the country. Vietnamese independence leaders, principally Ho Chi Minh, led the communist North Vietnamese forces (the Viet Minh) in a vicious guerrilla war against the beleaguered French. The Soviet Union and China both provided weapons and aid to the North Vietnamese, with the US supporting the South.



Figure 13.1.2: Ho Chi Minh in 1946.

In 1954, the French were soundly defeated at Dien Bien Phu, a French fortress that was overwhelmed by the Viet Minh. The French retreated, leaving Vietnam torn between the communists in the north and a corrupt but anti-communist force in the south. From 1961 to 1968, United States involvement skyrocketed as the South Vietnamese proved unable to contain the Viet Minh and the south-Vietnamese insurgency, the Viet Cong. In 1964, citing an alleged attack on an U.S. ship in the Gulf of Tonkin, President Lyndon Johnson called for a full-scale armed response. Technically, war was never declared. Thus, the entire conflict constituted a “police action” from the U.S. policy perspective.

Ultimately, U.S. and South Vietnamese forces were fought to a standstill by the Viet Minh and Viet Cong, with neither side winning a definitive victory. All the while, the war was becoming more and more unpopular in the United States itself and in its allied countries. As the years went by, journalists cataloged much of the horrific carnage unleashed by warring forces, with jungles leveled by chemical agents and napalm and civilians massacred. In order to maintain its military, the United States resorted to a lottery system tied to conscription - “the draft”. In 1969, tens of thousands of U.S. soldiers were sent to fight in jungles thousands of miles from home. Despite the vast military commitment, US and south Vietnamese forces started to lose ground by 1970.

During the 1960s and 1970s, a youth movement emerged that was anti-war. In 1973, with population approval for the war hovering at 30%, President Richard Nixon oversaw the withdrawal of U.S. troops and the end of support for the South Vietnamese. The Viet Minh finally seized the capital of Saigon and ended the war in 1975. The human cost was immense: over a million Vietnamese died, along with some 60,000 U.S. troops.

In historical hindsight, one of the striking aspects of the Vietnam War was the relative absence of the Soviet Union. The USSR did provide some military supplies and financial aid to North Vietnamese forces, but it fell far short of any kind of sustained intervention. In other words, whereas the US regarded Vietnam as a crucial bulwark against the spread of communism, the USSR focused on maintaining power and control in the eastern bloc itself.

That being noted, not all Cold War conflicts were so lopsided in terms of superpower involvement. As described in the last chapter, Cuba was caught at the center of the single most dangerous nuclear standoff because the USSR was willing to confront American interests directly. In other countries, both superpowers could play a major role in determining the future of a nation emerging from imperial control, without committing itself to war. You will learn about the Cold War Era in Africa and Southwest Asia in the next chapter.

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20: POST-COLONIAL AFRICA AND SOUTHWEST ASIA

Over the course of the Cold War, there were dozens of successful movements of independence. As quickly as European empires had grown in the second half of the nineteenth century, they collapsed in the decades following World War II in a phenomenon known as decolonization. Whereas almost all of Africa was still part of European empires during World War II, nearly the entire continent was independent by the end of the 1960s.

20.1: Introduction

20.2: Africa

20.3: Southwest Asia

20.4: The Non-Aligned Movement and Immigration

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20.1: Introduction

For the most part, the simplest way in which an independence movement might avoid superpower involvement was to steer clear of communist rhetoric. From Asia to Latin America, independence movements and rebel groups that adopted communist ideology were targeted by the US. By contrast, a country could fight for its independence and still stay in the good graces of the USSR without openly embracing communism.

Given the rapidity with which the empires collapsed, it is tempting to imagine that the European states peacefully relinquished their possessions. In some cases, European powers clung desperately to colonies. In others, large numbers of white settlers refused to be “abandoned”. That being noted, there were also colonies that achieved independence without the need for violent insurrection.

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20.2: Africa

The European "Scramble for Africa" was both astonishingly quick (lasting from the 1880s until about 1900) and amazingly complete, with all of Africa but Liberia and Ethiopia taken over by an European state. In the 1950s and 1960s, the most striking case of decolonization took place as waves of independence movements spread across Africa. In the post-WWII era, almost every African country secured independence. In some places, this process was peaceful; but in many, it was extremely violent.

Ghana

In West Africa, the former colony of the Gold Coast became well known for its charismatic independence leader Kwame Nkrumah. Nkrumah successfully led Ghana to independence in 1957 after a peaceful independence movement and negotiations with the British. In addition, he founded a movement called Pan-Africanism. The goal was for the nations of Africa to create a “United States of Africa” that would achieve parity with the other great powers of the world, while improving the lives of Africans. While that vision did not come to pass, the concept of pan-Africanism still inspired other African independence movements at the time.

Kenya

In Kenya, hundreds of thousands of white colonists were not interested in independence from Britain. By 1952, a complex web of nationalist rebels, including impoverished villagers and farmers, and counter-insurgent fighters plunged the country into a civil war. The British and native white Kenyans reacted to the uprising by creating concentration camps, imprisoning rebels, and slowly starving them to death in the hills. Many people disrespectfully referred to the rebels as “Mau Maus”, who attacked and killed white civilians. Finally, after 11 years of war, Kenya was granted its independence and elected a former Mau Mau leader as its first president. Ironically, while British forces were in a dominant position militarily, the British state was financially over-extended. Thus, Britain granted Kenyan independence in 1963.

South Africa

Most former colonies adopted official policies of racial equality. As a result, and for the first time since the Scramble for Africa, black Africans achieved political power almost everywhere. However, there was one striking exception: South Africa.

South Africa had always been an unusual British colony. Twenty-one percent (21%) of its population was white divided between the descendants of British settlers and the older Dutch colony of Afrikaners who had been conquered at the end of the nineteenth century. The Afrikaners, in particular, were virulently racist and unwilling to share power with the black majority. As early as 1950, white South Africans (British and Afrikaner alike) emphatically insisted on the continuation of a policy known as Apartheid: the legal separation of whites and blacks and the complete subordination of the latter to the former.

South Africa became independent from Britain in 1961. However, Apartheid remained the backbone of the South African legal system, repressing and oppressing the majority black population. Even as overtly racist laws were repealed elsewhere - not least in the United States as a result of the Civil Rights Movement of the 1960s - Apartheid remained resolutely intact. That system would remain in place until 1991, when the system finally collapsed and the long-imprisoned anti-Apartheid activist leader Nelson Mandela was released, soon becoming South Africa’s first black president.

Algeria

Beginning in 1952, one of the most violent struggles for independence occurred in the French territory of Algeria. Hundreds of thousands of Algerians died, along with tens of thousands of French and *pieds-noires* ("black feet," the white residents of Algeria). The heart of the conflict had to do with a concept of French identity:

- many French citizens felt that France’s remaining colonies were vital to its status as an important geopolitical power, particularly on the political right
- many in France were ashamed of the French defeat and occupation in World War II and refused to simply give up France’s empire without a struggle

- many French officers had been on the losing side of wars (World War II and Indochina) and were determined to hold on to Algeria at all costs

On the other hand, many French citizens realized that the values the Fourth French Republic supposedly stood for – liberty, equality, and fraternity - were precisely what had been denied to the native people of Algeria. In fact, "native" Algerians were divided legally along racial and religious lines. For example, Muslim Arab and Berber Algerians were denied access to political power and usually worked in lower-paying jobs, while white, Catholic Algerians (descendants of both French and Italian settlers) were fully enfranchised French citizens.

In 1954, a National Liberation Front (FLN) composed of Arab and Berber Algerians demanded independence from France and launched a campaign of attacks on both French officials and, soon, *pieds-noires* civilians. The French response was brutal, often with complete disregard for human rights or concern for the guilt or innocence of those suspected of supporting the rebellion. Algerian civilians were often caught in the middle of the fighting, with the French army targeting the civilian populace when it saw fit. Rumors of torture soon spread to continental France, inspiring an enormous debate as to the necessity and value of holding on to Algeria. The war grew in Algeria even as France itself was increasingly torn apart by the conflict.



Figure 13.3.1: North Africa as of 2009

The anti-war protest campaign grew in France. Meanwhile, soldiers in Algeria and other parts of France and French territories created ultra-rightist terrorist groups, launching attacks on prominent intellectuals who spoke out against the war. Military troops launched an attempted coup in Algeria in 1958 and briefly succeeded in seizing control of the French-held island of Corsica.

It was in this context of near-civil war that Charles de Gaulle volunteered to "rescue" France from its predicament, with the support of the army. When it became clear he intended to pull France out of Algeria, a paramilitary terrorist group twice tried to assassinate him. He survived and forced through a new constitution that vested considerable new powers in the office of the president. De Gaulle opened negotiations with the FLN, which lead to the ratification of Algerian independence in 1962 by a large majority of French voters. Despite being an ardent believer in the French need for "greatness," De Gaulle was perceptive enough to know that the battle for Algeria was lost before it had begun.

In the aftermath of the Algerian War, millions of white Algerians moved to France. Feeling betrayed and embittered, they became the core of a new far-right-wing Fascist-like party: the *Front National*. Racist, opposed to immigration, and anti-Semitic, the National Front remains a powerful force in French politics to this day.

Egypt

Egypt had been part of the British empire since 1882 when it was seized during the Scramble for Africa. After World War I, it achieved a degree of independence but remained squarely under British control in terms of its foreign policy. Likewise, the Suez Canal - the crucially important link between the Mediterranean and Red Sea - was under the direct control of a Canal Company dominated by the British and French.

In 1952, the Egyptian general Gamal Abdel Nasser overthrew the British regime and asserted complete Egyptian independence. The United States initially sought to bring him into the American camp by offering funds for a massive new dam on the Nile, but

Nasser made an arms deal with (communist) Czechoslovakia. As a result, the funds were denied. Nasser reacted by opening talks with the Soviets, who offered funding and weapons in return for Egyptian cotton, as well as added influence in North Africa and the Middle East.

In 1956, Nasser nationalized the Suez Canal. Henceforth, all of the traffic going through the vitally important canal would be regulated by Egypt directly. Immediately, Israeli, British, and French forces invaded Egypt in retaliation. Enraged by the attack on its ally, Khrushchev threatened nuclear strikes. In turn, U.S. President Dwight Eisenhower forcefully demanded that the Israelis, French, and British withdraw, threatening economic boycotts (bans). The Israeli, French, and British forces withdrew. This “Suez Crisis” showed that the US might not run its allied governments as puppet states, but it could directly shape their foreign policy.

In the aftermath of the Suez Crisis, Egypt's control of the canal was assured, and the country tried to initiate a 'third way' between the two superpowers. Lastly, Egyptian leaders (all of them military leaders) called for Arab nationalism and unity in the Middle East as a way to stay independent of the Cold War.

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20.3: Southwest Asia

Religious (and ethnic) divides within former colonies were not unique to any one continent. Many countries that sought independence were products of imperialism in the first place. Indeed, the “national” borders of Iraq, Ghana, and Rwanda had been arbitrarily created by the imperial powers with complete disregard for the religious and ethnic differences of the people who lived within the borders. For example, in Iraq, both Sunni and Shia Muslims, Christian Arabs, different Arab ethnicities, and Kurds all lived side-by-side. Of course, diversity did not guarantee conflict. But, when circumstances arose that inspired conflict, violence could, and often did, result.

Israel

The current ongoing crisis of Israel and Palestine is a result of arbitrary borders drawn up by former imperial powers, as well as a unique case of a nationalist movement for an ethnic-religious homeland. Since the early 20th century, thousands of European Jews had been immigrating to Palestine, fleeing anti-Semitism in Europe and hoping to create a Jewish state as part of the Zionist movement. After the collapse of the Ottoman Empire and until 1948, the British held the “mandate” (political governorship) of the territory of Palestine.

During World War I, in the Balfour Declaration of 1917, the British had promised to

- support the creation of a Jewish homeland in Palestine
- aid Arab leaders in creating independent states in the aftermath of the Ottoman Empire’s expected demise

After World War I, the British established control over a large swath of territory that included the future state of Israel, frustrating Arab hopes for their own independence. Between 1918 and 1939, the Jewish population of Palestine went from roughly 60,000 to 650,000. The entire period was replete with riots and growing hostility between the Arab and Jewish populations, with the British trying to keep the peace.

After World War II, the British proved unable to manage the volatile region, and turned the territory over to the newly-created United Nations. The UN’s plan to divide the territory into two states – one for Arabs and one for Jews – was rejected by all of the countries in the region. After Israel became a formal state, the Arab–Israeli War (1948) began. The nine-month conflict had two predominate two sides: the Jewish people of Israel against a coalition of the surrounding Arab states: Egypt, Syria, Iraq, and Lebanon. Israel consistently fielded larger, better-trained, since the Jewish settlers had spent years organizing their own militias. Meanwhile, the Arab states' militaries were in their infancy. When the dust settled, there were nearly a million Palestinian refugees and a state that promised to be the center of conflict in the region for decades to come.

Since the creation of Israel, there have been three more full-scale regional wars:

- 1956 Suez War (noted previously in the discussion of Egypt) had no lasting consequences besides adding fuel to future conflicts
- Six-Day War of 1967 resulted in great territorial gains for Israel
- Yom Kippur War of 1973 undid some of the previous gains

In addition to the actual wars, there have been ongoing explosions of violence between Palestinians and Israelis that continue to the present.

Arab resistance and Cold War considerations led the U.S. to continue its support of Israel, which was supported by Jewish Americans, as well as Christian fundamentalist evangelicals, many of whom consider the reestablishment of Israel as the beginning of the apocalyptical End Times and the return of the Messiah. Meanwhile, the Soviet Union sought allies in the Middle East, which was much closer to its borders than the U.S.

Pan-Arabism

On the previous page, Egyptian leader Gamal Abdul Nasser's successes in Egypt were discussed. He established a secular state dedicated to improving the lives of ordinary people by separating religion and politics, supporting government intervention in the economy to prevent foreign control, and providing more and better social services. Nasser, a former army colonel, also relied on

the military as the most reliable and disciplined institution to maintain unity and order. This “Nasserism” became the ideology of the Ba’ath Party, formed in Syria and later in Iraq in the 1950s among military officers.

In addition, Nasser preached pan-Arabism, the goal that all Arabs should be united in one federated nation. Egypt and Syria briefly united under this model in the early 1960s. After Nasser’s death, Libya, Syria, and Iraq federated for a time in the 1970s. The unification of Palestinians into the Palestine Liberation Organization in 1964 led by Yasser Arafat and his Fatah Party is yet another example.



Figure: Nasser (center) mediating an agreement between Yasser Arafat and Jordanian King Hussein, during the emergency Arab League summit, September 1970.

Iran

Historically, Muslims and Christians often conflict were western Europeans and the United States have been actively extracting natural resources from territories occupied by Muslims. Western oil companies in the Persian Gulf have had a decisive role in the relationships between the governments of Britain and the US and the people and governments of the region. For example, when the Iranian Prime Minister, Mohammad Mosaddegh, decided to nationalize the Anglo-Iranian Oil Company (now BP), U.K. Prime Minister Winston Churchill convinced U.S. President Harry S. Truman that Mosaddegh had to be removed from office. In 1953, Britain’s MI-6 and the U.S. CIA organized a coup against the elected government of Iran and installed Shah Mohammed Reza Pahlavi as ruler of Iran to ensure a steady flow of oil.



Figure: Prime Minister Mosaddegh with US President Truman in 1951

Between 1950 and the mid-1970s, oil production rose from less than a million barrels per day to 6 million barrels daily. However, the oil boom widened the gap between the rich and poor in Iran. One indication was the 2,500th-anniversary celebration of the founding of the Persian Empire by Cyrus the Great. The event was attended by jet-setters from around the world. Meanwhile, Iranians were excluded and their poverty was ignored.

The Shah began a policy of embracing western culture and westernizing Iran, to which conservative Muslims objected. Only the richest Iranians were able to access the new consumer goods and cultural changes. In addition, the changes were not accompanied by political liberalization (failure to reduce restrictive laws). The Shah's secret police force, SAVAK, terrorized the population and routinely assassinated the Shah's critics including possibly Mostafa Khomeini, son of the ayatollah. (The ayatollah is a Shiite religious leader in Iran. Mostafa Khomeini's death is surrounded by mystery.)



Figure: Armed protesters in front of a banner that says, "Long live anti-imperialism and democratic forces".

The outbreak of the Iranian Revolution (January 1978 to February 1979) caught the Shah by surprise. When the Muslim clergy announced an open-air prayer meeting on the annual holiday marking the end of Ramadan, the Shah panicked and declared martial law. 5,000 protesters took to the streets of Tehran. The army fired into the crowd, killing 64 people. The ayatollah Khomeini claimed 4,000 people had been killed, and workers at Tehran's oil refineries and government workers declared a general strike that brought the economy to a standstill. By early December, more than 10% of the Iranian people were marching in anti-Shah demonstrations. The ailing Shah abandoned Iran, eventually arriving for treatment in the United States, while Khomeini

proclaimed a new Islamic Republic.



Figure: Iranian students storming the US Embassy in Tehran, November 1979.

The U.S. government was strongly disliked for helping to install the Shah. After the Iranian Revolution, in November 1979, a group of Islamist students stormed the American Embassy in Tehran and took the staff as hostages. Fifty-two (52) Americans were held for 444 days, until the inauguration of U.S. President Ronald Reagan in January 1981. The ayatollah, who was an astute politician as well as a religious leader, supported keeping the hostages on purely political grounds. He told reporters, “This action has many benefits...This has united our people. Our opponents do not dare act against us. We can put the constitution to the people’s vote without difficulty.”

Iraq

The new Iranian regime confronted resistance from the Arab world, especially from Iraqi leader Saddam Hussein. The Iranians were Persian rather than Arab, and most were followers of Shia Islam. (The Sunni branch of Islam is more common and prevalent in the Arab world and among all Muslims.) Although Shi’ites and Sunnis had lived in peace for centuries, Iran’s new clerical state was deemed a threat by its Arab neighbors, especially by the conservative Sunni regime in Saudi Arabia.

Iraq had its own particularities. Specifically, Shia holy sites were located in Saddam Hussein’s country, and a majority of the Iraqis were Shi’ite Arabs. Hussein, himself, was a Ba’athist, promoting Arab nationalism in a secular state ruled by his military. In September 1980, he sent his armies into Iran. Hussein claimed that he was protecting Arabs living in the Iranian border region, although ironically, these areas also had vast oil deposits. The Iran-Iraq War lasted 8 years and helped consolidate the power of the Khomeini regime. The US, USSR, France, and many Arab countries provided support for Iraq, which used chemical weapons against Iranian military and civilian targets. The death toll has been estimated as 800,000 Iranians and up to 500,000 Iraqis.



Figure: An Iranian soldier wearing a gas mask during the Iran–Iraq War.

At the end of the war, Hussein had gained economic debt and demands for autonomy from non-Arab ethnic Kurds in northern Iraq. He responded with chemical attacks on civilian Kurdish populations. Then, in 1990, the Iraqi dictator decided to incorporate Kuwait into his nation, claiming that it had historically been part of Mesopotamia (which was plausible, given the absurd way the British had drawn national boundaries after World War I). The small kingdom also had rich oil reserves. The United Nations, led by the U.S., pushed Hussein out of Kuwait. (Often referred to as the Persian Gulf War or Operation Desert Storm.) Although it decimated Hussein's retreating army on the infamous "Highway of Death", the coalition stopped short of toppling Hussein from power, which would have consequences over the next two decades.

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20.4: The Non-Aligned Movement and Immigration

The Nonaligned Movement started with the Bandung Conference of 1955. In the Indonesian city of Bandung, leaders from countries in Africa, Asia, and South America met to discuss the possibility of forming a coalition that might push back against superpower dominance. These countries earnestly hoped that their collective strength could compensate for their individual weakness vis-à-vis the superpowers. A French journalist at the conference created the term “third world” to describe the bloc of nations: neither the first world of the US and western Europe, nor the second world of the USSR and its satellites, but the allied bloc of former colonies.

The real, meaningful effect of the conference was at the United Nations. There, the Nonaligned Movement ended up with over 100 member nations, wielding considerable power in the General Assembly of the UN and successfully directing policies and aid money to poorer nations. During the crucial decades of decolonization itself, the Nonaligned Movement served as inspiration for millions around the world who sought independence for its own sake, as well as creating a more peaceful and prosperous world.

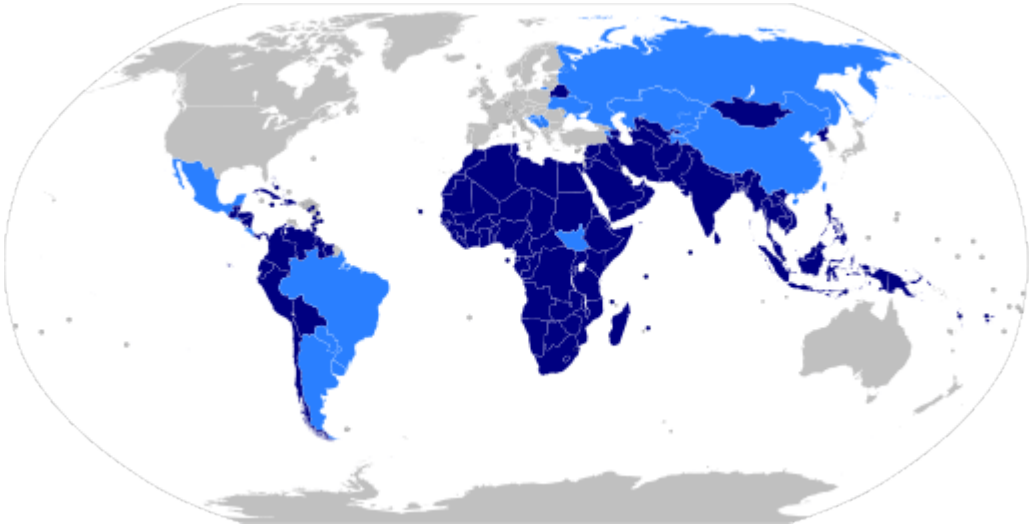


Figure 20.4.1 Current members of the Non-Aligned Movement. The light-blue color denotes countries with observer status. Full screen resolution is located here.

Even as former European colonies were achieving formal political independence, millions of formerly colonized peoples were flocking to Europe for work. A postwar economic boom in Europe created a huge market for labor, especially in fields of unskilled labor. Thus, Africans, Caribbeans, Asians, and people from the Middle East came in droves to work at jobs Europeans did not want, because those jobs still paid more than even skilled work did in the former colonies.

The result was an ongoing struggle over national and cultural identity. In places like Britain, France, and postwar West Germany, the official stance of governments was that European culture was colorblind, and that anyone who culturally assimilated could be a productive part of society. Unfortunately, as soon as significant minority populations became residents of European countries, there was an explosion of anti-immigrant racism among whites. Europeans were forced to grapple with the idea of cultural and racial diversity in a way that was entirely new to them.

One group of British Marxist scholars described this phenomenon as “the empire strikes back”: having seized most of the world’s territory by force, Europeans were now left with a legacy of racial and cultural diversity that many of them did not want. In turn, the Universalist aspirations of “Western Civilization” were challenged as never before.

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21: THE LONG DECADE

Published in 1992, *The End of History and the Last Man* argued that humanity was entering into a new stage in which the essential political and economic questions of the past had been resolved. Henceforth, market capitalism and liberal democracy would be conjoined in a symbiotic relationship. Human rights would be guaranteed by the political system that also provided the legal framework for a prosperous capitalist economy. All of the alternatives had already been tried and had failed, such as monarchies and fascism. As it turned out, these predictions were true for some countries, but not others.

21.1: End of the Cold War

21.2: Conservatism

21.3: North American Trade

21.4: The European Union

21.5: Globalization

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21.1: End of the Cold War

The Cold War ended in the 80s. Between 1989 and 1991, the Soviet system collapsed and Russia lost control of its Eastern European satellites. Soviet leaders Yuri Andropov and Mikhail Gorbachev began relaxing the strict controls the state had been exercising on satellite states. For example, Andropov prevented the U.S.S.R. from invading Poland in 1981 to crush the Solidarity movement. By 1989, Solidarity was included in multiparty elections in Poland and the movement's leader, Lech Walesa, was elected President (1990-95).

Andropov's successor, Gorbachev began a process of

- perestroika, restructuring the economy
- glasnost, a policy of increased openness in politics and support for individual rights including freedom of speech.

The freedom of speech Gorbachev granted included the freedom to criticize the government, which he would be unable to control.

Meanwhile, the Soviet economy continued to spiral downwards. By the second half of the 1980s, Gorbachev simply ended the arms race with the United States, conceding the USSR could not match the US's gigantic arsenal. Starting cautiously in 1988, he also announced to the governments of Eastern Europe that they would be "allowed to go their own way" without Soviet interference. Never again would columns of tanks respond to protests against communism. When Gorbachev made good on his promises and protest movements against the communist states started to grow, it was the beginning of the end for the entire Soviet Bloc. Over the course of 1989, one country after another held free elections, and communists were expelled from governments.

The Berlin Wall

In October 1989, East Germany's longtime leader resigned. Erich Honecker had been instrumental in building the Berlin Wall. During his time as the ruler of the communist nation, Honecker had ordered East German troops to fire on people trying to escape to West Berlin. Over a thousand people were killed over the years. After Honecker's resignation, the wall that physically symbolized the Cold War between the West (democratic-U.S.) and East (communist-U.S.S.R.) came down. As for Honecker, he first fled to Russia and then Chile to evade legal prosecution, where he died in 1994.



Figure: Germans stand on top of the Wall in front of Brandenburg Gate in the last days before the Wall was torn down

Tearing down the wall and reunifying Germany in 1990 were milestones at the end of the Cold War. In 1991, Gorbachev agreed to allow the Baltic Republics (Latvia, Lithuania, and Estonia) to secede from the U.S.S.R., and hard-liners in the Kremlin tried to overthrow him in a coup. The president of the Russian Federation, Boris Yeltsin, supported Gorbachev and thwarted the coup. Although Gorbachev had been returned to the Kremlin, Yeltsin began gaining power for himself. In late 1991, Yeltsin flew the

Russian flag over the Kremlin alongside the Soviet flag. On December 25, 1991, Gorbachev resigned as President of the USSR in a televised speech, and handed over the Soviet nuclear codes to Yeltsin. The following day, the U.S.S.R. was dissolved and Yeltsin moved into Gorbachev's office at the Kremlin. The collapse of the Soviet Union left the US as the world's only superpower.

After the collapse of the USSR, some Eastern European countries (e.g. the Czech Republic, Poland) enjoyed at least some success in modernizing their economies and keeping political corruption at bay. In Russia itself, the 1990s were an unmitigated economic and social disaster. The entire country jumped into a market economy without any planning or oversight, while dismantling social programs and government services. New industries did not suddenly materialize to fill the enormous gaps in the Russian economy that had been played by state agencies. Unemployment skyrocketed and the distinctions between legitimate business and illegal or extra-legal trade all but vanished.

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21.2: Conservatism

In Europe, the incredible economic boom of the postwar decades came to a screeching halt in the early 1970s, when OPEC instituted an embargo (official ban on trade) of oil in protest of western support of Israel in the Yom Kippur War of 1973. Gas prices skyrocketed, and economic growth simply stopped, never to regain the momentum it had from 1945 - 1973. However, the baby boom and economic boom had resulted in social democracy, large immigrant populations, and high standards of living. European politics addressed many of these issues.

The politically 'far right' called for extremely limited quotas for immigration, laws banning the expression of non-Christian religious traditions (mostly associated with Islam), and a broader cultural shift rejecting tolerance. They also attacked non-white citizens of European countries, citizens born in Europe to immigrant parents. However, citizens of immigrant ancestry were legally the same as any other citizen.

While the 'far right' gained strength in many European countries, center-right conservatism, often called "neoconservativism', developed. This group came to reject the welfare state, which often provided free health care and education, subsidies for housing, and strong unions.

The iconic neo-conservative politician was British Prime Minister Margaret Thatcher, who held office from 1979 to 1990. Thatcher acquired the nickname "the Iron Lady" for her blunt manner of speaking and her refusal to compromise. While prime minister, she privatized a number of industries in Britain and took a hard line with unions. For example, she advocated for the shutting down of northern English coal mines rather than giving in to the demands of the coal miners' union. As a result, the English mining industry simply shut down, and never recovered. In addition, she slashed government subsidies for various industries, resulting in an increase in unemployment in manufacturing areas.



Figure 15.1.1: Margaret Thatcher in 1977.

Banks thrived as regulations to protect investors and customers were dropped, and they were allowed to pursue vast profits through financial speculation. During Thatcher's tenure, London became the country's premiere dynamic, wealthy financial and commercial center. Thatcher was reviled by her opponents, and adored by millions of Britons at the same time for her British pride, her hard-nosed refusal to compromise, and her unapologetic, Social Darwinist contempt for the poor. (She once advised the English that they ought to “glory in inequality” because it was symptomatic of the strong and smart succeeding.)

The British economy began to recover as a whole in the early 1980s. In 1982, a brief war over the Falkland Islands in the Pacific Ocean between Argentina and Britain increased her popularity. Plus, the British Labour party was in disarray. Thus, Thatcher remained in power until 1990, when her own party decided she was no longer desirable and replaced her with a somewhat forgettable politician named John Major.

Outside of Britain, the essential characteristics of western and central European politics were in place by the 1980s that remain to this day. Center-right parties from Italy to Germany and from France to Britain correspond to the Thatcherite neo-conservative model, embracing the free market and trying to limit the extent of the welfare state. Note: These parties do not openly advocate getting rid of the welfare state entirely. Generations of Europeans, including people who vote for center-right parties, expect free health care, education, and social benefits to some extent.

On the other side of the political spectrum, the left-wing parties definitively abandoned Marxist ideology. The Labour Party created "New Labour," a political philosophy that supports the welfare state but also accepts that the free market is essential for economic growth. The iconic figure of New Labour in Britain was the prime minister Tony Blair, who held office from 1997 - 2007.

Even in countries whose major leftist parties had the word "socialist" in their titles - France's Socialist Party, for example - the whole notion of revolution was gone by the 1990s. Instead, the center-left parties came to be the custodians of the welfare state while joining the center-right in favoring market economics in the private sector.

Today, the 'far left' in Europe is often represented by the Green parties. Green parties are very strong supporters of environmental legislation and are the most hostile to free market deregulation of any political faction, but they remain limited in their electoral impact. An example can be found in Germany.

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21.3: North American Trade

Free trade and “laissez-faire” capitalism are typically believed to be a “conservative” value. So, it may be surprising to hear that former U.S. President Trump opposed agreements like NAFTA and TTP, even though he was a Republican. Meanwhile, past presidents William Clinton and Barrack Obama, as well as the current President Joe Biden, all members of the Democrat party, supported them.

Globalist trade policies have often been called “neoliberal,” but this term is confusing. The “Neo” part is in many ways the opposite of liberalism. Since the Enlightenment, “liberal” has referred to a focus on expanding the rights and liberties of regular people, often against the power of governments. Today, the liberties being protected by neoliberalism are often those of corporations. In many cases, corporations have gained so much power over the lives of regular people that they are a more serious threat than governments.



Figure: President Bill Clinton watching V.P. Al Gore debate Ross Perot about NAFTA.

NAFTA was an example of neoliberal policy that increased the liberty of corporations at the expense of people. In a 1992 presidential debate, billionaire Reform Party candidate Ross Perot argued:

> “We have got to stop sending jobs overseas. It’s pretty simple: If you’re paying $12, $13, $14 an hour for factory workers and you can move your factory south of the border, pay a dollar an hour for labor,...have no health care—that’s the most expensive single element in making a car—have no environmental controls, no pollution controls and no retirement, and you don’t care about anything but making money, there will be a giant sucking sound going south.”

Perot went on to explain that although in the long run and from a global perspective, globalization makes economic sense, it was not necessarily good for America. He ultimately lost the election to Bill Clinton, who supported the North American Free Trade Agreement (NAFTA). Although NAFTA was an agreement between Canada, Mexico, and the United States, this text will focus on the U.S.-Mexican relationship.



Starting on January 1, 1994, NAFTA was to create a free-trade zone in North America (Canada, Mexico, and the United States). One goal was to eliminate tariff barriers that made American exports more expensive in Mexico and Mexican exports more expensive in the U.S. As a result, Mexico has risen to the second-largest market for U.S. agricultural products, especially meat. Mexico has also become a large consumer of U.S. corn.

Corn is the leading staple crop in the world. Cheap U.S. corn has impacted the ability of Mexican farmers to compete and threatened the biodiversity of maize. Since corn is wind-pollinated, the indigenous varieties are in actual danger of being lost. If a pest or disease wiped out genetically-modified corn, it would become a global disaster if scientists had no indigenous varieties available to produce a new, resistant hybrid.



NAFTA has given rise to Mexican factories called *maquialadoras,* which were located just south of the border and made products for the US market. These factories manufacture goods using supplies shipped to them duty-free, which they then ship back north. Within the first five years, *maquila* employment had doubled. By 2004, *maquiladoras* accounted for 54% of Mexico's exports to the U.S., and U.S. exports had grown to 90% of Mexico's total exports.

Advantages for the U.S. manufacturers included:

- paying lower wages than in the U.S. (in 2015 the Mexican hourly wage averaged $0.55)
- fewer environmental and worker-safety regulations to follow

- less chance of organized labor strikes (although Mexico has fairly strict labor law)

After the Mexican recession of the 1990s, these jobs sometimes paid better than other available work for poor Mexicans. As Perot had predicted, until wages for factory workers in Mexico rise substantially, workers in the United States will not be able to compete for these jobs. Despite the U.S. recession in the early 2000s and competition from other even lower-wage areas like Asia, there are still over 3,000 *maquiladoras* along the US-Mexican border.

USMCA

The United States-Mexico-Canada Agreement (USMCA) entered into force on July 1, 2020. The USMCA replaced the North America Free Trade Agreement (NAFTA) by modernizing the original agreement's provisions. One area of noticeable update is intellectual property and digital trade. Other changes included: increased environmental and working regulations; greater incentives for automobile production in the U.S. (with quotas for Canadian and Mexican automotive production); more access to Canada's dairy market; and an increased duty-free limit for Canadians who buy U.S. goods online.

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21.4: The European Union

After World War II, most of the nations of western Europe sought to improve economic relations and trade between non-communist member countries. This action culminated in the creation of the European Community (EC) in 1967. Despite various setbacks, not the least the enmity between French and British politicians, the EC steadily added new members into the 1980s. In addition to trade, the EC's leadership began to discuss the possibility of aligning currency, law, and policy more closely between countries. This larger vision was originally conceived in hopes of creating a power-bloc to rival the two superpowers of the Cold War.

In 1993, the EC officially became the European Union. In the following years, various member nations of the former EC voted to join the new entity. Over time, requiring a passport to visit other EU member states was eliminated. The member nations agreed to ensure civil rights throughout the Union, as well as economic agreements (e.g. limitations on national debt) meant to foster overall prosperity. Most spectacularly, at the start of 2002, the Euro became the official currency of the entire EU except for Great Britain, which clung tenaciously to the British Pound.

Between 2002 and 2008, the architects of the EU achieved relative success. The economies of Eastern European countries in particular accelerated, along with a few unexpected western countries like Ireland. Loans from wealthier members to poorer ones, generally clustered along the Mediterranean, meant that none of the countries of the "Eurozone" lagged too far behind. While the end of passport controls at borders worried some, there was no general immigration crisis to speak of.

Since the financial crisis of 2008, the EU has been fraught with economic problems.

The major issue is that member nations cannot control their own economics past a certain point.

- they cannot devalue currency to deal with inflation
- they are nominally prevented from allowing their own national debts to exceed a certain level of their Gross Domestic Product (3%, at least in theory)

As a result, weaker economies, such as Spain, Italy, or Greece, find it difficult to maintain or restore economic stability. Instead, Germany ended up serving as the EU's banker, issuing loan after loan to other EU states while dictating economic and even political policy to them.



Figure: Growth of the European Economic Community/European Union.

Another shocking development was Great Britain's decision to leave the Union entirely in 2016 based on its citizens' votes. The United Kingdom officially left the EU on January 31, 2020. That same year, in December, the EU–UK Trade and Cooperation Agreement (TCA) was signed between the European Union (EU), the European Atomic Energy Community (Euratom), and the

United Kingdom (UK), which focuses on free trade. The political and economic consequences remain unclear: the British economy has been deeply enmeshed with that of the EU nations since the end of World War II, and it is simply unknown what effect “Brexit” will have in the long run.

NOTE: The residents of Scotland and Northern Ireland both voted to remain in the EU, but their votes were outweighed by the English and they will be forced to leave along with the rest of the UK. The Republic of Ireland will remain an EU member, which will complicate the situation on the border between Ireland and British Northern Ireland.



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21.5: Globalization

Globalization is characterized by the increased foreign investment by transnational corporations, privatization of state enterprises, free movement of capital across national borders, and a reduction of tariffs that impede the movement of products. A wave of deregulation accompanied these changes, as nations competed to attract businesses that were suddenly free to locate themselves anywhere resources, labor, and environmental costs were lowest.

Russia

In the early 1990s, after the Soviet breakup, Russia began exporting millions of barrels daily into the world market. In Russia, the political elites were suddenly able to buy up state-owned assets the government was selling at sale prices. These opportunities were especially lucrative when Boris Yeltsin was president, and Vladimir Putin the Prime Minister. Putin's friends and allies did extremely well in the sell-off of Soviet state industries. With the spike in oil prices in the early 2000s, these men made vast fortunes and became some of the billionaire oligarchs who run the Russian economy for their own benefit today. Putin's net worth in 2018 was estimated at around $200 billion, or about twice the wealth of Jeff Bezos (founder of Amazon) and four times that of Bill Gates (founder of Microsoft).

Since 2000, President Putin has proved a brilliant political strategist, playing on anti-western resentment and Russian nationalism to buoy popular support for his regime, run by "his" political party, United Russia. While opposition political parties are not illegal, United Russia has been in firm control of the entire Russian political apparatus since shortly after Putin's election. Opposition figures are regularly harassed or imprisoned, and many opposition figures have also been murdered. Some of the oligarchs were also reined in, while some oligarchs were instead incorporated into the United Russia power structure.

Unlike many of the authoritarian rulers of Russia in the past, Putin was (and remains) hugely popular among Russians. Media control has played a large part in that popularity, as has the wealth of money coming from oil prices. Further boosts to his popularity came from Russia's invasion of the small republic of Georgia in 2008 and, especially, its invasion and subsequent annexation of the Crimean Peninsula from Ukraine in 2014. While the latter prompted western sanctions and protests, it was successful in supporting Putin's power in Russia itself. At the time of this writing (April 2022), the Russo-Ukrainian War is occurring, and there are some indications that Putin's popularity might be wavering.



Figure: President Boris Yeltsin handing the Presidential Emblem to Vladimir Putin.

Japan

An important element of the shift away from U.S.-centered globalization was the growing economic power of Asia. After World War

II, Japan's economy was jump-started by U.S. aid including a $2 billion direct investment while not asking for war reparations. Japanese goods were also given preferential access to U.S. consumer markets, so the Japanese economy focused on low-wage industries producing products for export to the U.S. The United States no longer considered Japan a threat, but rather a potential ally against communist China. The Japanese people complied with their government's new industrial policy. Japan reinvested its earnings and rapidly grew from a producer of cheap knock-off copies of American products to an innovator in high technology.

China

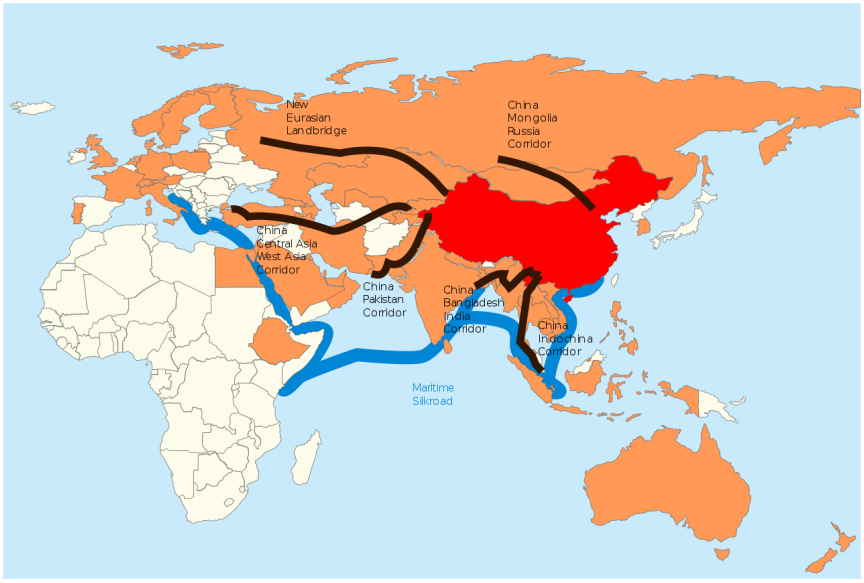


Figure: Chinese leader Deng Xiaoping with US President Jimmy Carter in 1979.

After the death of Mao Zedong in 1976, Deng Xiaoping gained and China began shifting toward a market economy in which the government would direct development with incentives rather than decrees and directives. In addition to a plentiful supply of cheap labor, China had high savings rates and Deng's devaluation of the nation's currency allowed Chinese savings and foreign exchange surpluses to be invested in securities like U.S. government bonds. As this happened, China became the world's bank, as nations like the U.S. fell deeper into debt. Finally, a rising standard of living in China created a new middle class and a huge consumer market.

In 2002, ninety percent of the Chinese population lived in poverty. By 2012, the number of poor in China has been reduced to twenty-nine percent. Two-thirds of the poor (nearly a billion people) have improved standards of living. At that time, scientists predicted that only 16% of the Chinese people would be living in poverty in 2022. This income demographic is what we would see in nations like the U.S.

China is becoming a dominant force in the world economy once again, and the increased spending power of the Chinese people is beginning to drive the global market. Chinese demand for items like automobiles is expected to outpace the rest of the world for the foreseeable future. Foxconn, which began as a manufacturer of low-tech items like computer cases, has become a nearly $5 billion manufacturer of the highest tech items like Apple iPhones and computers. Lenovo, which began as a Hong Kong PC clone company in 1984, has been the world's largest personal computer maker since 2013. Lenovo acquired IBM's PC division in 2005, and the famous IBM ThinkPad became a Chinese product. In addition, Lenovo was the world's largest cell-phone maker until 2016 when it was overtaken by Apple and Samsung.



As Chinese purchasing power increases, world industry will be challenged with producing consumer goods without exhausting finite resources or destroying the environment. Chinese cities have been known for their pollution, especially for their poor air quality. Hopefully, Chinese interest in projects such as the Belt and Road Initiative, which seeks to connect China with the rest of Asia, Europe, and Africa in a "New Silk Road", will include a commitment to the environments in which China finds its natural resources and markets for consumer goods.

Trans-Pacific Partnership (TPP)

Although the TTP was part of the 21st century (and perhaps should be in the next chapter), it makes more sense to address its impact on globalization here.

Influenced by the creation of NAFTA, the Trans-Pacific Partnership (TTP) was established in 2016. It sought to eliminate tariff and regulatory barriers to trade between most of the nations on the Pacific rim, and create a common market between Asia and the west coasts of North and South America. TPP would also establish an Investor-state dispute system that would allow global corporations to sue countries for practices they deem to be discriminatory. In other words, if a national government tries to set a national minimum wage, mandate worker rights or safety regulations, or protect the environment, corporations can sue to have the laws changed or can demand compensation for their "losses".

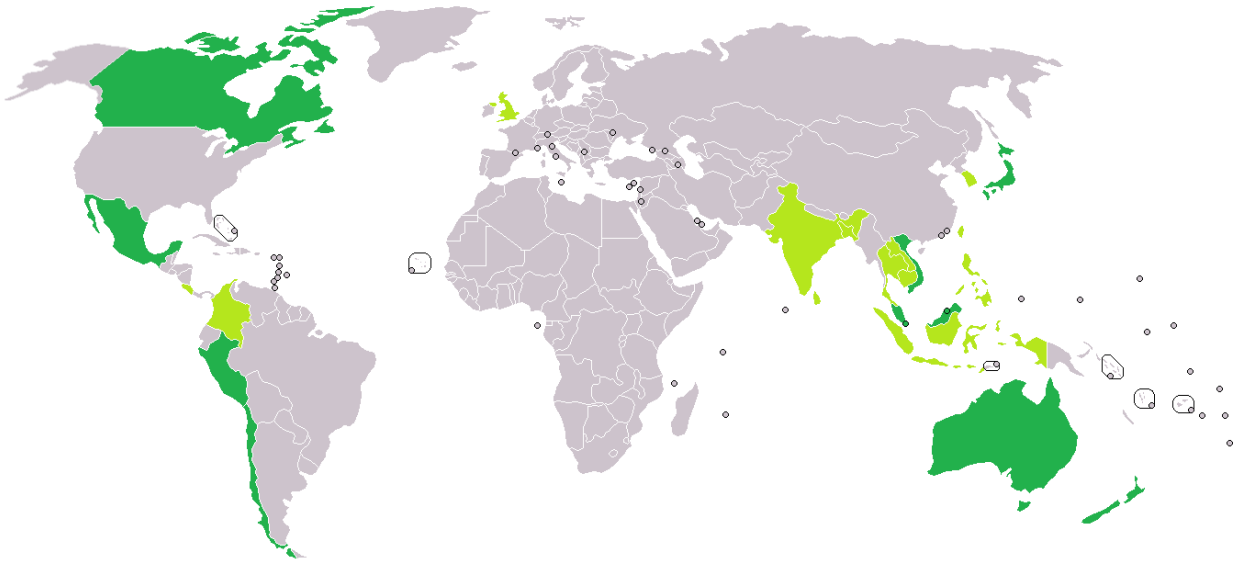


Figure: Map of TPP. Dark green are members; light green nations interested in joining.

According to some critics, this action raises the status of corporations to make them equal or even superior to sovereign nations. Further, some corporations might sue in an "Investor Court" that would favor their economic interests instead of the rights of citizens, the environment, or other local concerns. Ironically, NAFTA already includes an investor-state court system for the U.S., Canada, and Mexico, but since most of the companies that would use this system are U.S.-based, it is not seen as being an issue for Americans. TPP would be a much bigger source of lawsuits from transnational corporations not originally based in the Americas, which generally have higher minimum wages, worker safety standards, and/or environmental regulations.

In January 2017, President Trump withdrew the United States from TPP. Some people applauded it, such as Senator Sanders who said, "For the last 30 years, we have had a series of trade deals...which have cost us millions of decent-paying jobs and caused a 'race to the bottom' which has lowered wages for American workers." On the other hand, mainstream Republicans like Senator John McCain criticized what he called "a troubling signal of American disengagement in the Asia-Pacific region at a time when we can least afford it." Interestingly in the last five years of his life, McCain's campaign committees raised and spent about $17 million dollars, mainly from corporations like General Electric and Pinnacle West Capital that had an interest in the success of TPP. This action has given rise to a growing sense among regular people that U.S. political parties are under the control of their political donors, and no longer governing for the people.



World Trade Organization

Globalization has been driven by the removal of protectionist trade policies around the world. This trend began in 1947 with the General Agreement on Tariffs and Trade (GATT), a free-trade agreement of 23 non-communist nations. From 1947 to 1999, GATT reduced average tariff levels between member nations from 22% to just 5%. The World Trade Organization (WTO) that followed GATT is a more permanent agreement that covers trade in services and intellectual property, as well as physical products.

Headquarters in Geneva, Switzerland, the WTO has 164 member states. Although the WTO's charter calls on it to "ensure that trade flows as smoothly, predictably, and freely as possible" throughout the world, critics argue it favors rich nations over poor nations. This idea can be found in its binding arbitration processes that function like an international trade court, whose decisions take precedence (priority) over local or even national court judgments. The process is designed to take a year (or 15 months with appeals). According to the WTO, since 1995, over 500 disputes have been brought with more than 350 disputes settled. Most of these rulings have benefited transnational corporations, often at the expense of workers, consumers, and the environment.

Concluding Thoughts

Transnational corporations are uniquely suited to take advantage of this new world economy. Technically, there are about 50,000 global corporations. But the number of corporations that are as important as states in the world economy is a bit smaller. In 2020, Fortune Magazine Global 500 was topped by Walmart, Sinopec Group (a Beijing-based oil and gas company), State Grid (the Chinese national electric company), China National Petroleum (another Beijing-based oil and gas company), and Royal Dutch Shell Toyota. The next five on the list are Saudi Aramco (oil company), Volkswagen, BP, Amazon, and Toyota. Placement on this list is based on revenues, which is similar to the GDP used to measure the size of national economies. If Walmart was a nation, it would be larger than all but 23 of the 211 members of the United Nations.

***Fortune* Global 500 list of 2020**

Rank	Company	Country	Industry	Revenue in USD
1	Walmart	United States	Retail	$524 billion
2	Sinopec Group	China	Petroleum	$407 billion
3	State Grid	China	Energy	$384 billion
4	China National Petroleum	China	Petroleum	$379 billion
5	Royal Dutch Shell	Netherlands	Petroleum	$352 billion
6	Saudi Aramco	Saudi Arabia	Energy	$330 billion
7	Volkswagen	Germany	Automobiles	$283 billion
8	BP	United Kingdom	Petroleum	$283 billion
9	Amazon.com	United States	Internet Services and Retailing	$281 billion
10	Toyota Motor	Japan	Automobiles	$275 billion

Figure: The 2020 Fortune Global 500 Top 10 corporations.

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22: EARLY 21ST CENTURY

22.1: Green Revolution
22.2: Population and Climate Changes
22.3: Growth in Technology
22.4: Toward the Present

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22.1: Green Revolution

The Green Revolution

Beginning in the 1960s, at a research station in Mexico, the Green Revolution would start. Here, Norman Borlaug developed a disease-resistant strain of dwarf wheat that increased yields of the grain worldwide, especially in developing nations facing high population growth and the threat of famine. At that time, Mexicans had been not been planting much wheat because

- a fungus, called 'stem rust' reduced their yields so much they couldn't make a living
- the plants grew too tall when heavily fertilized and then "lodged" or fell over prior to harvest

The process to create a new strain took ten years and over 6,000 cross-breeding experiments with different types of wheat. Once a new variety was created, scientists discovered it could be planted twice a year. Between 1950 and 2000, Mexican wheat yields increased between 400% and 500%.



Figure: Borlaug's hybrid wheat.

In the 1960s, the program was exported to India, which was facing famine. Even though the United States farmers shipped a fifth of their wheat production to India, it simply was not enough. India's population had crossed the 500-million mark in 1966, and crossed 700 million in the early months of 1981. (Today, the population is 1.38 billion). With the Borlaug seed program, India became self-sufficient in all cereal grains and the USAID (US Agency for International Development) began calling Borlaug's work a Green Revolution. Since the 1960s India's food production has increased faster than population growth. By 2000, India was producing 76.4 million tons of wheat.

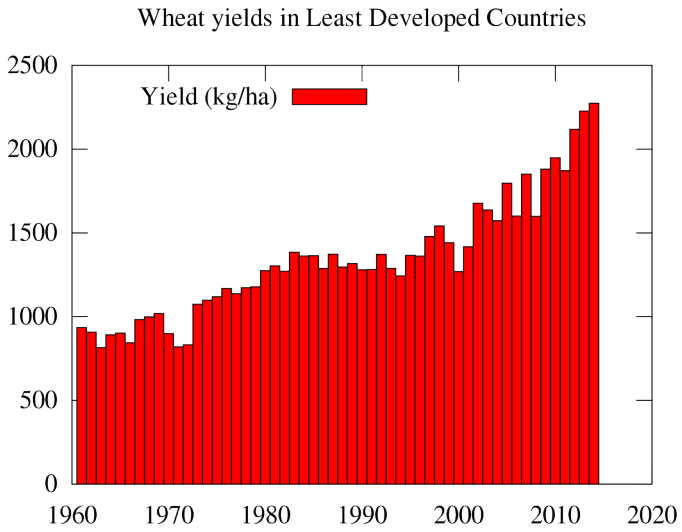


Figure: Wheat yields have more than doubled in the least developed countries since 1961.

India's improved crop yields have made it a net exporter of wheat. The nation's exceptional agricultural turnaround was made possible by Borlaug's new wheat, as well as the extensive use of fertilizer, irrigation, and machinery. The improved crop and techniques have prevented up to 100 million acres of virgin land from being converted to farmland. This savings amounts to 13.6% of India's land, or about the area of California in the United States. Borlaug had predicted that as the world population continued to rise, only new crops and improved farming techniques would save the world's remaining forests and uncultivated lands.



Figure: Dr. Vandana Shiva

Although the Green Revolution has undoubtedly saved lives and allowed populations to increase dramatically, Borlaug and the Green Revolution have been criticized for bringing capital- and energy-intensive western agricultural techniques to regions of the world that had once relied on subsistence farming. Western-style farming tends to reward large-scale operators, manufacturers of agrochemicals, and machinery. Widening social inequality and expanding farmer debt has led to issues like the suicide crisis in India.

Activists, such as Vandana Shiva, have argued that 80% of the world's population is actually fed by the produce of subsistence farmers rather than the industrialized agriculture highlighted in the Green Revolution. If this is true, then maybe the claims of the "revolution" are overblown.

Shiva claims that the number one factor in the rapid improvement of yields in India has been increased ***water use***, not fertilizers or Borlaug's "miracle seed". In addition, she believes this increased irrigation is unsustainable, based on the rapidly sinking water table across much of India. She further charges that by using language like "miracle seed", the Green Revolution has become more a mythology than scientific, data-driven reality.



Figure: President George W. Bush along with House Majority Leader Steny Hoyer and House Speaker Nancy Pelosi congratulate Borlaug during the Congressional Gold Medal Ceremony on July 17, 2007.

Lastly, Shiva is an important activist against Genetically Modified Organisms (GMOs). Although Borlaug's dwarf wheat was not produced by the types of genetic manipulations currently used to produce GMO crops, some people still resent it as a human intrusion on nature's processes. Toward the end of his life, Borlaug criticized people who questioned the Green Revolution as elitists who had never gone hungry. But, he also admitted that although his contribution had helped save many lives, it had not created a Utopia.

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22.2: Population and Climate Changes

Are human societies able to continue growing forever, or are there limits to the Earth's carrying capacity?

One of the most basic but often overlooked aspects of human interactions with the environment is the impact of population growth and resource scarcity. In the past, people haven't always been too concerned if the success of their particular community came at the expense of their neighbors. But recently that neighborhood has expanded to cover the whole globe. There's an economic concept called the 'zero sum game', which says that in many situations, for every winner there has to be a loser.



Figure 22.2.1: Thomas Robert Malthus, one of the first philosophers to concern himself with the question of overpopulation

Malthus's theory

At the very beginning of the modern age, an English economist named Thomas Robert Malthus (1766-1834) published a short book called *An Essay on the Principle of Population*. Malthus's theory became instantly controversial on both sides of the Atlantic. In simplest terms, he indicated that the population grows as long as there is food and water to support it, and when these resources run out, the population is brought back down through famine, disease, and war. These three causes of depopulation are often termed "Malthusian disasters."

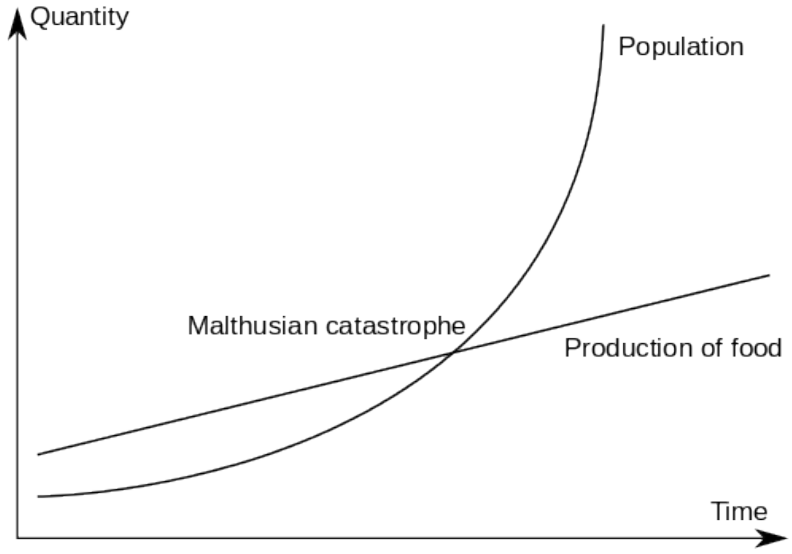


Figure 22.2.2: The Malthusian catastrophe simplistically illustrated

Malthus went on to observe that

- populations tend to increase geometrically (two people become four, four become eight, eight become sixteen, etc.)
- food supplies at best increase only arithmetically (two bushels of wheat become four, which become six, which become eight)

According to theorists, society can easily outrun its ability to feed itself if the population is not kept down by reducing births or increasing deaths. This idea also explains why early modern Europeans were so obsessed with acquiring new territories to improve their food production abilities.

Today, population scientists agree that as economic security increases, a “demographic shift” occurs and birth rates decline. In other words, if the poor have enough to eat, infant mortality rates and people’s fear of starving in their old age decrease. Death rates of children decline and parents have fewer children. In the developed world, family sizes decreased from an average of six children per family in the early 19th Century to 1.6 in the 20th Century. Many developed nations now face decreased growth or even shrinkage in their native populations.

According to Malthusian theory, food production was to increase much more slowly than population. The Green Revolution proved this theory wrong to some degree. In addition, contemporary biologist Justus von Liebig popularized Liebig’s Law, which states that growth is dictated not by the total resources available, but by the scarcest resource or limiting factor. So the question is, will we be able to keep outrunning Malthus forever, or will a limiting factor end our exponential growth?

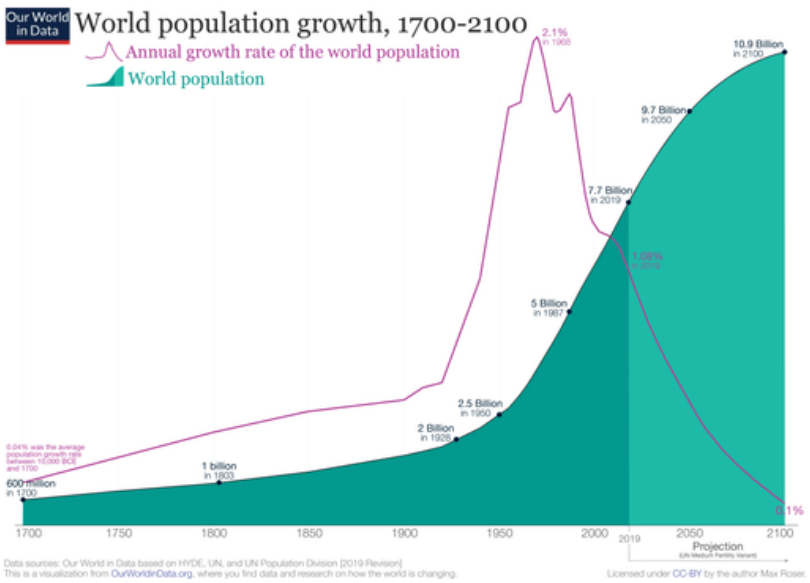


Figure 22.2.3: World population (green shaded area) and world population growth rate (red line) for the period: 1700 - 2100 based on data from the UN Population Division, 2019 revision Full screen version is available at Wikipedia.

Peak Oil

Marion King Hubbert was an American geophysicist, who created the Peak Oil theory, which correctly predicted that oil production in the continental US would peak between 1965 and 1970, and then begin to decline. He further suggested that world oil production would peak “in about fifty years.” Although the data and especially its interpretation are very controversial, several credible sources suggest that the peak in world production happened between 2003 and 2004, right on Hubbert’s schedule.

Petrochemical prices can be expected to rise as supplies diminish. New technologies, such as fracking and converting tar sands, have added some new sources to the supply. However, these new additions do not refute the logic of Hubbert’s predictions. Rather, they potentially push back the timing of the supply crunch that will cause oil prices to rise. Industrial production and food supplies depend heavily on the price of energy. Thus, a reduction in the supply of oil, an increase in its cost, or an increase in pollution could all negatively impact our world.

Some have argued that possible future discoveries of more oil could postpone society’s shift to a non-fossil fuel energy economy. But, for the most part, even the oil industry agrees that production will decline. So the question we are left with is, how quickly will we use up what remains? And, given what we have learned in the last decade about the effect of burning fossil fuels on the global climate, should we?

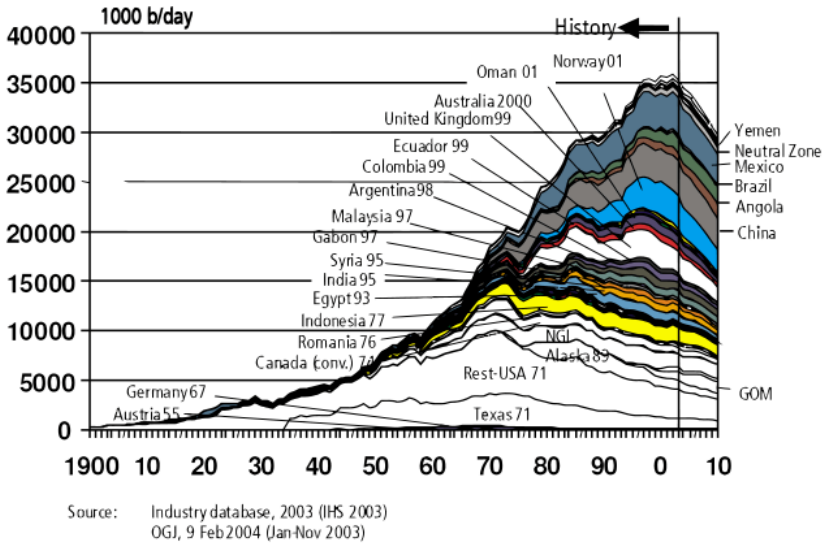


Figure 22.2.4: 2004 U.S. government predictions for oil production other than in OPEC and the former Soviet Union using Hubbert's theory. Full screen version can be found on Wikipedia.

Carbon Emissions

Some climate activists suggest that for the sake of the environment, we ought to switch from fossil fuels to other energy sources. According to this argument, burning oil (and coal) reserves are the biggest contributors to atmospheric carbon that leads to global warming. While this is true, other factors such as deforestation and even agribusiness release comparable amounts of carbon. Stopping the use of oil will not solve the whole climate change problem, although it may help stabilize the global climate.

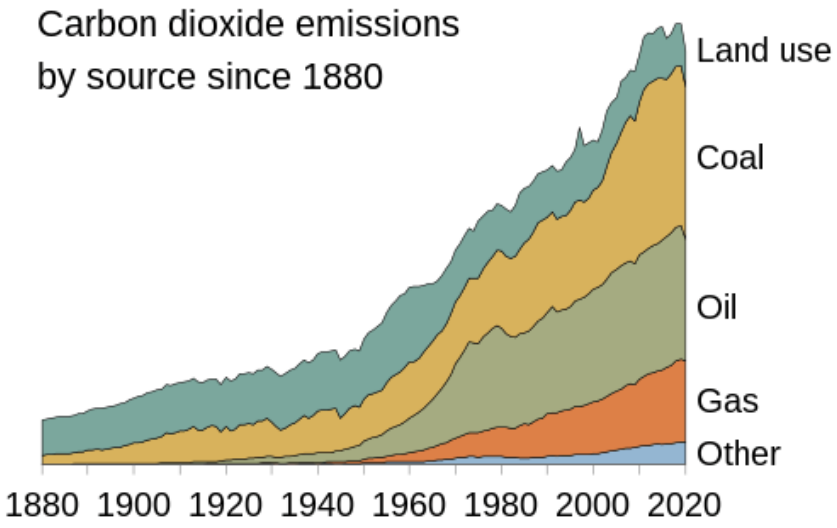


Figure 22.2.5: Carbon dioxide emissions by source since 1880 as calculated for the 2020 Global Carbon Budget. Carbon dioxide generated by land use changes (deforestation) has been added to as coal, oil, and natural gas consumption have each ramped up in turn.

Energy is such a large part of the economies of developed nations. Thus, any changes can be highly controversial. Global energy corporations have an incredible ability to influence politics. In 2017, BP (British Petroleum operating in 72 countries) issued an

“Energy Outlook” report for the year 2035. BP claimed that Hubbert’s Peak Oil scenario was actually incorrect, and suggested that the word 'oil' needs to include tar sands and biofuels such as ethanol. Ethanol production depends not only on the energy-intensive production of surplus corn and cane sugar (used in Brazil as the primary plant source), but on government subsidies that keep the prices of these commodities below their cost of production. So it’s hard to see how biofuels could legitimately be called a new source of “oil.”

Climate change, more than any other environmental concern, has dominated the attention of the world community. The idea that the planet’s climate has been adversely affected by human activity is very controversial in the media, politics, and popular culture. According to the U.S. National Aeronautics and Space Administration (NASA), at least 97% of climate scientists agree that global warming over the past couple of centuries is due to human activities. American and international science organizations like the American Geophysical Union, the American Meteorological Society, and the American Medical Association, in addition to the Intergovernmental Panel on Climate Change, agree that we must reduce emissions of greenhouse gases beginning now.

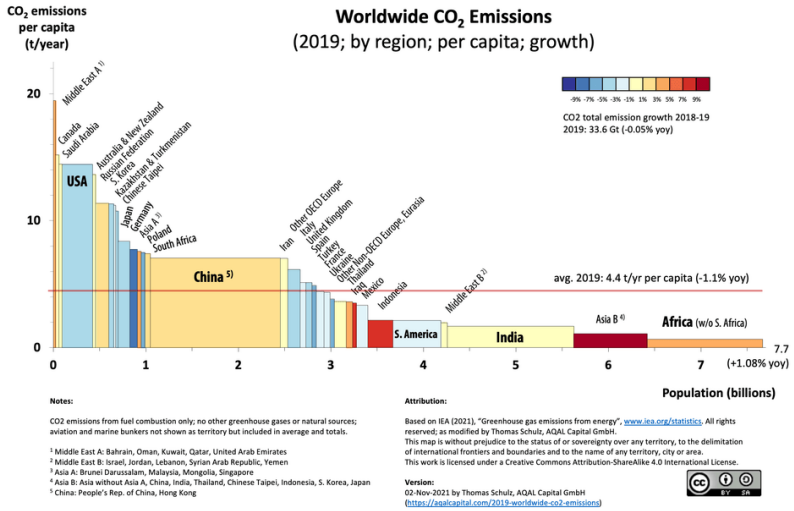


Figure 22.2.6: Per capita carbon emissions by country. Height = per capita emission; width = size of population. Color = rate of change.

Climate Change

Climate science is complicated and it can be difficult for some people to understand. Some people believe that science seems to contradict their most cherished religious doctrines about the nature of the world and their place in it. Sometimes climate change has been identified with a particular political orientation. The claim that only liberals care about the environment is not true, and ignores the traditional meaning of the word conservative. In reality, this is not a liberal vs. conservative issue. In addition, political action committees and foundations represent corporations that oppose changes in fossil fuel energy policy. Thus, it is difficult to find a solution that all will support.

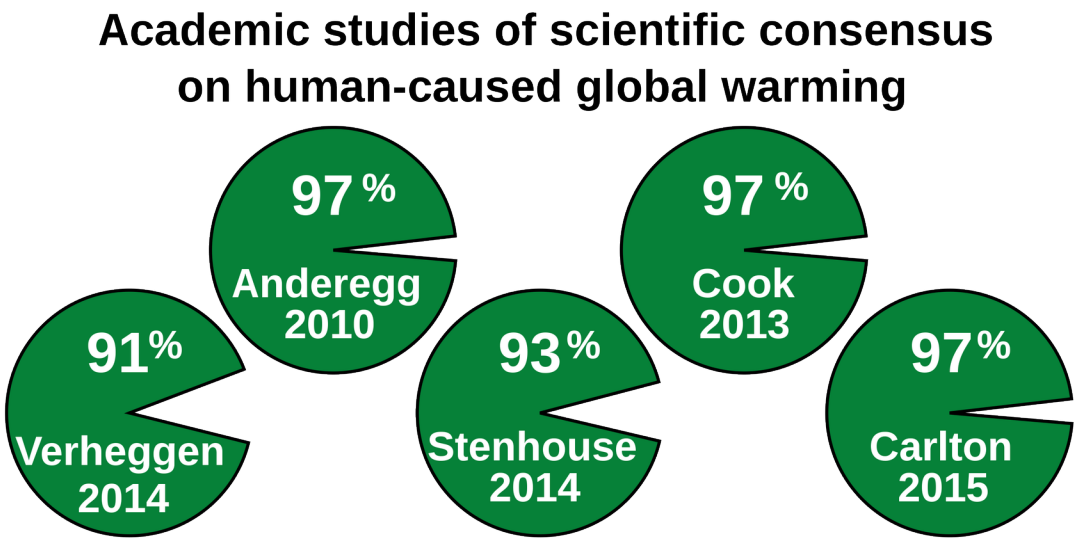


Figure. 22.2.7 Pie-chart representations of scientific consensus among publishing climatologists on human-caused global warming, based on data collected by Cook et al., "Consensus on Consensus" (2016) (Wikipedia)

In 2016, Pew Research surveyed a group of people living in the United States. Roughly half of adults (48%) said climate change is mostly due to human activity. Two-thirds (67%) of U.S. adults indicated that climate scientists should have a major role in policy decisions about climate issues. They also found wide differences among political party and ideology groups on whether or not human activity is responsible for warming temperatures. Indeed, the U.S. Supreme Court decided in the Citizens United *v.* Federal Election Commission (2008) case that corporations could hide their political spending on opposing climate change theories.

A 2014 study found that conservative think tanks funded by energy corporations play a central role in “denying the reality and significance of anthropogenic global warming (AGW).” These tanks sponsored the publication of 108 books denying climate change through 2010. Some U.S.-based think tanks have also funded anti-global warming books, pamphlets, and videos in foreign countries.

The same study examined the credentials of the authors and editors of these climate change denial books and found that “an increasing portion of denial books are produced by individuals with no scientific training. It appears that at least 90% of denial books do not undergo peer review, allowing authors or editors to recycle scientifically unfounded claims that are then amplified by the conservative movement, media, and political elites.”

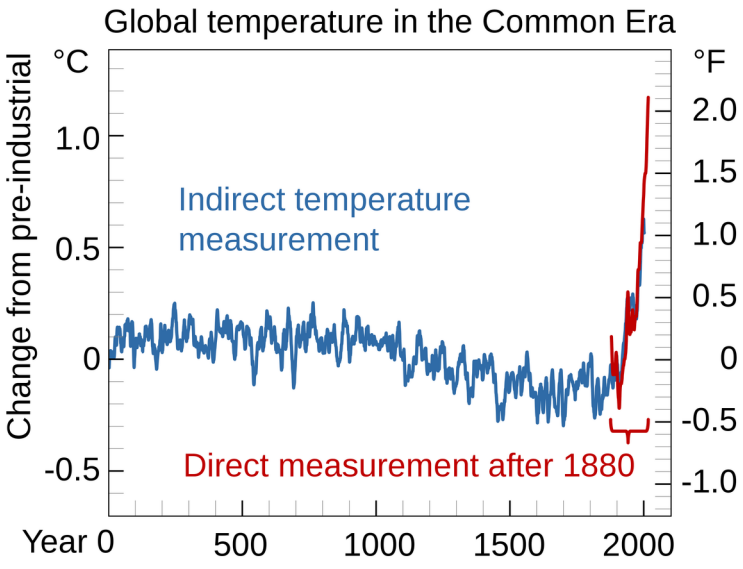


Figure 22.2.8: Global surface temperature reconstruction over the last millennia using proxy data from tree rings, corals, and ice cores in blue. Observational data is from 1880 to 2019.



Figure 22.2.9: The Solar Settlement, a sustainable housing community project in Freiburg, Germany.

The ongoing controversy is unfortunate. But, there are some positive notes.

- Germany is becoming a world leader in solar energy deployment, in spite of receiving only as much sunlight as the U.S. state of Alaska
- Britain is mapping its shift to a post-oil based economy with its “transition towns”

Most economists agree that there are currently more jobs in the renewable energy sector than in the fossil fuel sector, and that trend is going to increase. Economists argue that the overall economy would be better off, if we shifted to sustainable energy sources and reduced carbon emissions. Of course, the global petroleum industry would be negatively affected by the transition.

Of nearly 14,000 peer-reviewed climate articles published between 1991 and 2012, only 24 reject global warming. There really isn’t any doubt that the Earth’s climate is changing in ways that are going to cause serious social disruption in the future.

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22.3: Growth in Technology

Global culture has been permanently changed by communications technology. Computer networks and cell phones continued a process that began with the printing press, the telegraph, radio, and television. Each of these technologies has been used to spread ideas to wider audiences, often against the wishes of those in power. More recent inventions like the internet, smart phones, and social networks have helped spread the news of events, such as the Arab Spring, the controversy surrounding the United States presidential election of 2020, and the Russo-Ukrainian War. In spite of the efforts of some nations to censor media and limit internet access, it is increasingly difficult to firewall societies from the global media culture.

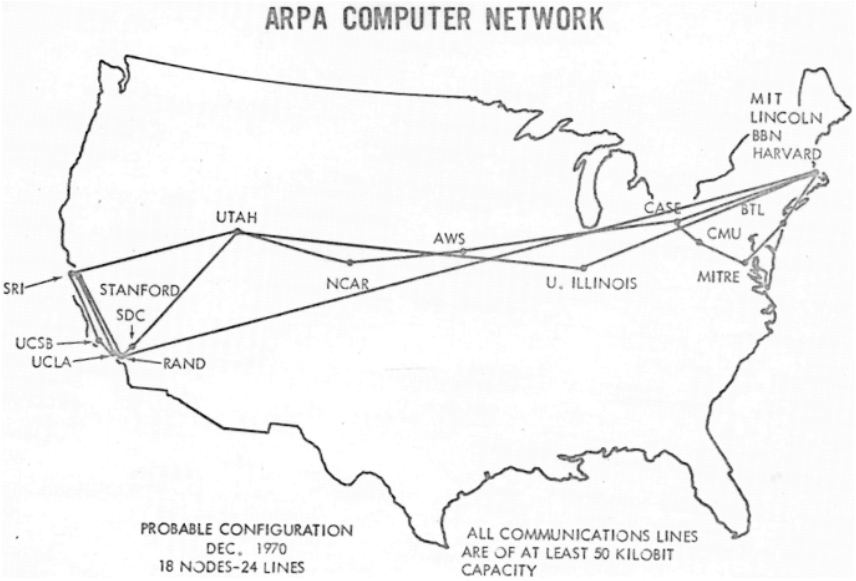


Figure: ARPANET in 1970

Launched by ISM in 1960, the semi-automatic business research environment (SABRE) initially connected two mainframe systems and grew into an airline reservation system. In 1963, American psychologist and computer scientist JCR Licklider proposed the “Intergalactic Computer Network” when he became the first director of the Pentagon’s Advanced Research Projects Agency (ARPA). This network was described as “an electronic commons open to all, the main and essential medium of informational interaction for governments, institutions, corporations, and individuals.”

From this idea came ARPANET (1969), a network of networks joining government facilities and research universities on a system dedicated to official communications. Researchers and users could occasionally communicate personally with each other using email. However, commercial and political communications were strictly forbidden. Ted Nelson, a computer scientist, developed the basic ideas that became hypertext and the web between 1965 and 1972. Nelson’s version of hypertext was based on the idea that there would be a “master” record of any document on the network. This ideal was never really achieved, because even though storage was expensive, bandwidth was even scarcer.

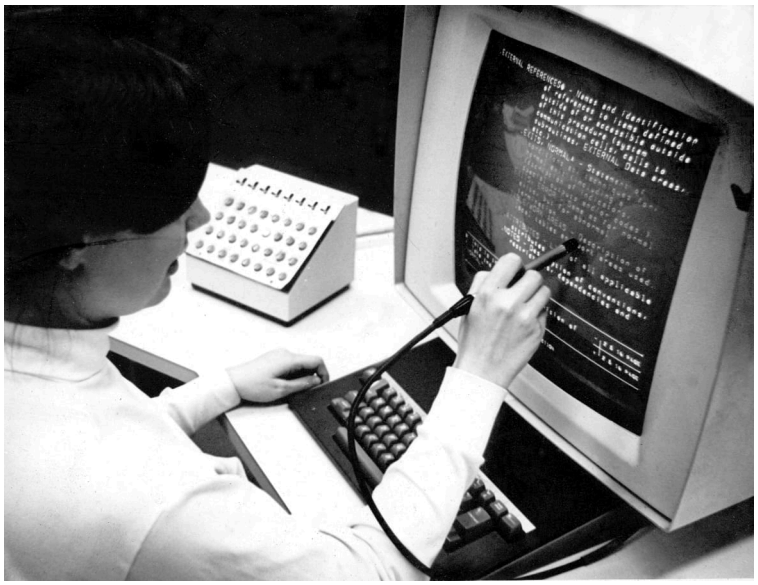


Figure: Photo of the Hypertext Editing System (HES) console in use at Brown University, circa October 1969.

In the 1980s, Apple Macintosh and IBM Personal Computers were introduced, as well as the online communication and file-sharing service called Compuserve. In 1992, an online game provider called Quantum Link renamed itself America Online (AOL). AOL provided a free trial CD with the software on it. By 1997, AOL had passed both Prodigy and CompuServe, and provided internet access to over half of all U.S. homes. The economic power of online access was becoming apparent. In 1998 AOL acquired Netscape, in 1999 MapQuest, and in 2000 AOL merged with Time Warner.



Figure: Tim Berners-Lee's NeXT computer, the world's first web server.

The inventor of the World Wide Web, Tim Berners-Lee, was a scientist at CERN in Switzerland, who was given time to work out the details on a NeXT computer in his lab. This resulted in three basic technologies of the web:

- HTML (Hypertext Markup Language), the formatting language of the web
- URI (Uniform Resource Identifier, AKA URL), which contains the protocol (http, ftp, etc.), the domain name (example.com), and folder and file names (like /blogs/index)
- HPPT (Hypertext Transfer Protocol), which allows retrieval of linked resources.

Being a government-funded research facility, CERN decided to make the protocols freely available.

From 1991 to 1994, when Yahoo launched, the number of websites rose to 2,738. The following year, with the launch of Altavista,

Amazon, and AuctionWeb, the number increased nearly tenfold to 23,500. In 1998, when Google launched, the number of websites had jumped tenfold again, to 2,410,000.

The early years of the web are referred to as Web.1, when people with modest skills could acquire a domain and build a website. One of the first powerful and intuitive apps for building websites and pages was Microsoft's Frontpage. It was a Windows app that provided a WSIWYG design interface and output usable HTML code. Millions of people used the program to build personal and small commercial websites. Discontinued in 2003, Frontpage was not replaced by anything with similar power and ease of use.

In 1999, a new generation of the web called Web 2.0 was announced, which focused on participation by users rather than people simply viewing content passively. One example of this participatory nature is the proliferation of social media. Another is people posting videos on YouTube. The web has also become a site of commerce, where consumers are buying stuff, such as Netflix videos, iTunes music, or real-world goods on e-commerce sites like Amazon.

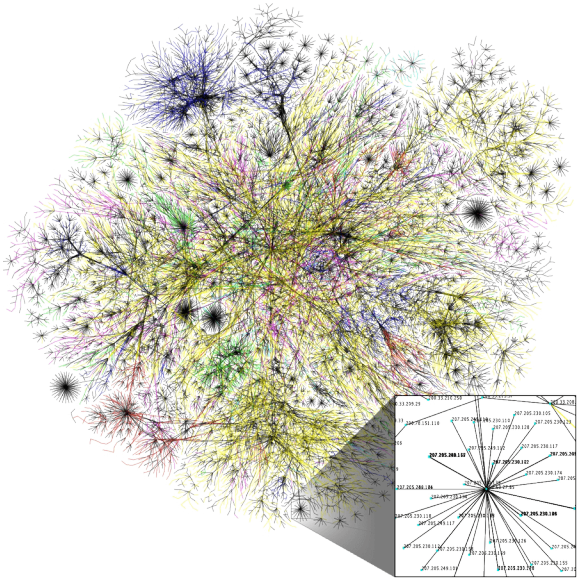


Figure: Map of the internet about 2005.

By 2001, when Wikipedia began, there were over a half billion internet users and over 29 million websites. When YouTube and Reddit began in 2005, growth had slowed to only 64,780,000 websites and with a larger percentage being commercial rather than personal. By 2010, when Pinterest and Instagram launched, there were 2 billion web users and the number of websites had actually declined from the previous year the first time, to about 207,000.

Between 2015 and 2017, the number of people using the web grew to 3 billion with over 1.7 billion websites. Since then, the number of websites has decreased, dropping by nearly 10% per year. About three-quarters of these new websites aren't active, but are parked domains or redirects. The actual number of sites in active use is probably closer to 200,000.

Dark side of Web Technology

Increasing computing power enables increasingly complex artificial intelligence (AI) systems. These systems can control financial trading systems, power grids, and scientific research. Plus, they facilitate technology competitions between businesses and even countries.

But even the new web technology has its dark side. Russian manipulation of Facebook data by a company called Cambridge Analytica may have influenced the 2016 Brexit vote. Foreign hacking and social media manipulation were both alleged during the 2016 and 2020 US presidential elections. As a result of this investigation, details showed how compromised social media sites like Facebook have become and how much of their users' data they hold. In addition, in 2013, American whistleblower Edward Snowden released information showing that intelligence agencies, such as the United States NSA and British GCHQ, are systematically invading the privacy of citizens in a number of illegal ways. As a result of these disclosures, Snowden has been forced to live in exile in Russia. It is not clear, however, whether the practices have been discontinued.


The Washington Post

Edward Snowden: 'I already won'

'Barrel bombs' batter Aleppo

INTENSE AIR RAIDS AHEAD OF TALKS

U.S., Britain protest Syrian civilian deaths

His leaks have fundamentally altered the U.S. government's relationship with its citizens, the rest of the world

Months of disclosures

Social Media

Social Media algorithms create “filter bubbles” in which people only see information that doesn’t threaten their world-views. In an attempt to generate greater advertising revenues, social media platforms and search engines routinely direct users to information that will attract and hold their attention for the longest time possible. Why? So, more ads can be placed and sold.

As a result of 'engineering', users are directed to information that conforms to their “profile” of beliefs and biases. Information that does not conform to the user’s belief system is often presented in an adversarial way, to generate anger (which is another way to ensure engagement). News and information are tailored either to conform to audiences’ beliefs and prejudices, or to outrage. As time goes on, people on different sides of issues can literally find themselves living in different worlds, basing their beliefs on different data, and believing the other side is irrational and evil.

Conclusion

In the U.S. and the developed world, the internet is changing from the democratic, peer-to-peer sharing institution it was designed to be, into a platform for commerce and media consumption. In the early days of the internet, communication was text-based because bandwidths were low. The advent of fiber-optic networks and the worldwide web created the opportunity to communicate using images and ultimately streaming video. For example, 4G and 5G cellular networks allow media to be streamed to smartphones and tablets. This rapidly expanding bandwidth created an opportunity for the internet to replace broadcast television, which had replaced the analog, landline telephone network. But access may not be universally available for long.

As technology exploded, many people expected a renaissance of DIY content-created material. An explosion of websites, blogs, vlogs, podcasts, Instas, Snapchat, and YouTube channels has definitely expanded the ability of regular people to be heard.

Net neutrality is the principle that Internet service providers (ISPs) must treat all Internet communications equally, and not charge users different rates based on content, website, platform, application, type of equipment, source address, a destination address, or method of communication. In the United States, the Federal Communications Commission (FCC) has begun to eliminate net neutrality so corporations can buy “fast-lane” access that will turn the web into a platform for corporate media. If corporations can pay to have certain types of data or media fast-tracked, they can also pay to have other types of information slow-tracked or even suppressed. Imagine if a group with deep pockets and a political agenda could start editing what you can see on the internet. Oh wait. Don’t imagine it. It’s already happening.

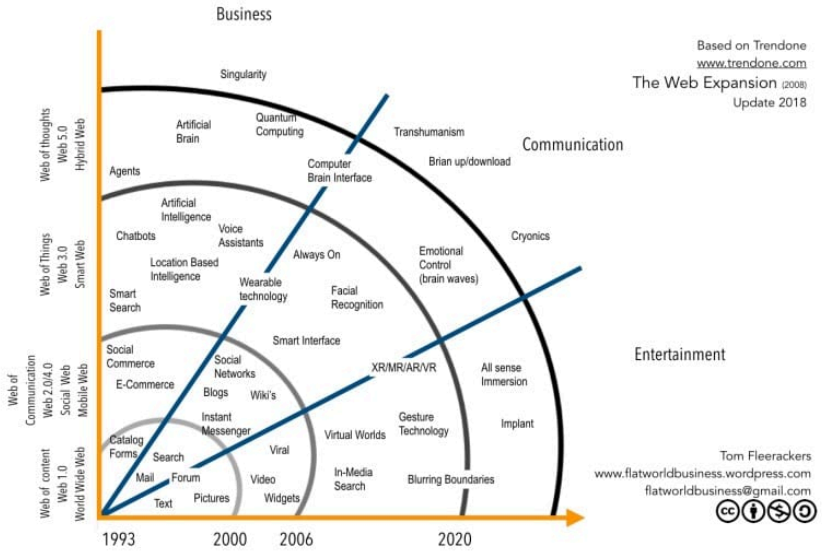


Figure: Web Expansion. Full-screen resolution can be found here.

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22.4: Toward the Present

During the 1980s, Europe suffered from economic and, to a lesser extent, political instability. Other regions also experienced challenges. In particular, the Middle East entered into a period of bloodshed and chaos as the twenty-first century began. In turn, the shock waves of Middle Eastern conflict reverberated around the globe, inspiring the growth of international terrorist groups on the one hand and racist and Islamophobic political parties on the other.

The US invasion of Iraq in 2002 inadvertently prompted a massive increase in recruitment for anti-western terrorist organizations (many of which came from EU citizens of Middle Eastern and North African ancestry). The Arab Spring of 2010 led to a brief moment of hope that new democracies might take the place of military dictatorships in countries like Libya, Egypt, and Syria. Soon, authoritarian regimes or parties reasserted control.

Syria spiraled into a civil war in 2010, prompting millions of Syrian civilians to flee the country. Turkey, one of the most venerable democracies in the region since its foundation in the aftermath of World War I, has seen its president Recep Tayyip Erdoğan steadily assert greater authority over the press and the judiciary. Meanwhile, Iran and Saudi Arabia have carried on a proxy war in Yemen and funded rival paramilitary (often considered terrorist) groups across the region. Further, Israel continues to face both regional hostility and internal threats from Palestinian insurgents. As a result, the country has tightened its control over the nominally autonomous Palestinian regions of the West Bank and Gaza Strip.

In Europe, fleeing Middle Eastern refugees have brought about a resurgence of far-right and, in many cases, openly neo-fascist politics. Since 2010, far-right parties have grown steadily in importance and obtained more political seats, as worries about the impact of immigration drive voters to embrace nativist, crypto-racist political messages. Even some citizens who do not harbor openly racist views are attracted to the new right, since mainstream political parties often seem to represent the interests of out-of-touch social elites. (Brexit serves as the starkest demonstration of voter resentment translating into a shocking political result).

What seems clear is that both the postwar consensus between center-left and center-right politics is essentially over. Likewise, fascism is not dead and gone but has lurched back onto the world stage. A widespread sense of anger, disillusionment, and resentment haunts politics not just in Europe, but in much of the world.

That being noted, there are also indications that the center approach still holds. In France, the 2017 National Front's presidential candidate, Marine Le Pen, was decisively defeated by the centrist Emmanuel Macron. Further, even though countries have used military force to support their ideological and economic agendas, namely Russia and the United States, they generally refrain from launching large-scale wars. (As of this writing in April 2022, the Russo-Ukrainian conflict is localized, with NATO and other nations only offering humanitarian aid and weaponry, not sending troops.)

History provides both examples and counterexamples of things that have happened in the past that can, and should, serve as warnings for the present. Much of history has been governed by greed, indifference to human suffering, and the lust for power. It can be hoped that studying the consequences of those factors and the actions inspired by them might prove to be an antidote to their appeal.

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23: POST-PANDEMIC WORLD

23.1: Covid-19 Pandemic

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23.1: Covid-19 Pandemic

The Covid-19 Pandemic

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S

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