Instructor’s Manual

to accompany

Kishlansky • Geary • O’Brien

CIVILIZATION IN THE WEST

Sixth Edition

David Mock
Tallahassee Community College
## CONTENTS

**Unit I**  
Chapter-by-Chapter Materials

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Teaching Western Civilization

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Teaching Western Civilization with Primary Sources

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Using Film and Video Effectively in the Classroom  
Mark Newman, University of Illinois at Chicago

**Unit 5**  
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Gerald Danzer, University of Illinois at Chicago
Chapter 1

The First Civilizations

I. THE VISUAL RECORD: ÖTZI’S LAST MEAL

Archaeologists discovered the remains of Ötzi, a Stone Age man who had lived around 3000 B.C.E. His food, clothing, and weapons demonstrated a clear link between the people of northern Italy and those of Mesopotamia.

II. BEFORE CIVILIZATION

Civilization emerged about 3500 B.C.E. The modern human species, *Homo sapiens* (thinking human), first appeared more than 100,000 years ago, spanning Africa, Europe, and Asia. The earliest *Homo sapiens* in Europe was the Neanderthal, who differed little in physical size or cranial capacity from modern man. Neanderthal man used stone tools, lived in wood shelters, and buried his dead. *Homo sapiens sapiens* (thinking thinking human), the subspecies to which all people belong today, replaced the Neanderthals about 40,000 years ago. Members of the new subspecies were hunters and gatherers who lived in small kinship groups.

A. The Dominance of Culture

Culture became increasingly important for humans in the late Paleolithic era (ca. 35,000-10,000 B.C.E.). Paleolithic people expended both time and energy on religion, art, speech, and other activities based on abstract and symbolic thought.

1. Paintings: A Cultural Record. Thousands of cave paintings, dating from ca. 6000 B.C.E. illustrate interest and concern about religion, fertility, and social activities like hunting and gathering and ritualistic dancing. People began to domesticate plants and animals, settle in villages, and develop useful products like pottery, fishhooks, and bows and arrows.

2. Sedentarization. Paintings made around 5000 B.C.E. record the transformation to a domesticated, sedentary society that began around 10,000 B.C.E. Over the next 5,000 years people began slowly to domesticate animals, plant crops, and create permanent settlements.

3. Agriculture. The transition to agriculture and sedentarization led to population growth, which resulted from a decline in infant mortality and longer life expectancy. An agricultural life could be as tenuous as one based on hunting or herding.
B. Social Organization, Agriculture, and Religion

Domesticated plants and animals supported sedentary communities that required more coordination and better political leadership. Instead of relying exclusively upon local plants, people will selectively introduce new, more valuable plants.

1. Control of Nature. The portability of agriculture allowed people to move into previously uninhabitable environments. The domestication of plants and animals also allowed people to inhabit more populous and complex communities.

2. Religion. Formal religious cults supplemented the bonds of kinship that had previously united society. Early religion also served to regulate behavior. Although knowledge about early religions is speculative, the hunter-gatherers apparently worshiped ancestors and female fertility goddesses. Illustrations from around 1500 B.C.E. record the existence of chariots, useful in aggressive military operations.

III. MESOPOTAMIA: BETWEEN THE TWO RIVERS

Around 3500 B.C. poor soil and climate forced the peoples of Mesopotamia, the area between the Tigris and Euphrates Rivers, to move from scattered villages to cities. The need to irrigate their soil, sustain an increasing population, and protect themselves from attack forced the people of Mesopotamia to congregate increasingly in urban areas such as Uruk. As cities grew, outlying villages disappeared.

A. The Ramparts of Uruk

Within fortified cities, the concentration of population dramatically changed political and social institutions. Extensive fortified walls encircled the city of Uruk, making it the first western city.

1. Urban Life. Mesopotamian society was divided into rigid hierarchies. Priests and military and administrative elites increased their power as did kings, who often forced people to move into the city. Rulers included the ensi, or city ruler, and the lugal, or king. There were few distinctions between slaves and peasants who were at the bottom of the social order.

2. Women’s Status. The status of women declined with the growth of cities. Women exercised authority within the household, but little in the outside world. Some historians blame this decline on the presence of large numbers of female captives who were employed to produce textiles for export. By 1500 B.C.E. the patriarchal household was commonplace.

B. Tools: Technology and Writing
Concentrating the population in cities inspired technological innovation. Technological innovations included, among other things, sailing ships, canals, dikes, carts, potter’s wheels, and improved plows. Cylindrical seals proved ownership. Cast bronze weapons and tools were also introduced around 3000 B.C.E.

1. Pictograms. Writing had begun by 7000 B.C.E.; by 3500 B.C.E. officials were drawing simplified images or pictographs in clay tablets with a sharpened reed. These symbols facilitated record keeping.

2. Cuneiform. Eventually writers used cuneiform to depict concepts and sounds as well as simple objects. Writing was a significant cultural development as it was used in commercial and governmental activities while also facilitating cultural and religious beliefs. These symbols were used not only to record Sumerian language, but Akkadian, Babylonian, and Persian languages as well.

C. Gods and Mortals in Mesopotamia

Uruk’s stature was based at least in part on its importance as a religious site.

1. Mesopotamian Divinities. Mesopotamians worshiped numerous impersonal gods, each of which had a particular area of responsibility, and possessed human characteristics, virtues, and personalities. Gods of the sky, air, and rivers were the most important.

2. Temples and Rituals. Although early towns centered on temples, the political power of priests waned in favor of military and political leaders. Nonetheless, the priests continued to control extensive financial resources. Man's religious role was to serve the gods, particularly by offering sacrifices, which were felt to be necessary to obtain the gods' goodwill and protection, and by performing proper rituals. The gods offered little solace to man. By 2000 B.C.E. step-pyramids called ziggurats were being built near the temples. The Epic of Gilgamesh depicts the values of Mesopotamian civilization, and shows the afterlife as a dismal existence. Only the gods were immortal.

D. Sargon and Mesopotamian Expansion

Kings served as rulers, military commanders, and judges. They were additionally responsible for constructing and maintaining canals and temples.

1. Competition and War. From approximately 3000 B.C.E. until 2300 B.C.E. the various peoples living in Mesopotamia were almost always at war in an effort to secure control of Sumer. Despite the homogeneity of their culture, religious differences and jealousy encouraged war.

2. The Akkadian Empire. King Sargon (ca. 2334-2279 B.C.E.) of Akkad, united and expanded Mesopotamian civilization, creating the West's first great multi-ethnic empire, which extended from the Euphrates to Syria. Sargon transformed royal government by allowing the
territories under his control to retain their institutions while substituting his own officials for their aristocrats. He became the first Near Eastern ruler to create a truly unified state. He permitted the worship of both Sumerian and Semitic gods and introduced the benefits of Sumerian civilization, including writing. All Mesopotamian states tended to rise rapidly under competent military leaders, only to fall just as quickly because of dynastic and regional rivalry.

E. Hammurabi and the Old Babylonian Empire

Hammurabi (1792-1750 B.C.E.) created an extensive empire employing both war and diplomacy. He also introduced an important legal codification known as the Code of Hammurabi.

1. Law and Society. Hammurabi introduced a code of law that conferred rights and obligations on three separate social classes—the elite, the masses, and slaves—while seeking to protect women and children from arbitrary rule. Hammurabi’s Code sought to preserve traditional law while recodifying and consolidating it while delineating crimes and punishments. The use of death and mutilation as penalties mark a clear increase in the king’s authority in judicial affairs.

2. Mathematics. Babylonian mathematicians devised a sophisticated system of computation that included multiplication tables, squares and square roots, cube and cube roots, and compound interest. Mathematicians were much more interested in solving practical rather than theoretical problems. Hammurabi’s kingdom fell to the Hittites after his death.

3. The Hittite Empire. Around 1600 B.C.E., the Hittites used the light chariot to expand throughout the region before centralizing their state. The Hittite economy relied upon agriculture and trade, especially in iron ore. The Hittites’s Indo-European language proved to be the linguistic base of most later European languages. Following the Hittite defeat of the Babylonians, they dominated the region for two centuries until they were defeated by Ramses II at Kadesh in 1286 B.C.E.

IV. THE GIFT OF THE NILE

Unlike the harsh conditions that forged Mesopotamian civilization, the Nile Valley enjoyed fertile soil and security from invasion, circumstances that contributed to the maintenance for more than 2,500 years of the West’s most stable, self-sufficient, homogeneous and static civilization. The earliest villages emerged around 4000 B.C.E. at Merimda. By around 3150 B.C.E, King Narmer or one of his predecessors unified Egypt, establishing his capital at Memphis.

A. Tending the Cattle of God

Egyptian history is divided into four major periods: pre- and early dynastic Egypt (ca. 3150-2770 B.C.E.), the Old Kingdom (ca. 2770-2200 B.C.E.), the Middle Kingdom (ca. 2050-1786 B.C.E.), and the New Kingdom (ca. 1560-1087 B.C.E.). Little changed during the so-called intermediate
periods, that filled gaps between the major eras.

1. God Kings. Egyptian life centered on divine kings, or pharaohs, who were the incarnation of Horus, the sky and falcon god; pharaohs functioned as divine administrators rather than warriors. Pharaohs were also responsible for serving as intermediaries with the gods and for insuring the annual flooding of the Nile. The pharaoh’s commands secured *Maat*, a perfect state of harmony and justice. The pharaoh meanwhile oversaw an elaborate civil service at both the state and provincial (nome) level.

2. Gender and Bureaucracy. Egyptian women were relatively more independent and involved in public and business affairs than women were in Mesopotamia. But, because they were denied formal education, women were barred from the professional bureaucracy, which managed lands, collected taxes, and supervised workers laboring on the vast public construction projects.

3. The Pyramids. The pyramids, which served as tombs and temple complexes for the pharaohs, consumed an extraordinary amount of resources and created a constant demand for both skilled and unskilled labor and transforming Egypt socially, economically, and politically.

B. Democratization of the Afterlife

Because the afterlife during the Old Kingdom was possible only through the pharaoh, it strengthened his political power.

1. Decline of Royal Power. The expense of constructing pyramids, increasing consumption demands of the wealthy and the growing wealth of temples caused extensive economic problems for the country as the government forgot to care for the “cattle of god”—the Egyptian people. This led to the collapse of royal authority about 2200 B.C.E. Political and religious power then shifted to the hands of provincial governors.

2. The Middle Kingdom. A less rigidly stratified society emerged when centralized authority was reestablished about 2000 B.C.E. Although pharaohs resumed the construction of temple tombs, these projects did not consume as many resources as they had earlier. All literate men, regardless of social class, gained access to the bureaucracy. Furthermore, the promise of an afterlife was extended to commoners, reflecting a growing concern about justice.

3. The Hyksos. The Hyksos, or “rulers of foreign lands,” took control of most of Egypt, introducing new military weapons (especially the chariot, bow, and bronze sword) and tactics, while retaining Egyptian political traditions. Ahmose I (1552-1527 B.C.E.) began the New Kingdom and liberated Egypt.

C. The Egyptian Empire
After driving out the Hyksos, Ahmose I used his army to expand into Nubia, Punt, Canaan, and Syria, reaching as far east as the Euphrates. Thutmose II and his sister-wife Hatshepsut succeeded their father. Subsequent military campaigns were little more than glorified raids, though they did increase trade and contact with peoples outside Egypt.

D. Religious and Royal Consolidation under Akhenaten

Amunhotep IV (1364-1347 B.C.E.), considered the first monotheist, questioned the religious bases of his political power as he replaced the worship of Amen-Ra and other traditional Egyptian gods with the worship of the sun-disk god Aten. In recognition of his reverence for Aten, Amunhotep changes his name to Akhenaten and moved his capital from Thebes to Akhetaten.

1. A New Aesthetic. Following his religious reforms Akhenaten rejected stylized speech and dress in favor of a more naturalized style. His successor Tutankhamen (1347-1337 B.C.E.) restored the veneration of the traditional deities and revoked Akhenaten’s religious innovations.

2. The Hittites. Ramses II (1289-1224 B.C.E.) stopped the advancing Hittite armies at the Battle of Kadesh. That the treaty was actually a draw is confirmed in the subsequent period, which decided that no single power would unify the region. The Egyptian and Hittite empires soon disintegrated because of domestic political, economic, and social problems. In the absence of strong Egyptian and Hittite states, the Semitic kingdoms of Syria and Canaan gained their independence.

V. BETWEEN TWO WORLDS

Semitic culture, although predominantly nomadic at the height of the Egyptian and Mesopotamian civilizations, ultimately gave rise to the unique religious and cultural traditions of the Hebrews.

A. The Hebrew Alternative

Small, patriarchal bands of Semites entered Syria, Lebanon, and Palestine. Nomadic shepherds lived on the outskirts of cities, frequently moving in search of new pasturage for their herds. Abram, whose story is told in Genesis, was representative of the Semitic tribal leaders who brought Mesopotamian culture to the region.

1. Mesopotamian Origins. Hebrew shepherds rejected urban culture, while introducing Mesopotamian legal and religious customs. Some, however, like Abraham rejected Mesopotamian gods in favor of the tribal god, El, with whom they had a covenant. Abraham’s patriarchal clan placed women in subordinate positions.
2. Egypt and Exodus. During the Middle Kingdom and Hyksos period, some of these Semitic bands migrated to Egypt. There many were reduced to slavery after 1600 B.C.E. Their Exodus some three centuries later became the touchstone of identity for the Israelites. Adopting the Midian god Yahweh as their only god in a covenant with Him, they entered Palestine and captured its cities. The Hebrews saw the Exodus as evidence of the deeds of Yahweh and as imposing the ethical demands of the Mosaic law code upon the Hebrew people.

B. A King Like All the Nations

A loose confederation of tribes, Israel initially lacked a centralized political structure and unity of command. This led to its defeat by the Philistines in 1050 B.C.E. Religious leaders responded to the crisis of their loss of the Ark of the Covenant by creating a kingdom, which brought Israel to new monarchy under Saul.

1. Davidic Kingship. The monarchy peaked under David and Solomon. David expanded his territory to include Canaan and made Jerusalem his capital. Solomon increased royal authority through strategic marriage alliances and the construction of an elaborate temple. But, tyrannical kings and higher taxes undermined support for the monarchy, which ended with Solomon’s death.

2. The Prophets. Prophets counteracted royal authority by reminding the Israelites about their covenant with Yahweh and by criticizing royal policy and action.

C. Exile

Following Solomon’s death the Israelites divided into the Kingdom of Israel in the north and the Kingdom of Judah in the south. A period of decay followed as Assyria conquered Israel in 722 B.C.E. The New Babylonians under King Nebuchadnezzar II conquered Judah in 586 B.C.E., taking a number of leading Hebrews captive.

1. Babylonian Captivity. During their confinement the captives transformed Yahweh into a universal god who had formed a covenant with Abraham and the Hebrew people that subsequent generations of Hebrews would have to reaffirm.

2. Second Temple Jerusalem. Ezra and Nehemiah later transformed the religion into one emphasizing the Torah, and one that sought to remain free from alien influence. Pharisees created a second law of Mishnah, which interpreted Moses’ law and would gradually be transformed into the Talmud. Sadducees were religious conservatives who accepted only the first five books of the Bible as the Torah. Many believed in a priestly Messiah whose arrival would bring a kingdom of glory, while others awaited a military leader who would reestablish their independence.
VI. NINEVEH AND BABYLON

In the seventh century B.C.E., the Assyrians created a single empire that spread from Mesopotamia to Egypt in a single centralized empire.

A. The Assyrian Empire

Tiglath-pileser III’s (746-727 B.C.E.) imperial expansion led to Assyrian domination and the creation of the first legitimate empire. Characterizing his army were modern professional soldiers armed with iron weapons, a militaristic religious ideology, a reorganized empire with loyal local administrators, massive forced relocation of conquered peoples, and the use of terror and brutality.

B. The New Babylonian Empire

The brutality of Assyria inspired many of its subject peoples to rebel. Babylon, which helped to crush Nineveh in 612 B.C.E., established a new empire based on Hammurabi’s Code, Babylonian gods, and the Assyrian imperial system. This empire reached its height under King Nebuchadnezzar II, but fell to the Cyrus II’s Persia in 539 B.C.E.

C. Persian Expansion

Cyrus united the Medes and the Persians while expanding the empire into Lydia and Babylon. Zoroaster introduced the worship of Ahura Mazda. Persian rulers like Darius I fed on the tolerance and benevolence of this new religion. Although the Persians might impose higher taxes on conquered peoples, they usually respected the traditions and religions of defeated peoples.

CONCLUSION

Although technological innovations and imperial conquest dominated the first 3,000 years of Western civilization, they are not the only legacies of this period. In these years problems of social and political organization, urbanization, agriculture, engineering, religion, and communications received their first solutions. These developments established the basic foundations of Western civilization.

KEY TERMS, PEOPLE, AND EVENTS

<p>| Neanderthal | homosapiens | Paleolithic |
| “Lucy” | Narmer | Sea Peoples |
| Neolithic | Mesopotamia | Sumer |
| Epic of Gilgamesh | ziggurat | pictogram |
| cuneiform writing | Code of Hammurabi | nome |
| Hittites | Ramses II | Old Kingdom |</p>
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<td>homo sapiens sapiens</td>
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**KEY GEOGRAPHICAL LOCATIONS**

| Red Sea         | Tigris River | Euphrates River |
| Nile River      | Sahara Desert | Mediterranean Sea |
| Ur              | Zagros Mountains | Egypt |
| Jericho         | Tassili-m-Aijer | Upper Egypt |
| Lower Egypt     | Memphis      | Thebes |
| Jerusalem       | Mesopotamia |

**DISCUSSION AND ESSAY QUESTIONS**

1. Historians often link the processes of civilization and urbanization. Use the example of Mesopotamian society to assess this linkage. In what ways and to what extent was the city central to Mesopotamian civilization?

2. Compare and contrast the nature and the function of kinship in Mesopotamia, Egypt, and Israel. In which society would you prefer to live as a woman? As a man?

4. Discuss the significance of the expansion of empires in the first civilizations. What forces accounted for the rise and fall of empires in this period?

5. What role did geography and climate play in the differences that existed between Mesopotamian and Egyptian government, religion, and society?

6. Compare the different religious views that existed in ancient Mesopotamia, Egypt, Israel, and Persia. To what do you attribute these differences?

**RELEVANT TRANSPARENCIES AND MAPS**

Danzer's Discovering Western Civilization Through Maps and Views
S1: Çatal Hüyük, c. 6200 B.C.E.
S2: A Neolithic Stele Decoration: Triora, Italy
S3: A Bronze–Age Settlement: Capo di Ponte, Italy, c. 1500 B.C.E.
S4: An Area Near Nippur, c. 1500 B.C.E.
S5: Plan of Nippur, c. 1500 B.C.E.
S6: A Babylonian View of the World, c. 500 B.C.E.
S7: An Egyptian Worker's House, c. 1400 B.C.E.
S8: Map of the Gold Mines, 1300-1150 B.C.E.
S9: The Biblical Conception of the World
R1: Europe Viewed from the Atlantic
R2: A World Context for Western Civilization
R3: Afro–Eurasia
R4: The European, Mediterranean, and Near Eastern Realms
R5: The Mediterranean Region
R6: Europe: Rivers
R7: Europe: Land forms

RELEVANT STUDENT MAP EXERCISES

Danzer's *Mapping Western Civilization*

T1: A World Context for Western Civilization
T2: Geographic Context: The Ancient Near East
T6: A Chronological Time line for Western Civilization
T7: The Dawn of History: Çatal Hüyük, c. 6200 B.C.E.
T8: A Babylonian View of the World
T9: A Biblical View of the World
T12: Ancient History: A Chronological Context

ANNOTATED FILM LIST

*Dr. Leakey and the Dawn of Man*
26 min; color; 1967
16 mm CC 1924,16

Examines the work of the famous anthropologist Sir Louis Leakey in his search for earliest man. Shows Leakey's investigations in the Olduvai Gorge of Tanzania. Explains his hypothesis that humans originated in East Africa.

*Judaism, Part 1*
30 min; b&w; 1955
16mm XB0402,16

Discusses Jewish history and the concept of the Jews as the "chosen people."
Ancient Mesopotamia
11 min; b&w; 1953

Examines the history of the Sumerians, Semites, Babylonians, and Assyrians.

Judaism, Part 2
30 min; b&w; 1955
16mm XB0403,16

Examines the role of the Ten Commandments as the basis of Jewish law. Describes the role of ethical standards and ritual as factors in the practice of Judaism.

The Ancient Egyptian
26 min; color; 1963
16mm CC 1503,16

Uses Egyptian art, sculpture, and architecture to illustrate the development of Ancient Egypt. Stresses the role of the Nile River as the basis of Egyptian civilization.

Ancient Palestine
13 min; color; 1968
16mm GC 1412,16

Considers ancient Palestine from approximately 8000 B.C.E. through the era of the Hebrew King Solomon (961-922 B.C.E.). Stresses the role of the early Hebrews.

The Mystery of Nefertiti
46 min; color; 1975
16mm CC2464,16; ½" VHS CC2464; 3/4" U-mat CC2646, VU

Demonstrates the work of modern archaeologists exploring the civilization of ancient Egypt. Shows the efforts to reconstruct the temple of Queen Nefertiti.

Sadat's Eternal Egypt
46 min; color; 1980
16mm CC2899,16

An exploration of Egypt's ancient sites conducted by the late Egyptian president Anwar Sadat. Includes views of the Pyramids, the Valley of the Kings, and the Temple of Karnak. Stresses the achievements of ancient Egypt in government, science, architecture, and religion.

Egypt and the Nile
16 min; color; 1954
Shows the importance of the Nile River to Egyptian civilization.

*From Homo Erectus to Neanderthal*
19 min; color; 1970

Brief view of cultural accomplishments of *Homo erectus*, who lived half a million years ago.

Ramses II: Favorite of the Gods
52 minutes; color; 1999

Explores the reign of Ramses II, including an examination of Egyptian culture, religion, and society.
Chapter 2

Early Greece, 2500–500 B.C.E.

I. THE VISUAL RECORD: HECUBA AND ACHILLES

The West's first epic poem, Homer's *Iliad*, depicts the Greeks' war against the Trojans. This epic explores the moral implications of Hector's death at the hands of Achilles. The suffering of Hector's parents, Priam and Hecuba, allows Homer to emphasize the importance of courage, honor, love, and loyalty; and to examine how people cope with life’s challenges. These sentiments are part of a lasting Greek legacy.

II. GREECE IN THE BRONZE AGE TO 800 B.C.E.

Greece was the last of the major civilizations to emerge during the Bronze Age (ca. 3500-1200 B.C.E.). The mountainous terrain and the nearby Mediterranean influenced the development of small, self-contained agricultural communities. The unpredictable climate forced these geographically isolated communities to forge links with the outside world to ensure their survival through periods of famine.

A. Islands of Peace

Three distinctive Bronze Age cultures emerged by the twelfth century B.C.E.—the Cycladic, the Minoan and the Mycenaean.

1. The Cyclades. Cycladic culture, was noted for small, peaceful, unfortified settlements; artistic and metallurgical skills; and the worship of female deities.

2. Minoan Crete. In 1899 Sir Arthur Evans discovered evidence of the Minoan civilization of Crete, with its great, unfortified palace complexes and orderly towns. Minoan bureaucrats utilized Linear A symbolic writing to regulate agricultural production and distribution as well as to create the products of skilled craftsmen.

3. Cretan Society and Religion. Minoan society was highly stratified. Minoan officials exacted a heavy tribute from the peasantry. The Minoans practiced a religion dominated by female deities, particularly a chief mother goddess. They also engaged in human sacrifice. The peaceful Cretans gave both women and men prominent public roles. Cretan civilization was swept by waves of destruction. It is unclear whether natural disasters or military conquests were responsible for the collapse of Minoan civilization from 1450 to 1375 B.C.E. and the ultimate fall of Knossos around 1200 B.C.E.
B. Mainland of War

The Mycenaean culture that developed on the Peloponnesus around 1600 B.C.E. was highly militaristic, as evidenced by the findings in *tholoi*, the beehive-shaped tombs of the Mycenaeans, and their walled cities. Supported by small military elites, Mycenaean kings used Linear B script in government recordkeeping. Mycenaeans produced bronze tools and weapons and woolen cloth. Mycenaeans borrowed architectural and artisanal techniques from the Hittites and the Minoans.

C. The Dark Age

Beginning about 1200 B.C.E., Mycenaean culture began to collapse, as Greek society entered a period of disintegration, decentralization, and crisis that lasted some 400 years. Although the reason for the collapse of Mycenaean civilization is hotly debated, this civilization apparently was part of the widespread crisis of the twelfth-century eastern Mediterranean cultures. During this period the Greeks reverted to a more primitive culture.

1. A New Material Culture. Dorian Greeks moved into Crete, Asia Minor, and the Peloponnesus. Ionians took over the area around Athens and the Aegean islands. Aeolians moved into Asia Minor. Greece was more of a cultural than a geographical description. The Iron Age saw iron tools and weapons replace those made of bronze. Excavated jewelry, pottery and luxury items suggest the primitive nature of period culture. Understanding the Dark Ages is difficult because of the limited number of archaeological artifacts. It is not until the eleventh century B.C.E. that one begins to see innovation in pottery and iron work.

2. The Evidence of Homer. *The Iliad* and *The Odyssey*, two epic poems traditionally credited to Homer, vividly describe Dark Age society and culture as they gave the Greeks common values, myths, and history. *The Iliad* and *The Odyssey* reflect life during the Greek Dark Ages when petty chieftains and kings like Odysseus used their military prowess to keep competing nobles at bay. The common people were generally too busy with their daily responsibilities to participate actively in politics. This, however, would soon change.

III. ARCHAIC GREECE, 800–500 B.C.E.

With the rapid population growth beginning in the eighth century B.C.E., Archaic Greeks (ca. 700-500 B.C.E.) revolutionized political, economic, artistic, and intellectual change. Cities grew; a greater division of labor emerged. The new political structures produced an increasingly complex culture that laid many of the foundations of Western civilization. The growing population encouraged greater communications. The availability of leisure time encouraged a lively intellectual climate.
A. Ethnos and Polis

The Greeks developed two political structures to govern their growing population. Throughout the mainland, substantial landowners constituted an oligarchy, which ruled a large territorial and cultural unit called an *ethnos*, which centered on a religious sanctuary. On the Greek islands and the shores of the Aegean, government centered on the independent polis, or city-state, which centered around a fortification, or acropolis, and around a marketplace, or *agora*. Often an assembly of free males witnessed or made political decisions.

B. Technology of Writing and Warfare

The Greeks adopted the Phoenicians's writing system, which replaced the earlier Linear B script which had disappeared during the Dark Ages. The new script served religious, economic, and personal purposes. As individual combat among noble warriors gave way to battles among ranks of infantrymen (the hoplites) gained both status and political power. A gradual democratization of political systems followed the democratization of war. The political power of the aristocracy faded as political leaders faced problems of urbanization and economic inequality.

C. Colonists and Tyrants

The turmoil of the seventh century B.C.E. encouraged the Greeks to restructure their political systems and to colonize new territories. Population pressures encouraged both voluntary and forced migrations starting about 750 B.C.E. Greek culture therefore spread as far as southern Italy, Sicily, and Thrace. Once established, colonies were politically independent. On the Greek mainland, widespread opposition to aristocratic rule allowed new rulers, called tyrants, to seize power and destroy aristocratic regimes, often with the support of the hoplites. As ambitious tyrants converted their new offices into hereditary ones, they encountered popular opposition, paving the way for broader democratization of Greek politics.

D. Gender and Power

Rigid attitudes toward gender denied Greek women a role in politics. In this predominantly bisexual society, friendship was largely confined to members of the same sex. Greek views of sexuality, including homosexuality and bisexuality, were different than those of today. Some slave women succeeded in crossing the rigid boundaries between public and private, male and female, by becoming either prostitutes or educated courtesans known as *hetairi*.

E. Gods and Mortals

Greek religious practices centered on immortal superhuman gods who displayed all of the vices and passions of man. Greek gods and goddesses could, however, intercede in human affairs. Sacrifices to the gods on outdoor altars were important rituals. Temples served as houses of the
gods rather than as ritualistic centers or symbols of civic patriotism. Two centers of religious life attained particular prominence in this period. Athletic contests, held at Olympia every four years from 776 B.C.E., honored Zeus. At Delphi, Apollo’s oracle, noted for ambiguous responses, overshadowed the importance of athletic contests. Religion was democratic as everyone had equal access to the gods.

F. Myth and Reason

Shared myths united the Greek city-states, explicating and legitimizing political, social, and religious practices and institutions. In addition, myths and legends explained the world surrounding the Greeks.

G. Investigation and Speculation

By the sixth century B.C.E., Ionian Greeks had begun to practice speculative philosophy, transforming Greek intellectual life by using observation and reason to explore the nature of the universe and to question traditional values. Thales saw water as the basic substance of the universe; Anaximander claimed it was matter. Animenes suggested the substance was air. Heraclitus argued that there was no single substance because the dynamic, rational universe was always changing.

H. Art and the Individual

Borrowing painting and sculpture techniques from the Near East and Egypt, archaic Greeks developed a distinctive artistic culture that focused on the human image. Vase painting encouraged artists both to honor individual heroes of the past and to create their own personal artistic interpretations. Monumental sculpture in public buildings similarly encouraged innovation, as Greek artists broke from the static style of the Egyptians. The technique of black figure style on pottery and kourois/korai statues were important original artistic contributions of Archaic Greece. Narration, especially on public buildings, gave expression to civic pride.

IV. A TALE OF THREE CITIES

Political diversity characterized Greek life in the Archaic Age. Commerce dominated oligarchic Corinth; egalitarian citizenship shaped martial Sparta; and radical democracy characterized Athens.

A. Wealthy Corinth

Corinth’s location on a fertile plain and astride a narrow isthmus enhanced its prosperity, which
came largely from trade (especially in pottery and textiles) and from transporting the goods of other cities across the isthmus. The city settled colonists in Sicily and Italy.

1. Social Tensions. Although the details of early Corinthian political history are vague, the aristocratic Bacchiad clan governed Corinth until the middle of the seventh century B.C.E. when the popular tyrant Cypselus (ca. 657-627 B.C.E.) came to power.

2. Corinth under the Tyrants. Cypselus’s son Periander secured the future prosperity of Corinth by constructing a causeway that allowed ships to be hauled from the Aegean across to the west Mediterranean without unloading and by making the Corinthian fleet the strongest in the region. Periander also introduced laws to curtail excessive spending on luxuries and to employ the idle. Cypselus divided his city into three regions and his subjects into eight tribes. Each tribe contributed ten representatives to an advisory council. Unfortunately, the negative characteristics of the tyrants over-shadowed their accomplishments. After Periander’s successor died in a rebellion, tyranny in Corinth ended.

3. Oligarchy. Corinth retained the political reforms of Cypselus. A council of 80 men was composed of the 8-man probouloi, and 9 representatives from each of the 8 tribes. Corinth’s oligarchic government remained popular and successful.

B. Martial Sparta

Sparta experienced the same problems of over population and economic tension as Corinth.

1. Messenia. After the Spartans conquered the Messenians they seized half the Messenian crops to enrich further the aristocracy. When Sparta attacked neighboring Argos and simultaneously faced a domestic uprising the Messenians rebelled. Although Sparta ultimately persevered over its enemies, extensive political, military and social reforms followed.

2. Reforms of Lycurgus. Lycurgus received credit for the reforms that saw Spartan society focus on military achievement. The polis exhibited a twofold structure in which a small warrior class, the homoioi (Equals) ruled a large populations of helots (state serfs). The state ensured Spartan male citizens subsistence, and controlled the helot population with a perpetual campaign of terror. In this context, order and political allegiance (eunomia) were emphasized over individual autonomy. Political reform in Sparta combined elements of monarchy, oligarchy, and democracy. During peacetime, two kings supervised religious matters; during wartime they commanded the army. Five ephors were key administrators in the government. The 30-man gerousia directed political activities, including foreign policy, and served as a high court. Spartan youths served in krypteia which terrorized helots and arrested prominent citizens.

3. Social Control. Sparta required all citizens to serve the state and abide by eunomia. Beginning at age seven Spartan boys began a rigorous military training regimen that lasted for thirteen years. Spartan boys then joined the krypteia which required them to kill a helot. Sparta mandated another ten years of training before qualifying as an Equal, a feat few achieved.
Spartan girls also engaged in rigorous physical training. Spartans shunned civilian activities like trade, cultural pursuits, and agriculture. Despite its military strength, the relatively small number of Equals precluded the establishment of a Spartan empire, although Sparta did create a network of alliances with its neighbors that was known as the Peloponnesian League.

C. Democratic Athens

Athens, the largest Greek polis, slowly expanded throughout the province of Attica to establish a single united city. During the Dark Ages, aristocratic clans, especially the Alcmaeonids, dominated municipal politics. The clans monopolized the council, aeropagus, and supplied the nine magistrates or archons. Commercial and agricultural prosperity saved Athens from the social problems and the population pressures that other polei faced.

1. Social Tensions. Athens avoided social and political conflict until the seventh century B.C.E. Following Cylon’s failed attempt to establish a tyranny, wealthy clans and middle class merchants fought to control the city.

2. Reforms of Solon. Draco developed a systematic, albeit harsh, code of law in 621 B.C. that was aimed at easing the city’s social strife. Draco’s code failed, however, to resolve the city’s social tensions. In 594 B.C.E., Solon introduced constitutional reforms that eliminated debt bondage, replaced birth with wealth as the primary determinant of class status, and gave the top two social classes access to the ruling council, or aeropagus. Following Solon’s death, Peisistratus seized the city and ruled until his own death in 545 B.C.E.

3. Athenian Tyranny. The tyrant Peisistratus gained control of the city in 545 B.C.E. and directed numerous civic, public, and religious works projects. Although he was a tyrant, he retained Solon’s institutions. His son Hippias, a particularly harsh tyrant, succeeded his father only to be overthrown by an aristocratic faction and its Spartan allies.

4. Athenian Democracy. Cleisthenes restored democratic government by building upon Solon's foundations. He replaced traditional allegiances to kin groups with allegiance to territorial units that contained members of all social classes through the introduction of “tribes,” each of which had representatives from the urban, coastal, and inland regions. Athens now emerged as the leading city in Greece.

V. THE COMING OF PERSIA AND THE END OF THE ARCHAIC AGE

Persian Emperor Cyrus II expanded his control over Asia Minor in the last half of the sixth century, bringing him into contact with Greek colonists on the Ionian coast. Desirous of democratic government, the Ionian Greeks rebelled against Persian authority in 499 B.C.E. The Persians under Darius I crushed the Ionians even though they received help from Athens and Eretria. Darius then sought to get revenge against the mainland Greeks for the assistance they had provided to the Ionian rebels.
CONCLUSION

Although it developed later and was less powerful than the Near Eastern empires, Greece had a
dynamic social, political, and intellectual life. Rich in their diversity, Greek city-states shared a
commitment to common culture and language and to the individual freedom of male citizens, a
commitment the Persian invasion now threatened.

KEY TERMS, PEOPLE, AND EVENTS

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NEW GEOGRAPHICAL LOCATIONS

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DISCUSSION AND ESSAY QUESTIONS

1. Compare the ethne with the polis. In what ways did the polis shape Greek civilization
and distinguish it from the civilization of Egypt?

2. Discuss the meaning of tyranny in archaic Greece. Evaluate the role of tyrants in the political development of Greece. What historical processes in this period gave tyranny its present-day negative connotations?

3. Historians' references to the Greek heritage of Western civilization often imply or assert that the Greeks shared common experiences and values. Discuss the validity of this assumption—to what extent can one identify a homogeneous Greek culture in the Archaic Age?

4. *The Iliad* and *The Odyssey* significantly influenced the nature and development of later Greek culture and society. What are some of the virtues that these epic poems taught? Is there lasting importance in the ethics of an aristocratic warrior society?

5. Evaluate the degree to which other cultures influenced Greek political, social, and religious institutions.

6. Compare the political development of Athens, Corinth and Sparta.

**RELEVANT TRANSPARENCIES AND MAPS**

Danzer's *Discovering Western Civilization Through Maps and Views*

S10: Herodotus: A Reconstruction of His World View, c. 450 B.C.E.
S11: The Region about Ephesus: A Greek Coin, c. 360 B.C.E.
S12: Eratosthenes: A Reconstruction of His World Map
R4: The European, Mediterranean, and Near Eastern Realms
R5: The Mediterranean Region

**RELEVANT STUDENT MAP EXERCISES**

Danzer's *Mapping Western Civilization*

T3: Geographic Context: The Mediterranean World
T6: A Chronological Context for Western Civilization
T10: Herodotus: A Reconstruction of His World
T12: Ancient History: A Chronological Context

**ANNOTATED FILM AND CD LIST**

*King Minos and the Minoans of Crete*
52 minutes; color; 1999

This film explores Minoan culture through mythology and archaeology and examines the reasons for the collapse of the civilization.

*Ancient Greeks*
CD-ROM, 1999

Provides an interactive journey to ancient Greece. Includes graphics, text, and chronology.

*Search for Ulysses*
50 min; color; 1965
16mm KC0291,16

An imaginative re-examination of Homer's epic poem *The Odyssey*. The film ties quotations from Homer to present-day sites in the Mediterranean world where scholars think the original events recounted in the film took place.

*The Greeks*
28 min; color; 1974
16 mm CC2917,16

Examines the course of Greek history from the first Greek settlements around the Aegean to the era of Alexander the Great. Uses examples of Greek art to illustrate Greek civilization.

*The Rise of Greek Art*
18 min; color; 1962
16mm RC0578,16

A brief survey of the parallel development of Greek culture and the visual arts from the eighth century B.C.E. to the golden age of Greece in the fifth century B.C.E. Considers the role of architecture, sculpture, and pottery.

*The Greeks: In Search of Meaning*
25 min; color; 1980
16 mm LEG504

Uses examples of major, as well as minor, Greek citizens to provide comparisons between ancient Greece and modern society.

*The Acropolis of Athens: Greece 478-336 B.C.E.*
26 min; color; 1978

Examines the architecture of the Acropolis, the Parthenon, and other Greek temples and sites.

*Ancient Games*
28 min; color; 1972

Studies the ancient Olympic games. Includes a recreation of the pentathlon by former Olympic gold medalists Rafer Johnson and Bill Toomey.

*Ancient Moderns: Greek Island Art and Culture, 2000-3000 B.C.E.*
19 min; color; 1979

Examines the Cycladic culture by recreating daily life and investigates the mysterious disappearance of this civilization.

*In Search of the Trojan War*
6 parts; 60 min ea; 1985

Michael Wood uses modern archaeological techniques to investigate the accuracy of *The Iliad.*
Chapter 3

Classical and Hellenistic Greece, 500-100 B.C.E.

I. ALEXANDER AT ISSUS

Darius I's unsuccessful invasion of Greece in 490 B.C.E. signaled the beginning of the Greeks' most victorious age. The Persian defeat convinced the Greeks both that their own culture was superior to that of the "barbarians" and that Greek political freedom was superior to eastern despotism. Alexander the Great's defeat of Darius III at Issus in 333 B.C.E. further consolidated these perceptions, providing Greek poets and artists alike with subject matter for the glorification of the Greek spirit and heritage.

II. WAR AND POLITICS IN THE FIFTH CENTURY B.C.E.

A handful of Greek states--Athens, Plataea, and Eretria--resisted the invading Persian armies of Darius I. Divided by municipal rivalries and different political traditions, there was little cultural or national unity to bring the Greek city-states together to face a common enemy.

A. The Persian Wars

After suppressing the revolt of the Ionian Greeks, Darius assembled a large army and invaded the Peloponnesus. The Athenians, led by Miltiades, decisively defeated the Persians at Marathon. Darius withdrew his troops after they failed to reach Athens before the arrival of Miltiades' soldiers. This victory encouraged Greek unity. Convincing all Greeks of the skill of their soldiers, the superiority of their cultural values, and the value of the citizen army, the Athenians' victory bolstered the development of Greek democracy on the model of Cleisthenes' reforms. Under Cleisthenes' leadership Athens introduced ostracism, a form of honorary exile aimed at protecting Athenian democracy, and also began to choose public officials by lot.

B. Thermopylae and Salamis

Persian attacks resumed under Xerxes, whose forces were delayed by Leonidas’s Spartans at Thermopylae. The Greeks finally defeated Xerxes' Persians at Salamis and Plataea. Soon the Athenians took the offensive and laid the foundations of an Athenian empire by liberating the Ionian cities in Asia Minor.
C. The Athenian Empire

Internal dissension and domestic concerns prevented Sparta from capitalizing on its military preeminence in the Persian Wars, as Athens moved swiftly to accept control of the Delian League in 478 B.C.E.

1. The Delian League. The revenues of the League, which were initially intended to be used to protect Greece from a new Persian attack, supported the Athenian economy and rebuilt Athens.

2. Athenian Imperialism. As the Persian threat receded after about 449 B.C.E., Athens deployed the resources and instruments of the League to build an empire enforced by the Athenian fleet. Heavy taxation, colonization, and Athenian domination of both legal and political institutions followed as Athens established garrisons throughout Greece; opposition to Athenian leadership was met with brutality.

D. Private and Public Life in Athens

Classical Athens was a vibrant, crowded city. Although Athens is now remembered for its contribution to the development of democratic government, most Athenians were excluded from public life in the classical age.

1. Slaves. More than one-fourth of the population was composed of slaves, of both sexes and of all races and backgrounds, who were under the complete control of their owners. Athenians considered slaves to be property.

2. Metics. Half of the free population was Metoikoi, or metics, foreigners who could neither own land nor participate in politics.

3. Women. Citizen women were similarly excluded from politics: considered citizens only for the purposes of transferring property from man to man and the production of legitimate offspring. Women were always in the custody of a male guardian. Women, responsible for running households, could expect arranged marriages and limited mobility.

4. Freedom in the Community. Male citizens enjoyed an unprecedented degree of self-government. Grounded in his active participation in public life, the citizen's political freedom entailed a perpetual balancing act between the conflicting obligations of the family, tribe, and deme. But, economic and social equality were nonexistent in fifth-century Athens.

5. Demagogues. Although sovereignty formally resided in the citizens' assembly (ekklesia), actual leadership rested with generals and demagogues, who used their oratorical skills, friends, and awareness of governmental operations to further the interests of the city. Although he never ruled Athens, Pericles, a gifted orator and military leader, dominated Athenian
politics for thirty years, overseeing the city during a period of cultural and democratic brilliance.

E. Pericles and Athens

Pericles acquired political experience by participating in several public works projects, including the construction of the Parthenon. He worked to extend political rights to all free citizen men by abolishing the requirement that public officials possess private property. Pericles was also determined to safeguard Athenian imperial interests; his foreign policy precipitated a conflict with Sparta over Megara in 446 B.C.E. Treaties delayed major conflicts between the two powers for more than a decade, but failed to prevent the outbreak of the destructive Peloponnesian War. Thucydides blamed the war on the growth of Athenian military strength and Sparta’s fear of that growth.

F. The Peloponnesian War

Although the war began in 431 B.C.E. as a battle between Athens and Sparta, the Peloponnesian War became a series of wars that escalated into an international struggle by the war's end in 404 B.C.E.

1. The Archidamian War. The initial phase of the Peloponnesian War, the Archidamian War, was indecisive, though a third of Athens' population died from the plague.

2. Alcibiades and the Sicilian Expedition. Initially successful in staving off Spartan attacks, the Athenians suffered defeat when Alcibiades rose to power and encouraged Athens to invade Syracuse. This disastrous expedition weakened Athenian forces substantially at a time when Persian support strengthened Sparta. By 404 B.C.E., Sparta's general, Lysander, had brought the Athenians to their knees, dissolving their fleet, dismantling their fortifications, cutting off the city’s grain supply, destroying their empire, and forcing Athens' unconditional surrender.

III. ATHENIAN CULTURE IN THE HELLENIC AGE

Much of the West's Greek heritage came from the Hellenic Age of Athenian civilization, as artists, dramatists, philosophers, and architects converged on the polis.

A. The Examined Life

Athenians developed new traditions of moral philosophy and history by the use of critical thinking and reason.

1. The Sophists. As rhetoric became crucial to secure political power and to develop
reason-based ethics, teachers known as sophists traveled throughout the Greek city-states offering young citizens a specialized education in rhetoric.

2. Socrates. Socrates, who opposed the superficiality of the sophists, urged his students to cultivate moral enlightenment by critical examination of their own lives, choices, and characters. Found guilty of heresy and of corrupting Athenian youth, Socrates committed suicide.

B. Understanding the Past

Two noteworthy historians introduced different ways to understand the past.

1. Herodotus. In The Persian Wars, Herodotus, "the father of history," emphasized the significance of personal choice in his analysis of the achievements of Greek and Persian civilizations and the causes of the Persian Wars in the "first true history."

2. Thucydides. For Thucydides, the contemporary historian of the Peloponnesian War, history demonstrated the ability of individuals and social groups to conduct their affairs according to rational political self-interest.

C. Athenian Drama

Greek dramatists increasingly emphasized secular problems and solutions instead of mythical subjects. Drama gained popularity during this period because of the three types of plays that were staged: tragedies, comedies, and satyrs.

1. Aeschylus. Aeschylus’s dramas examined vengeance and relations between parents and children.

2. Sophocles. The tragedies of Sophocles were character studies that underlined the timeless and fatal tensions between human reason, emotions and passion.

3. Euripides. Euripides was a tragedian renowned for plot twists.

4. Greek Comedy. Comic playwrights such as Aristophanes, in contrast, used wit, vulgarity, and satire to mock the contemporary institutions.

D. The Human Image

Artists, too, responded to Greek culture's new interest in the individual, embracing new techniques of perspective, balance, depth, molding, and coloring to render their images more lifelike. Sculpture also demonstrated a concern with balance and the realistic portrayal of human
forms, a tradition Phidias initiated in Athens. These artistic developments culminated in Pericles’ fifth-century program to rebuild the Acropolis. Here artistic and architectural ingenuity created an overwhelming image of perspective, order, and balance.

IV. FROM CITY-STATES TO MACEDONIAN EMPIRE, 404-323 B.C.E.

The Peloponnesian War caused the Greeks to question the validity of both democratic and oligarchic political structures. The war also created a power vacuum that fundamentally and permanently altered relations between city-states.

A. Politics After the Peloponnesian War

Mercenary soldiers, who gradually replaced the citizen hoplites in the course of the Peloponnesian War, weakened the democratic institutions in many city-states as the importance of the hoplites declined. War became more vicious as professional soldiers began to dominate the battlefields.

1. Spartan Imperialism. Victorious Sparta sought to rule its new empire with tyrannical oligarchies, a policy that precipitated decades of civil warfare in the Greek world.

2. Thebes. Thebes destroyed the Spartan armies 371 B.C.E. Although Athens formed several military alliances that were directed against Sparta and later Thebes, by the 330s, political instability had fractured political life above the level of the polis.

B. Philosophy and the Polis

Athenian philosophers responded to the disruption of political life by elaborating new theories that questioned the virtue of democratic institutions.

1. Platonic Forms. Distrusting the political judgment of the common people, Plato argued that the best government was one where political leadership rested in the hands of philosophers who were capable of governing on the basis of lasting ideals rather than petty or immediate interests.

2. Aristotelian Empiricism. Less idealistic than his teacher, Aristotle based his philosophy on systematic observation of the natural world and a careful use of terms and logic. Surveying more than 150 constitutions, from which he drew general theories, he concluded that moderation, a balance between democracy and oligarchy, was the key to good government.

C. The Rise of Macedon
Ruled for centuries by hereditary kings, Macedonia rose to power under Philip II (359-336 B.C.E.) and filled the political vacuum left by the defeat of Sparta, Athens, and Thebes. Philip's army of mercenary soldiers and elite cavalry initiated a relentless campaign against the southern city-states in 346 B.C.E., winning a signal victory at Chaeronea in 338 B.C.E. Philip's League of Corinth established a monarchical empire supported by a wealthy aristocracy, a form of government that persisted until modern times in the Mediterranean region. Philip's assassination left the task of extending the Macedonian empire to his son Alexander.

D. The Empire of Alexander the Great

Alexander the Great was influenced more by Homer than Aristotle.

1. Alexander's Conquests. Alexander's military campaigns brought territories from Asia Minor to India under Macedonian rule from 334 to 323 B.C.E. After conquering Persia, Alexander turned his armies against Egypt, Bactria, Sogdiana, and India. Alexander turned back after crossing the Indus River.

2. Binding Together an Empire. Intending to rule as well as to conquer, Alexander sought to consolidate his empire by respecting local customs and religions and encouraging marriages between his Macedonian leaders and the daughters of local elites. Alexander built some thirty-five cities that became both commercial and cultural centers and the key element in transmitting Greek culture to non-Greek peoples.

3. The Hellenistic Kingdoms. Alexander's death shattered the Macedonian empire, however, as it soon split into kingdoms governed by Ptolemy I, Seleucus, and Antigonus Gonata, whose dynasties governed until they were conquered by the Romans. Alexander's successors did not, however, have his interest in creating a cosmopolitan empire.

V. THE HELLENISTIC WORLD

Despite their many differences, the Hellenistic kingdoms that emerged from Alexander's fractured empire were united by two shared traditions. First, the territories had originally been governed by Mesopotamian rulers who established centralized administrative structures and systems of taxation. Second, cities encouraged the cultivation of Greek urban culture, making established Greek cities the political, economic, and cultural foci of the Hellenistic world.

A. Urban Life and Culture

Eager to attract Greek citizens to their territories, Hellenistic rulers sought to transplant elements of Greek culture to their new cities, building temples, theaters, and gymnasia to provide urban dwellers with the amenities of Greek life. Koine, a Greek dialect, became universally used. The
absence of political independence distinguished Hellenistic cities from the independent polei of earlier Greek civilization. So, too, did Hellenistic cities' relatively greater social mobility. Hellenistic citizenship embraced all "Hellenes," regardless of their city of origin, and often accommodated indigenous elites willing to adopt Greek culture.

B. Women in Public Life

Women enjoyed new power and independence in Hellenistic cities. Controlling their own property, women now entered public and political life, and in some regions were equal to men. The romance, pastoral poems, and epigrams were new literary genres. Political leaders competed in building large, elaborate public buildings and decorating public squares with statues, murals, and mosaics. The Egyptian custom of pharaohs marrying their sisters enabled women to wield extensive political power. Arsinöe II began a tradition of powerful Egyptian queens that lasted for centuries.

C. Alexandria

Following its founding by Alexander, Alexandria became a leading Egyptian commercial and cultural center. Ptolemy was especially important in bringing artists, scientists, and philosophers to the city, where the Museum served as a major repository of Greek literature.

D. Hellenistic Literature

Three new literary genres—the romance, the epigram, and the pastoral poem—began in the Hellenistic era. Callimachus was an especially prolific author. Menander was a talented comedic writer who was exceptionally skilled in demonstrating the frailties of human character and the underlying humanity of man.

E. Art and Architecture

Architecture benefitted from the rivalry of Hellenistic kings who wished to out-do their peers in the construction of large ornate public buildings. Older cities, like Rhodes and Pergamum, were rebuilt. Few Hellenistic paintings remain, but period sculptures reveal artists’ interest in individuality, as shown in the more natural depiction of body and clothing.

F. Hellenistic Philosophy

Less concerned than their classical predecessors with political issues, Hellenistic philosophers focused on personal morality and the uncertainties in life.

1. Cynics. The Cynics sought to foster freedom through renunciation of material objects,
arguing that evil originates in preoccupation with secular affairs and material goods.

2. Epicureans. Epicureans emphasized the rational pursuit of pleasure and the avoidance of pain as a way to achieve freedom. Eliminating desires and political ambitions and focusing on friendship and the enjoyment of simple pleasures were seen as appropriate activities.

3. Stoics. Stoics, too, underlined the rational basis of human society and of happiness, but urged their followers to accept active roles in an orderly universe. For Stoics, happiness comes from accepting one’s role in life.

G. Mathematics and Science

Mathematics and science flourished in Ptolemaic Egypt. Euclid and Apollonius of Perga approximated the value of pi and established logical proofs of theorems as the basis of geometry.

1. Mathematical Astronomy. Archimedes and Apollonius used their mathematical skills to evaluate the astronomical data the Babylonians and Egyptians had collected earlier. Eratosthenes calculated the diameter of the sun. Hipparchus of Nicea proposed a geocentric theory of the universe.

2. Medicine. Human dissection advanced the study of anatomy. Herophilus appreciated the importance of the brain and distinguished between motor and sensory nerves.

H. Cultural Resistance

Despite the cultural advances of the Hellenistic period, the government faced resistance and hostility.

CONCLUSION

Alexander’s successors failed to bridge the gap between Hellenes and the indigenous populations under their rule. Violent internal opposition to the Hellenistic rulers was commonplace.

KEY TERMS, PEOPLE, AND EVENTS

| Marathon | Miltiades | Cimon |
| barbarian | ostracism | Themistocles |
| Xerxes | Thermopylae | Leonidas |
| Salamis | Delian League | metrics |
| ekklesia | demagogue | Pericles |
| Peloponnesian War | Alcibiades | Hellenic |
| Hellenistic | sophist | Socrates |
Herodotus    Thucydides    Aeschylus
Sophocles    Euripides    Aristophanes
Thirty Tyrants    Plato    Aristotle
Philip II of Macedon    Alexander the Great    Issus
Gaugamela    Ptolemy I    Seleucus
Antigonus Gonatas    koine    Arsinoe II
Corinthian order    Cynics    Antisthenes
Epicureans    Epicurus    Zeno
Heraclitus    Satyrs    Platea
Chaeronea    Euclid    Callimarchus
Stoics

NEW GEOGRAPHICAL LOCATIONS
Hellespont    Attica    Syracuse
Sicily    Thebes    Macedonia
Persia    Marathon    Salamis
Thermopylae    Platea    Laconia
Pakistan    Hydaspes River    Gedrosia desert
Khyber Pass    Punjab    Indus River

RELEVANT TRANSPARENCIES AND MAPS
Danzer's Discovering Western Civilization Through Maps and Views
S10: Herodotus: A Reconstruction of His World View, c. 450 B.C.E.
S11: The Region about Ephesus: A Greek Coin, c. 360 B.C.E.
S12: Eratosthenes: A Reconstruction of His World Map
S13: Ancient Carthage: An Aerial View
R5: The Mediterranean Region

RELEVANT STUDENT MAP EXERCISES
Danzer's Mapping Western Civilization
T2: Geographic Context: The Ancient Near East
T10: Herodotus: A Reconstruction of His World
T11: Ptolemy: World Map of the Second Century A.D.
T12: Ancient History: A Chronological Context

DISCUSSION AND ESSAY QUESTIONS
1. What is the Greek notion of the "heroic"? Compare Homer's heroes in *The Iliad* and *The Odyssey* with the mosaic of Alexander at Issus.

2. Herodotus is often called the "father of history." Compare and contrast his chronicle of the Persian War with Homer's account of the Trojan War.

3. Discuss the causes and course of the Peloponnesian War.

4. Discuss the meaning of citizenship for men and women in the Greek world from the Hellenic to the Hellenistic period. In what ways did Greek society become less democratic? In what ways did it become less exclusive?

5. Trace the changes in Greek philosophy from Socrates to the Epicureans. How did changing philosophical beliefs reflect structural changes in Greek society and politics in these centuries?

6. Compare life in democratic Athens with that in Hellenistic Greece.

7. In looking at the changes in Athens after the Persian War and in Sparta after the Peloponnesian War, what can one conclude about the corrupting influence of power?

**ANNOTATED FILM LIST**

*Comedy*
52 minutes; color, 1999

Examines comedy from the Greeks to the modern era, including Molière, Cicero, and Chaplin.

*Classical Mythology*
CD-ROM, 1999

Includes Bullfinch’s *Mythology*, tutorials, extensive background on Greek and Roman myths.

*The Greeks*
28 min; color; 1974
16 mm CC2917,16

Examines the course of Greek history from the first Greek settlements around the Aegean to the era of Alexander the Great. Uses surviving examples of Greek art to illustrate the nature of Greek civilization.

*Athens: The Golden Age*
29 min; color; 1962
Describes the achievements of the leading Greek city-state of the fifth century B.C.E. Stresses the Athenians' rise to prominence in the wars against Persia and the development of the ideal of the Athenian citizen. Well-photographed scenes of the most important historical sites in Greece.

The Acropolis of Athens
24 min; color; 1978
½" VHS RC 1245, VHS

Examines the Acropolis and the Parthenon, buildings thought by many to be the most famous in the world. Considers the relationship between this masterpiece of Greek architecture and the society of Athens in the fifth century B.C.E.

Alexander the Great and the Hellenistic Age
13 min; color; 1964
16mm CC1591,16

A brief examination of the career of Alexander the Great and the empire that he created that stretched from Greece to India. Considers the philosophical, artistic, and architectural accomplishments of the era. Intended for a high-school audience.
Chapter 4

*Early Rome and the Roman Republic, 800 B.C.E-146 B.C.E.*

I. THE VISUAL RECORD: ETERNAL ROME

Early Rome was founded on the Palatine. The Capitol provided Rome with its religious center. The *Forum* served as a public meeting place. The *Comitium* and *Curia* housed the citizens' assembly and the Senate. The city symbolized the centrality of Rome.

II. THE WESTERN MEDITERRANEAN TO 509 B.C.E.

The scattered farmers and shepherds of the western Mediterranean experienced civilization later than the Egyptians, Mesopotamians, and Greeks. Bronze Age culture developed slowly between 1500 and 1000 B.C.E. Like the eastern Mediterranean civilizations the people of the western Mediterranean also experienced the crisis of the twelfth century as they migrated into Italy. An Iron Age culture emerged in northern Italy from ca. 1000 B.C.E. Speaking Indo-European languages and bearing iron weapons, and distinguished by the practice of cremating their dead, Villanovan warriors had seized control of central Italy by 800 B.C.E. and had begun to threaten central and southern Italy.

A. Merchants of Baal

Beginning around 800 B.C.E. Phoenician traders and colonists established a chain of trading posts along the coast of North Africa and on the islands of the Mediterranean.

1. Carthage. Carthage’s wealth was based on agriculture and animal husbandry. Few Carthaginians became involved in the political process. Supported by commercial and agricultural wealth, the Phoenicians successfully integrated their colonies into a truly cosmopolitan empire. Their mercenary army, which drew troops from numerous lands, was separated from the civil authority, which empowered the merchant aristocracy.

2. Carthaginian Empire. Carthage, protected by a double harbor and massive fortifications, became the hub of the Phoenicians' western empire. Carthaginians differed greatly from the Greeks because of their apolitical nature, aristocratic generosity towards the poor, and lack of unity.

3. The Gods of Carthage. Carthaginians adopted Phoenician deities, especially Baal Hammon and Tanit. The sacrifice of first-born sons was apparently a common practice.
B. The Western Greeks

Greek traders established bases in Sicily and southern Italy in the eighth century B.C.E. Greek colonies began to threaten Carthage's empire by the end of the next century. Commercial rivalry led to war between Phoenician and Greek powers starting in the sixth century B.C.E. Syracuse challenged both Punic and Greek control in the fifth century B.C.E., when the Syracusans under Gelon won a signal victory at Himera. Although Carthage was unable to defeat Syracuse decisively in the next century, it benefited from its alliance with the Etruscans of western central Italy.

C. Italy's First Civilization

The Etruscans were the founders of Italy's first great civilization. Mysteries surround both the origins and the language of the Etruscans.

1. Etruscan Origins. The Etruscans, united in a loose religious and military confederation, expanded both to the north and to the south. Key elements in Etruscan religion included underground gods and fertility cults. At first kings ruled the Etruscans. Then aristocratic assemblies paired “colleges” of magistrates that established the foundations of subsequent republican government in Rome.

2. An Archaic Society. The Etruscans used hydraulic systems to drain swamps, produced a delicious wine, and constructed large, fortified cities. Etruscan slaves labored in the mines and on farms that supported aristocratic landlords. Women played a central role in urban public and political life. Polytheistic Etruscans believed in an afterlife and the important role the fates played in day-to-day life.

3. Etruscan Dominance. The Etruscans developed their naval strength and utilized it in a military alliance with Carthage against their commercial rivals, the Greeks. Etruria consequently dominated much of the Italian coast from the seventh to the fifth century B.C.E. When their fleet was destroyed at Cumae in 474 B.C., however, a period of raid decline began. A Celtic invasion accelerated Etruscan decline. Etruscan cities fell to Roman forces.

III. FROM CITY TO EMPIRE, 509–146 B.C.E.

Roman myths convey the values of practicality, courage, hard work, and honor of the Roman farmer-soldier. Emphasizing the simplicity and steadfastness of Roman life, the legends of Cincinnatus, Horatius, Romulus and Remus, Aeneas, and Lucretia were central in developing the Roman perspective on life.

A. Latin Rome
Founded in a marshy region of western central Italy by Latin and Sabine peoples in the eighth century B.C.E., Rome was composed of small farms and clans. Families were under the total authority of the *paterfamilias*. Some forty Latin villages joined the Alban League confederation, an informal military alliance that also served religious and political purposes. Both plebeian men as well as the men of families belonging to *gentes* (clans) participated in the curia or village council. Heads of households belonged to the Senate, which selected kings, who were essentially religious leaders, for approval by the *curiae*. Clientage was a key way for patrician and plebeian families to extend their power. In the mid-seventh century B.C.E. the Etruscans conquered the Romans.

B. Etruscan Rome

Etruscan political, economic and social organizations, and institutions incorporated Latium, introducing Rome to a wider world. Under Etruscan rule kings gained military, judicial and political responsibilities. Etruscan influence endured in the transformation of Roman life and commerce.

1. Urban Growth. Etruscans were largely responsible for transforming Rome into a major city. The introduction of hoplite tactics under King Servius Tullius led to a twofold division of Roman society that sharpened distinctions between patricians and plebeians. Political rights and military duties came to reside exclusively with the landowners, or *classis*, whose richest and oldest members monopolized the new centuriate assembly. The reorganized political and military structure favored the conservative and wealthy patricians.

2. Class Divisions. The divisiveness grew between the patricians and plebeians when the plebeians were denied a political role. Roman patricians overthrew the last Etruscan king, Tarquin the Proud, in 509 B.C.E. and established the Roman Republic.

C. Rome and Italy

The creation of the Roman Republic followed Etruscan decline, allowing Rome to create its own unique institutions and customs.

1. The Early Republic. The Roman Republic followed the expulsion of the last Etruscan king. The substitution of consuls for kings initiated a period during which a patrician oligarchy dominated republican institutions characterized by the tradition of two men sharing the power of each office. Initially, only the two consuls wielded the *imperium*, that is the supreme power to command, administer the law, and execute the condemned. Other key officials included a dictator, who had absolute power to deal with crises; *praetors* who administered justice and defended Rome in the consuls’s absence; *quaestors* or treasurers; and *censors* who negotiated public works contracts, filled Senate vacancies and assessed taxes.

2. Patricians, Plebs, and Public Law. Patrician control of political institutions through the
cursus honorum antagonized the plebeian order, which established an alternative political structure responsible for ruling the plebeians. Plebeian refusal to perform military service forced the patricians to compromise by recognizing plebeian claims to political power through the creation of the Council of Plebs. The Struggle of Orders resulted in the codification of Roman law (known as the Law of the Twelve Tables), the creation of Tribunes, and the application of all laws enacted by the Council of Plebes to patrician and plebeian.

3. Political Expansion. United in their expansionist ambitions, both plebeians and patricians benefited from the military campaigns that had brought all of Italy under Roman control by 264 B.C.E. Successful military campaigns resulted in the distribution of lands to plebeians and an increased military role for the plebeians. Poverty and landlessness remained perennial problems, however.

4. Incorporating the Conquered. Rome’s generosity towards conquered peoples turned subversive elements of the social order into bulwarks of Roman government and society. The Romans viewed their military successes as evidence of their moral superiority. Rome extended citizenship to many conquered peoples. The Romans thus faced few serious revolts against their authority. Rome’s leniency necessitated continuing wars and territorial expansion.

D. Rome and the Mediterranean

Rome and Carthage shared a common enemy in the Greeks. But, expansion in southern Italy brought Rome into a bitter conflict with Carthage.

1. The First Punic War. The First Punic War was a prolonged, expensive conflict that saw Rome outlast rather than out-fight Carthage. Although the Romans were a land power, they were able to use their land tactics at sea. After sixteen years of fighting, Carthage’s Hamilcar Barca surrendered. Successful in wresting Sicily from Carthage in the First Punic War (265-241 B.C.E.), the Romans broke with their traditions by demanding tribute from Sicily. Rome would soon conquer Sardinia. Rome fought the Celtic Gauls, Illyrians, and Ligurians, as Carthage invaded Spain.

2. Securing Western Hegemony. Carthage's expansion into Spain provoked the Second Punic War (218-202 B.C.E.). The loyalty of Roman allies, the solidarity of its social classes, and the military leadership of Scipio the Elder secured Rome's hard-fought victory over Hannibal, who had invaded Italy in 218 B.C. and won major victories at Trebia River, Lake Trasimene, and Cannae. Despite his victories, Hannibal was unable to exploit his successes. After a prolonged campaign Scipio secured a final Roman victory at Zama. Rome secured a large tribute, a new province in Spain, and a dramatic reduction in Carthaginian power.

3. The Final Destruction. Cato the Elder encouraged a resumption of hostilities. The short-lived Third Punic War (149-146 B.C.E.) left Carthage completely destroyed.

4. Expansion in the Hellenistic East. Rome turned its attention to the east. Rome
responded to Greek appeals to Romans’s love of freedom by dispatching troops to the region. By 146 B.C.E., Rome controlled Greece, Dalmatia, Italy, southern Gaul, Spain, and North Africa, and dominated both Syria and Egypt. In the west, Rome governed through former magistrates or proconsuls; in the east, Rome worked through existing local oligarchies.

**IV. REPUBLICAN CIVILIZATION**

The simple values of piety, hard work, simplicity, and respect for authority led the Roman Republic to greatness, but Roman institutions proved incapable of changing to meet the new needs of an imperial world power and of adapting to the new values that accompanied Rome’s newfound wealth and its exposure to Hellenistic culture.

A. Farmers and Soldiers

Roman farmers, typically owners of small homesteads, formed the backbone of the victorious Roman legions. Discipline, preparation, and dedication to duty resulted in victory. But constant warfare in distant lands, far from enriching the farmer-soldier, impoverished him instead. Prevented by prolonged, distant wars from tilling their soil, farmers often mortgaged their lands to aristocratic moneylenders. As wealthy aristocrats became wealthier, ordinary Roman soldiers lost their farms, and thus were no longer qualified for military service.

B. The Roman Family

The *paterfamilias* governed the persons and property of the Roman family with absolute authority. Fathers could command the death of unwanted newborns or the adoption of sons as heirs, important considerations in regulating the most revered institution of Roman society, the family. Slaves, considered personal property as well as family members, remained under obligation to the *paterfamilias* even if they had been freed. Women lived under the legal guardianship of fathers and then of husbands, but exerted indirect power through household management, the moral education of children, and control of their dowries.

C. Social Effects of Expansion

Roman women increased their public roles as territorial expansion occurred. Increasingly, fathers refused to transfer their authority over their daughters to their sons-in-law. Consequently, wives became independent following their fathers’ death. Marriage, important in the creation of political alliances, increasingly ended in divorce as fathers sought different political allies; divorce thus became commonplace. Roman housing also changed from small, simple buildings to larger and more elaborate ones, symbolizing the changes that were taking place in the Roman family. The housing situation of the poor worsened, however, as many of them were only able to afford cramped, multi–storied apartment buildings.
D. Roman Religion

Polytheistic Romans believed that household gods were responsible for every aspect of daily life. Both men and women had personal powers. Power, piety, and duty reinforced Roman virtues of order and authority. Public worship was the responsibility of state-sponsored colleges of aristocratic priests, who were responsible for divination and for public sacrifices. Imperial conquest expanded the diversity of Roman deities, however, as Romans gave foreign gods familiar characteristics and quickly accepted them into their religious life. Some religions like the cult of Dionysus (Bacchus) threatened traditional Roman values and thus were persecuted by Roman officials.

E. Republican Letters

The Etruscans provided the Romans with an alphabet. Romans displayed little interest in literature, however, until encountering Greek civilization in the third century B.C.E.

1. Greek Historians of Rome. Timaeus was the first Greek historian to note Roman expansion in his history of the Pyrrhic War. Polybius used his personal experience to describe Roman campaigns in Africa and Spain.

2. The Origins of Latin Literature. Romans displayed little interest in literature until encountering Greek civilization. Roman playwrights Plautus and Terence adapted Hellenistic dramatic forms to Roman themes.

IV. THE CRISIS OF ROMAN VIRTUE

Newfound wealth and political corruption accompanied Roman expansion, as provincial officials were often corrupt. The changes brought about by imperial conquest exacerbated social tensions. Cato the Elder, who is often seen as a defender of traditional values, reflects the clash of traditional Roman values with new entrepreneurial and Hellenistic ones. It is ironic that Cato, the defender of traditional Roman virtues, himself took advantage of the opportunities provided by the changing times.

CONCLUSION

Initial Roman success in expanding throughout Italy and around the Mediterranean was based largely on Rome’s willingness to adopt new ideas and customs and its inclusion of subject peoples in the gains of territorial expansion. After Rome’s defeat of Carthage, however, officials began to abandon those practices that had earlier proven successful.
### KEY TERMS, PEOPLE, AND EVENTS

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### NEW GEOGRAPHICAL LOCATIONS

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S15: Ptolemy: World Map of the Second Century A.D.
R4: The European, Mediterranean, and Near Eastern Realms
R5: The Mediterranean Region

### RELEVANT STUDENT MAP EXERCISES

Danzer's *Mapping Western Civilization*

T3: Geographic Context: The Mediterranean World
T12: Ancient History: A Chronological Context

### DISCUSSION AND ESSAY QUESTIONS

1. Evaluate the military significance of the elephant as a weapon of war.

2. Compare and contrast the political life of the Athenian polis and the Roman city. Which
was more democratic and why?

3. Discuss the similarities and differences of the military empires of Macedon and Rome.

4. Relations between patricians and plebeians changed substantially in the course of the Roman Republic. Discuss the nature of these changes and assess the nature of social relations in second-century Rome.

5. What factors are responsible for the transition from the Republic to the Empire?

6. Discuss the causes and consequences of the Punic Wars.

7. Was Roman success due more to military prowess or the ability to adapt to changing circumstances?

ANNOTATED FILM LIST

*Etruria and the Etruscan Woman*
CD-ROM 1999

Provides a detailed overview of Etruscan civilization.

*Hannibal: The Terror of Rome*
42 minutes, color, 1999

Analysis of the Punic Wars. Includes scenes of battle reenactments along with archaeological digs at Carthage.

*The Romans*
24 min; color; 1973
16mm CC2951,16

Describes the construction of the Roman Empire as Rome changed from a small city-state in central Italy to a power controlling the Mediterranean world. Considers the factors leading to the eventual collapse of the western half of the empire by the close of the fifth century A.D.

*Pompeii and Vesuvius*
11 min; color; 1951
16mm GC 0512,16

Describes one of the most famous events in Roman history: the eruption of the volcano Vesuvius and the destruction of the nearby city of Pompeii. Shows the ancient Roman city as uncovered by archaeologists.

*The Etruscans (The Country of the Twelve Peoples)*
27 min; color; 1975

Investigates the importance of the Etruscans by visiting Tarquinia and Cerveteri.
Chapter 5

Imperial Rome, 146 B.C.E.–192 C.E.

I. THE VISUAL RECORD: THE ALTAR OF AUGUSTAN PEACE

The end of the Roman Republic saw Augustus introduce Pax, a goddess of peace. While claiming to restore traditional Roman virtues, Augustus actually oversaw a political and social revolution. Although the Altar of Peace promised peace and harmony and the simplicity of an earlier age, the *Pax Romana* instead meant the pacification of people throughout the empire.

II. THE PRICE OF EMPIRE, 146–121 B.C.E.

The empire brought Romans great disparities in wealth and cost them their republican institutions. Roman military success consequently led to the end of the Republic.

A. Winners and Losers

Optimates, members of the traditional Roman oligarchy, benefited most from the empire, for they controlled landed wealth and government administration. The *nouveau riche equites* also gained from the state's expansion, though they were usually excluded from the highest political offices. In contrast, slaves, provincials, citizen-soldiers and the Italian allies suffered from Rome’s growth.

1. Slave Revolts. Rome’s military success brought the enslavement of some two million people, one-third of the Italian population. Maltreatment often led to rebellion. Although the slave revolts were initially successful, ultimate victory went to the Roman soldiers, who brutally suppressed the revolts. It took eight legions to defeat the revolt that the gladiator Spartacus led from 74–71 B.C.E.

2. Provincial Revolts. Unhappy peasants and provincials also rebelled against Roman authority. Aristonicus led a rebellion in Pergamum that lasted three years. Rome also faced uprisings among previously loyal Italian cities. The Social War (91–89 B.C.E.) saw Rome facing most of its Italian allies in a widespread revolt against Roman oligarchs.

B. Optimates and Populares

The extensive use of slavery drove many average Romans from their farms into the cities where
they swelled the ranks of the unemployed. Although wealthy Romans could have ameliorated the situation, they preferred to retain their extensive landholdings instead. Tribune Tiberius Gracchus, a populares, initiated land reform programs to redress the social and economic grievances of the common people.

1. Tiberius Gracchus. Relying on the plebeian assembly for support, Tiberius Gracchus flouted aristocratic political conventions in order to redistribute land and limit the amount of land an individual could hold. Tiberius Gracchus also tried to undermine the Senate’s control over finances and foreign policy. Gracchus’s heavy-handed tactics cost him aristocratic support, however. He was assassinated as he attempted to serve an unprecedented second term as tribune.

2. Gaius Gracchus. Tiberius’s younger brother, Gaius Sempronius Gracchus, reintroduced his brother's land redistribution program. He also extended citizenship to all Latins and Italian allies, and shifted political power from the patricians in the senate to the equestrians. He offered a truly comprehensive political program that aspired to address the problems of inequality of wealth and domination of Senatorial power. Gaius Gracchus was also assassinated following his second consecutive term as tribune. The deaths of the Gracchi brothers inaugurated a period of political violence.

III. THE END OF THE REPUBLIC

Social and economic restlessness continued to fester after the assassination of the Gracchi brothers. African and Italian revolts initiated violence and civil war, revealing the tentative nature of the Senate’s hold on Roman government.

A. The Crisis of Government

In 107 B.C.E., Consul Gaius Marius initiated a new trend in Roman government by enlisting impoverished Romans in the army, arming them at public expense, and promising them land upon the completion of their military service. When the Senate refused to honor Marius’s promises, the armies' allegiance shifted from the state to their commanders, establishing a pattern of personal armies seen often in later Roman history.

1. The Civil Wars. In the Social War that began in 91 B.C.E., the Optimates’ leader Sulla defeated Marius. Sulla's ensuing dictatorship bolstered senatorial control, weakening the power of both tribunes and magistrates. Despite the introduction of political reforms, Sulla failed to resolve the fundamental issues dividing the Optimates and the Populares.

2. Republican Crisis. The growing political and military strength of military commanders undermined the stability of Roman government. Marcus Cicero, a skilled orator, gave the elite an alternative choice as consul. Opposed to Cicero, Pompey, and Crassus sought to dismantle Sulla’s political reforms. Pompey expanded Roman control over Armenia, Palestine and Syria while Crassus crushed Spartacus’s slave army. Cicero discovered and defeated Cateline’s
conspiracy to seize power.

3. The First Triumvirate. Infighting among the Roman political elite generated a shift in alliances that created a triumvirate, uniting Pompey, Crassus, and Julius Caesar. Together they undermined the changes that Sulla had introduced and made reforms that favored the Populares. Following Crassus's death, Caesar's conquest of Gaul unsettled Pompey, whose supporters recalled Caesar to Rome. Refusing to disband his army, Caesar crossed the Rubicon River with his army, initiating a civil war that resulted in Pompey’s death and that persisted until 45 B.C.E.

4. The Second Triumvirate. Upon his return to Rome, Caesar initiated a program of political reforms that greatly increased political participation. But when he declared himself perpetual dictator, Caesar infuriated the Senate. His assassination by some sixty senators initiated a second civil war. The Second Triumvirate of Mark Antony, Lepidus, and Octavian soon got revenge against Caesar's enemies who were led by Cassius and Brutus. After defeating the assassins’ armies, Antony, Lepidus, and Octavian divided the Roman provinces. This situation did not last long, however, as Lepidus was soon forced to retire. Meanwhile, Mark Antony became increasingly dependent upon Cleopatra for support. Octavian emerged as the sole ruler of the Roman Empire in 31 B.C.E. following his naval victory over Antony at Actium.

B. A Life Worth Leading

The final decades of the Republic saw new, unique cultural traditions and a new model of conduct. Cicero's Stoic philosophy emphasized reason, duty, morality, and divine providence. The historian Sallust saw moral corruption in Rome as being responsible for political chaos and civil war. Another historian, Livy, blamed ambitious senators and plebeian demagogues for Rome’s problems. The poet Lucretius transformed Greek Epicurean materialism by emphasizing the virtues of a thorough understanding of the physical world to secure a dispassionate understanding of death. The lyric poems of Catullus departed from Greek precedents in conveying real emotions and human distinction. Roman artists also expressed this new interest in individualism through the emerging popularity of busts and portraiture.

IV. THE AUGUSTAN AGE AND THE PAX ROMANA

Octavian, who received the title Augustus from the Senate, ruled by virtue of his wealth and by the support provided by the Roman political elite and the army. Utilizing the political institutions of the Republic, he formally ruled first as a consul and later as a tribune. He enjoyed absolute power as Rome’s first emperor, although Augustus continued the pretense that power resided in republican institutions. Rome entered an extended period of peace and political and social stability known as the pax Romana.

A. The Empire Renewed
Augustus introduced extensive social, political, and cultural reforms on his own authority.

1. The Senate. Augustus's reform of the Roman state relied heavily upon the Senate, which he subordinated to his interests. The senate became a 600-member hereditary body that was open to leaders from the Italian cities and colonies.

2. The Equites. Expanding the ranks of the equites with wealthy merchants, publicans, and speculators, Augustus often employed them in administrative posts or as army officers. Augustus made it easier for people to become an equite and also easier for them to progress to become a patrician and senator.

3. The Army. By granting land and cash payments to retiring soldiers, enrolling provincials in auxiliary units, and establishing the elite praetorian guard, Augustus resolved the Roman military crisis. Colonies of veterans, established in the provinces, also helped to Romanize the provinces. Urban poverty and unemployment, however, were increasingly important concerns, which encouraged Augustus to placate the poor with free food, fresh water, and entertainment.

4. Divine Augustus. Augustus strengthened Roman society by restoring Roman religious traditions of piety and morality, rebuilding temples, encouraging religious festivals, and recreating the link between traditional Roman gods and the destiny of Rome. He also promoted a new cult of emperor worship. In the east, Augustus himself was considered to be a living god. Seeking to bolster the declining authority of the paterfamilias and reestablish traditional Roman values, Augustus encouraged marriage, procreation, marital fidelity, and wives' submission to their husbands.

5. Poetry and Patronage. The poets Horace and Virgil enjoyed favor and the patronage of Augustus for celebrating conservative values and for praising Augustus’s accomplishments. But the emperor exiled Ovid, another notable poet, for his irreverence and wit, and for his encouragement of sexual immorality.

B. Augustus's Successors

Rome had no formal procedure of dynastic succession, complicating Augustus’s plans to be followed by an able successor. Despite the personal problems of Augustus's successors—Tiberius, Gaius (Caligula), Claudius, and Nero—Rome expanded its boundaries. After a military coup ended with Nero’s death, power ultimately passed in A.D. 70 to the Flavian dynasty of Vespasian, who was responsible for restoring the dignity of the imperial office. Romans extended their control over Britain, Thrace, Cappadocia, Mauritania, and Judaea, as Roman armies established Rome’s natural frontiers at the Rhine and Danube Rivers and the deserts of North Africa and Arabia. After the Flavian emperors, the Antonines (96-193) ruled Rome for the remainder of the pax Romana, reportedly a time of happiness and prosperity.
1. Breaking the Peace. Although Roman armies contended with sporadic revolts and border wars, Trajan oversaw the final expansion of the empire's boundaries into Dacia, Armenia, and Mesopotamia. The resulting Roman Empire was noteworthy for its prosperity, heterogeneity, and stability.

2. Administering the Empire. Imperial government was oppressive. Emperors delegated most of the administrative responsibilities to local officials, who received Roman citizenship for their service. Where the emperor's rule was more immediate, the role of the army was far more evident, as the army began to play an increasingly important role in politics. Other administrators came from the extended households of the Roman elite. Government officials generally left people alone as long as they paid their taxes and obeyed the law. Because of the openness of provincial government, subject peoples who became Romanized could aspire to power and public office.

V. RELIGIONS FROM THE EAST

Romans became increasingly dissatisfied with traditional Roman household gods and state cults as they sought the immortality and personal contact with a god that was promised by the so-called mystery cults like those of Cybele, Isis, and Mithras. Rome’s leaders left the cults alone, as long as they could be assimilated with traditional Roman deities.

A. Jewish Resistance

Roman officials left Judaism essentially alone. The Sadduccees were willing to accept some aspects of Hellenistic religions in exchange for toleration. Yet within Judaism the Hasidim rejected the polytheism of Hellenistic culture. Though he taught peace and love, the Jewish scholar Hillel rejected collaboration with polytheistic powers. Another Hasidim faction, the Zealots, periodically led armed rebellions against the Romans. The Romans responded with force.

B. The Origins of Christianity

Although Jesus of Nazareth left no religious texts, his followers compiled a selection of Gospels, Epistles, a book on the activities of the early Christian community, and a book of revelations. Jesus taught love and peace, performed miracles, and his followers claimed him to be the promised Messiah. Because the Roman governor, Pontius Pilate, saw Jesus as a threat to Roman government, he authorized Jesus's crucifixion.

1. Spreading the Faith. The apostles and disciples of Jesus reported his resurrection, which they saw as evidence of his promise of salvation. Initially a Jewish sect, Christianity became a growing and separate religious tradition when Paul of Tarsus preached that God had created man and had intended him for eternal life. Salvation was possible through belief in Jesus...
and could be shared through baptism and church membership. Christianity gradually spread throughout Asia Minor, Greece, and Italy. The Christians’ refusal to participate in Roman cults, including the cult of the emperor, led to their persecution as Roman authorities accused Christians of subversion. Ironically, the persecutions enhanced the popularity of Christianity.

2. Christian Institutions. As the church grew in membership, its organization became more formalized with bishops becoming key clerical officials. Presbyters or priests, deacons, and deaconesses assisted the bishops. A clear distinction emerged between clergy and laity. As disagreements arose over differing interpretations of the Gospels, the bishops' authority increased as they sought to resolve theological differences. Imperial officials and Hellenistic philosophers meanwhile criticized the immorality of the Christians who had refused to recognize Roman gods or the divinity of the emperor. Although Christianity spread rapidly in the first and second centuries, its impact was not fully revealed until the third and fourth centuries.

VI. GEOGRAPHICAL TOUR: A TOUR OF THE EMPIRE

Throughout the Roman empire towns boasted characteristic Roman institutions such as a forum, temples, baths, and an arena which served to disseminate Latin culture throughout the empire. A complex road network connected the towns, allowing Emperor Hadrian to conduct an extended tour of his domains.

A. The Western Provinces

Hadrian experienced the harsh life his soldiers led along the primal German frontier. He also constructed a wall protecting northern England from Celtic attacks. His visit to Spain noted a highly Romanized and wealthy province whose citizens increasingly avoided military service.

B. The Eastern Provinces

In the prosperous east, Hadrian noted civic rivalry, strong non-Roman traditions, and the great differences of urban and rural populations. Hadrian established a number of new cities to undermine Hellenistic values. Although helping to bolster Roman control of this vast region, Hadrian's ten-year tour was unable to eliminate threats that hostile tribes, corrupt officials, declining interest in military service, and the persistent cultural gap between the city and the countryside posed to the empire.

C. The Culture of Antonine Rome

The historian Tacticus and biographer Plutarch recorded and analyzed public virtue in the late empire. Epitctetus’s Stoic philosophy received more attention in this period than did history, however. Plagued by barbarian invasions, Emperor Marcus Aurelius embraced Stoicism, which
encouraged people to ignore secular honors and material possessions. Meanwhile, the emperor sought to bolster the empire’s defenses. But, by the time of the assassination of Commodus, his son and successor, the long *pax Romana* had ended.

**CONCLUSION**

The extension of Roman power undermined traditional republican values, classes, and institutions. After 300 years of Empire, Rome faced civil war and the threat of invasion, along with a disintegrating power structure. By incorporating the wealthy and powerful into its political system, Rome was able to fight off the forces that had defeated the earlier Republic.

**KEY TERMS, PEOPLE, AND EVENTS**

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**NEW GEOGRAPHICAL LOCATIONS**

| Armenia           | Syria            | Palestine        |
| Rubicon River     | Danube River     | Elbe River       |
| Rhine River       | Thrace           | Mauritania       |
| Anatolia          | Germania         | Pontus           |
| Illyria           | Cisalpine Gaul   | Hibernia         |

**DISCUSSION AND ESSAY QUESTIONS**

1. Discuss the changes in Roman intellectual life from the early republic to the late empire.
How did philosophical developments reflect the changing power structure?

2. Why was civil conflict endemic in the Roman world before the *pax Romana*? What mechanisms contributed to the reestablishment of order?

3. Augustus was concerned about the erosion of traditional Roman values and sought their restoration. What are some of these values? Was Augustus right in trying to reintroduce these values?

4. Religious life changed substantially as the Roman Empire expanded. Discuss the major changes in pagan and monotheistic religions in this period and their political implications.

5. Elites dominated many aspects of Roman life under the empire. Did the basis of their power change as the empire grew or did it remain fundamentally unaltered?

6. Are there elements in Stoicism that anticipate the collapse of the Roman empire?

**RELEVANT TRANSPARENCIES AND MAPS**

Danzer's *Discovering Western Civilization Through Maps and Views*

S16: A Road Map of the Roman Empire: The Central Mediterranean
S17: A Road Map of the Roman Empire: The Eastern Mediterranean
S18: St. Jerome: Map of the Near East, c. 385 A.D.
R5: The Mediterranean Region

**RELEVANT STUDENT MAP EXERCISES**

Danzer's *Mapping Western Civilization*

T3: Geographic Context: The Mediterranean World
T11: Ptolemy: World Map of the Second Century A.D.
T12: Ancient History: A Chronological Context

**ANNOTATED FILM LIST**

*The Birth of a New Religion: Christianity in the 1st and 2nd Centuries*

48 minutes; color; 1999

Examines the life of Jesus in historical context and the expansion of early Christianity.
Trials and Triumphs in Rome: Christianity in the 3rd and 4th Centuries
47 minutes; color; 1999

Looks at the transition of Christianity from persecuted sect under Diocletian to Constantine’s conversion and the Edict of Milan.

The Roman Arena
50 minutes; color

Examines the Roman use of violence as public entertainment. Takes advantage of primary accounts and computer–regenerated events.

Four Views of Caesar
22 min; b&w; 1964
16mm CB 1536,16

The great Roman general and political leader, as seen by himself and three later writers: Plutarch, William Shakespeare, and George Bernard Shaw. Caesar appears as a young soldier, a rising political figure, an established state leader, and a man in the throes of old age.

Julius Caesar—Rise of the Roman Empire
22 min; color; 1964
16mm KC0254,16

Describes the changes Julius Caesar brought to the Roman imperial system. Considers the situation at the start of Caesar's career, the bases for his military successes, and his rise to political power. Concludes with his assassination at the hands of other Roman notables in whom he had aroused distrust and hatred.

Life in Ancient Rome
14 min; b&w; 1974
16mm

Recreates scenes from Roman life in the early Empire, when Rome was at the peak of its power.

Emperor and Slave—The Philosophy of Roman Stoicism
30 min; color; 1965
16mm

Examines the Roman adoption of Greek stoicism through the views of Marcus Aurelius and Epictetus. (C1965)

The Roman World
22 min; color; 1963
16mm CC1598,16
A description of the ancient world as it existed under the authority of Rome. Demonstrates with scenes of present-day ruins the scope of the Roman Empire, stretching from Britain to Turkey and from Germany to Africa.

_The Christians: A Peculiar People_
41 min; color; 1979
16mm CC 3196,16

An analysis of early Christian beliefs and the growth of the Christian church. Considers the Jewish roots of Christianity, the role of St. Paul as a leading apostle for the new religion, and the change in Christianity's status after the conversion of Emperor Constantine.

_Town and Country_
26 min; color; 1981
16mm

Examines the urbanization of the Roman Empire under Augustus.

_Testament 3—Mightier Than the Sword_
52 min; color; 1988
½ VHS

Considers the historical life of Jesus and the historical context in which the New Testament was written.

_Rome Under Augustus_
26 min; color; 1981
16mm

Explores the extensive building program in Rome undertaken by Augustus.
Chapter 6

The Transformation of the Classical World

I. THE VISUAL RECORD: A BRIDE’S TROUSSEAU

Third-century Romans combined elements of paganism with Christianity as aristocratic families preserved ancient cultural traditions. Nevertheless, a dramatic cultural change was taking place in the face of barbarian invasions.

II. THE CRISIS OF THE THIRD CENTURY

The Roman Empire experienced serious domestic and foreign threats to its existence during the third century. An over-extension of imperial boundaries, an archaic economic system, a shortage of ready cash, inflation, the uncertainty of imperial succession, and the inefficient collection of taxes worsened imperial problems. The fate of Rome was increasingly based on military success and the personal presence of the emperor.

A. Enrich the Army and Scorn the Rest

Military defeats encouraged soldiers to elevate their own commanders as emperor, a practice that Septimius Severus introduced. Financed by the confiscation of senatorial wealth and a devalued currency, the reforms of these military emperors entailed substantial increases in soldiers’ pay, a greater governmental role for soldiers, and a rapid expansion of the army.

1. The Rise of the Military. Increased pay enabled soldiers to improve their living conditions and to climb the social ladder. Frontier settlements also prospered because of imperial largesse.

2. Economic Disaster. Soldiers’ insatiable demands for higher pay led to massive currency devaluation and the resulting inflation. Economic and political stability spread as soldiers supported and then overthrew a succession of emperors.

3. External Threats. The empire faced increased attacks by Berbers, Persians, and Germanic tribes like the Alemanni and Franks.

B. An Empire on the Defensive

Barbarian invasions show the weakness of the central imperial administration. In the power
vacuum provincial aristocrats often supported separatist movements like that of Postumus.

1. Tax Burdens. Sharp social divisions followed the growing political chaos as the senators, urban gentry, and military who constituted the *honestiores* evaded the growing burden of taxation, which fell increasingly on the rest of the population, or *humiliores*.

2. Banditry. High taxes drove many into banditry not only on the periphery of the empire but throughout the empire. The government brutally suppressed resistance movements or *bacaudae*. Nevertheless, Bulla the Lucky was popular for his efforts to help the poor. Another bandit, Maximinus, actually became emperor in 235.

C. The Barbarian Menace

No longer peaceful bands of farmers, Germanic barbarians organized into powerful military tribal confederations and launched numerous attacks upon the empire.

1. Germanic Society. Living in patriarchal households loosely organized into clans, German barbarians structured their social relations around regular individual and group warfare. One key element of personal conflict was the feud, each act of which required retribution.

2. Feuding and Peacemaking. Tribal leaders would later encourage the voluntary cash payment, or *wergeld*, in lieu of blood vengeance. German tribes also encouraged unity through common cults, myths, and rituals, especially drinking bouts.

3. Warrior Bands. Barbarians used the institution of *comitatus*, or warrior band, where warriors would form a personal bond with a leader who would lead them in battle and share the spoils of victory. Pursuing booty, these bands would break truces when they raided their neighbors. Occasionally, the *comitatus* served as the nucleus of a new tribe.

D. Roman Influence in the Barbarian World

The Roman Empire itself helped strengthen the tribes when it disrupted the balance of power between them.

1. The Lure of Roman Culture. Barbarian leaders traded their cattle for Roman gold and grain and entered into military alliances with the Romans. These “federated” tribes saw these new developments increase the economic and political disparities within Germany.

2. The West Germanic Revolution. The demand for military leadership encouraged the barbarians to transform their political institutions, so that war lords replaced traditional tribal kings. The resulting West Germanic Revolution saw tribes become armies and create pro- and anti-Roman factions.

3. The Gothic Confederation. Political change culminated with the Goths, who gave their
king more military power. Germanic, Slavic, and Scythian peoples followed Gothic kings, allowing them to challenge Roman authority. The early third-century wars with the Goths proved to be more destructive to the Roman Empire than the later ones.

III. THE EMPIRE RESTORED

In the late third century, Aurelian repulsed the barbarians and reunified the Empire. Aurelius’s successor, Diocletian, oversaw a major transformation of Roman government, as well.

A. Diocletian, the God-Emperor

Diocletian emphasized the autocratic power and divinity of the emperor, while limiting the geographical territory under his oversight by creating a tetrarchy that divided the empire into eastern and western portions, each under the rule of an augustus and his subordinate caesar.

1. The Tetrarchy. Diocletian stabilized the currency by fixing wages and prices and by increasing the silver content of coins. He also separated military from civilian administration. Smaller provinces and a larger bureaucracy were two other important governmental improvements that Diocletian introduced.

2. A Militarized Society. Expanding the army and militarizing society, Diocletian created a loyal and effective military system. The eastern half of the empire had become more important by Diocletian’s reign.

3. Fiscal Reform. Diocletian failed, however, to reform the Roman economy, and in the process destroyed the authority of local officials. His practice of binding hereditary tenants (coloni) to the land to ensure their payment of taxes laid the groundwork for the subsequent institution of serfdom. Diocletian also began the Great Persecution of Christians in 303 that resulted in the destruction of churches and religious texts and the death of numerous Christians.

B. Constantine, the Emperor of God

In 305, Diocletian and his co-augustus Maximian abdicated, turning power over to their caesars, Galerius and Constantius. Constantine and Maxentius destroyed Diocletian’s tetrarchy while fighting for political supremacy in the west.

1. Victory and Conversion. Constantine killed Maxentius and won the battle of Mulvian Bridge in 312. Constantine's conversion to Christianity led to his ending the persecution of Christians, starting the toleration of their religion.

2. Constantinople.
Constantine altered both the structure and the political center of the Roman state when he moved the imperial capital to Constantinople. His conversion to Christianity paved the way for the new
religion to become the official religion of the Empire.

C. The Triumph of Christianity

Christianity quickly emerged as the official religion within the empire. Constantine used Christianity to strengthen his political control over the empire as he sought to become the head of the church. Bishops rose to political eminence, ruling lavish churches that the emperor had constructed.

1. Emperor and Church. Suppression of pagan cults commenced after Constantine’s death in 337. Ambrose, Bishop of Milan, excommunicated Emperor Theodosius I after he massacred the people of Thessalonika. Ambrose’s confrontation with Theodosius established the precedent of subsequent church-state relations.

2. Conversion. Miracles, itinerant preachers, and even coercion encouraged large-scale conversions in the fourth century.

IV. IMPERIAL CHRISTIANITY

Bishops led the Christian communities that had spread rapidly throughout the empire by the end of the third century. Despite the Church’s early success, problems remained, however, as the church was divided over questions of theology. The nature of Christ and the role of individual righteousness in personal salvation were particularly contentious issues.

A. Divinity, Humanity, and Salvation

In the early Christian church individual communities endorsed different interpretations concerning the nature of Christ.

1. Christology. Questions concerning the nature of Christ were key to the so-called Christological controversy. Most Christians viewed God as a Trinity composed of the Father, the Son, and the Holy Spirit. Different interpretations existed, however. Monarchians favored the oneness of God. Gnostics denied the human nature of Christ, claiming that he was fully divine. Arians maintained that Jesus was a man and had no divine nature.

2. Origen of Alexandria. Origen synthesized the Neoplatonism of the period with Christianity by arguing that the Father and the Son were co-eternal. Arius denied this notion, however, claiming that Jesus was not equal to God the Father. The challenges Arius and his followers, known as Arians, raised resulted in the Council of Nicaea in 325. At Nicaea the council denied Arius's views. Nevertheless, many Goths soon adopted Arianism. Later, the Council of Chalcedon (451) rejected the claims of the Monophysites by reiterating its belief in the Trinity.
3. Salvation. In the west Christians were more concerned with salvation and man’s role in salvation than they were with the nature of God. North African Donatists claimed that only “pure” clergy (Donatists) could administer sacraments. Meanwhile, the Pelagians believed perfection was possible on earth through the imposition of individual wills.

4. Augustine of Hippo. St. Augustine of Hippo denied allegations that Christianity was responsible for the decline of Rome. In addition, he rejected pagan praise for traditional Roman virtues, claiming that perfection was not possible in the earthly “city of man.” According to him, the sacraments gave the sinful access to the “true church.” Augustine further proposed that God granted man salvation as a free gift; the individual was thus not responsible for his or her own salvation. Christians, moreover, expected to co-exist with sinners.

B. The Call of the Desert

Hermits, monks, and recluses urged the Christian population to reject secular values for devotion to God. The decision of Anthony to dispose of his possessions and live in the desert encouraged others to reject a secular life for one of ascetic monasticism.

C. Monastic Communities

There were two basic forms of monasticism: communal and solitary. Monastic communities sought spiritual growth through mortification of the flesh and submission to the abbot, their leader. In the east, monasteries, following the organization of Basil the Great and Pachomius, exerted considerable political influence. Basil encouraged a communal life of work, prayer, and social service. In the west, where the rule of Benedict of Nursia dominated, monks were more isolated from public affairs, though their monasteries served as religious, educational, and economic centers. Benedict’s monks lived lives of poverty, chastity, and obedience to church authority. Jerome, a monk, translated into Latin the official version of the Bible, known as the Vulgate.

D. Solitaries and Hermits

Solitary monastic life attracted Christians to the Syrian desert even as monastic communities grew elsewhere. Extreme self-mortification dominated the ascetic lives of hermits like Simeon Stylites. Rejecting civilized life, Christian hermits wielded political power, by serving as arbitrators in the disputes of surrounding communities. Western hermits normally did not serve as mediators.

V. A PARTING OF THE WAYS
Pressure from the Huns forced the Visigoths to turn to the Roman Empire for help in the late fourth century. But, greeted with Roman brutality, the Visigoths successfully rose up against the empire and defeated the Roman army at Adrianople in 378. This forced Emperor Theodosius to grant them land and self-government within the empire. In 410 the Visigoths sacked Rome before retiring to Spain and southern Gaul.

A. The Barbarization of the West

Rome's relations with the Visigoths began a process of accommodation in which barbarian soldiers served in the Roman army and their kings came to rule in the name of the emperor in the west. As a consequence of a series of invasions by Visigoths, Vandals, and Huns, the western emperors disappeared altogether after 480.

B. The New Barbarian Kingdoms

By the late fifth century barbarian kings like Theodosius came to dominate the Roman army. Theodosius led the Ostrogoths in taking over Italy. The Frankish king Clovis conquered France. The Angles and Saxons seized control of Britain. Only the facade of Roman government remained in the west. In many cases the so-called imperial Germans were more faithful than the provincials. Barbarian generals received rank, status, and land from inept emperors. An empty imperial treasury contributed to the decline in civil government. Provincial aristocracies benefited from this decay of Roman administration, for it allowed them to consolidate political power through their control of large estates and the episcopacy. The cooperation of barbarian and provincial leaders resulted in a gradual erosion of Roman power in the west. As the local aristocracy held the reigns of religious power, barbarian leaders controlled political power. Throughout the period there was little social disruption, however.

C. The Hellenization of the East

While the western empire foundered, the empire in the east flourished as the decay of Roman traditions there led to a revival of earlier, Hellenistic traditions of civil authority. Civilian control of the tax structure and aristocratic power and wealth bolstered the more cultured and urbanized east. Moreover, eastern bishops enjoyed only limited religious authority that they shared with monks and itinerant clergy. The emperor meanwhile maintained firm control over the government.

CONCLUSION

The different religious and political traditions of the eastern and the western halves of the Roman Empire influenced their subsequent developments. While Byzantine emperors preserved Roman traditions and claimed to be successors to the Roman emperors, their domain gradually shrank. While the Byzantines preserved Roman traditions, western Europe underwent more dramatic
transformations as a result of the mixture of late imperial military and political institutions, Christianity, and barbaric customs. Differences between the eastern and western halves of the empire grew with time.

**KEY TERMS, PEOPLE, AND EVENTS**

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<td>Origen</td>
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<td>abbot</td>
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<td>Theodosius</td>
<td>Attila</td>
<td>Bulla the Lucky</td>
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<td>Simeon Stylites</td>
<td>Marcus Aurelius</td>
<td>Postumus</td>
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<td><em>dominus</em></td>
<td>Council of Chalcedon</td>
<td>Pachomius</td>
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**NEW GEOGRAPHICAL LOCATIONS**

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<td>Vistula River</td>
<td>Syria</td>
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<td>Pyrenees Mountains</td>
<td>Seine River</td>
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<tr>
<td>Loire River</td>
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**DISCUSSION AND ESSAY QUESTIONS**

1. Christian and pagan philosophy both converged and acted in opposition in the three centuries after the death of Christ. Discuss this interaction.

2. Barbarian invasions dominated the latter history of the Roman Empire. Discuss the impact of the barbarians on the western half of the Empire.

3. Jesus insisted that his message was an apolitical one, yet Christianity was central to the politics of the west by the fifth century. What characteristics, forces, and events encouraged the politicization of the Christian religion?
4. The political and cultural life of the eastern and western parts of the empire diverged increasingly as Rome fell from ascendancy. Discuss the sources and the nature of the differences between east and west.

5. What factors led to the collapse of the western empire? Why did the empire in the east survive?

RELEVANT TRANSPARENCIES AND MAPS

Danzer's Discovering Western Civilization Through Maps and Views

S16: A Road Map of the Roman Empire: The Central Mediterranean
S17: A Road Map of the Roman Empire: The Eastern Mediterranean
S18: St. Jerome: Map of the Near East, c. 385 A.D.
R4: The European, Mediterranean, and Near Eastern Realms
R5: The Mediterranean Region

RELEVANT STUDENT MAP EXERCISES

Danzer's Mapping Western Civilization

T3: Geographic Context: The Mediterranean World
T11: Ptolemy: World Map of the Second Century A.D.
T12: Ancient History: A Chronological Context

ANNOTATED FILM LIST

Testament 5—Thine Is the Kingdom
52 min; color; 1988
½ VHS

Examines the role of Christianity in the Roman Empire, beginning when Constantine made Christianity the official religion of the empire with the Edict of Milan. Includes the ideas of early church fathers like Jerome and Augustine.
Chapter 7

The Classical Legacy in the East: Byzantium and Islam

I. THE VISUAL RECORD: FROM TEMPLE TO MOSQUE

Monuments such as the Great Mosque of Damascus testify to the intermingling of successive civilizations in the Near East. Initially dedicated to the Syriac god Hadad, the structure became a temple of Jupiter, a Christian church under the Romans, and finally a Muslim mosque in the eighth century.

II. THE BYZANTINES

Although the eastern empire escaped the barbarian invasions, it too experienced conflict and instability. The Greens and the Blues, political factions, dominated Constantinople's politics. Urban life, until now the focus of the eastern empire's economy, increasingly gave way to rural society. Rivalries among Christians, conspicuous in the mutual antagonisms of the patriarchs of major eastern cities, fomented political dissent throughout the empire. Amidst these various challenges was Emperor Justinian, intent on increasing his power within the Empire.

A. Justinian and the Creation of the Byzantine State

The Byzantine Emperor Justinian harshly suppressed the domestic political rivalry of the Blues and Greens; ordered the collection of Roman law in the Justinian Code; recaptured North Africa, Italy, and part of Spain; increased the collection of taxes; and built the Hagia Sophia. But his extensive wars and elaborate building projects bankrupted the empire, leaving it prey to invaders after his death. In the seventh century, Islam emerged in Arabia, challenging and ultimately absorbing much of the eastern Roman Empire. During this time the Byzantine government served as a model centralized state, as a guardian of Greek and Roman civilization, and as a protector of Christianity. As time passed the eastern empire became increasingly less Roman and more Hellene, or more properly, Byzantine.

B. Emperors and Individuals

From the 700s until the 900s Byzantine society centered on the individual whose freedom was constrained in a personal relationship with imperial authority.

1. Governing Byzantium. Byzantine government was a civilian autarchy where the emperor cult superseded Roman institutions and customs. Omnipotent emperors, both male and
female, permitted individuals and families political autonomy. There was, however, little individuality or creativity in the empire. The senate, as well as political factions like the Blues and Greens, became purely ceremonial institutions.

2. Bureaucracy and Army. The empire was reorganized into some twenty-five provinces or *themes*. The soldier-farmer was the key to both military power and the preservation of a free peasantry. A military commander known as a *strategoi* was responsible for both military and civilian operations in the themes. The bureaucracy of the civilian central government, widely staffed with eunuchs, rose in power. Eunuchs served as a safeguard against the rise of powerful aristocrats.

C. Families and Villages

Political power in the Byzantine Empire was centralized. Neither nobleman nor commoner wielded political power. At the local level the nuclear family was key. The private house served as both a residence and as a work center. Professional organizations served the emperor’s attempt to regulate trade and control taxes instead of advancing the interests of their members.

1. Rural Life. Nuclear families tilled enclosed fields; individual villages and towns remained detached and separate from one another. Villages served as local courts and as the basis of tax assessments and thus were crucial elements in enhancing imperial control.

2. Urban Life. Cities, like villages, were isolated from one another. Constantinople’s strategic location on the Bosporus enabled the city to become an important trading center, as goods passed through its ports from north, south, and east. The manufacture of luxury goods flourished. The 10 percent flat tax on all goods passing through Constantinople enriched the empire.

D. A Foretaste of Heaven

Subordinated to the emperor, Orthodox Christianity linked the Byzantine emperor and his subjects.

1. An Imperial Church. Oriented on an orderly liturgy that contemporaries claimed offered a “foretaste of heaven,” Orthodox religion focused on the veneration of God and emperor while it offered a message of order, permanence, and stability. The patriarch of Constantinople supervised the church hierarchy. Priests were drawn from the local peasantry and were allowed to marry; metropolitans, bishops, and patriarchs were recruited from monasteries and were expected to remain single and celibate.

2. Conversion of the Slavs. Cyril and Methodius introduced Christianity to the Bulgar and Slavic peoples. In addition, the two missionaries developed a Slavic alphabet and a liturgy in the vernacular. Russia converted to Orthodox Christianity in 988.
E. Iconoclasm

Monastic communities were largely free from imperial control. They maintained great appeal to the common people through icons, which offered an intermediary relationship with the person the icon represented. In 726 Emperor Leo III and his supporters, called iconoclasts or “breakers of images,” initiated a campaign to curb the independence of monks by seizing monastic estates, forcing monks to marry, and destroying icons. Defenders of icons were known as iconodules. Following a period of intense persecution, Empress Theodora restored image worship in 843 and encouraged the revival of monastic life. Meanwhile western Christians, who were opposed to the iconoclasts' policies, had turned increasingly to the western Franks for support.

III. THE RISE OF ISLAM

In the seventh century Muhammad began a messianic religion of Islam that united the Arabian world, precipitating military conquest that extended from India to Spain. Combining Christian, Judaic, and Arabian religious elements, Muslim warriors also mixed Roman, Greek, and Arabian traditions in their new civilization. In the process they created an empire.

A. Arabia Before the Prophet

Prior to the arrival of Muhammad, people living in the Arabian peninsula were merchants. Caravan routes extended from the Euphrates to Egypt.

1. Between Byzantium and Persia. In the late 500s, Ethiopians and later Persians defeated Yemen, a regional power that arose to protect caravans traveling in southern Arabia. A power vacuum followed. Aside from a common Arabic language, little distinguished Arabs from non-Arabs.

2. Bedouin Society. The nomadic Bedouins lived an independent existence in the interior of the Arabian Peninsula. Without formal political institutions, Bedouin society was organized in patriarchal kin groups that shared the herds and flocks that formed the basis of their pastoral economy. Blood feuds and raids were important elements in Bedouin society. Tribal sheikhs served as arbitrators and as executors of the will of the tribe. Although Arabs in settled areas sometimes adopted Christianity or Judaism, most Bedouins were pagans and worshiped local gods.

3. Harams. Because of the practice of raiding neighboring tribes, it was necessary to establish sanctuaries that could serve as neutral sites or harams where negotiations could take place peacefully. Mecca, one such sanctuary, became an increasingly important commercial
center as it began to organize caravans.

B. Muhammad, Prophet of God

Originally a businessman in Mecca, Muhammad experienced a religious vision in 610.

1. Preaching Islam. Muhammad began to preach a holy message that emphasized the unity of God, the errors of idolatry, and the power of divine retribution. Muhammad's teachings built upon both Judaic and Christian foundations but downplayed the speculative and interpretative traditions of these earlier religions. Muhammad saw the worship of God or Allah as man's principal duty. His teachings, accumulated in the Qur'an, or Koran, served as a manual for both religious and secular life. Muhammad's insistence that damnation awaited those who persisted in idolatry inaugurated a period of persecution.

2. The Hijra. The prophet's relocation or Hijra from Mecca to Medina in 622 provided him with a secure base for his expansionist campaign.

C. The Triumph of Islam

Muhammad then made Medina a haram and converted its citizens. He also replaced tribal or clan loyalty with a new community of believers called the Umma. Those who failed to accept Muhammad’s religious teachings were either executed or expelled.

1. Return to Mecca. As the number of faithful increased, Muhammad launched a military campaign that resulted in his conquest of Mecca in 629. The Umma became a supertribe of all who would accept Muhammad’s teachings.

2. Women in Early Islam. Both men and women could be true believers. Although women were subordinate to men, their status improved as they received more rights in marriage, control of their dowry, and the guarantee to be treated the same as all the other wives.

3. An Arabian Faith. Muhammad's message of eternal damnation of nonbelievers and the promise of paradise for believers, aided rapid conversion to the new religion. The prospect of a life of warfare and pillage also encouraged conversions. Holy wars, or jihads, brought Islam to new areas. Christians and Jews were tolerated, though they were required to pay a special tax which benefited the Umma.

D. The Spread of Islam

Muhammad's death in 632 temporarily halted conversion to Islam. The wars of reconversion that Abu Bakr launched began a series of Muslim victories that extended Islam from Egypt to Asia Minor. Capitalizing on widespread resentment of Byzantium in Syria, Iraq, and Egypt, the
Muslim conquerors were greeted in many areas as liberators. Relegated to the status of second-class citizens, Jews and Christians nonetheless retained their own religions under the Muslims' relatively tolerant rule. The Muslims’ promise of religious toleration to nonbelievers facilitated a rapid expansion of Muslim armies. By 650 the Sassanid Empire no longer existed and the Byzantine Empire was much reduced, left to fight a desperate war of survival.

E. Authority and Government in Islam

Conquering Arabs were confronted with the problem of governing a large heterogeneous empire in which they were a minority. Two enduring models of government emerged.

1. The Umma. The two models of government were pre-Islamic tribal authority and authority exercised by the Prophet, the method preferred by the most recent converts. In the Umma, authorities relied upon either their economic or military power. Preserving Byzantine and Sassanid bureaucratic systems, the Muslims left the social and economic systems of their newly acquired territories essentially unaltered.

2. The Last Orthodox Caliphs. Early divisions centered on the division of spoils during 'Umar’s caliphate. His successor, 'Uthman, tried to reduce the privileges of early converts. He was assassinated in the civil war that followed. Internal dissension divided the Muslims even as their empire expanded. Muhammad's nephew 'Ali, the fourth caliph, was assassinated in 661, but his adherents later emerged as the Shi'ite sect, which believed that legitimate authority could only come from the house of 'Ali.

F. Umayyad and the ’Abbasid Caliphates

'Ali’s death brought the Umayyads to power. The Umayyads tried to eliminate the government’s reliance on spiritual authority by appealing to Arab unity. Damascus became the new capital.

1. Umayyad Caliphate. The Umayyad caliphates oversaw a dramatic extension of Islam from the Syr Darya River in China to the Loire Valley in France. Charles Martel’s victory at Poitiers, however, stopped the Muslim advance and pushed the Muslims back to Spain. Creating an empire was easier than supporting a stable government. Resistance to the conversion of Jews and Christians undermined popular support for the Umayyads. Internal tensions remained.

2. The ’Abbasid Revolution. The desire for a spiritual basis for leadership intensified until ‘Abbas led Persian and Arabian religious reformers in overthrowing the Umayyads and establishing the 'Abbasid caliphate in 750. This transition deprived Arabs of their privileged position within Islam and established the dominance of the Sunnis in their new capital city of Baghdad.

3. Division and Revolt. The 'Abbasids established an autocratic political system but lost
control over local military commanders, or emirs, who seized control over local governments. Sunnis refused to accept Abbasid claims to leadership and periodically rebelled against the caliphate. Shi’ites successfully established the Fatimid caliphate in Egypt in 969, gaining control of all of North Africa and western Arabia. Arab unity was nonexistent.

4. The Turks. The Seljuq Turks’ invasion in the mid-eleventh century conquered Iran, Syria, and Palestine, and devastated an Islamic commonwealth that antagonism between Shi’ites and Sunnis had divided. Moroccan Berbers took over most of northern Africa and Spain. Commerce and agriculture fell on hard times.

G. Islamic Civilization
Muslim caliphs organized irrigation systems that brought vast tracts of land under cultivation, Meanwhile the empire established an extensive trade network with the North Africa, China, India, and Arabia. Ideas as well as goods moved freely throughout the empire as Muslims spread Persian and Hellenistic culture.

1. Science and Faith. Preserving both Hellenistic and Persian culture, Muslim scholars were particularly noted for their contributions to law, medicine, mathematics, and astronomy. Sufis introduced new devotional practices based on a combination of Neoplatonism and Islam.

2. Philosophy. Like Christian thinkers before them, many sought to reconcile Islam with pagan philosophy. The philosopher Ibn Rushd, known as Averroës, wrote commentaries on Aristotle that influenced both Christian and Muslim scholars for centuries. Ibn Sina tried to combine the philosophies of Neoplatonism and Aristotle. Moses Maimonides tried to reconcile Aristotle, Neoplatonism, and Scripture.

3. Christian Invasion. Beginning in the late tenth century, a resurgent Byzantine Empire expanded in to Syria and Palestine.

IV. THE BYZANTINE APOGEE AND DECLINE, 1000–1453
Under the Macedonian dynasty (867-1059) Byzantium attained its final supremacy in the Mediterranean world in the tenth and eleventh centuries. Byzantine armies recovered lands in Syria, Armenia, Georgia, and southern Italy. A brief period of economic prosperity and cultural revival accompanied military expansion. Byzantine culture was largely imitative of classic Greek literature, philosophy, and art. One noteworthy exception was the classic epic Digenis Akrites which was renowned for its depiction of life in the Byzantine Empire.

A. The Disintegration of the Empire
Incessant fighting produced a constant need for additional troops. This led eleventh-century
Byzantine rulers to weaken the state's power and finances by transferring land to aristocrats in return for military service, a practice known as *pronoia*. By exempting the aristocracy from taxation and transferring political authority to the nobles, the Byzantine government actually undermined its own power.

1. Internal Conflict. Disaffected generals turned against the central government, forcing the emperors to hire mercenaries who often plundered the empire rather than defend it. Peasants who were caught between the demands of magnates and tax collectors surrendered their freedom in return for the magnates' protection.

2. Commercial Threats. Weakened by military coups and civil war, Byzantine emperors contracted with Venetian merchants to carry commercial goods and to serve as the imperial navy. By 1071, the Byzantine Empire, under attack from both the east and the west, lost all of Anatolia as a result of its defeat at the battle at Manzikert. The empire then gradually collapsed.

B. The Conquests of Constantinople and Baghdad

The Comnenian dynasty (1081-1185) temporarily halted Byzantine decline by allying with the aristocracy. Alexius I Comnenus was particularly noteworthy for temporarily stopping the decline. But, fundamental conflicts weakened the empire. Byzantium would soon face threats from both the Christian west and the Muslim east.

1. Dangers from the West. Papal claims to supreme authority over the Orthodox church renewed religious controversy that had earlier centered around icons. Leading Catholic and Orthodox church officials excommunicated one another in 1054, creating a situation that remained unchanged for more than 900 years. Alexius I’s call for military assistance against the Muslims led to the First Crusade, which led to the reconquest of Jerusalem and the creation of the Latin Kingdom of Jerusalem in 1099.

2. The Sack of Constantinople. The Latin soldiers of the First Crusade saved Byzantium from the Muslim threat. Later crusaders, however, pillaged Constantinople and drove the emperor to Nicaea in 1204. Emperor Michael Palaeologus recaptured Constantinople, but his empire was reduced to the city, Thessalonika, and Peloponnesus. Its precarious survival was largely due to internal problems within the Islamic empire.

3. Eastern Conquests. The Mongol attacks of Temujin (Genghis Khan) shattered the Seljuk kingdom and established an extensive empire that included Russia, Iraq, Anatolia, and Syria. The Ottoman Empire that arose in Turkey would conquer Constantinople and end the Byzantine Empire in 1453. Although the imperial tradition would end, the city would remain the capital of an extensive empire for over four centuries.
CONCLUSION

Heirs to earlier eastern civilizations, the Byzantine and Islamic empires shared a monotheistic religion and transmitted western traditions to the far east and the Slavic world. Islamic and Byzantine civilizations thus advanced western culture, particularly in government, religion, culture, and trade.

KEY TERMS, PEOPLE, AND EVENTS

minarets     Greens and Blues     Justinian
Theodora     Ottoman Empire     Justinian Code
Hagia Sophia John of Cappadocia Sassanid Empire
Chosoroes II Qur'an/Koran haram
themes strategoi Orthodox Church
patriarch icons iconoclasts
iconodules Bedouin sheikh
Muhammad Ka'bah Quraysh
Hijra jihad Abu Bakr
'Umar Greek fire 'Ali
Shi'ism Umayyads 'Abbasids
Sunnis Fatimid caliphate Seljuq Turks
Sufis Avicenna Averroës
Cyril and Methodius Robert Guiscard Manzikert
First Crusade Genghis Khan Ottoman Empire
Mehmed/Mehmet Umma Mamluks
Comnenian dynasty pronoia Alexius I Comnenus

NEW GEOGRAPHICAL LOCATIONS

Damascus     Istanbul     Asia Minor
Bosphorus Dnieper River Anatolia
Mecca Arabian peninsula Syr Darya River
Indian subcontinent Atlantic Ocean Rhone River
Persian Gulf Bahrain Yemen
Saba Medina Gibraltar
Loire River Venice Caspian Sea
Baghdad Antioch Georgia
Armenia Morocco

DISCUSSION AND ESSAY QUESTIONS

1. Compare and contrast the individualism of the Byzantine subject and the freedom of the
Greek citizen in the classical period. Were freedom and individualism compatible or mutually exclusive in these societies?

2. Compare and contrast the rise of Christianity with the rise of Islam. Did similar factors promote the expansion of these two world religions?

3. The distinction between Shi'ite and Sunni Muslims plays a significant role in today’s politics. How did these two sects arise within Islam? What forces potentially contributed to the Sunnis' numerical dominance?

4. Discuss the tactics used by Byzantine emperors to shore up their authority.

5. What factors were responsible for the meteoric spread of Islam?

6. Why did the Byzantine Empire collapse?

RELEVANT TRANSPARENCIES AND MAPS

Danzer's Discovering Western Civilization Through Maps and Views

S17: A Road Map of the Roman Empire: The Eastern Mediterranean
S18: St. Jerome: Map of the Near East, c. 385 A.D.
S22: The Bosporus: Landsat View
S23: Cosmas Indicopleustes: Map of the World, c. 548 A.D.
S24: Al–Idrisi: Map of the World, 1154 A.D.
R4: The European, Mediterranean, and Near Eastern Realms

RELEVANT STUDENT MAP EXERCISES

Danzer's Mapping Western Civilization

T2: Geographic Context: The Ancient Near East
T3: Geographic Context: The Mediterranean World
T14: Isidore of Seville: A T-O Map
T15: Al–Idrisi: Map of the World, 1154 A.D.

ANNOTATED FILM LIST

Byzantium and the Holy Roman Empire: Christianity in the 7th and 8th Centuries
48 minutes; color; 1999

Compares religion during the collapse of the Roman Empire with the religious vitality during the
Byzantine Empire and the emergence of Islam.

*The Glory of Byzantine Art*
11 minutes; color, 1998

Looks at the wide variety of Byzantine art, including mosaics, carvings, and ceramics.

*The Bridge: How Islam Saved Western Medicine*
50 minutes; color; 1998

Examines the role that Islamic physicians and scientists played in preserving ancient medical knowledge.

*The Christians: The Christian Empire*
39 min; color; 1976
16mm CC3190,16

Examines the formation and development of the Byzantine Empire. Indicates how Greek and Latin forms of Christianity developed, leading to the emergence of separate Eastern Orthodox and Roman Catholic churches. Considers the role of religious differences in promoting a political split between eastern and western Europe.

*Islam, 600-1200*
26 min; color; 1985
½"VHS CC3603, VHS

Traces the history of Islam from its origins to the development of a vast empire stretching from Spain to India. Contrasts the high level of Islamic civilization with the more modest cultural accomplishments in western Europe during most of this period.

*Islam and the Sciences*
24 min; color; 1987
16mm CC3091,16

Analyzes the role of scientific investigation within Islamic civilization, starting in the seventeenth century A.D. Describes advances made in such fields as medicine, mathematics, and anatomy.

*The Christians: People of the Book*
44 min; color; 1976
16mm, CC3197,16

A skilled examination of the historical contacts among Jews, Muslims, and Christians. Considers the collision of values and interests exemplified by the Crusades. Examines the
evolution of relationships in Spain from mutual respect and toleration to the Christian expulsion of Jews and Muslims. Recommended.

*The Crusades: Saints and Sinners*
25 min; color; 1967
16mm CC2441,16

Examines the origins and course of the First Crusade (1095-1099). Shows how a variety of motives and causes, including the strong leadership of Pope Urban II, directed European military power outward to the conquest of the Holy Land from the Muslims.

*Al Andalus*
34 min; color; 1975
½ VHS

Explores eight hundred years of Islamic influence in art, architecture, religion, and scholarship on the western world beginning in the 700s.

*History and Culture: Part 1*
28 min; b&w; 1965
16 mm

Studies the cultural background of North Africa and the Middle East, including the background and contributions of Arabs and the teachings of Muhammad.

*Islam*
28 min; color; 1972
16 mm

Introduces the basic beliefs of Islam. From the World Religions series.

*The Five Pillars of Islam*
30 min; color; 1983
½ VHS

Examines the five basic beliefs of Islam. From the World of Islam series.

*Byzantine Empire*
2 pts. 30 min each; color; 1989

Part 1 surveys the political and religious institutions of the Byzantine Empire and explains the survival of the empire for 1,000 years. Part 2 looks at the spread of Islam and how it weakened the empire.
Chapter 8

The West in the Early Middle Ages, 500-900

I. THE VISUAL RECORD: THE CHAPEL AT THE WATERS

Charlemagne, through the construction of his capital at Aachen and his coronation ceremony in 800, fused Roman and Gothic traditions. Byzantine emperors, who dated the decisive fall of the Western empire from the death of Julius Nepos in 480, found Germanic claims concerning the reestablishment of the imperial tradition in the west to be both illogical and threatening.

II. THE MAKING OF THE BARBARIAN KINGDOMS, 500–750

The claims of Byzantine Emperor Anastasius I (491-518) of ruling a united empire were fanciful. German kings and governors like Theodoric the Great, Gondebaud, Alaric II, and Clovis, who were nominally under the emperor's control, adopted Roman titles to bolster their power, but they were unwilling to recognize Anastasius as their overlord. The Anglo-Saxons in Britain did not even pretend to acknowledge imperial authority.

A. Italy: From Ostrogoths to Lombards

The Ostrogothic kingdom in Italy and the Visigothic kingdom in Spain and southern Gaul dominated the west by the early sixth century. Their dominion, however, was short lived.

1. The Ostrogothic Kingdom. In Italy, Theodoric the Great utilized both Roman civil and Gothic military institutions. He used the Roman bureaucracy and the authority he had received from the Byzantine emperor to govern. His willingness to exercise religious toleration of both orthodox and Arian Christians encouraged leading intellectuals and bureaucrats to serve his regime. Yet tensions between Ostrogoths and the Romans grew. Theodoric's death in 526 led to internal conflict and a protracted period of plague and warfare with the Byzantine emperor Justinian I.

2. Lombard Conquest. Plague and war facilitated the Lombards’ conquest. The Lombards demolished the Ostrogoths and left Rome under the protection of popes such as Gregory the Great. The Lombards increased their acceptability and popularity when they converted from Arian to orthodox Christianity and rejected Roman taxes. Society was more stable— albeit less refined— under the Lombards.
B. Visigothic Spain: Intolerance and Destruction

Reluctance to accept Arianism led to armed insurrection. The Visigoths sought to unify the people in Spain through Roman law and Arian Christianity. Driven from southern Gaul by the Frankish king Clovis in 507, the Visigoths converted to orthodox Christianity late in the sixth century.

1. Conversion and Intolerance. King Recared used his new religious ideology to bolster his power, unify his subjects, and justify his brutal persecution of Spanish Jews. Aristocratic resistance undermined royal power and facilitated an invasion.

2. Islamic Conquest. In 711 the Muslim invasion ended the Visigothic kingdom and was welcomed by many who appreciated the invaders/religious toleration.

C. The Anglo-Saxons: From Pagan Conquerors to Christian Missionaries

The Anglo-Saxon political organization was characterized by small kingdoms loosely confederated under a king.

1. Aristocratic Society. Cultural change was, however, due more to free peasants than to the nobility. Deeply antagonistic to Roman culture, English kings and aristocrats relied on fighting, looting, and farming. City life, government services, and tax collections declined.

2. Conversion. Missionaries converted these pagan peoples in a twofold campaign that began when the Irish monk Columba established a base for itinerant monks at a monastery on an island off the coast of Scotland. From here, Irish monks established the tradition of a decentralized Celtic church. In 596, Pope Gregory the Great sent Augustine of Canterbury to southern England, where he began to convert the English and establish the basis for an episcopal church. King Oswy of Northumbria resolved tensions between monastic Celtic and Roman religions when he embraced the traditions of the Roman church at the Synod of Whitby in 664.

3. Anglo-Saxon Missionaries. Beginning in the 700s, British missionaries returned to the Anglo-Saxon homeland to introduce Christianity to pagans. Culture flourished in Christian Britain, which supplied the Continent with missionaries throughout the eighth century.

D. The Franks: An Enduring Legacy

Frankish soldier-farmers served the Roman emperors in the fourth and fifth centuries. Salian Franks settled in Belgium and Holland after their defeat at the hands of the Romans. Clovis defeated the last Roman army in Gaul in 486. Embracing orthodox Christianity, Clovis assimilated his Roman subjects into a political structure that European rulers employed for the next millennium. His enlarged kingdom, divided between his sons into the kingdoms of
Neustria, Burgundy, and Austrasia, was the ancestor of France and Germany. A unified Frankish state would come to dominate western Europe in the eighth century.

III. LIVING IN THE NEW EUROPE

Small farmers in Spain, Italy, and France were little affected by the rise of a Germanic kingship as their principal concern was survival. Daily life was nonetheless transformed by the emergence of a new society based on a merger of Germanic and Gallo-Roman aristocracies.

A. Creating the European Peasantry

Rural life changed significantly in the early medieval period because of three major changes. First, the household emerged as a key socio-economic institution. Second, slavery ended. Increasingly, slave families were placed on small plots of land. Gradually the distinction between slave and freeman evaporated as both were now answerable to their landlords. Third, Christianity spread widely across the countryside. The clear distinction between the free peasant farmer and the slave farmer became blurred due to intermarriage between the two groups and the growing power of local lords.

B. Rural Households

The household became the basic structure of social, economic, and political life; it also became the political link between peasant and king.

1. The Peasantry. A sexual division of labor governed peasant labor, which followed an agricultural calendar. Heads of households, both male and female, exercised extensive authority in the family.

2. Agriculture. Agricultural production fell below rates the Romans had achieved. Technological innovations like the heavy plow and water mills were rare.

3. Christianity. Beginning in the sixth century, Christianity spread from urban areas to the rural peasantry as Christian festivals and rites replaced pagan ones. By the ninth century, the expansion of the parish system was consolidating these gains and bringing Christian liturgy and ceremonies into the daily life of the country.

C. Creating the European Aristocracy

Inherited wealth and military status conferred nobility. German aristocratic traditions combined with Roman aristocratic traditions to forge a uniform western aristocracy. Kings had little authority over aristocrats. This accommodation of elites progressed more rapidly in Gaul than in
Spain and Italy because of religious differences there. Northern Frankish aristocrats encouraged the construction of monasteries that served as both economic and political centers. Southern Franks relied more heavily on bishops.

D. Aristocratic Lifestyle

Throughout the west, aristocratic life centered on autonomous clans that guarded their autonomy from both kings and rival clans.

1. Feasting and Fighting. Nobles focused on hospitality, hunting, and war, which promised glory and wealth.

2. Women in Aristocratic Society. Although women were generally considered inferior to men, women's public roles expanded in this period, encouraged by the growth of Christian religious institutions and the frequent absence of their husbands. On occasion aristocratic women, such as Saint Hillary of Whitby, even headed church institutions.

E. Governing Europe

Political structures varied widely from the decentralized Celtic and Slavic governments to the relative solidity of Frankish rule.

1. Kings and Aristocrats. Even strong kings like Clovis depended heavily upon aristocratic support to contain nobles' ambitions and authority. Aristocrats, concerned about extending their own power base, saw any increase in royal authority as a personal threat. Kings therefore had little direct authority over anyone outside their households and armies, though aristocrats were usually willing to follow the kings—as peers. Kings served as military commanders.

2. Royal Justice. Kings enhanced their power on several fronts. Kings shaped legal procedure by codifying laws, appropriating local administration, and controlling the collection of taxes. By presenting themselves as protectors of the church, medieval kings claimed responsibility for both the administration of justice and preservation of the peace. By allying themselves with the church, kings gained the assistance of educated clerics who could serve as royal advisers and administrators. Clovis promulgated Salic law. His Visigothic and Anglo-Saxon peers followed his lead.

3. Royal Administration. Government relied heavily on the personal qualities of kings. Kings frequently moved around their countries. They delegated authority to local aristocrats, who served as military commanders, administrators, and judicial officials.
IV. THE CAROLINGIAN ACHIEVEMENT

Aristocratic power severely reduced the importance of the Merovingian kings in the seventh century, creating a political vacuum partially filled by dukes. The most powerful of these aristocrats was Charles Martel and his successors, the Carolingians.

1. Charles Martel. Charles Martel’s family gained strength through the office of mayor of the palace of Austrasia and through strategic marriages. He subsequently unified Neustria, Burgundy, and Austrasia into a single kingdom. Endowed with estates seized from his enemies, Charles Martel's vassals were an exceptionally effective fighting force. He provided his cavalry soldiers with estates, which they retained in exchange for military service. Martel's army won a significant victory over the Muslims at Tours in 732 and later protected the pope from invading Lombards. The hierarchical structure of the Roman church appealed to Martel and his successors, who solidified their control with the aid of the papacy.

2. Pippin III. Charles Martel's son Pippin acquired political legitimacy when Pope Zacharias recognized him as King of the Franks in 751. Succeeding the Merovingians in 751, the Carolingians became the first European rulers to combine royal and ecclesiastical legitimacy. In the process, they transformed western Europe’s political, social, and economic institutions.

B. Charlemagne and the Renewal of the West

Charlemaigne's military conquests, religious reforms, state–building, and patronage of the arts dramatically changed western society. Charlemaigne’s heavy cavalry conquered the Aquitanians, Pannonians, Catalanians, Avars, Bavarians, Lombards, and Saxons. His successful military campaigns seized booty that would finance a cultural revival.

C. The Carolingian Renaissance

Guided by Alcuin of York, scholars collected and corrected classical texts. Charlemaigne established schools for both clergy and laity. A new method of writing, Caroline minuscule, was introduced. Intellectuals from throughout Europe developed a rigorous educational program. During the Carolingian Renaissance, aristocratic men and women attained new levels of literacy and knowledge. Literature, philosophy, history and theology prospered. Mandatory tithing extended reform to the parish level by financing the education of the clergy and by enriching monasteries. Charlemaigne and his son Louis the Pious encouraged the Benedictine monks.

D. Carolingian Government

Loyalty to king and church was the key to Carolingian government. Counts, drawn from the great Frankish families, constituted Charlemaigne's imperial aristocracy. They supervised royal estates, led soldiers in battle, and presided over local courts.
1. Local Governance. *Missi domici*, teams of inspectors, ensured good government by auditing local governments.

2. The Carolingian Church. Charlemagne relied on the church to unify his disparate people. He believed that unity of religion would lead to unity of administration and politics.

3. The Court. Personal loyalty sealed the allegiance to the Carolingian political structure, but imperial bureaucracies supplemented these ties. Charlemagne's governmental reforms were the most extensive and original in the Middle Ages and would be imitated throughout Europe.

4. The Imperial Coronation. The expansion of Carolingian territories, which rivaled that of ancient Rome, and their resulting power found tangible expression in Charlemagne's imperial coronation in Rome in 800, the political significance of which would later enhance claims of papal supremacy.

E. Carolingian Art

Abstract art, the characteristic artistic tradition of the barbarian world, gave way to representational art that was valuable for education, decoration, and propaganda. Italian and Byzantine art influenced these changes. The art of classical antiquity served as a model, but did not dominate as dynamic figures characterized this new art form.

V. GEOGRAPHICAL TOUR: EUROPE IN THE NINTH CENTURY

The trade network that centered on the Carolingian empire linked the Germanic, Slavic, Islamic, and Mediterranean worlds. The construction of roads, bridges, and ports along, with Charlemagne's decision to replace gold with silver coinage encouraged trade.

A. England

King Offa of Mercia ruled a prosperous southeastern English kingdom before it was conquered by neighboring Wessex. After 865 Viking raids killed three English kings and deposed another, forcing Anglo-Saxon rulers to cooperate to fend off the invaders.

1. King Alfred. Alfred of Wessex reformed his army and navy and constructed fortifications that allowed him to repel the Vikings. He gained popular support by reforming Anglo-Saxon law and culture, emphasizing the importance of loyalty and literacy. Danish Vikings conquered the northern and eastern regions, which were known as the Danelaw, before gradually merging with the local population.
B. Scandinavia

Scandinavians exchanged amber, furs, and fish for English silver and woolens. Goods from throughout Europe would pass through the port of Birka.

1. Norse Society. Reminiscent of early Germanic society, Scandinavia had three social classes: wealthy earls (jarlars), peasant freeholders, and bondmen (thralls). Cunning and martial skills were highly valued. Scandinavian women had an unprecedented status of full equality and autonomy.

2. Royal Consolidation. Beginning in the late eighth century, Scandinavian kings enhanced their power at the expense of the earls. Consequently, the jarlars began viking, or raiding, neighboring territories to secure spoils and fame.

3. Vikings. Swedish Vikings, the Rus', traded along the Volga, Dvina, and Dnieper rivers, where they eventually established Russia. Norwegian Vikings led raids to Ireland, Spain, North Africa, and Italy. Harold Finehair consolidated Norway in 872. The Danes attacked the Frankish and Anglo-Saxon kingdoms in England and France.

C. The Slavic World

The Slavs were influenced by Vikings, Franks, and Byzantines.

1. Slavic Origins. Slavic society was virtually indistinguishable from that of the Slavs, Scythians, and Germans. In the 600s, Samo created a short-lived Slavic kingdom in the Sudeten Mountains.

2. Conversion of the Slavs. In the 700s a Great Moravian Empire emerged until Louis the German conquered the region in 864 and established a puppet government there. Two Orthodox missionaries, Cyril and Methodius, established the eastern Orthodox church in Russia, Moravia, and Pannonia; and began Slavic literacy. Starting in 895, Magyars invaded eastern Europe, dividing the Slavic territories into southern and northern Slavs. In later years, Magyar warriors would raid as far as northern Italy and France.

D. Muslim Spain

Economic and cultural life in Spain flourished under the Umayyad caliphate, that Abd al-Rahman established in 756. Muslim Spain’s cultural revival rivaled that of the Carolingian Renaissance.

1. The Umayyad Emirate. Abd ar-Rahman used his army to crush revolts defeat attacks by Vikings and Franks and to enhance his administrative control over Spain. He solidified his control with Islamic law, religion, and agrarian reform. A wealthy ninth- and tenth-century Spain
promoted urban growth and a cultural renewal that was characterized by abstract art and meditation.

VI. AFTER THE CAROLINGIANS: FROM EMPIRE TO LORDSHIPS

Weakened by its aggressive neighbors and domestic turmoil, imperial authority declined after Charlemagne's death. Although Charlemagne’s political power and economic prosperity was based upon successful military campaigns, his successors fought defensively against the Vikings and the Magyars. Grants of land secured aristocratic loyalty, as the spoils of war were no longer available for that purpose.

A. Disintegration of Empire

Charlemagne’s grandsons (Lothair, Charles the Bald, and Louis the German) divided his empire into three kingdoms—what would later be France, Germany, and the often-disputed “middle kingdom.” Central political authority consequently declined as aristocrats gained control over peasants and churches in their territories. Local nobles often proved more effective than kings in thwarting Viking raids and defending their domains.

B. Emergence of France and Germany

Military success encouraged the revival of royal authority in the tenth century, bringing new dynasties to power. In France Hugh Capet replaced the Carolingian dynasty late in that century. In 962 Otto the Great received the imperial crown following his victory over the Magyars. Otto and his successors failed, however, to match the Carolingian cultural achievements even though the empire would last until 1806.

C. Cluny

In the early 900s, religious reform led to the success of the Cluny monastery and the spread of Benedictine monasticism. Christian soldiers gradually reduced their fighting and began dedicating their swords to the church. In the following century, western civilization reached Scandinavia and eastern Europe.

CONCLUSION

Although Charlemagne's empire dissolved soon after his death, the Frankish mixture of Roman and German institutions and customs lasted. Catholicism, Roman government, decentralized administration, a cultural renaissance, and Frankish military kingship produced a synthesis that left Carolingian cultural legacy.
KEY TERMS, PEOPLE, AND EVENTS

Anastasius I    Columba    Theodoric the Great
Clovis          Ostrogoth    Treaty of Verdun
Lombards        Gregory the Great Angles
Saxons          Augustine of Canterbury Ethelbert
Synod of Whitby Bede     Vikings
Franks          Salian Franks household
parish          Saint Hilda of Whitby Merovingians
Carolingians    Charles Martel Tours
Pippin          Charlemagne    Alcuin of York
Caroline minuscule Carolingian renaissance Bretwalda
Alfred of Wessex Danelaw    Rus'
Danes           Magyars       Cluniac monk

NEW GEOGRAPHICAL LOCATIONS

Aachen          Moravia          Wales
London          Scotland         Canterbury
Belgium         Holland          Normandy
Bavaria         Aquitaine        Provence
Neustria        Burgundy         Austrasia
Tours           Mercia           Wessex
Scandinavia     North Sea        Thames River
Volga River     Dvina River      Iceland
North Sea       Baltic Sea       Pannonia
Enns River      Kiev            Toledo
Ireland         Jutland Peninsula Eider River
Thuringia       Provence         Toulouse
Essex           Humber River     Loire River

DISCUSSION AND ESSAY QUESTIONS

1. Discuss the efforts of Germanic leaders to grapple with the legacies of Roman administration. Which leaders were most successful and why?

2. The Christian religion both united and divided men and women of the early Middle Ages. Discuss the ways in which Christianity divided the peoples of the west and the ways that it united them. Did Christianity do more to separate or link western populations in this period?
3. Social, political, and religious life in the Anglo-Saxon world changed dramatically from the sixth to the seventh century. Discuss the nature of the forces that precipitated this change and its consequences for England.

4. Western social and economic life changed dramatically in rural areas in the early medieval period. What basic social units and relations emerged from these centuries?

5. What impact did the Vikings and the Magyars have on European society and government?

6. Discuss the lasting political, military, cultural, and social contributions of the Carolingians.

7. What factors led to the relatively rapid collapse of Charlemagne’s empire?

RELEVANT TRANSPARENCIES AND MAPS

Danzer's Discovering Western Civilization Through Maps and Views

S19: Macrobius: A Neoplatonic View
S20: Isidore of Seville: A Diagram of Inhabited World
S21: Beatus: The Four Corners of the Earth
R4: The European, Mediterranean, and Near Eastern Realms

RELEVANT STUDENT MAP EXERCISES

Danzer's Mapping Western Civilization

T12: Ancient History: A Chronological Context
T18: Medieval History: A Chronological Context

ANNOTATED FILM LIST

The Dark Ages and the Millennium: Christianity in the 9th and 10th Centuries
48 minutes; color, 1999

Explores the nature of prayer, the importance of icons in the Orthodox church, and the dichotomy between the desire for order and the forces pushing toward disorder after Charlemagne’s death.
Civilization: The Frozen World
54 min; color; 1970
16mm CC 2131

Examines western Europe in the perilous centuries following the fall of the Roman Empire. Shows how Christianity and remnants of the learning of the ancient world survived in remote areas like the west coast of Ireland. Describes the gradual restoration of stability under Charlemagne at a time when Europe's civilization was overshadowed by the achievement of the Byzantine and Islamic worlds. One of the best of the Civilization series.

Anglo-Saxon England
22 min; color; 1971
16 mm

A documentary on the history of England from the end of the Roman period to the Norman invasion. Considers the impact of raids and migrations, the growth of monasteries, and modern archaeological excavations.

Charlemagne: Unifier of Europe
13 min; color; 1964; 16 mm

Dramatization of the contributions of Charlemagne.

Medieval World (Revised)
16 min; color; 1980
½ VHS

General overview of the Middle Ages.

The Vikings—Life and Conquests
16 min; b&w; 1959
16mm

Examines the influence of the Vikings on Medieval Europe.

The Middle Ages (CD-ROM)
DOS or Macintosh; 1994

This CD-ROM provides information about the lives of medieval kings, feudalism, and medieval religion.
Chapter 9

The High Middle Ages

I. THE VISUAL RECORD: FROM THE SYRIAN DESERT TO THE WELSH MARSHES

Along the trade route between Syria and the Mediterranean stands a string of strategically positioned castles known as Krak des Chevaliers. Edward I carried his experience at Krak to Wales. Edward extended his control over his subjects through a competent bureaucracy, an efficient tax collection, the extension of royal justice, and successful military campaigns. His seventeen castles were tangible evidence of Edward’s dominion over Wales.

II. THE COUNTRYSIDE

From the tenth to the thirteenth centuries the European population rose from 38 to 74 million. Peasants brought new land into cultivation as the end of Viking raids, the diminution of slavery, new farming techniques, and improving climate encouraged population growth.

A. The Peasantry: Serfs and Freemen

Medieval peasants were serfs with limited rights, but numerous obligations to their lord. Living a subsistence existence, peasants lived in villages or manors, a practice that increased the lords’ ability to supervise their workers. Mandatory tithing to the church along with the lord’s monopoly over the oven, mill and courts further drained the people. Beginning in the 900s, Italian peasants on isolated farms were increasingly forced to relocate to fortified settlements. Under the open-field system, peasants who settled in villages farmed widely dispersed strips of land but held common rights to woodland and pasture. Other peasants, in more affluent villages, often farmed unified, closed fields, a system that allowed them greater independence, though they would also experience greater disparities in wealth.

1. Agricultural Innovation. The introduction and growing popularity of a new, heavier plow with a moldboard and metal coulter increased the amount of land under cultivation. The transition from a two-field to a three-field system of crop rotation increased crop yields and improved diets. While peasant men worked the fields, women’s activities included child care, textile production, cooking, and gardening. Commoners ate a diet of black bread, beans, cabbage, cheese, and onions, but famine remained a constant threat in peasant society.
2. Negotiating Freedom. The growing demand for labor gave peasants leverage in negotiations with their lords from the tenth to the twelfth centuries. In most of western Europe lords began to sell serfs’ rights and privileges, a process that resulted in a free peasantry that was now subject to the jurisdiction of kings or towns. Yet commercial agriculture and specialized agricultural production created sharp economic distinctions within the western peasantry. Peasants in eastern Europe and Spain, in contrast, saw aristocrats build extensive estates and take away their independence as serfdom slowly became established in these regions.

B. The Aristocracy: Warriors and Heiresses

Knighthood developed in eleventh-century northern Europe as the requirement for mounted soldiers (*miles*) and spread throughout Europe. The needs of warfare molded the chivalric lifestyle of warfare. Knights secured land, independence, and social status. Nobles used kinship, strong castles, and strategic alliances with other nobles to maintain control over the surrounding countryside.

1. Aristocratic Education. Discrete stages marked the chivalric life cycle. Boys joined the entourage of a relative or patron to learn martial skills and ideals before engaging in tournaments and in battle. Youths, aged sixteen to nineteen, were knighted. They then began to demonstrate their military prowess in battle and tournament. Only successful warriors acquired land, married, and established their own houses. Daughters married early to solidify family alliances and bore children often. The status of aristocratic women declined as they were usually excluded from inheritance, courts, and estate management. Women’s status was further undermined by the church, which viewed women as the source of sin.

2. Land and Loyalty. Nobles were warriors who normally inherited their estates and the serfs residing upon them. The vassal received a fief as a reward for military service; he forfeited it if he failed to perform this service. Lords often had numerous vassals. Hierarchical systems of government occasionally emerged from networks of lords and vassals. Kinship, local autonomy, the multiple allegiances of most vassals and the existence of landownership outside of feudalism undermined unified political systems and contributed to the decline of feudalism. The aristocratic lifestyle encouraged knights to sell their service to the king, thus enhancing royal power.

C. The Church: Saints and Monks

The people sought bountiful harvests, health, safety, and children in their religious devotions. The proper administration of sacraments and the behavior of priests were more important to the people than obscure points of theology. Priests were often criticized for their lack of education, greed, absenteeism, and immorality. Of utmost importance were the saints, and their relics intervened between the faithful and God. Monasteries became rich by orchestrating the saints' cults.

1. Monastic Culture. Monks prayed for the souls of the dead. Many noble families
founded monasteries to extend their honor and influence. The wealth and prestige of the Benedictines peaked in the eleventh and twelfth centuries. Perfection, rather than simple salvation, became the goal of medieval monks who were supposedly chaste, obedient, and poor. Enriched and empowered by its patrons' contributions, the monastery of Cluny became the center of an international organization of abbeys and priories. To free up their energy for their religious activities, Cluniac monks turned over manual tasks to the laity in their community.

2. Monastic Reform. The emergence of the Cistercians under Bernard of Clairvaux signaled an effort within the church to foster less worldly, simpler, more ascetic monastic communities. The church also sought to transform medieval warfare by declaring clergy, peasants, and merchants to be noncombatants; by limiting the times when fighting could occur; and by redirecting warfare toward the Islamic world.

D. Crusaders: Soldiers of God

In 1095, Pope Urban II called on Christian knights to reconquer the Holy Land. Some Crusaders were little more than bands of unruly peasants. Others were skilled fighters. The knights captured Jerusalem in 1099 and founded the Latin Kingdom of Jerusalem. Other Crusades would follow.

1. The Latin Kingdom of Jerusalem. The Crusaders failed to influence Muslims and Eastern Christians and failed to be influenced, as well. There was, therefore, little cultural influence on either Europe or the Middle East. There were seven other Crusades as the fighting continued sporadically into the thirteenth century. During the Second Crusade Saladin won a signal victory over the Crusaders at Hattin, driving the Latin Kingdom from Jerusalem. Richard the Lion-Hearted secured a treaty with Saladin in the Third Crusade, but failed to recapture Jerusalem. In the Fourth Crusade, the Christian warriors actually sacked Constantinople. The remaining Crusades accomplished little as they failed to drive the Muslims from the Holy Land.

2. The Mongol Empire. Temujin led the Mongol hordes from their victory over China and India to an attack on Europe. Kublai Khan exploited earlier Mongol success in ruling an empire that stretched from the Pacific to the Black Sea. Religious toleration and an extensive trade network were two hallmarks of the Mongols.

3. The Crusade as an Ideal. Despite their religious inspiration, the Crusades were often occasions for violence and brutality. Europeans fought other religious wars in Spain and in southern Europe. Kings believed the Crusades to be military failures, expensive, and senseless, however. By the twelfth century the importance of the independent warrior had begun to decline in the face of the revival of the city.

III. MEDIEVAL TOWNS

Aristocrats initially disliked cities, but eventually came to rely upon them for luxuries and money. Peasants saw towns as refuges that promised freedom.
A. Italian Cities
Urban life persisted in Italy after the decline of the Roman Empire as cities continued to play religious, political, and economic roles. Coastal cities like Venice had developed substantial merchant and military fleets by the eleventh century and benefited from their close ties to both the Byzantine Empire and the Muslim states.

1. Merchants and Capitalists. The Crusades gave Italian cities an opportunity to expand their trade routes and earn money by transporting and supplying the Crusaders. Stretching as far north as Scandinavia, as far west as England, and as far east as China, the commercial activities of these cities resulted in business innovations such as double-entry bookkeeping, business law, limited liability, commercial insurance, international bills of exchange, and a system of credit and interest-bearing loans. In this context, commerce, which nobles traditionally viewed with contempt, became honorable. Social differences in Italian cities were primarily due to differences in income. The wealthy were known as magnates; all others were called populars.

2. Communal Government. Towns established their own governments or communes. Patriotism and civic rivalry flourished with the commune, but so too did partisan violence between and among urban corporations. The intervention of the papacy and the Germanic empire heightened tensions, dividing many communes into imperial (Ghibelline) and papal (Guelph) factions. Civic order came to depend upon a complex series of government offices designed to reduce the appeal of partisan politics by dividing power among a multitude of municipal officials. Some cities relied on professional city managers to circumvent factional disputes.

B. Northern Towns
Outside of Italy, urban merchant and manufacturing communities developed a commercial network that included England, Flanders, Brabant, and northern France. Woolen cloth production underpinned this development. Ghent, Bruges, Ypres, and London emerged as centers of cloth manufacture and marketing. Woolen production was transformed from an activity of individual rural women to a business of urban men. Guilds regulated production and established prices and wages. Three social orders emerged: the wealthy patricians who acted as merchant-drapiers, and controlled not only cloth production but also city government; master craftsmen who controlled their trade through guilds; and unskilled and semiskilled workers.

C. The Fairs of Champagne
The great fairs held throughout Champagne economically linked northern Europe with the south.
The six annual fairs brought merchants and their goods from throughout Europe. Spices, leather, alum, salt, iron, copper, foodstuffs, and textiles were important trade goods.

D. Urban Intellectuals

Cathedral schools helped to shape a distinctive urban culture by providing their students with a basic education in writing and math, subjects that were more secular than religious.

1. The Medieval University. Guilds of students eager to benefit from new legal scholarship established the first university at Bologna. The University of Paris, where a guild of masters—not students—governed university life, emerged as the academic center of theology and the liberal arts. At the university Peter Abelard combined logical reasoning and legal analysis in his Scholastic method. In the thirteenth and fourteenth centuries, Aristotelian philosophy dominated university scholarship and teaching. Student life, which was often centered in brothels and taverns, could be violent and disorderly. As students were exempt from local laws, relations between town and university were frequently strained.

2. The Aristotelian Challenge. At the University of Paris, Thomas Aquinas sought to correct Aristotle's conclusion that knowing God was not necessary to understand the world. Aquinas reshaped Christian doctrine and philosophy by reconciling human reason with divine revelation and using that sympathetic understanding to enhance faith. In doing so, he demonstrated the preeminence of Aristotle as a foundation for Christian thought.

3. Preaching and Poverty. Urban reformers sought to reconcile Christian values with the growing wealth of monasteries. Francis of Assisi, who embraced a simple, ascetic, itinerant existence, sought to serve others through his Franciscan order. Franciscans practiced both individual and organizational poverty. The Franciscans eventually divided into two groups. One group, the spirituals, sought to maintain the order’s rules of strict poverty; the other group, known as conventuals, was willing to own churches and books. Although Dominicans also endorsed poverty, they emphasized the importance of higher education and preaching against heretics.

IV. THE INVENTION OF THE STATE

After the Carolingian state declined, two major forms of government emerged: the traditional elective structures of the papacy and the empire and its hereditary kingdoms.

A. The Universal States: Empire and Papacy

The eastern Franks formed a confederation of five duchies that retained Carolingian traditions. Otto I of Saxony defeated the Magyars and Lombards while strengthening control over his far-flung empire. The pope crowned him emperor in 962.
1. The Medieval Empire. Otto fought with the aristocracy, but secured the support of leading clerics. Meanwhile he became increasingly preoccupied with Italian affairs. Although desirous of establishing a hereditary monarchy, Otto and his successors failed to loosen the electoral grip of the German princes. Otto and his successors counted on bishops and household serfs for military and administrative duties. As the German emperors' preoccupation with papal and Italian politics replaced their interest in German territories, German princes gained political autonomy in exchange for supporting the emperor's Italian ventures.

2. The Papacy. Popes also claimed to possess universal authority. Beginning in the late tenth century emperors ousted bad popes and intervened in papal elections. Emperor Henry III deposed three competing popes, for example, and installed his cousin Leo IX in 1049.

3. Investiture and Reform. Radical reformers within the church challenged the empire's growing intervention in church affairs, particularly the practice of lay investiture, whereby kings and emperors install bishops into their offices. This precipitated the investiture controversy in which Pope Gregory VII and Emperor Henry IV used propaganda to appeal for popular support. The investiture controversy ended with the 1122 Concordat of Worms, which distinguished between secular and spiritual spheres of influence and limited imperial intervention in the investiture of bishops. Denied their claims to universal sovereignty, the office of emperor was weakened. In the long run, however, the Concordat of Worms weakened the papacy by separating secular and religious authority and by undermining the pope's claim to absolute authority. Emperors Frederick I Barbarossa and Frederick II meanwhile turned their attention to Italy. The price of concentrating on Italy was a decrease in imperial authority in Germany. Ultimately the imperial office became little more than an empty shell.

4. The Pinnacle of Papal Power. Pope Innocent III saw the apogee of the papacy's power, as his power was based not only upon scriptural authority but also on the political authority he wielded in the Papal States and in the church courts. Thus bolstered, the papacy called the Fourth Lateran Council in 1215 to define the Church's fundamental doctrines and practices. When France's Philip IV taxed the French clergy, Pope Boniface VIII failed to stop him, significantly undermining papal claims to universal sovereignty. The king's agents kidnapped the pope, precipitating his death.

B. The Nation-States: France and England

Monarchical government became well established in northern Europe. Kings advanced more modest territorial and political claims than did emperors. In addition, in many regions aristocrats, undermined royal claims to universal sovereignty by gaining control over legal, economic, and political institutions. The years that saw the decline of the German empire also witnessed the consolidation of kingship in France and England, a development that subsequently laid the foundations of the modern state.

1. France: Biology, Bureaucracy, and Sanctity. Challenged on all sides by wealthy and
powerful magnates, Hugh Capet wielded little authority when elected king of the West Franks in 987. But his dynasty’s succession of male heirs, cultivation of close ties with French bishops and abbots, and insistence on their sovereignty as feudal lords extended the Capetian kings' power. The Capetians also established a strong power base in the Ile-de-France around Paris. Philip II Augustus more than doubled his territories and quadrupled his revenues. His bureaucracy, staffed by salaried, non–feudal agents, known as baillis and seneschals, stabilized his new regime and contributed to the decline of the French aristocracy's independence. Philip’s grandson Louis XI improved the plight of the poor and took a personal role in administering justice. His two crusades failed miserably. The power of French kings grew with the extension of royal courts, the increase of royal revenues, and the growing impoverishment of the nobles, who increasingly sought royal service as a means to increase their income.

2. England: Conquest, Accounting, and Cooperation. Upon the death of Edward the Confessor, Harold Godwinson, William of Normandy, and Harold III all claimed the English crown. William won the throne with the Battle of Hastings in 1066. The Norman Conquest brought William of Normandy to the English throne. There he found an established sovereign monarchy, a tradition of free men participating in government, and system of royal agents, or sheriffs. He preserved these government institutions but staffed them with his own followers. William additionally ensured that all land was retained under the control of the king by introducing feudalism to the island. New accounting systems and extensive fiscal records facilitated administrative efficiency. His Domesday Book surveyed English lands and wealth. Henry II reestablished royal control over the English aristocracy by destroying castles and renewing claims to customary revenue sources. Retaining his authority over ecclesiastical appointments, Henry II established the uniform judicial procedures of the common law and the practice of trial by jury. The loss of England's French territories under Henry's son John pushed him to financial extortion that led to a revolt that culminated in the Magna Carta, a document which recognized feudal, religious, and municipal privileges and denied the king's supremacy over the law. Further concessions to barons, prelates, and townspeople under Edward I (1272-1307) laid the foundations of Parliament.

CONCLUSION

By 1300, a growing population accompanied dramatic social and economic prosperity and religious and political revival. Western Europe was now poised to influence the world for the first time in a millennium.

KEY TERMS, PEOPLE, AND EVENTS

Eleanor of Aquitaine   Henry II   Angevin Empire
Philip II Augustus   Richard the Lionhearted   serf
demesne   ballis   Bernard of Clairvaux
knight   Parliament   commune
vassal   fief   Investiture Controversy
chivalry  Benedictines  Thomas Aquinas
\textit{lectio divina}  Cistercians  Peace of God
Truce of God  Crusades  Urban II
miles  seneschals  Hastings
Frederick Barbarossa  Third Crusade  Fourth Crusade
usury  guilds  Ghibellines
Guelphs  merchant-drapiers  trivium
quadrivium  \textit{Corpus juris civilis}  Peter Abelard
Heloise  Francis of Assisi  Franciscans
Dominic  Dominicans  Otto I "the Great"
lay investiture  Henry IV  Gregory VII
Concordat of Worms  Innocent III  interdict
Fourth Lateran Council  Boniface VIII  Capetians
John  Bouvines  Magna Carta
Louis IX  Albigensian Crusade  Harold Godwinson
William of Normandy  sheriffs  Domesday Book
Latin Kingdom of Jerusalem  Saladin  Henry III
Battle of Hastings  Philip II Augustus
Edward I  Thomas Becket  common law

NEW GEOGRAPHICAL LOCATIONS

Normandy  Anjou  Genoa
Flanders  Bologna  Paris
Papal States  Poland  Bohemia
Hungary  Ile de France  Pisa
Cluny  Citeaux  Aquitaine
Burgundy  Venice  Lithuania
Saxony  Lorraine  Bavaria
Swabia

DISCUSSION AND ESSAY QUESTIONS

2. Adalbero of Laon characterized medieval society as "those who worked, those who fought, and those who prayed." Is this an accurate depiction of medieval society?

2. Did relations between lord and peasant follow the same pattern in the west as in the east?

3. Discuss the roots of the doctrine of the separation of church and state as they emerged in the Middle Ages. What forces and events contributed to this development?

4. Discuss the different patterns of state-building evident in Holy Roman Empire, France and England in the High Middle Ages.
5. How did the emerging cities change medieval society?

RELEVANT TRANSPARENCIES AND MAPS

Danzer's Discovering Western Civilization Through Maps and Views

S25: An Anglo-Saxon Map of the World, c. 995 A.D.
S26: Matthew Paris: Itinerary from London, c. 1253 A.D.
S27: A Crusader Map of Jerusalem, Twelfth Century
S28: The Psalter World Map, c. 1275 A.D.
S29: The Hereford Map, c. 1275 A.D.
S30: A Key to the Hereford Map, c. 1275 A.D.

RELEVANT STUDENT MAP EXERCISES

Danzer's Mapping Western Civilization

T16: Matthew Paris: Itinerary Map of 1253 A.D.
T17: The Hereford Map, c. 1285 A.D.: A Key
T18: Medieval History: A Chronological Context

ANNOTATED FILM AND CD LIST

Crusaders and Schism in the East: Christianity in the 11th and 12th Centuries
48 minutes; color; 1999

Probes the papal reforms of the period along with the rift between the Catholic and Orthodox churches. In addition, this film examines the first four Crusades.

Sybils! An Interactive Exploration of Women in the Middle Ages
CD–ROM

This CD employs audio clips of period music along with images from medieval manuscripts to investigate the lives women lived during the Middle Ages.

Medieval Realms
CD–ROM

Extensive collection of original source materials from the British Library covering the period 1066–1500.
Gothic Cathedrals of Europe
CD–ROM

Interactive CD–ROM contains information from 35 European cathedrals, including cathedrals in England, France, Spain, and Austria.

Medieval Knights
22 min; color; 1955
16 mm

Re-creates the education of a medieval knight.

The Medieval Manor
21 min; b&w; 1955
16 mm

Re-creates life in a medieval castle in thirteenth-century France.

The Medieval Mind
26 min; color; 1969
16 mm

Examines misconceptions about the "Dark Ages" by looking at the lives of leading thinkers during the Crusades.

Middle Ages—Rise of Feudalism
20 min; color; 1966
16mm

Examines the period of the early to high Middle Ages, considering the influence of the barbarian invasions and the Crusades.

Becket
32 min; color; 1964
16mm KC0368,16

Excerpts from the informative film starring Richard Burton and Peter O'Toole. Illustrates one of the major political and religious issues of the Middle Ages: the conflict between church and secular authority. King Henry II of England appoints his most trusted state official, Thomas Becket, as Archbishop of Canterbury. The clash between church and state interests drives the two apart and leads to Becket's murder.

Civilization: Romance and Reality
53 min; color; 1970, 16mm

Examines the major features of Europe in the thirteenth century. Considers such themes as the development of chivalry, the poetry of Dante, and the religious innovations brought about by St. Francis of Assisi.

*Medieval Realms: Britain from 1066-1500: From the Collections of the British Library*  
CD-ROM

Extensive collection of prints, illuminated manuscripts, historical documents, musical recordings, and maps that reflect historical developments in medieval England.
Chapter 10

The Later Middle Ages, 1300-1500

I. THE VISUAL RECORD: WEBS OF STONE AND BLOOD

Gothic architecture employed stone springers and vaults to draw the parishioners’ eyes toward Heaven. In Prague, the architect and sculptor Peter Parler helped transform the late Middle Ages by combining elements of the past into new forms and demonstrating a new interest in the individual. He employed intersecting vaults and realistic sculptures to alter the artistic heritage of the Middle Ages. The fourteenth century was a time of dynamic and energetic individuals.

II. POLITICS AS A FAMILY AFFAIR

From the mid-thirteenth to the mid-fourteenth century the Luxembourg family became increasingly involved in the political affairs of the Holy Roman Empire. For aristocrats, family politics, advanced by marital alliances, kinship, and dynastic aspirations assumed greater importance than political boundaries in European politics.

A. The Struggle for Central Europe

Five families—the Anjous, Luxembourgs, Wittelsachs, Habsburgs, and Premysls—dominated central European politics. The dynastic ambition of these families was a major factor during the late Medieval period.

1. Eastern Expansion. Monks, knights, and even peasants relocated to eastern Europe. The Teutonic Knights brought Christianity to the Baltic region as they conquered Prussia and pushed as far east at Novgorod. Aside from political matters, there were also important economic changes as German aristocratic landowners adopted western farming techniques that revitalized the production of grain. The flood of eastern grain caused an economic depression in the west in the fourteenth and fifteenth centuries.

2. Central European Kingdoms. Silver and copper mines brought wealth to Poland, Bohemia, and Hungary. The economic prosperity of eastern Europe and the relative freedom found there encouraged an influx of German miners, smelters, and craftsmen. Holy Roman Emperor and King of Bohemia Charles IV oversaw a cultural, economic, and religious revival in Prague. There, Jan Hus, a Czech theologian, attracted followers by challenging the teachings of the Catholic church in 1356. Charles issued the Golden Bull which established procedures for the election of future Holy Roman Emperors, further strengthening the autonomy of German
princes at the expense of the emperor. Subsequently the empire fragmented into more than 1,600 independent states, free cities, and bishoprics. Knights, burghers, and clergymen organized themselves into political estates to defy princely authority. The office of the Holy Roman Emperor remained largely ceremonial, although it did permit a cultural revival and the creation of a long-lasting multinational empire.

B. A Hundred Years of War

Spain was divided into Aragon, Castile, Portugal, and Muslim Grenada until the marriage of Ferdinand and Isabella encouraged Spanish unification. Political divisiveness and rivalry also characterized western Europe. There were three primary causes that precipitated 1337's Hundred Years' War between England and France: control of Gascony, the Flemish cloth trade, and contentions about the French succession as England's King Edward III challenged Philip VI's claim to the French throne.

1. Chivalry and Warfare. The demands of chivalry further encouraged war, as the maintenance of martial honor required an escalation of violence. Although France possessed greater fiscal resources and a larger population, Philip VI wielded little control over his nobles. Edward III was a better strategist, and had better access through Parliament to the cash necessary to finance his campaigns. While the French relied primarily on heavily armored knights, the English employed more modern tactics and professional soldiers armed with longbows and pikes. Aristocrats were little more than mercenaries.

2. English Successes. Victorious at Crécy in 1346, at Poitiers in (1356), and at Agincourt (1415), English soldiers wreaked havoc on the French peasantry with constant raids on the French countryside. In addition, French royal authority diminished as nobles engaged in private warfare and built castles to secure their autonomy. The French fought each other almost as much as they did the English. The French king’s extortion of foreign merchants and bankers and the disruption of trade destroyed the French economy.

3. Joan of Arc and the Salvation of France. In 1429 the French army, inspired by the religious fervor of Joan of Arc relieved the siege of Orléans and turned the tide against the English. In 1450, French cannons at Formigny destroyed both English claims to rule in France and the chivalric ideals that had initially inspired the war.

4. The English Wars of the Roses. War undermined royal authority along with the efficiency of English government. Rival aristocratic families took advantage of weak kings as they pressed for more power. From 1455 to 1485 the Houses of York and Lancaster fought the Wars of the Roses, a civil war to secure the English throne for their family. In 1485, fighting ended with the accession of the Tudor dynasty of Henry VII.

III. LIFE AND DEATH IN THE LATER MIDDLE AGES
War, high rents and taxes, and the leveling off of agricultural production contributed to economic stagnation and a precarious reliance on imported foodstuffs. A decline in Europe’s population by more than thirty percent occurred between 1300 and 1450.

A. Dancing With Death

Famine initiated the demographic crisis of the fourteenth century; disease sustained it. Both war and Europe's expanded trade routes fostered the plague that killed at least one-third of the people between 1347 and 1352. The Black Death took three different forms of plague: bubonic, septicemic, and pneumonic. Regardless of the form, death soon visited the afflicted. Perceiving God's displeasure as the cause of plague epidemics, some Europeans found scapegoats to blame for the disease. Sporadically recurring until the late eighteenth century, the Black Death devastated the European economy, fractured community and family ties, and shattered traditional Christian faith, leading to a more solemn view of life and an increase in immorality.

B. The Plague of Insurrection

At first, plague survivors benefited financially. The economic gains that surviving peasants and proprietors won in the plague's immediate aftermath faded, however, as craftsmen, landlords, and rulers sought to raise taxes, freeze social mobility, and impose wage controls. Peasants and townsmen responded to these impositions with a wave of rebellions.

1. The Jacquerie. The French Jacquerie of 1358 was the first of a series of social uprisings. The demand for higher taxes to pay the ransom for John II sparked the revolt. Violence and destruction swept through the countryside north of Paris. Meanwhile, Etienne Marcel led Parisian merchants in an uprising that, like the Jacquerie, was finally defeated by the royal army.

2. The English Peasants’ Revolt. Later revolts occurred in England [Great Rebellion], Catalonia, and Germany [Peasants’ Revolt].

3. Urban Uprisings. Urban craftsmen rebelled in the latter fourteenth century to undermine the authority of guilds. In 1378 Florentine wool workers revolted in an attempt to improve their status with the guild masters. Four years later mercenaries brutally suppressed the experiment. Despite their failure, popular revolts periodically erupted in the following centuries.

C. Living and Dying in Medieval Towns

Wars, a declining population, and class conflict adversely affected the medieval economy. The reduction in population anticipated a declining demand for manufactured goods. The Italian monopoly on northern trade ended and Tamerlane interrupted trade with China and India.
1. Economic Shifts. German towns benefited from the economic decline of Italian bankers and the establishment of the Hanseatic League, which monopolized northern trade in grain and fish. Meanwhile, woolen cloth production and export expanded in England.

2. Addressing Poverty and Crime. Governments tried to deal with the growing poverty by offering public assistance, and when that failed, ordering increasingly harsh punishments. Churches, which were traditionally responsible for charity, found themselves without the resources to meet the growing needs of the people. Consequently, towns adopted centralized systems of public assistance that rationed relief on the basis of need and merit. Illegal activities, driven by poverty, and officials imposed increasingly harsh punishments on criminals.

IV. THE SPIRIT OF THE LATER MIDDLE AGES

Familiarity with death made life more precious and vibrant. New methods of philosophical speculation and new literary traditions were products of the spiritual awakening that encouraged Europeans to pursue piety through individual and channels that were independent of the church.

A. The Crisis of the Papacy

Elected pope in 1305, Clement V moved the papacy to Avignon. There, French influence over the popes increased as support for a universal church and a universal empire waned.

1. The Avignon Papacy. The subordination of the papacy to French political interests undermined papal claims to political power throughout Europe. Nevertheless, the Avignon popes increased their revenues through the sale of indulgences and benefices, and boosted their influence through the improved efficiency of church courts and the expansion of the papal bureaucracy.

2. The Great Schism. The establishment of rival popes at Rome and Avignon in 1377 threatened the institution of the papacy and created a crisis within the church. Ultimately, the rival popes excommunicated all Christians in the west. Political infighting sapped the strength of the papacy.

3. Conciliarism. Some argued that the schism between popes could only be ended by a church council. When a council convened in Pisa, it named a third pope in 1408. The schism continued, now with three competing popes. This Great Schism finally came to a close with the Council of Constance in 1417 and the election of Pope Martin V. The papacy's claims to universal sovereignty had been decisively discredited, however, as had the prestige of his office.

B. Discerning the Spirit of God
The decline of the Church encouraged unorthodox religious practices, including mysticism, witchcraft, and private devotion.

1. Witchcraft. It was not until the publication of *Malleus Maleficarum* (*The Witches’ Hammer*) in 1477 that the public began to persecute witches. Previously, wizards, alchemists, and poor women, frequently designated as witches, practiced magic.

2. Lay Piety. Increasingly Europeans sought a personal relationship with God through biblical reading, prayer, and devotion. Some formed religious orders, like the Brethren of the Common Life. Male spirituality typically emphasized the emulation of Christ's poverty, anguish, and submissiveness; female spirituality focused on radical fasting and the Eucharist. Beghards and Beguines sought spiritual perfection, but remained outside established spiritual orders.

C. Heresy and Revolt

In its most extreme forms, spirituality merged with heretical practices that the church’s persecution punished severely. Brethren of the Free Spirit, for example, were pantheists who denied the existence of sin, divine punishment, and salvation.

1. John Wycliffe. Protected from prosecution by the English monarchy and aristocracy, John Wycliffe argued that priests' virtues influenced the efficacy of the sacraments they administered, that only the spiritual presence of Jesus was in the Eucharist, that indulgences served no spiritual function, and that predestination determined salvation. Wycliffe’s ideas spread to Bohemia in the fifteenth century.

2. Jan Hus. In Bohemia, Jan Hus popularized Wycliffe's doctrines. Hus rejected Wycliffe’s views of the priesthood and sacraments, however. Still, Hus criticized indulgences and argued for a thorough reform of clerical morality and an end to German domination of Bohemia. His execution in 1415 incited a violent popular revolt in Bohemia.

D. Religious Persecution in Spain

An intense persecution of Jews began in the late fourteenth century. A floundering economy, political instability, and nationalism inspired by the Reconquista encouraged the Spanish to strike against the Jews. Muslims will face a similar persecution after 1492. Only conversion to Christianity would end the persecution.

E. William of Ockham and the Spirit of Truth

Like Christian theology, philosophy was subject to critical scrutiny in the fourteenth and fifteenth centuries. William of Ockham radicalized political philosophy when he defended the notion of popular sovereignty and endorsed the authority of general councils that would have denied the pope's absolute authority within the church. Ockham's nominalist philosophy rejected the Aristotelian philosophical notion of universals and denied the ability of human reason to reveal
truth. His impact upon his contemporaries was twofold: his political philosophy paved the way for the Council of Constance, and his nominalism encouraged the replacement of philosophical speculation with scientific observation.

F. Vernacular Literature and the Individual

Vernacular literatures emphasized the individual while reexamining traditional values and introducing new literary genres.

1. Italy. Three remarkable poets emerged in Tuscany: Dante, Petrarch, and Boccaccio. Dante Alighieri's *Divine Comedy* offers his insights into contemporary culture and politics as well as a view of the entire Christian universe which extends from Heaven to Purgatory to Hell.


3. France. In France, courtly romance continued to dominate literature. Christine de Pisan's sense of individuality surfaced in her writings, which sought, in part, to dispel the anti-feminist views of her age. The realist poetry of François Villon contrasted sharply with the idealism of courtly literature.

CONCLUSION

The people of the late Middle Ages increasingly questioned their religious and political heritage as they rebelled, fought, died, and adopted new religious and secular points of view. The late Middle Ages was replete with contradictions—life and death, war and peace, wealth and abject poverty, devotion and impiety, order and disorder.

KEY TERMS, PEOPLE, AND EVENTS

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Great Schism    indulgences    Treasury of Merit
benefices    pluralism    Martin V
Jan Hus    Council of Constance    John Wycliffe
William of Ockham    nominalism    Dante Alighieri
Petrarch    Geoffrey Chaucer

NEW GEOGRAPHICAL LOCATIONS

Prague    Tyrol    Brandenburg
Poland    Narva River    Westphalia
Saxony    Elbe River    Rhone River
Avignon    Vienna    Holy Roman Empire
Castile    Aragon    Portugal
Granada    Calais    Luxembourg
Bohemia    Moselle River    Meissen
Silesia    Brabant    Gascony
Austria    Moravia    Holland

DISCUSSION AND ESSAY QUESTIONS

1. Compare the movement of eastern European nations toward decentralization with the English and French adoption of a strong monarch and a centralized government.

2. Compare the impact of the Hundred Years’ War on France with its impact on England.

3. Discuss the origins, character, and consequences of the Black Death. Were its material or its psychic consequences more significant for the course of western history?

4. Discuss the origins of spiritual reform in the late Middle Ages. In what ways did male spirituality differ from female piety in this period?

5. Compare the literary contributions of Dante, Chaucer, and Pisan. Which writer was most representative of the late Medieval period?

6. Examine the nature of individualism in the late Middle Ages. What institutions and beliefs promoted a sense of the importance and the autonomy of the individual?

RELEVANT TRANSPARENCIES AND MAPS

Danzer's Discovering Western Civilization Through Maps and Views

S31:   England, Wales, and Scotland, c. 1360
S32:   A Map of the World, 1452
R2:    A World Context for Western Civilization
RELEVANT STUDENT MAP EXERCISES

Danzer's Student Workbook *Mapping Western Civilization*

T18:  Medieval History: A Chronological Context

ANNOTATED FILM AND CD LIST

*Geoffrey Chaucer: The Canterbury Tales*
CD-ROM

Middle English and facsimile texts of Chaucer’s classic are provided along with a guide to Middle English pronunciations.

*Heresy, War, and the Black Death: Christianity in the 13th and 14th Centuries*
48 minutes; color; 1999

This film examines the construction of cathedrals, the destruction of the Cathars, Philip IV’s confrontation with the pope, the Hundred Years’ War and the Black Death.

*The Day the Universe Changed: Medieval Conflict: Faith and Reason*
52 min; color; 1985
½ VHS

Informative and entertaining discussion of the development of the medieval religious tradition. Shows how medieval thinkers tried to reconcile Augustine of Hippo's insistence on the value of faith with the call for reasoned analysis of the world in the newly recovered writings of the ancient Greeks.

*Feast and Famine*
55 min; color; 1991

Investigates the medieval agricultural community and the economic and social devastation of the fourteenth century.

*Medieval England: The Peasants' Revolt*
31 min; color; 1969
16 mm CC2406,16

Dramatizes one of the great social upheavals of the fourteenth century. Shows the confrontation between King Richard II of England and the peasant movement led by Wat Tyler and John Ball.
Art in the Middle Ages
30 min; color; 1963
16mm

Examines the medieval world through the artistic works of the period.

From Every Shires Ende: The World of Chaucer’s England
38 min; color; 1968
16 mm

Re-creates pilgrimages to Canterbury with medieval music and signs.

The Late Medieval Ages
2 parts; 30 min ea; 1989

Examines events in the fifteenth century, including the Hundred Years’ War and the Wars of the Roses.
Chapter 11

The Italian Renaissance

I. THE VISUAL RECORD: A CIVIC PROCESSION

Gentile Bellini’s *The Procession of the Relic of the Holy Cross* portrays the civic pride, piety, wealth, and ritual that characterized the spirit of Renaissance Venice where manmade and divine achievements and miracles merged.

II. RENAISSANCE SOCIETY

The celebration of humanity, self-assertion, and self-awareness, and the rediscovery of classical values characterized the Renaissance. This period of rebirth of Western culture exhibited three phases. The first phase, (ca. 1350–1400), saw a decrease in population, the rediscovery of classical texts, and the introduction of new art forms. In the second phase, (ca. 1400–1500), new artistic norms and values distinctive to the Renaissance emerged. In the third phase, (ca. 1500–1550), Renaissance traditions spread from Italy throughout western Europe as invading French and Spanish armies transformed Italian politics.

A. The Urban Environment

Italian life and culture were largely urban. Nearly 25 percent of the Italian population was urban, whereas elsewhere in Europe only 10 percent of the population did so. Italy not only had large cities like Venice and Rome, but also hundreds of small towns, which served as commercial, legal, and religious centers. Small by modern standards, cities were crowded, noisy, and filthy. Italian towns, well-integrated with the surrounding countryside, differed markedly from rural areas where landownership was the primary determinant of social stratification. In the city occupation was the prime determinant of wealth and status. By maintaining production standards guild members and their families typically enjoyed a comfortable standard of living, while the overwhelming majority of townspeople lived in poverty. Renaissance cities saw an increasing concentration of capital in the hands of a tiny elite for whom only the accumulation of capital ensured continued wealth.

B. Production and Consumption

For most Europeans, subsistence agriculture based on local consumption was standard. The drastic population decline in the fourteenth century discouraged investment as the prices of agricultural and industrial goods fell. Not everyone was economically destitute, however.
Farmers concentrated on the better farmland and increased their holdings. Cheaper food, an oversupply of basic commodities, and higher wages resulted in a higher standard of living. For many, consumption was more popular than investment. This situation lasted until the late fifteenth century when the production of luxury goods began to escalate, making Italian cities the center of the production of luxury goods and conspicuous consumption.

C. The Experience of Life

Birth into a family that enjoyed a surplus (rather than one that lived at subsistence level) often meant the difference between life and death for infants and children. But for both rich and poor life was often short and insecure.

1. Childhood. Although the nuclear family was very common, there was no standard Renaissance family as its members changed in accordance with changing economic and marital circumstances. Wealthy infants were usually raised by wet-nurses, freeing parents from child care and allowing them to resume sexual activity. Decisions about child rearing were often based on economics. Sons were apprenticed, giving them an opportunity to learn a trade and contribute to the family income. In some areas, eldest sons inherited their family’s wealth, in other regions all sons shared equally.

2. Marriage and the Family. Men typically married later than women as it was first necessary for them to be financially secure. Daughters' marriage prospects relied upon the dowries they could bring to their marriages. Once women were married, childbirth and economic activity dominated their lives. Male heads of a household enjoyed a virtual monopoly of domestic, economic, and political power. Birth control methods were primitive and rarely effective. Life was uncertain and short, as diseases like the plague and influenza were common and medical care was primitive.

D. The Quality of Life

Material life improved substantially in the Renaissance, as both a relative surplus of grain and an increasingly varied diet promoted better health and longer life. Civic consciousness and a sense of social cohesiveness grew. City life increased the proximity of kin groups and supplemented them with a widening variety of social ties. Still, the church remained the central institution in people's lives as its rituals and holy days provided townspeople with a sense of community within the city. Family values and an appreciation for skilled craftsmanship gave artists the requisite skills to produce the outstanding art of this period.

III. RENAISSANCE ART

Public buildings and monuments reinforced civic pride and the protective powers of the church. The relationship between the artist and the social context of his art was an important aspect of the Renaissance. Innovative techniques in the areas of perspective and three-dimensionality
transformed architecture, sculpture, and painting. Artists demonstrated their versatility by working in all three media. The wealthy patronized artists who were skilled craftsmen in a variety of artistic motifs and who possessed a keen business sense.

A. An Architect, a Sculptor, and a Painter

Three Florentine masters helped establish the foundations of Renaissance art: Brunelleschi, Donatello, and Masaccio. Brunelleschi made planes and spheres dominant architectural motifs and underlined the importance of perspective. Donatello's naturalistic forms, like his use of geometric proportion, attention to anatomy, and linear perspective, revitalized free-standing human and equestrian statues. Masaccio's mastery of linear perspective and his utilization of light and shadow give his frescoes the illusion of being three-dimensional.

B. Renaissance Style

Florentine artists pioneered the Renaissance style that prevailed throughout Italy by the mid-fifteenth century. Building on Brunelleschi's innovations, Leon Battista Alberti, the leading fifteenth-century architect, used classical forms to embellish and harmonize the facades of public buildings in route to transforming civic architecture. Piero della Francesca’s paintings employed geometric principles to increase the visual unity of his works. Sandro Botticelli used vibrant colors in painting portraits and classical themes. Leonardo da Vinci, a true “Renaissance man,” excelled in science, technology, and art. He brought his scientific understanding of perspective and proportion to his art. Collectively, Renaissance artists marked a dramatic departure from the Medieval past. Art increasingly attracted the interest of wealthy patrons and cities.

C. Michelangelo

The painting, sculpture, and architecture of Michelangelo Buonarroti perfected the achievements of the early fifteenth-century artist. Completing the integration of classical and Renaissance styles in his Pietà, David, and Sistine Chapel paintings, Michelangelo capped his achievements with the dome of Saint Peter's basilica. Renaissance art was more than a blend of classical and Renaissance values as it also reflected the age’s quest for perfection and humanity.

IV. RENAISSANCE IDEALS

Secular, but not antireligious, humanists were the key intellectuals of the Renaissance. Opposed to Scholasticism, humanist scholars and teachers celebrated human dignity and achievement. Arguing that the humanities enhanced the value and dignity of man, these intellectuals used their studies in rhetoric and philology for both religious and secular purposes. Humanist scholars employed textual criticism in evaluating classical texts that ranged from philosophy and history to poetry.
A. Humanists and the Liberal Arts

The discovery, correction, and interpretation of ancient texts were the foci of humanist scholars.

1. Studying the Classical World. The fall of Constantinople made Italy the center for Greek studies. Humanists revived the study of Latin and Greek and encouraged the study of the liberal arts. They also employed textual criticism. Petrarch, the father of humanism, upheld Cicero as an ideal for poets and orators. Scholars, in addition, contributed to the secularization of Renaissance society.

2. Philology and Lorenza Valla. Philology, which examines the origin, meaning, and grammatical usage of words, flourished. Lorenza Valla’s revelation that the Donation of Constantine was a forgery undermined papal claims of superiority over secular leaders.

3. Civic Humanism. Renaissance humanists also endorsed the notion of civic humanism whereby the new values were applied to resolving social and political problems. Meanwhile, Castiglione’s *The Courtier* identified the ideal courtier as one who deftly combined the skills of soldier and public servants. Alberti endorsed modern virtues of thrift and good judgment.

B. Renaissance Science

Renaissance scientists sought to master classical scientific knowledge and to employ modern techniques centering on astute observation. Thus, experiment and text-based learning were combined. The University of Padua served as the center for medical studies. Engineers, meanwhile, aimed at resolving practical problems that emerged in the construction of bridges, roads, and fortifications.

C. Machiavelli and Politics

In *The Prince* (1513), Niccolo Machiavelli utilized Renaissance philosophical ideals for political purposes by integrating his knowledge of classical history with his observation of contemporary events. Machiavelli wrote his secular and humanistic treatise, *The Prince*, as a guide for political leaders who sought to acquire and maintain lasting power. He shocked his contemporaries by separating ethics from politics, which he hoped would result in a unified Italy.

V. THE POLITICS OF THE ITALIAN CITY-STATES

Favored by proximity to the markets of the Holy Roman Empire, the Byzantine Empire, western Europe, and northern Africa, Italian city-states prospered. Varied in their composition, government, and territorial extent, Italian city-states guarded their traditions jealously. Freed from a strong central political authority as well as imperial and papal interference, they perpetually struggled for local supremacy as they were.
A. The Five Powers

Five city-states—Naples, the Papal States, Florence, Milan, and Venice—dominated Italian politics. Fourteenth- and fifteenth-century Italy faced numerous domestic and foreign threats. Ruled by a hereditary monarchy, Naples resolved a series of destructive struggles with the accession of Alfonso I of Aragon in 1443. Rome, ruled by the weakened papacy, saw political contests between the church and the nobility in the same period. The dé Medici family ruled Florence which was ostensibly a republic. The Visconti family dominated Milan, which was preoccupied with the prospect of foreign invasion. An elected doge and a series of elected councils controlled by a hereditary elite governed Venice, a leading sea and commercial power. The political and economic hegemony of Venice increased in the fifteenth century as the city began to conquer neighboring areas in Italy. The Italian cities employed mercenaries led by condottieri who proved to be both expensive and unreliable. The rise of seignorial rule, diplomacy, and the consolidation of centralized governments ended the problems of foreign invasion and domestic revolts as a balance of power was tentatively established.

B. Venice: A Seaborne Empire

Its location at the head of the Adriatic Sea and trading arrangements with the Byzantine empire conferred extensive trade advantages on Venice. Economic and political efficiency and determination multiplied the effects of these factors. Exchanging military support for tax concessions within the Byzantine Empire, Venice enriched its merchants and its government with an extensive trade in eastern spices. Although monopolized by the merchant oligarchy that ruled the Great Council, the dispersion of political power prevented both factionalism and despotism. These conditions provided the political stability and economic prosperity that allowed the Venetians to secure an empire on the Italian mainland that made Venice the most powerful of the Italian city-states in the early fifteenth century.

C. Florence: Spinning Cloth into Gold

Banking and the woolen trade secured Florence's affluence and power, but also subjected the city to the vagaries of external economic demands. Plague and war eroded Florentine prosperity in the fourteenth century, bankrupting merchants, debilitating government finances, and encouraging factional disputes among the guild members who controlled municipal politics. Yet Cosimo dé Medici stabilized the disintegrating Florentine government by concentrating the reins of power in the hands of his family. Under his grandson Lorenzo, Renaissance art and diplomacy reached a new peak. The personal fortunes of the dé Medici family and the republican institutions of Florence diminished, however, soon after Lorenzo’s death as Italy again became embroiled in war.

D. The End of Italian Hegemony, 1450–1527

Renaissance Italy profoundly affected the rest of western Europe. Italian products and culture were eagerly sought and imitated. Soon Italian influence would spread to the world.
1. Political and Military Unrest. By the late fifteenth century, the Italian city-states' imperialist ventures had heightened military tensions in the peninsula. Each of the principal Italian states expected the others to extend their control over the peninsula. The Peace of Lodi (1454) established two mutually suspicious military alliances—Venice and Naples, and Florence and Milan—that lasted some forty years. In the ensuing wars these states were ruthless in their treatment of subject peoples. The Italians were, however, unable to prevent invading neighboring states from expanding their boundaries.

2. The Italian Decline. The rise of the Ottoman Turks interrupted Venice's eastern trade and destroyed its naval supremacy. Mehmed II captured Constantinople and Athens as Ottoman power spread around the Mediterranean. Then, the Wars of Italy (1494–1529) erupted. Naples, Florence, and the Papal States allied against Milan, which secured French military assistance. This opened the door to the intervention of France and then of Spain and the Holy Roman Empire. The ensuing war ultimately dismembered Naples, left Florence the pawn of France and Spain, and culminated with German mercenaries sacking Rome in 1527.

CONCLUSION

The Italian Renaissance saw an enthusiastic transformation in art, politics, and society as Italian culture dominated that of the rest of Europe. Italian hegemony, on the other hand, passed to others.

KEY TERMS, PEOPLE, AND EVENTS

Petrarch          guild          dowry
Brunelleschi      Donatello      Masaccio
Alberti           della Francesca Bottaccio
da Vinci          Michelangelo  Vasari
humanist          Mirandola      Valla
Petrarch          Donation of Constantine Charles VIII
Bruni             Castiglione    Machiavelli
Francesco Sforza  condottieri    Great Council
doge              Cosimo dé Medici Mehmed II
Lorenzo dé Medici  Peace of Lodi   Ottoman Empire
fall of Constantinople  Alfonso I Gothic

NEW GEOGRAPHICAL LOCATIONS

Arno River         Naples         Milan
Florence           Papal States   Low Countries
Bologna            Ferrara        Pisa
DISCUSSION AND ESSAY QUESTIONS

1. What factors resulted in the Renaissance beginning in Italy?

2. Discuss the changes in architecture, sculpture, and painting that revolutionized art in the Renaissance. To what extent did the transformation of each of these art forms interact and overlap?

3. In what ways did the art and philosophy of the Renaissance reinforce each other?

4. The Renaissance saw both the rise and fall of the political power of the Italian city-state. Discuss the events and developments that led to political stability in Venice in this period. Did the factors that contributed to Venice's rise also contribute to its fall in the early sixteenth century?

5. What was the long-term significance of the rise of the Ottoman Empire and the Muslim conquest of Constantinople?

6. What changes did Europeans see in their daily lives during the period of the Renaissance? To what degree can these changes be credited to the presence of cities?

RELEVANT TRANSPARENCIES AND MAPS

Danzer's Discovering Western Civilization Through Maps and Views

S32: A Map of the World, 1452
S34: A Map of Rome: Leon Battista Alberti, 1432
S35: St. Augustine and the World: An Early Italian Woodcut
S36: View of Venice: The Nuremberg Chronicle, 1493

RELEVANT STUDENT MAP EXERCISES

Danzer's Mapping Western Civilization

T18: Medieval History: A Chronological Context
T23: Early Modern Times: A Chronological Context

ANNOTATED FILM LIST

An Introduction to the Italian Renaissance
29 minutes; color; 1999
Vasari’s Lives of the Artists provides the information employed for a dramatic reenactment of the interaction of a number of Renaissance artists, including Masaccio, Donatello, Leonardo, among others.

*The Renaissance of Florence*
CD-ROM

Interactive tour of workshops of several Renaissance artists. Contains images of more than 600 paintings, sculptures, and buildings.

*Renaissance—Its Beginnings in Italy*
26 min; color; 1957
16mm RC0440,16

Describes the way in which conditions in fourteenth-century Italy differed from those in the rest of Europe. Shows how Italy led the way in reviving the thought and ideals of ancient Greece and Rome.

*Civilization: The Hero as Artist*
53 min; color; 1971
16mm CC2135,16

Examines the Italian Renaissance during its high point in the early sixteenth century. Focuses on developments in Rome, considering the works of Michelangelo, Raphael, and Leonardo da Vinci. Superb photographs of the art of the era.

*Civilization: Man, the Measure of All Things*
54 min; color; 1970
16mm CC2134,16

Examines the earlier stages of the Renaissance, focusing on the fourteenth and fifteenth centuries. *I, Leonardo da Vinci*
52 min; color; 1965
16mm RC0687,16

Depicts the life of the great artist and inventor of the Renaissance. Indicates how one great individual of the period combined his artistic genius with a profound interest in scientific inquiry.

*The Day the Universe Changed: 3—Scientific Imagination in the Renaissance*
53 min; color; 1985
16mm, ½ VHS

Shows how western understanding of Arab optics resulted in the use of perspective in painting, changes in military tactics and weapons, and the age of exploration.
The Artist, Part 1
30 min; color; 1993
½ VHS


The Artist, Part 2
30 min; color; 1993
½ VHS

Presents the changing social role of the artist during the Renaissance. Part of The Renaissance: The Origins of the Modern West teleseries.

When the World Changed, 1300–1700
60 min; color; 1993
½ VHS

Places the changes introduced by the Renaissance in a broader historical context. Part of The Renaissance: The Origins of the Modern West teleseries.
Chapter 12

The European Empires

I. THE VISUAL RECORD: ASTRIDE THE WORLD

Henry VIII was one of England’s greatest rulers. He fought wars against France, Spain, and Scotland. In addition, the English Reformation saw him declared Supreme Head of the Church of England and seize the extensive lands of the church. The portrait artist Hans Holbein captured the pride, confidence, power, and wealth of Henry VIII and his court.

II. EUROPEAN ENCOUNTERS

Ottoman expansion threatened the Asian trade routes and forced Europeans to seek alternative routes to the East. Technological innovation and commercial demands underpinned the age of discovery. In addition, as demand for spices outstripped the supply of gold and silver, Europeans sought both new providers of these precious products and new sources of bullion with which to purchase spices and other Asian products. The lessening availability of gold and silver bullion undermined the European economy.

A. Africa and A Passage to India

Skilled navigators and seaworthy caravels provided Portugal with the instruments that would exploit its beneficial location on the southwestern coast of Europe, and allow it to seek a new route to Asia.

1. Prince Henry the Navigator. Motivated by both Christian faith and greed and inspired by the leadership of Prince Henry the Navigator, Portuguese explorers used the African continent as a stepping-stone to India. Bartholomeu Diaz sailed beyond the tip of southern Africa. Vasco da Gama reached India, returning with a lucrative cargo of Asian spices in 1499.

2. The Beginnings of the Slave Trade. The Portuguese discovered an active slave trade when they reached the western coast of Africa. Captives from native wars were sold to Muslims and then later to Portuguese merchants, who used them to work the sugar cane fields in the Azores and Canary Islands. Eventually, the Portuguese began to raid native villages to seize slaves for the lucrative slave trade. Because commercial agriculture in Portugal was limited, slaves began to be carried to Spanish colonies in the Americas.

3. The Asian Trade. Erecting scattered military outposts to oversee and protect their new economic interests, the Portuguese, led by Alfonso de Albuquerque, secured key ports on the Indian Ocean. The Portuguese would command an extensive empire that stretched from Africa
to India, Ceylon, and Indonesia by the early sixteenth century. Spurred by these developments, Lisbon emerged as a leading center of trade; but high costs and falling spice prices soon limited Portuguese wealth, allowing Antwerp to become the new hub of the spice trade.

B. Mundus Novus

Finally united under a single crown and successful in expelling its Muslim population, Spain turned its attention to finding a western route to Asia.

1. Christopher Columbus. In 1492, Columbus sailed west, discovering a New World rather than a shorter route to the Indies. The efforts of Christopher Columbus to discover a western route to the Indies resulted instead in Spanish dominion in the New World. The Treaty of Tordesillas (1494) divided the non-European world between Spain and Portugal. Balboa's explorations in Panama led to the discovery of the Pacific Ocean.

2. Ferdinand Magellan. In 1519, Magellan began his journey to circumnavigate the earth. Sebastian Elcano completed the journey after Magellan’s death. The length of the voyage revealed that a western route to Asia was impractical. The large quantities of gold and silver discovered in the New World, however, soon proved more appealing than eastern spices to the Spanish.

C. The Spanish Conquests

Although the Spanish crown wanted to extend Christianity, to exert sovereignty, and to secure the riches of the New World, the colonizers themselves were largely inspired by greed. Indians felt the full force of the savage policies that subjugated indigenous populations to Spanish conquistadors. The conquest of the Aztecs under Hernando Cortez, who led only 400 men, is exemplary. Because of Cortez’s ability to recruit Indian allies; the Spanish possession of armor and horses, and the Aztec practices of capturing enemy soldiers for human sacrifice, the Spanish rapidly conquered the Aztecs, whose population fell from 25 to 2 million. Francisco Pizarro's subsequent conquest of Peru in 1531 subjected the Inca population to Spanish rule and provided Spain with the revenue from an enormous silver mine.

D. The Legacy of the Encounters

Overseas empires helped create a worldwide marketplace. African slaves mined bullion which bought foodstuffs, silk, Asian spices, cotton, and tea.

1. Gold, God, and Glory. European explorers sought gold and silver bullion, the conversion of heathens to Christianity, and immortal fame. Explorers overcame both real and imaged dangers in fulfilling their ambitions. Technological innovations such as the magnetic compass and the astrolabe, and new techniques in cartography made the rapid expansion of European colonies possible.
2. The Columbian Exchange. European explorers brought diseases like smallpox and influence along with domesticated animals like cows, horses, and pigs. Returning adventurers brought venereal disease, tomatoes, potatoes, paprika, and cocoa beans.

3. European Reflections. Proud and optimistic, the explorers held little respect for the non-European peoples they found and had no interest in preserving that culture. By denigrating native peoples the Europeans were able to justify slavery and exploitation. Reports of the cultural practices of newly discovered peoples provoked the social criticism of Sir Thomas More and Bartholomé de Las Casas.

III. GEOGRAPHICAL TOUR: EUROPE IN 1500

In the early sixteenth century dramatic political changes were taking place in a Europe that was experiencing the beginning of nation building. The so-called New Monarchies used war, diplomacy, and marriage to extend their political power and consolidate national boundaries.

A. Boundaries of Eastern Europe

The Mongolian and Russian empires defined the boundaries of eastern Europe. The Ottoman Empire marked Europe’s southern border. The Baltic Sea and the loosely confederated kingdoms of Sweden, Norway, and Denmark established the northern boundaries. Poland-Lithuania was the centerpiece of an eastern agglomeration of states that ran from the Baltic Sea to the Black Sea. The Jagiellon family ruled a composite nation that included Hungary, Bohemia, Lithuania, and Poland. Eastern Europe, thinly populated and agriculturally poor, was further hampered by its severe climate. Fishing, silver, and timber were, however, important to the economy of the region.

B. Central Europe

Germanic peoples and the Holy Roman Empire defined central Europe. Although the political fragmentation of the Holy Roman Empire had created a confusing proliferation of politically independent states, free cities, and bishoprics, these territories constituted the focal point of European wealth and contained nearly 15 million people. Iron industry, armaments, agriculture, lumber, and commerce flourished in the Empire. Five city-states—Genoa, Venice, Naples, Papal States, and Florence—dominated the Italian peninsula. Trade and the institutions of the church lent the Italian Peninsula vitality and eminence.

C. Western Europe

The reconquest of the Iberian peninsula from the Muslims, an event known as the *reconquista*, was completed in 1492. Although the marriage of Ferdinand and Isabella united the crowns of Aragon and Castile in 1479, the Iberian Peninsula contained three distinct political kingdoms—Portugal, Castile, and Aragon—at the close of the fifteenth century. France, in comparison, was
a wealthy state, albeit politically divided into numerous populous fiefdoms and principalities. The English Channel protected the British Isles (England, Ireland, Scotland, and Wales), and permitted the British to develop their unique culture. In general, western European nations were both diverse and politically fragmented in 1500. No single state proved to be a dominant power although this would change in the coming century.

IV. THE FORMATION OF STATES

Geography, social structure, population, and natural resources influenced the emergence of nation-states. Primitive transportation and communication networks, linguistic differences, cultural diversity, the vagaries of inheritance, and the ambitions of nobles, clergy, towns, and legislatures militated against the political consolidation of European nation-states. Nevertheless, the sixteenth century saw a dramatic move toward political centralization in the West. Princes played a central role in the early stages of this development, which relied heavily upon advances in the technology of warfare. Gunpowder underpinned the development of cavalry and infantry armed with pikes or muskets.

A. Eastern Configurations

In eastern Europe, Muscovy, the largest sixteenth-century European nation, enjoyed a period of extraordinary success. The dramatic expansion of Muscovy was possible because of the disintegration of the Mongol empire and the fall of Constantinople, which strengthened Muscovite ties to the Byzantine world. The Muscovites also benefited from the absence of competitors to the throne. Ivan III the Great enhanced the loyalty of his nobility and military and buttressed his sovereignty with the religious authority of the Orthodox Church and a belief that his authority came from God. He combined military prowess with diplomatic skill as he added 1.5 million square miles to his kingdom.

1. Ivan the Terrible. After defeating the Mongols, Ivan IV the Terrible annexed the Volga basin, though he failed to achieve victory over Livonia or to secure a Baltic port. The Tartars invaded Muscovy in 1571, burning Moscow. Under him, the balance of power among Muscovy's three social groups—the aristocratic boyars, the military service class, and the peasantry—changed substantially. Ruthless reprisals reduced the independence of the boyars as the status of the military class improved. By frequently relocating the boyars, Ivan undermined local authority and strengthened the power of the central state. Peasants, reduced to the status of serfs, lost their few existing rights.

2. Poland-Lithuania. Poland-Lithuania failed to establish a lasting unified state because of war with the Ottomans and Russians, because strong aristocrats opposed centralization, and because rival claimants competed for the throne. The failure of Casimir IV to consolidate the crowns of Poland, Lithuania, Bohemia, and Hungary prevented the emergence of a large unified country. Consequently, nobles gained power at the expense of the sovereignty of the king. Lithuania ultimately fell to the Russians, Hungary to the Ottomans, and Bohemia to the Habsburgs.
B. The Western Powers

Western state-building was characterized by different approaches to the consolidation of political power. Administrative centralization and the absence of a foreign threat forged an English state that overcame the divisiveness of civil war. Good fortune shaped the formation of the French state. A successful dynastic marriage helped Spanish consolidation.

1. The Taming of England. The aristocratic intrigues of the Wars of the Roses (1455–85) undermined strong government in fifteenth-century England. Thirty years of civil war ended with the Battle of Bosworth Fields. The new king, Henry VII, saw the stabilization of the crown's income. His creation of a loyal aristocracy and his marriage to Elizabeth of York enhanced loyalty to the new Tudor dynasty. The development of centralized institutions that were responsible for the oversight of royal lands and collections of customs duties failed to solve the problems of royal finance, but mitigated their severity. More significantly, Thomas Cromwell's able administration of the church lands seized by Henry VIII generated a financial windfall. Cromwell additionally created separate departments of state, each with its own jurisdiction and permanent staff. Under Cromwell's aegis, the political role of the Privy Council and Parliament also increased.

2. The Unification of France. Threatened by hostile neighbors, semi-independent aristocrats, regional cultural differences, and the intense provincialism and suspicion of the French people, France enjoyed a remarkable resurgence in the sixteenth century. Although the nobles had been able to increase their autonomy during the Hundred Years' War, the authority of the king increased after the war. Fear of the aggressive expansion of the dukes of Burgundy encouraged a confederation of Swiss towns to collaborate in fighting the Burgundians. The Swiss victory at the Battle of Nancy in 1477 enabled French kings to dismantle the Burgundian inheritance and secure France's eastern border. Louis XI benefited from the vagaries of inheritance and strategic marriages to unite Anjou, Maine, Brittany, Orleans, and Bourbon lands. The marriage of Margaret of Burgundy to Maximilian of Hapsburg denied France control over the Low Countries. Louis XI and his successors introduced new taxes (taille, gabelle, aide) to finance wars and state building. Recruiting cavalry from the nobility and infantry from the commoners, France established the first national army in Europe. War and taxes increased the power of the French royal institutions.

3. The Marriages of Spain. Political, cultural, regional, and religious differences divided the peoples of the Iberian kingdoms in the fifteenth century. Although Ferdinand and Isabella ruled jointly following their marriage in 1479, the retention of local laws, institutions, and privileges inhibited the consolidation of the Spanish state. The success of the *reconquista* and the Spanish Inquisition, however, helped to create a sense of national identity among Spanish Christians as it increased the stature of the monarchy. Ferdinand and Isabella utilized the attributes of the medieval monarchy in regular progresses through the country, making themselves familiar figures to the Spanish people. They encouraged unification through the adoption of a single language and currency and the intermarriage of Castilians and Aragonese noble families. Charles V, heir to Hapsburg lands in the Low Countries, Austria, Hungary, Spain, and its empire, developed a permanent bureaucratic court in Spain to facilitate its governance.
Charles’s aggressive foreign policy gave his Spanish subjects new sources of national pride and reduced provincial allegiances.

V. THE DYNASTIC STRUGGLES

The emergence of large states linked by strategic marriages precipitated seemingly endless wars in the sixteenth century. The increasing destructive power of weaponry and large armies ensured that these struggles would be both expensive and deadly.

A. Power and Glory

Medieval concepts of valor continued to inspire princes to wage war in the sixteenth century. Europeans still fought dynastic, as opposed to national, wars. New bases of royal power transformed European sovereigns' ability to fight. Wealth from the New World financed larger professional armies. Improved networks of transport, supply, and communications increased military efficiency. Despite these changes, New Monarchs such as Charles V, Francis I, and Henry VIII translated intensely personal rivalries into sustained strategic wars that ultimately maintained a balance of power in European politics.

B. The Italian Wars

Although the sixteenth-century dynastic struggles emanated from conflicts between the French House of Valois and the House of Habsburg, the battles were fought in Italy. Rivalry for the Kingdom of Naples, the former lands of the dukes of Burgundy, and the title of Holy Roman Emperor encouraged war between Francis I of France and Charles V of Spain. England played a central role in the Italian wars by shifting diplomatic alliances between Spain and France. Initially allied to Henry VIII, Charles V crushed the French forces at Pavia and even captured Francis I. This forced Francis to recognize Spanish rule in Burgundy, Navarre, and Naples in the 1526 Treaty of Madrid. Freed from captivity, Francis I promptly forged an alliance with Henry VIII and the Ottoman sultan Suleiman the Magnificent, who won a signal victory over the Habsburgs at Mohacs before threatening Vienna. The 1559 Treaty of Cateau-Cambresis ended decades of conflict between the European powers. Bankrupted by their extended military campaigns, the newly consolidated French and Spanish states stood perched on the brink of ruin at the end of the Italian wars.

CONCLUSION

In 1555, Charles V divided his lands between his son Philip II, who received Spain, the Spanish New World Colonies, the Low Countries and Naples; and his brother Ferdinand I who received the Germanic lands of the Holy Roman Empire.
KEY TERMS, PEOPLE, AND EVENTS

Ptolemy                    terra incognita                     caravel
Bartholomeu Dias          Alphonse du Albuquerque           Vasco da Gama
Prince Henry the Navigator Columbus                   Magellan
Treaty of Tordesillas      Cortés                              Pizarro
Isabella of Castile       Balboa                              Elcano
conquistadores            reconquista                         Aztecs
Montezuma II              Suleiman the Magnificent              Montaigne
Bartholomew de La Casas   Teutonic knights                     Jagiellons
New Monarchies            Charles V                           Ivan III the Great
Ivan IV the Terrible      Tartars                             boyars
Henry VII                  Henry VIII                          Thomas Cromwell
Wars of the Roses         Battle of Nancy                      Louis XI
Taille                     gabelle                             Ferdinand
Conversos                 Spanish Inquisition                   Charles VIII
Pavia                      Treaty of Madrid                      Incas
Treaty of Cateau-Cambrés  Valois                              Hapsburgs

NEW GEOGRAPHICAL LOCATIONS

Azores                     Madeira Islands                     Indian Ocean
Cape of Good Hope          Ceylon                                 Indonesia
Antwerp                    Caribbean Sea                       Pacific Ocean
Spice Islands              Mexico                                Peru
Crimea                     Moldavia                             Wallachia
Transylvania               Poland-Lithuania                    Prussia
Bohemia                    Burgundy                             Brittany
Livonia                    Volga River                          Granada
Castile                    Aragon                               Navarre
Cape Verde Islands         Goa                                   Calicut
Muscovy                    Khanate of Crimea                    Brazil
Kiev                       Flanders                             Low Countries
Dijon                      South America                       Philippines
Cuba                       Vera Cruz                            Bahamas
Carpathian Mountains      Iberian Peninsula

DISCUSSION AND ESSAY QUESTIONS

1. Compare the colonization efforts and successes of Portugal with those of Spain.

2. Discuss the rise of Muscovy under Ivan III and his successors. How did the relative power of social groups change during this period of state formation?
3. Compare and contrast the rise of the state in England, France, and Spain. Which tactics or developments were evident in these countries. What factors were important in the development of centralized governments in western Europe?

4. Discuss the meaning and significance of "dynastic wars." What distinguishes dynastic warfare from national warfare?

5. Evaluate the contributions of Isabella to Spanish government and society. Would she have been a good role model for other European monarchs—male or female?

RELEVANT TRANSPARENCIES AND MAPS

Danzer's Discovering Western Civilization Through Maps and Views

S33: A Portolan Chart by Petrus Rosselli, 1456
S37: Map of the Atlantic Ocean by Pizzigano, 1424
S38: The Atlantic Ocean After Columbus
S39: A Globe by Johannes Schöner, 1520

RELEVANT STUDENT MAP EXERCISES

Danzer's Mapping Western Civilization

T19: Map of America, 1540 A.D.
T21: Mercator's Map, 1569 A.D.
T23: Early Modern Times: A Chronological Context

ANNOTATED FILM AND CD LIST

The Renaissance Explorers
CD-ROM

Provides original accounts of voyages of ten major explorers.

Voyage in World History: An Interactive Atlas
2 CD-ROMs

Extensive interactive collection of maps, original sources, audio clips, and a 43-minute video clip.

The Prince, Part 1
30 min; color; 1993
½ VHS
Examines the new political ideas that emerged during the Renaissance. Part of *The Renaissance: The Origins of the Modern West* teleseries.

*The American Adventure: Consequences of Contact*
30 min; color; 1987
½ VHS  CC3708,VH

An examination of the effect of Spanish and Portuguese contact with the New World. Considers the relationships among American Indians, Africans, and Europeans.

*The Christians: The Conquest of Souls*
30 min; color; 1976
16mm CC3191,16

Surveys Catholic Spain's military and religious penetration of the non-Western world in the sixteenth century. Contrasts the success of Spain's efforts in conquering and converting the population of Mexico with Spanish failures in the Far East.

*Cortez and the Legend*
43 min; color; 1967
16mm CC1847,16

A dramatization of the conquest of Mexico in the sixteenth century. Shows the clash of Aztec and Christian religions. Indicates the military factors that helped bring victory to the Spanish.

*European Expansion: Its Influence on Man*
19 min; color; 1970
16mm CC2345,16

A survey of early European explorations and contact with the non-Western world beginning in the fifteenth century. Stresses European role in linking together the various parts of the globe.

*Triumph of the West: 6—The Age of Exploration*
53 min; color; 1985
½ VHS

Examines Portuguese and Spanish explorations and the impact of non-Western culture on European society.

*Triumph of the West: 7—New Worlds*
53 min; color; 1985
½ VHS

Explores the European colonization of the Americas and examines the impact of European settlers on native populations in the Americas and in Africa.
*English and Dutch Explorers*
11 min; color; 1965
16mm

Surveys the successes of English and Dutch explorers and the shift of trade from the Mediterranean to the Atlantic.

*The New Worlds of Literature*
27 min; color; 1976
½ VHS

Examines the fantastic notions of the new world—Prester John, cities of gold, Amazons—that were utilized in romantic literature.
Chapter 13

The Reform of Religion

I. THE VISUAL RECORD: SOLA SCRIPTURA

The sixteenth century saw a devotional revolution that challenged the traditional practices and beliefs of the Roman Catholic Church. It was predicated on the belief that salvation came from the word of God alone, and that brought vernacular Bibles to many Europeans. The renewed spirituality that accompanied the greater availability of the Bible and other religious works encouraged a popular demand for religious reform that included more learned priests and a less corrupt church.

II. THE INTELLECTUAL REFORMATION

Printing facilitated the sixteenth-century call for religious reform, but did not initiate it. Humanists, intent on studying accurate classical texts, demanded ancient manuscripts, precipitating the development of printing. Initially reformers called for changes in the Catholic church, but the reformers, fed by new ideas, soon split into those who wished to reform the church from within and those who wished to establish a separate church.

A. The Print Revolution

Changes in the printing industry had a profound influence upon sixteenth-century religious reform. The printing revolution originated in innovations within the papermaking and goldsmith trades. The substitution of rag paper for vellum, which was made from sheep skin, allowed goldsmiths to experiment with movable metal type, a development that led to the publication of the Gutenberg Bible in the 1450s. Booksellers organized and financed the production and sale of religious and classical texts. Politics, education, law, science, language, exploration, and leisure soon felt the full force of this international intellectual phenomenon as a community of scholars emerged.

B. Christian Humanism

The dissemination of the Italian humanists’ values to northern Europe led to Christian humanism, which applied the techniques of literary scholarship to religious rather than secular texts. As scholars developed critical editions of both classical and religious literature, they often critiqued authorities and the texts on which the Catholic church was founded. Intent on increasing both literacy and religious understanding among the Christian population, Christian humanism
brought education—hitherto monopolized by the church—to both lay men and women. The educational policies of the church were still rooted in scholasticism, which called for rote memorization of traditional texts and formal disputations of esoteric questions. Such a pedagogy met with growing criticism in an age more interested in critical thinking and analysis.

C. The Humanist Movement

Christian humanists criticized the church's endorsement of superstitious practices and its failure to promote a pious religious life. Often protected and subsidized by the New Monarchs, humanists were members of an international intellectual community that sought to provide accurate translations of Christian texts, a goal substantially achieved with the completion of the Polyglot, or multi-language, Bible in 1522.

D. The Wit of Erasmus

Desiderius Erasmus of Rotterdam, the most noteworthy intellectual of his age, used humanist techniques to publish the first Greek edition of the New Testament. Concerned primarily with restoring the central role of Christ in the church and reducing the importance of rituals, Erasmus emphasized the need to educate all Christians, regardless of age, sex, or wealth. His *Praise of Folly* ridiculed absurd practices and superstitions, while offering practical advice about the comfort Christianity offered everyone.

III. THE LUTHERAN REFORMATION

The spiritual revival associated with Christian humanism raised the religious expectations of Europeans. Contemporary church practices—simony, nepotism, and pluralism—increased popular demands for religious reform as did criticisms of ignorant, scandalous clergy.

A. The Spark of Reform

In an age of growing spiritual concern, humanists, churchmen, and their congregations made competing claims for support and obedience. Laymen found the requirements of penance and confession onerous even as religious reformers urged the church to increase its vigilance and discipline. Efforts to avoid penance encouraged the church to sell indulgences that allowed people to reduce or even avoid purgatory altogether and proceed directly to heaven by drawing upon the good works of earlier generations. The sale of indulgences greatly increased the church's wealth, but at the expense of its integrity. The pope authorized Prince Albert of Brandenburg to oversee the sale of indulgences in Germany. In 1517, Martin Luther’s Ninety-five Theses questioned the validity of indulgences without contrition. Humanists eagerly embraced Luther's attack, which was fully consonant with their own interpretations of the Bible. The popularity of Luther's theses forced the pope and his adherents to defend their monopoly on religious interpretation.
B. Martin Luther's Faith

The popularity of indulgences provoked Martin Luther, an exceptionally able Augustinian priest and professor of theology. A sense of his own personal sin overwhelmed Luther, who sought salvation in the study of the Bible and found it in the writings of St. Paul. Three basic arguments flowed from Luther's new beliefs. First, justification by faith alone, *sola fide*, held that faith in God's infinite mercy alone led to salvation and that consequently good works were unnecessary. Second, Luther maintained that only knowledge of the Bible—*sola scriptura*—could generate the faith necessary for God's saving grace. Third, all persons could obtain salvation through prayer and biblical study.

C. Lutheranism

Refusing to recant his denunciation of indulgences at the Diet of Worms, Luther developed an array of theological arguments with profound and radical consequences. By 1520, Luther had repudiated the authority of the papacy and of church councils and urged secular princes to reform the church. The pope excommunicated him in 1521 and Holy Roman Emperor Charles V outlawed him. Luther's theology transformed into the Protestant movement with the support of German princes and townspeople.

1. Princes and Cities. The support Luther received from princes derived from their personal religious conviction and from their desire to increase their revenue by seizing church property and eliminate clerical tax exemptions. Support for Luther also flourished in cities, where literate churchmen, printers, and humanists actively proselytized for spiritual reform. Municipal officials also welcomed Luther’s recognition of civil authority and the opportunity to confiscate religious houses and property. Members of the middling class—burghers, merchants, tradesmen, and artisans—were also enthusiastic converts.

2. The Appeal for Women. Encouraged by Luther's notion of spiritual equality, women too flocked to his cause. Noblemen such as Marguerite of Navarre, Mary of Hungary, and Bona of Poland, sustained and protected Protestant reformers. Less exalted women found Luther's emphasis on literacy, the spiritual equality of the sexes, and the centrality of family life appealing. The dissolution of nunneries, the abandonment of the worship of the Virgin Mary and female saints, and the reliance upon the disparaging view of women contained in the Bible weakened women’s position within the reformed church, however.

D. The Spread of Lutheranism

Luther's call for religious reform swiftly divided the cities and states of the empire. Merchants and students were instrumental in advancing Luther's cause in German lands and in carrying his message to Scandinavia, where princes played a central role in defending his doctrines. In both Hungary and Bohemia the weakness of Ferdinand I permitted the spread of Luther's ideas. The impact of Luther's reforms was most profound in Switzerland. In Zurich, Huldrych Zwingli emphasized the need to return the church to the simpler state of its early years. He defended the
equality of all believers and the commemorative character of the mass, while accepting Lutheran concepts like justification by faith alone and sufficiency of Scripture. In the many Swiss towns that embraced Zwingli’s reforms, church and state were closely intertwined, a configuration of power that later promoted both social and political reform.

IV. THE PROTESTANT REFORMATION

By the mid-1530s, a second generation of Protestant reformers faced the tasks of church organization and systematization of theology. These matters differed substantially from Luther's mission of protest and reform. For this second generation of reformers, questions of governance, discipline, and church-state relations played as important a role as doctrinal issues.

A. Geneva and Calvin

Freed from the dual government of their Catholic bishop and the Duchy of Savoy, Genevans embraced the Protestant religion in 1536 and invited John Calvin to direct their religious program. Calvin guided Geneva's reformation with the principles established in his *Institutes of the Christian Religion*. Accepting the centrality of the Bible, justification by faith, and God's saving grace, Calvin departed from Luther in suggesting that salvation was a free gift from God; some were predestined for salvation and all others would be damned. Calvin insisted that only those Christians predestined for salvation, “the elect,” were fit to exercise governmental authority in his church. In Calvin's church, pastors preached God's word to their congregations; doctors studied and interpreted scripture; deacons oversaw the church's social welfare institutions; elders enforced Calvin's strict moral code. A self-governing, independent institution, the Calvinist church effectively disseminated Calvinism, which soon flourished in the Low Countries, Lithuania, Scotland, and England.

B. The English Reformation

Henry VIII’s Parliament enacted a series of laws that effectively separated England from the Catholic church while making the king the Supreme Head of the Church. Henry VIII believed that breaking away from the Catholic church was the only way that he would be able to secure a divorce from Catherine of Aragon and have a legitimate male heir by his mistress Anne Boleyn. Orchestrated by Thomas Cranmer and Thomas Cromwell, England's break with Rome gave Henry VIII his annulment, but not a son as Anne gave birth to a daughter, Elizabeth.

1. The Church of England. The English Reformation benefited from a tradition of dissent, anticlericalism, and humanism that prepared the way for religious reform. Despite an English population that was sympathetic to Lutheran views, the king was hostile to the reformed church. Henry VIII oversaw the persecution and execution of Lutherans and the imposition of rigid censorship. Popular support for the new religion grew after Henry’s divorce from Catherine and the confiscation of church lands. Catholics who refused to recognize Anne Boleyn as Henry’s legitimate wife, found themselves targets of persecution. Edward VI enacted further
Protestant reforms, inspired in part by Zwingli. State repression of Catholics was nonetheless severe. Catholics rebelled against religious changes in the Pilgrimage of Grace in 1536. When their rebellion failed, they went underground to await the succession of Mary I.

2. The Successors of Henry VIII. Edward’s Catholic sister, Mary I, tried to restore England to the Catholic church. Some 800 Protestants fled England for continental centers of the reformed theology. These so-called Marian exiles laid the groundwork for England's second reformation under Elizabeth I, which saw the Church of England adopt Calvinist notions of predestination and church reorganization. The Church of England strove, however, to achieve a compromise between traditional and reformed views in the Thirty-Nine Articles.

C. The Reformation of the Radicals

Luther inspired a social revolution by Swabian peasants in 1525, though he himself strongly supported traditional civil authorities. Anabaptists posed the most dangerous threat to orthodox Protestantism. Practicing adult baptism, Anabaptists broke with both Catholics and other Protestants in including only true believers in their church. Anabaptists maintained that since the Holy Spirit resided within them, secular governments had no authority to rule the lives of true Christians. The radicals thus refused to pay taxes, serve in the military, or give oaths. Some Anabaptists even endorsed common ownership of property, polygamy, and sexual promiscuity. Persecuted by Catholic and Protestant alike, many Anabaptists fled eastward to Bohemia and Hungary, where they formed groups like the Moravian Brethren and Mennonites.

V. THE CATHOLIC REFORMATION

Despite the inroads of the various Protestant denominations in parts of northern Europe, Catholicism remained dominant in southern Germany, Italy, Poland-Lithuania, Spain, France, and Ireland. Reform within the Catholic church emphasized personal piety, preaching, pastoral care, and missionary activity. As a result of their efforts to reform the Church from within, Catholicism was actually stronger at the end than it had been at the beginning of the Protestant Reformation.

A. The Spiritual Revival

The New Piety, a spiritual movement that emphasized personal asceticism and individual spirituality, dominated Catholicism and Christian humanism. Thomas à Kempis's *Imitation of Christ* inspired Catholics to live more personally rewarding spiritual lives. Christian humanists hoped to reform the church from within. Archbishop Jimenez de Cisneros reformed both secular and regular clergy in Spain. Retaining commitments both to religious reform and to Catholicism, church leaders such as Bishop Gian Matteo Giberti of Verona sought to highlight the pastoral role of the parish clergy. New religious orders arose to supplement these efforts and to greater sacrifice. The Capuchins focused on penance and charitable activities. Saint Teresa of Avila supervised the reorganization of the Carmelites in Spain, creating convents in which women
could achieve true devotion by withdrawing completely from the secular world. Angela Merici, meanwhile, established the Ursulines, a religious order in which women would live chaste lives and follow the discipline of a superior, but were not cloistered in a nunnery.

B. Loyola's Pilgrimage

Modeling his life on the asceticism of the saints, Ignatius Loyola experienced mystical visions of a direct call to serve Christ. After pursuing theological studies in Spain and later in France, Loyola won the pope's approval in 1540 for his religious order, the Society of Jesus, or Jesuits. Francis Xavier played a central role in the conversion of Asian peoples to Catholicism. Founding schools to train his missionaries, Loyola also established numerous lay schools and colleges.

C. The Counter-Reformation

Disagreements between the emperor and the hierarchy of the German church, on the one hand, and the pope and the hierarchy of the Italian church, on the other, impeded Catholic efforts to convene a general council of the church. Dominated by the Italians, the Council of Trent (1545–1563) proved to be a complete victory for the pope and for traditional Catholic theology. The council banned the sale of indulgences, reaffirmed the clergy's pastoral role, emphasized the education of the priesthood, unified and modernized the Catholic service, and updated the Index of prohibited literature. But Trent made no concessions whatsoever to Protestants. Good works remained central to the Catholic view of salvation. Church councils and papal decisions remained essential supplements to scripture. The Vulgate remained the only acceptable version of the Bible, and all seven sacraments and clerical celibacy were retained intact. The Council of Trent thus clarified the dividing line between Catholic and Protestant.

D. The Empire Strikes Back

Religious conflict precipitated warfare starting in the 1530s. Charles V, already at war with France and the Ottoman Empire, proved unable to suppress Protestantism in his German states despite the many internal divisions of the German princes. The year 1546 saw a renewal of hostilities, with the French attacking German territories from the west, the Ottomans invading from the South, and Protestant princes striking from the north. In 1555, the Peace of Augsburg brought this conflict to a close by allowing individual German princes to choose between Catholicism and Lutheranism, thus ending almost forty years of religious warfare.

CONCLUSION

The wars that religious divisiveness had precipitated continued to plague Europe into the next century.
KEY TERMS, PEOPLE, AND EVENTS

sola scriptura  Johannes Gutenberg  Christian humanism
Scholasticism  Francis Xavier  Thomas More
simony  nepotism  indulgences
Martin Luther  justification by faith alone  Peace of Augsburg
Diet of Worms  Marguerite of Navarre  Polyglot Bible
Huldrych Zwingli  Desiderus Erasmus  Council of Trent
John Calvin  predestination  "the elect"
consistory  Henry VIII  Catherine of Aragon
Anne Boleyn  Thomas Cranmer  Thomas Cromwell
Pilgrimage of Grace  Mary I  Elizabeth I
Anabaptist  Moravian Brethren  Mennonites
New Piety  Thomas a Kempis  Jiminez de Cisneros
Inquisition  Peace of Augsburg  Capuchins
Theatines  Carmelites  Ursulines
Ignatius Loyola  Society of Jesus (Jesuits)
Index of prohibited books  priesthood of all believers

NEW GEOGRAPHICAL LOCATIONS

Wittenberg  Moravia  Zurich
Bern  Basil  Geneva

DISCUSSION AND ESSAY QUESTIONS

1. Discuss the text’s assertion that "printing was as much a result as it was a cause of the spread of ideas" in the sixteenth century. What developments facilitated the printing revolution of this period?

2. Martin Luther's radical theology advanced the concept of a priesthood of all believers. Discuss the meaning and significance of this concept. Why did Luther's religion appeal to such various groups as humanists, tradesmen, and women?

3. Compare and contrast the first- and second-generation of Protestant reformers. How did the problems faced by Luther differ from those faced by Calvin and the English reformers?

4. Assess the authors’ contention that Catholicism was actually stronger after the Protestant Reformation than it was before it.

5. Is Sir Thomas More's utopia truly a perfect world? If not, could it be made so?

6. Compare the religious impact of English rulers with that of the German princes.
RELEVANT TRANSPARENCIES AND MAPS

Danzer's Discovering Western Civilization Through Maps and Views

S40: A View of Geneva: Sebastian Munster's Cosmographie Universelle, 1550
S41: The County of Suffolk: Christopher Saxon, 1575
S42: Map of the Holy Land from the English Bible of 1559

RELEVANT STUDENT MAP EXERCISES

Danzer's Mapping Western Civilization

T20: The Division of Christianity, c. 1550 A.D.
T23: Early Modern Times: A Chronological Context

ANNOTATED FILM AND CD LIST

Life in Tudor Times
CD-ROM

Collection of information about political events, as well as Tudor society.

Harlot or Martyr? The Case of Mary Stuart
50 minutes; color; 1999

Examines the newest evidence concerning whether Mary Stuart was guilty of conspiracy against Elizabeth or whether she was a victim. Contains dramatic reenactments of her trial and execution.

Civilization: Grandeur and Obedience
52 min; color; 1971
16mm CC2137,16

Considers the ideas, events, and personalities of the Counter-Reformation. Places strong emphasis on the revival of the Catholic church and its renewed vigor in Italy and Spain. Somewhat slow-moving in parts, but generally worthwhile.

Martin Luther
29 min; b&w; 1953
16mm CB 2216,16

Considers the early career of the Protestant reformer. Deals with the period from 1505 to 1521 in which Luther first challenged the practices of the Catholic church.
The Dissenter, Part 2
30 min; color; 1993
½ VHS

Traces the early development of the Protestant Reformation. Part of The Renaissance: The Origins of the Modern West teleseries.

Bernini's Rome
30 min; b&w; 1966
16mm

Analyzes sculpture and architecture of Bernini, the leading visual interpreter of the Counter-Reformation.

A Matter of Conscience: Henry VIII and Thomas More
30 min; color; 1972
16mm CC2407,16

A dramatization of the start of the English Reformation. Recounts the collision between the English king and his chief minister over Henry's decision to break with Rome and establish himself as supreme head of the Church of England. Edited from the full-length dramatic film A Man for All Seasons.

Civilization: 6--Protest and Communication
52 min; color; 1969
16mm

Examines the influence of printing, the Protestant Reformation, wars of religion, and leading humanists and artists of the age, including Erasmus, More, Durer, and Holbein.

The Reformation
50 min; color; 1967
16mm CC1839,16

A survey of the religious crisis of the sixteenth century. Considers the role of Martin Luther and other key reformers. Examines present-day relations between Protestantism and Roman Catholicism.

Elizabeth: The Queen Who Shaped an Age
27 min; color; 1970
16mm CC2403,16

Recounts the highlights of the career of England's great sixteenth-century monarch. Stresses her problems dealing with England's Catholic minority and her success in defeating Spain's armada.
The Reformation: Age of Revolt
23 min; color; 1973
16 mm

Analyzes the political, social, and religious climate of the transitional age known as the Reformation.

Reformation: Parts 1 and 2
54 min; color; 1966
16mm

Follows the key events of the Reformation and Counter-Reformation from the posting of the 95 Theses to the Council of Trent.
Chapter 14

Europe at War, 1555–1648

I. THE VISUAL RECORD: THE MASSACRE OF THE INNOCENTS

War dominated the century from 1555 to 1648. The motives for war varied—religion, dynastic rivalry, ambition, rebellion. The consequences of these struggles had profound effects for later centuries. The growing size of national armies meant that wars would become increasingly destructive, brutal, and expensive. Pousson’s *Massacre of the Innocents* graphically portrays the violence and inhumanity of war.

II. THE CRISIS OF THE WESTERN STATES

The growth of Protestantism within Catholic Europe provoked political crises in the West, for ecclesiastical and monarchical authority were indissolubly linked—one king, one law, one faith. Religious toleration was not considered to be an option, as subjects were required to hold religious views identical to those of their rulers. Religious toleration would not be an accepted practice until a century of bitter fighting demonstrated its viability.

A. The French Wars of Religion

The French wars of religion were violent civil wars that ravaged France, destroying property, lives, and a sense of community.

1. The Spread of Calvinism and Religious Division. Though the French Catholic church successfully resisted the first generation of Protestant reformers, French Calvinist pastors had converted nearly 10 percent of the French population by 1560. Calvinism enjoyed particular success in provincial towns among the artisans and craftsmen and aristocratic women. Political instability underlined the significance of this religious threat, for the power vacuum that followed Henry II's death in 1559 encouraged rival aristocratic families, most notably the Catholic Guises and the Protestant Bourbons, to vie for power.


3. The St. Bartholomew’s Day Massacre. In an effort to stop this inconclusive warfare, Catherine and Charles IX planned a marriage between Charles' Catholic sister Margaret and the
Huguenot leader Henry of Navarre in 1572. Guise plans, however, converted the marriage celebration into the Saint Bartholomew's Day massacre. The carnage spread rapidly to the provinces, but Henry of Navarre and a number of other key Huguenot leaders managed to escape.

B. One King, Two Faiths

The massacre intensified anguished cries for revenge as the fighting resumed. Catherine de Medici's complicity in the Saint Bartholomew's Day massacre deepened her affiliation with the Catholic cause. The time was now ripe for revenge—not reconciliation.

1. The Theory of Resistance. Huguenots proposed theories that justified resistance to and rebellion against unlawful or ungodly kings. Some Catholic peers, the politiques, opposed the monarchy's involvement in the excesses of the massacre and sought a peaceful solution. The king's power diminished severely, as the Catholic League raised allegiance to the Catholic cause above loyalty to the king. In 1585, the civil war entered a phase known as the War of the Three Henrys, as Henry III, Henry Guise, and Henry of Navarre competed for the crown. The assassinations of Henry Guise in 1588 and of Henry III in 1589 further complicated the situation.

2. Henry IV. Henry initiated war with Spain to unite the French people. But it was only Henry’s public conversion to Catholicism that secured his title as King Henry IV in 1594. His proclamation of limited toleration of Huguenots in the Edict of Nantes (1598) diminished religious passions in France sufficiently to allow the monarchy to recover its strength, though periodic violence between the Huguenots and the Catholics would continue until his assassination in 1610.

C. The World of Philip II

Spain, the greatest European power in the sixteenth century, controlled the Netherlands, Milan, Naples, and Portugal, as well as substantial territories in the New World. In 1571 the Spanish earned a major victory over Ottoman naval forces at Lepanto. English military and financial support for the Dutch rebels infuriated the Spanish. Hostility between England and Spain followed the death of Philip’s wife Mary I, Queen of England. In 1588, Philip dispatched the Spanish Armada to invade England. The English, however, utilized their superior weaponry and maneuverability to defeat the Spanish fleet.

D. The Burgundian Inheritance

Burgundy was the keystone of the empire of Charles V and thus was particularly important to the political aspirations of his son, Philip II. The Netherlands, where Catholics lived with Lutherans, Anabaptists, and Calvinists in a variety of diverse provinces, constituted one of the richest and most populous regions of Europe. Calvinism, which garnered converts from all social levels, was especially popular. Philip's efforts to impose Catholicism upon the Dutch population met with passive resistance from both Catholic nobles and Protestant nobles, intent to
maintain their political autonomy. They especially opposed Philip's plan to increase the authority of the Catholic church through the establishment of the Inquisition, the founding of Jesuit schools, and the implementation of the decisions of the Council of Trent. Philip appointed his half-sister Margaret of Parma as regent of the Netherlands with orders to implement his policies in his absence.

E. The Revolt of the Netherlands

Margaret’s attempt to introduce limited toleration was overturned by militant Dutch Calvinists, who initiated a campaign of iconoclasm that galvanized resistance to Philip's policies. Rebellion erupted in 1566.

1. Rebellion and War. Although Margaret of Parma was able to reestablish order, Philip sent soldiers to the Netherlands under the command of the Duke of Alba. His reign of terror increased Dutch resistance to Spanish authority as his “Council of Blood” executed a thousand Calvinists, villages and created tens of thousands of refugees. Although Alba temporarily subdued the Netherlands, his policies ensured the persistence of armed rebellion against Spain for another 80 years.

2. The Protestants Rebel. Even previously loyal provinces disliked paying higher taxes to finance this seemingly perpetual warfare. By 1575, the Protestants had secured a permanent base in Holland and Zeeland under William of Orange. In the south, the Spanish army, now deprived of Margaret’s and Alba's leadership, ran rampant, sacking the wealthy commercial city of Antwerp in 1576. Fully discredited by the “Spanish Fury,” Spain ceded authority to the States-General in the Pacification of Ghent (1576). Philip II refused to accept the treaty, however, and limited fighting resumed. Although Spain was successful in some campaigns to regain territory in the Netherlands, a weakened Spain tacitly acknowledged the independence of Holland with the Twelve Years' Truce of 1609.

III. THE STRUGGLES IN EASTERN EUROPE

Although Protestantism spread to Poland-Lithuania in the sixteenth century, religious divisions were less important than politics. War dominated political concerns when fighting erupted between Muscovy and Poland-Lithuania. Sweden also engaged in hostilities to expand its territories.

A. Kings and Diets in Poland

Poland-Lithuania was the leading east European nation until 1572. The end of the Jagiellon dynasty increased the autonomy of the nobility and gentry who acquired the power to elect their kings. The Polish Diet limited the powers of the new kings with a variety of constitutional and religious restrictions that ensured Protestant toleration within the Catholic state. The election of the Catholic Sigismund III to the Polish throne in 1587 complicated these arrangements, for he was also heir to the crown of Sweden. Successful in using the Jesuits to strengthen Catholicism in Poland, Sigismund failed to gain the Polish Diet's support for a war to secure his Swedish inheritance.
B. Muscovy's Time of Troubles

Following the death of Ivan IV, Russia faced a period of serious internal crisis known as the Time of Troubles. A power vacuum, which began after Ivan IV killed his heir, destabilized the Russian political system. A stubborn aristocracy, rebellious boyars with their private armies, and a series of pretenders to the throne further weakened the Muscovy government. The Polish Diet supported the efforts of Poland’s Sigismund III to regain Polish lands that had been lost to Muscovy during the previous century. When Polish troops entered Moscow in 1610 and Sigismund proclaimed himself tsar, however, the boyars rallied behind Michael Romanov. Ultimately, Tsar Michael displaced Sigismund and the Poles acquired large territorial concessions.

C. The Rise of Sweden

Sweden emerged in the seventeenth century as a major European power. When it overthrew Danish rule in 1523, the Swedish nobility elevated Gustav I Vasa to the throne. Gaining strongholds in Livonia by the 1570s, Sweden came to control a substantial sector of Muscovy’s trade by possessing key ports on the Gulf of Finland. Efforts to extend their domination to the northern Scandinavian coast and to preserve their Lutheran religion brought the Swedes, under Charles IX, to war with both Poland and Denmark. Although Muscovite affairs soon distracted the Poles from war with Sweden, Christian IV’s Danish forces invaded Sweden in 1611, forcing the Swedes to accept a demeaning treaty that made them relinquish their claims to the northern coast in 1613. Under Gustavus Adolphus the Swedes attacked Russia in 1614. Utilizing new weapons and standardized military units of citizen-soldiers, Sweden rebounded and gained control of the Gulf of Finland in 1617. By the mid-seventeenth century, Sweden was an international political, military, and commercial power that had control over the eastern Baltic.

IV. THE THIRTY YEARS’ WAR, 1618–1648

In 1609 the Twelve Years’ Truce ended the war between Spain and the Netherlands. It gave both sides an opportunity to prepare for a resumption of hostilities. But even before the truce had expired, fighting would erupt elsewhere. Before 1621, Spain’s Philip II had secured the southern Netherlands and was attempting to resolve all of Spain’s other foreign entanglements in anticipation of a renewed attack on the Dutch. Elsewhere, the young Louis XIII ruled France and the pacific James I sat on the English throne.

A. Bohemia Revolts

The Peace of Augsburg (1555) facilitated the coexistence of Catholicism and Protestantism within the Holy Roman Empire. Religious toleration in the empire helped the ruling Habsburgs to defend their lands from the Ottoman Turks and to expand into Bohemia and Hungary.

1. A Fatal Election. The efforts of Emperor Mathias to secure the succession of his Catholic nephew, Ferdinand Habsburg, to the crown of Bohemia and then to the title of emperor
provoked conflict when Ferdinand refused to tolerate Protestantism in his kingdom. This decision led Bohemian rebels to eject royal representatives from the royal palace. This event, known as the Defenestration of Prague, started the Thirty Years' War. Although the rebels deposed Ferdinand, they could not prevent his election as Holy Roman Emperor in 1619. The Protestant Frederick V became the new Bohemian king.

2. Frederick V, “The Winter King.” The Protestant Frederick V, elector of the Palatinate, briefly became king of Bohemia. Ferdinand decisively defeated him, however, at the Battle of the White Mountain in 1620. This battle crushed the Bohemian rebels, and led to the enserfment of the free peasantry, the destruction of Prague, the deposition of Ferdinand V, the suppression of Calvinism, and the merger of Bohemia with other Habsburg lands.

B. The War Widens

The Hapsburgs’s success threatened the security of France and the religious and territorial interests of the German princes.

1. The Danes Respond. Denmark led an alliance of England, Holland, and several German states against the Catholic army of the Holy Roman Empire. After three years of unsuccessful campaigning the Danes, led by Christian IV, withdrew from the alliance in 1629. Catholic demands intensified as Ferdinand claimed that Calvinists, who had not been mentioned by the Peace of Augsburg, would not be tolerated in the Empire. This decision, combined with Ferdinand’s demand that Catholic lands be returned, unified Lutheran and Calvinist forces.

2. Protestant Gains. When Gustavus Adolphus led Sweden into the war as a defender of Protestantism, he also took the opportunity to advance Swedish national interests in the Baltic. The brutality of the imperial forces’ sacking of Magdeburg in 1631 galvanized Protestants behind Gustavus Adolphus's campaign. The Swedish king’s campaign destroyed much of the German countryside. Although the Swedish king died at the battle of Lutzen (1632), Protestant forces controlled most of Germany.

C. The Long Quest for Peace

Germany was of peripheral concern in the final stage of the Thirty Years' War as fighting centered increasingly on the war between France and Spain. Cardinal Richelieu encouraged French intervention to destroy the power of the Habsburgs. Pride and conflicting territorial ambitions prevented the restoration of peace until 1648. The series of agreements that constituted the Peace of Westphalia brought the Thirty Years’ War to a close that year. In the treaty, Sweden gained Baltic lands, France retained the Lower Palatinate, and the Dutch and Swiss gained independence. Bohemia and Hungary remained under Habsburg control and the Peace of Augsburg guaranteed religious toleration to Catholics, Lutherans, and Calvinists. Meanwhile, the authority of the Emperor over his states declined as German princes secured greater control over their domestic policies and an international Diet became responsible for imperial foreign policy. Imperial authority was thereafter seriously eroded.
CONCLUSION

By the middle of the seventeenth century the effects of almost a century of warfare were everywhere: death, destruction, plague, famine, inflation and both public and private indebtedness. Yet the Thirty Years’ War solidified religious divisions within Europe as it marked the decline of Spain and Denmark and the emergence of Holland and Sweden as major powers.

KEY TERMS, PEOPLE, AND EVENTS

Habsburgs    Valois           Catherine dé Medici
French Wars of Religion    Guises          Bourbons
St. Bartholomew’s Day Massacre    Henry (of Navarre) IV  Huguenot
Margaret of Parma    War of the Three Henries  politiques
Catholic League    Duke of Alba           Edict of Nantes
Philip II          Richelieu       Council of Blood
Twelve Years’ Truce    "Spanish Fury"   Sigismund
William of Orange    Time of Troubles  Michael Romanov
Gustav I Vasa       Gustavus Adolphus  Charles IX
Christian IV        Philip III        Mathias
Spanish Armada      Thirty Years' War   Louis XIII
Defenestration of Prague    Ferdinand II  Frederick V
Wallenstein         Battle of the White Mountain  Magdeburg
Battle of Lutzen     Peace of Westphalia  Lepanto

NEW GEOGRAPHICAL LOCATIONS

Spanish Netherlands  Antwerp       Reval
Crimea               Muscovy       Gulf of Finland
Riga                 Archangel    Holy Roman Empire
Prague               Holland       Zeeland
Ghent                Amsterdam    Livonia
Brussels            White Sea      Narva

DISCUSSION AND ESSAY QUESTIONS

1. Discuss the rise and fall of Spain as a world power. Did domestic troubles or foreign affairs play a greater role in Spain's fall from ascendancy?

2. Compare and contrast the forces that propelled the Holy Roman Empire, Sweden, and France into the conflict of the Thirty Years' War. Did similar forces lead these states to enter into the bloodbath of these years?
3. Discuss the forces and events that precipitated the French Wars of Religion. Why did the Saint Bartholomew's Day Massacre fail to end religious conflict in France?

4. Sweden rose to greatness in the seventeenth century. Discuss the contributions of Swedish kings to this development.

5. Although the Thirty Years' War began primarily for religious reasons, it ended up being fought p

6. Is the essence of John Knox's criticisms about female sovereigns refuted or confirmed by the experiences of the numerous female rulers of the sixteenth century?

7. Discuss the causes of political instability in eastern Europe.

RELEVANT TRANSPARENCIES AND MAPS

Danzer's Discovering Western Civilization Through Maps and Views

S45: View of Seville from the Civitates Orbis Terrarum

RELEVANT STUDENT MAP EXERCISES

Danzer's Mapping Western Civilization

T20: The Division of Christianity, c. 1550 A.D.
T23: Early Modern Times: A Chronological Context

ANNOTATED FILM LIST

The Spanish Armada
31 min; color; 1967
16 mm CC2206,16

Considers Spain's unsuccessful effort to invade England in the summer of 1588. Includes an examination of the motives of Spain's King Philip II, the flaws in Spain's military effort, and the basis of England's successful defense.

The Warrior, Part 2
30 min; color; 1992
½ VHS

Examines the impact of gunpowder on warfare. Part of The Renaissance: The Origins of the Modern West teleseries.
Chapter 15

The Experiences of Life in Early Modern Europe, 1500–1650

I. THE VISUAL RECORD: HAYMAKING

Communal life and labor dominated the experiences of the peasants who constituted the bulk of the European population in the sixteenth century. The lives of people in this period, which were marked by primitive living conditions and seemingly incessant labor, differed significantly from those in our modern age.

II. ECONOMIC LIFE

No single lifestyle was representative of sixteenth-century Europe because of the differences that existed in language, geography, climate, and tradition. The expansion of agricultural production, the dramatic population increase, and inflation, however, influenced the experiences and expectations of Europeans. Change became a regular part of daily life. Social transformation, environmental destruction, and the depletion of natural resources were some of the negative results of economic change, driven in large part by the growing population and higher prices.

A. Rural Life

Small self-sufficient villages dotted the countryside. The people were divided into manors, parishes, and districts that enhanced authorities’ ability to exact income from the peasants. Church and government officials took about half a family’s income. Survival was a constant challenge, as one-third, on average, of all harvests were bad.

1. The Sixteenth-Century Household. Housing was usually constructed of wood and thatch; fuel was scarce. Hunger and cold were frequent companions. Household possessions were few; housing was primitive. Social contacts and travel beyond the village were limited. In this small-scale society the seasons dictated personal activities.

2. Reliance on Agriculture. The lives of peasants centered on their farms. Three-field crop rotation which dominated agriculture from the Low Countries to Poland-Lithuania, provided peasants with the grain products that constituted more than three-fourths of their caloric intake. Two-crop rotation dominated in the dry Mediterranean region, where grapes and olives were popular crops. Economic activity in mountainous and hilly regions, in contrast, focused on animal husbandry, particularly raising sheep. Although most peasants enjoyed the security of tenure over the lands that they farmed, manorial lords, the church, or the king owned most of the land. Peasant families shared common pasture and woodland, but held individual holdings within the village fields. Some peasants paid rents with cash, but most paid in kind or in labor. Labor
service was particularly prevalent in the east. Villages tended to farm communally in which townspeople owned scattered strips of land in the large fields owned by the village. Survival in any case was precarious.

B. Town Life

Townspeople lived more regulated lives than did their rural cousins. The tolling of bells signaled meals and work hours. Work hours varied from seven hours in the winter to sixteen in the summer.

1. The Heart of Commerce. Guilds organized and regulated skilled labor in the towns. Occupational diversity distinguished the town from the countryside. Urban poverty, hunger, and disease were common. Charities provided support for casual laborers and the indigent. Trade in small towns centered on the preparation and exchange of food, an occupation that women dominated.

2. The Work Force. In larger towns, major merchants controlled baking, brewing, and cloth production, while small-scale handicrafts provided a livelihood for less-substantial families. Women dominated midwifery, nursing, and prostitution. Most unskilled urban laborers found employment as day laborers or domestic servants. Although towns often had fields outside their walls to feed the townspeople, as the towns grew they became increasingly reliant upon the importation of foodstuffs from rural areas. Although life for townspeople was hard, it was easier than it was for farmers.

C. Economic Change

The European population increased in the sixteenth century, rising by one-third to approximately 105 million. Early in the century, population growth encouraged agricultural productivity, urbanization, and economic prosperity. By mid-century, population pressures were beginning to be felt everywhere. The demands for food forced peasants to bring marginal lands into cultivation to increase grain production. Guilds, threatened by the influx of unemployed, enforced their regulations with new rigor. The influx of gold from the New World, population growth, and currency devaluation fed inflation. Real wages fell sharply as the Price Revolution magnified the cost of living. Massive social dislocation followed these developments. Social divisiveness increased as some people profited from the rise in prices while others became more impoverished. Rising prices encouraged farmers to grow commercial crops. A growing number of landless agricultural laborers existed alongside prosperous peasants who were more market-oriented. In the east, the labor service of peasants with diminished mobility enriched the landed nobility, who exported great stores of grain to the west. Throughout the continent Europeans faced a subsistence crisis.
III. SOCIAL LIFE

Inequality and social stratification governed life in sixteenth-century Europe. Group needs—whether those of the family and household or village and town or the social order—took precedence over the claims of the individual. The economic crisis of the sixteenth century severely taxed the established social structure. Social and economic instability marked the period that saw mobility decline and the differences between urban and rural lifestyles become more pronounced. Increased levels of crime and lawlessness followed the deepening poverty.

A. Social Constructs

Hierarchy was the basic organizing principle of sixteenth-century Europe. Guilds, government, and family reinforced the social hierarchy that maintained orderly relations among the different social groups. Status, rather than wealth, was the chief determinant of social position. Restrictions on clothing, food, and titles reminded people of their appropriate place in society. The Great Chain of Being and the Body Politic explained and reinforced conservative notions of hierarchy. Regardless of one's place in the organic social order, every person was considered important to the health and stability of a society that was bound together by a common goal.

B. Social Structure

The fundamental division of sixteenth-century social structure was between nobles and commoners. This distinction continued with little change throughout the period.

1. The Nobles. Nobility was a legal status that conferred privileges of rank and title, political rights, and economic benefits, such as tax exemptions in return for military command and civilian administrative service at both national and local level.

2. Town Elite and Gentry. Towns held distinctive economic and political privileges, including the right of self-governance. The local elite had no special status or rights, so they made up their own. As the century progressed, town and rural elites, known as gentry in England and as hidalgos and caballeros in Spain, often became rich by producing for the market. Many of them would then purchase landed estates. Like the aristocracy, they could have a coat of arms and be knighted, though their status did not bring political rights. This new social group soon challenged the aristocracy's unique privileges. Below the nobility and the emerging urban and rural elites, lesser commoners used a variety of devices—length of tenure, ownership of land, and guild membership—to distinguish among different levels of status. Within the city, male citizens enjoyed special privileges and obligations as members of a closely guarded group. Social stratification rather than social equality was the order of the day.

C. Social Change

The increasing wealth of the town elite and gentry challenged the traditional social structure.
1. The New Rich. Aristocrats were pressured by both stronger kings and by the burgeoning gentry. Population pressure and new opportunities to accumulate wealth through commerce and government service transformed the social order. The need to govern expanding populations encouraged princes to look beyond established aristocratic families in their search for able administrators. Ongoing rivalries with nobles also encouraged monarchs to be more dependent upon the gentry who sought wealth and power through state service that would also enhance their social status.

2. The New Poor. Due to increasing poverty, perhaps twenty-five percent of the European population was impoverished. The growing numbers of the indigent overwhelmed the abilities of local communities and charitable organizations to provide relief. Begging, the abandonment of children, vagrancy, and crime escalated, particularly in towns where municipal officials restricted relief to the so-called “deserving poor.”

D. Peasant Revolts

The perceived violations of traditional rights and privileges generated tensions that led to peasant uprisings. Literate leaders who formulated relatively moderate political and economic demands frequently led these insurrections. The wealthy, who perceived these revolts as threatening the social order, orchestrated brutal reprisals.

1. Agrarian Changes. Poaching and enclosures that disrupted traditional landholding customs and agricultural techniques were often sources of conflict although the motivation behind enclosures was economically rational. The dispossessed landowners developed a deep resentment and a desire to defend their traditional rights. Hungarian peasants rebelled against their local lords in 1514. Ket’s Rebellion in England protested the expansion of enclosures. Both revolts failed in the face of professional soldiers.

2. Uprising in Germany. In the German Peasants' War, peasants protested a combination of agrarian and religious grievances. The Twelve Articles of the Peasants of Swabia (1525) disseminated their demands widely and drew tens of thousands of German peasants into an unsuccessful revolt. Caught between the new economic demands of the state and the new economic realities of the market, peasants gained little from their appeals to traditional rights. Meanwhile, the social elite used force to crush challenges to social stability and the established order. In the process they killed some 100,000 German peasants.

IV. PRIVATE AND COMMUNITY LIFE

Religious reformation, war, and overseas exploration produced substantial change in the sixteenth century. But, signal events in individual lives concerned personal matters like crop yields, birth and death, and marriage.

A. The Family
Nuclear families were the basic unit of social and economic life in the sixteenth century. Among the upper echelons of society, lineage gave families a special sense of continuity. As an economic unit the family at all social levels controlled the production, accumulation, and transmission of wealth. The family was also the principal place of socialization. Husbands shared their authority over children and servants. Women dominated the household, assuming responsibility for food and cloth production and the care of domestic animals and children. Men, on the other hand, focused on the outside world where they performed the work that required skill and strength. Husbands and wives consequently shared a symbiotic relationship. Widows assumed many of the public functions of men, but were unable to attain their status and independence.

B. Communities

Although hardly idyllic, the community often provided more enduring social ties than did family groups. Divided sexually, economically and socially, people in both towns and rural villages identified with their community.

1. Identities and Customs. In the countryside, the lord and the priest usually played the most prominent roles in uniting members of the community. The lord or his representative negotiated with village leaders concerning common areas of responsibility, rent payments, or violations of local customs. The church served as both a religious and social center where ceremonies and celebrations enhanced a sense of unity. Perambulations in the village and civic processions in the city were important community rituals.

2. Weddings and Festivals. The most common public ceremony was the wedding, which marked the entrance of the bride and groom into community membership and adulthood, often resulted in the transfer of property, and legalized sexual relations. Christian holidays and seasonal festivals also maintained community ties by celebrating social harmony and providing opportunities, in the case of Carnivals, for ritualized expressions of disorder. Feasting and dancing were common activities that reinforced the social order and reaffirmed community values.

C. Popular Beliefs and the Persecution of Witches

Popular beliefs and superstitions gave the predominantly illiterate people a coherent world view.

1. Magical Practices. Christian teachings combined with folklore and magic to ensure good luck, fortune, good health, and love. Alchemists, astrologers, witches, sorcerers, and wizards performed important roles in applying their specialized knowledge to improve agricultural yields, cure illnesses, predict the future, promote love, or exact revenge. Widely popular, magic was the science of the sixteenth century. The church countered magic with the benefits of prayers to saints, pilgrimages, and icons.
2. The Witch Craze. Prosecution for witchcraft increased beginning in the late fifteenth century, as the church sought to eliminate the practice of black magic. Although both men and women were persecuted for witchcraft, women were accused at a highly disproportionate rate. Witches were generally seen as being responsible for any misfortune a family or community suffered. Social and economic tensions within a community supplemented these religious motivations, and contributed to a century-long European witch craze that resulted in the deaths of some 100,000 alleged witches.

CONCLUSION

The sixteenth century saw growing social stratification, subsistence crises, and an expansion of the market economy. Although some social groups benefited from these changes, subsistence farmers faced bleak prospects at the end of the sixteenth century. High taxes, inflation, and the demanding exactions of crown, church, and town crushed a peasantry that was already suffering a subsistence crisis.

KEY TERMS, PEOPLE, AND EVENTS

| three-field crop rotation | trencher | robot |
| barter | forest colonies | apprenticeship |
| Price Revolution | Great Chain of Being | Body Politic |
| nobility of the robe | gentry | poor rate |
| sturdy beggars | enclosure | Ket's Rebellion |
| Carnival | German Peasants' War | hidalgos |
| caballeros | deserving poor | Nuclear family |
| villein | 12 Articles of the Peasants of Swabia |

NEW GEOGRAPHICAL LOCATIONS

| Barcelona | Toledo | Nuremberg |
| Exeter | Norwich | Languedoc |
| Seville | Ukraine |

DISCUSSION AND ESSAY QUESTIONS

1. Discuss the forces within sixteenth-century social and economic life that fostered group identities. In what ways did communal farming and guilds militate against a sense of individual autonomy in sixteenth-century Europe?

2. Discuss the nature and function of the concept of the Body Politic in sixteenth-century Europe. What roles did contemporaries assign to peasants, artisans, clergymen, and nobles in this image of society?
3. Discuss the causes and consequences of enclosure in the sixteenth century.

4. Explain the role of the family in the sixteenth century. To what extent did the function of sixteenth-century families differ from the function of twentieth-century American families?

5. What role did magic and witchcraft play in explaining good and bad fortune?

6. Discuss the social and economic consequences of the Price Revolution.

RELEVANT TRANSPARENCIES AND MAPS

Danzer's Discovering Western Civilization Through Maps and Views

R6: Europe: Rivers
R7: Europe: Land forms
R8: Europe: Vegetation
S43: A View of the Tudor Countryside, 1565
S44: View of Danzig from the Civitatis Orbis Terrarum
S45: View of Seville from the Civitatis Orbis Terrarum

RELEVANT STUDENT MAP EXERCISES

Danzer's Mapping Western Civilization

T4: Europe's Geographical Context: Land forms
T20: The Division of Christianity, c. 1550 A.D.
T23: Early Modern Times: A Chronological Context

ANNOTATED FILM LIST

Day of Wrath (Danish)
97 min; b&w; 1943; 16mm

A Danish film with English dialogue, this film examines witch hunts and witch burnings in the early seventeenth century.

Tudor and Stuart London: 1500-1666
20 min; color; 1995

Visits the dungeons of the Tower of London and Tower Green and also shows Tudor dress, houses, and jewelry. Ends with the Great Fire of London.
Chapter 16

The Royal State in the Seventeenth Century

I. THE VISUAL RECORD: FIT FOR A KING

The Palace of Versailles is perhaps the best representation of the power and the majesty of Louis XIV, the greatest example of an absolute monarch. Its buildings were constructed more for show than for comfort. The grandeur of Versailles attempted to mask the problems of the state.

II. THE RISE OF THE ROYAL STATE

The incessant warfare of the early seventeenth century led monarchs to expand the governmental structures of their states to centralize power and increase taxation to fight the wars. As towns and aristocrats lost power to the monarch, the king and his court came to dominate European capitals. Meanwhile tax collectors and military recruiters proliferated in the provinces.

A. Divine Kings

Earlier monarchs had treated their realms as personal patrimonies, but seventeenth-century rulers served as leaders of nation-states. As the monarch's personal rule gave way to symbolic control of the nation, artistic and literary representation of the sovereign's power and splendor became increasingly significant. Van Dyck, Rubens, and Velazquez depicted royal power in their portraits. The writings of Francis Bacon and Ben Jonson also advanced these sentiments.

1. Shakespeare and Kingship. William Shakespeare used the court as the setting for many of his plays. Both his comedies and his histories examined character flaws in kings. This allowed him to promote the ideal ruler as one who brought peace and justice to his people. Shakespeare increased the awe with which the public beheld their kings.

2. Monarchy and Law. Divine-right theorists, especially King James VI and Jean Bodin, held that the monarchy had been created by God, and that he functioned as God's representative on earth. But, monarchical rule was not arbitrary as the law regulated a king's actions.

B. The Court and the Courtiers

Seventeenth-century monarchs expanded the size of their royal courts and increased the power of royal councils, which began to recommend policy as well as administer it. Personal government nonetheless remained central in this period, as royal favorites dominated the royal courts. In France, Cardinal Richelieu used his privileged position at court to consolidate the power of Louis
XIII and to accumulate the largest private fortune in France. In Spain, Olivares capitalized on his close relations with Philip IV to acquire court appointments for family and friends and to aggrandize Spanish power. He was unsuccessful, however, in centralizing the authority of the monarchy, in creating a national army, or in pursuing successfully an aggressive foreign policy. In England, the Duke of Buckingham, a favorite of James I, used his position to reward friends and relatives with political office, though he also reformed the administration of the navy. He maintained his position during Charles I’s reign until he was assassinated in 1628.

C. The Drive to Centralize Government

Efforts to increase and centralize royal authority preoccupied seventeenth-century monarchs in England, France, and Spain. Law courts, combining both popular and royal interests, increased in both number and importance. In France, the Parlement of Paris served in both a legal and an advisory capacity. In Spain, the king relied upon the administrative skills of the *letrados*. In England, kings used the central courts in London, but also relied heavily on local courts where local gentry, who were appointed as justices of the peace, heard minor offenses. More serious offenses were heard at assize courts, which also served an unintentional role of representing royal power. In France, intendants emerged as key officials responsible for carrying out royal policies in the provinces. England's Lords Lieutenant assumed the responsibility of raising, equipping, and training local militias that served in place of a national army. Spanish officials were less successful in unifying diverse provincial interests. Olivares’s Union of Arms, which encouraged all parts of the kingdom to contribute men and money, failed to unify Spain.

D. The Taxing Demands of War

War and the taxation that sustained it were central factors in the seventeenth-century consolidation of states. Warfare absorbed about half of all government revenues. Tax exemptions often protected towns and the nobility from the financial effects of warfare, while the regressive taxation placed an overwhelming burden on the lower orders.

1. Fiscal Expedients. The demand for increased revenue led nations to reexamine the taxes they imposed and the manner in which the monies were collected. French kings raised revenue through a tax on the sale of offices (paulette). Spanish rulers meanwhile relied on a regressive consumption tax known as the milliones.

2. Taxation in England. English kings were less successful in convincing Parliament to impose new permanent taxes, though some income came from customs duties and Charles I's extension of ship money throughout the country. But resistance to taxation ran high as the state's power to raise taxes was not generally accepted by the people, who saw taxation as theft. Nevertheless, royal authority increased during this period and subjects increasingly viewed themselves as citizens of a nation-state.
III. THE CRISES OF THE ROYAL STATE

Increased taxation, new laws, poor harvests, and war provoked political crises throughout western Europe. The political elite and peasants alike drafted lists of grievances and joined in this wave of protest. Theories of resistance legitimized opposition to tyranny and the divine right of kings.

A. The Need to Resist

Famine, plague, and war contributed to the sharp population decline and economic stagnation that seventeenth-century states experienced. Rural revolts further exacerbated the subsistence crisis. The French Nu-Pieds rebelled over the mounting salt tax. The Midland Revolt of 1607 in England began over the enclosure of farmland. Italy saw the most explosive popular revolts. In Palermo and Naples residents rose against higher taxes on food in 1647, but without the support of local elites these revolts ultimately failed.

B. The Right to Resist

Although popular revolts that lacked aristocratic support posed no serious threat to the state, rebels who allied with the nobility sparked serious political crises. Notions of divine right and hereditary monarchy dissuaded aristocratic involvement in popular revolts.

1. Resistance Theory. Huguenots involved in the French Wars of Religion laid the groundwork of a theory of legitimate resistance to ungodly kings, by basing their views on the teachings of Luther and Calvin who had advocated passive obedience, but who had also preached that lesser magistrates had the right to resist their superiors. Disaffected commoners and nobles built upon these foundations in their revolts against civil authority, though French and Dutch Protestants, following the writings of Philippe Duplessis-Mornay, limited resistance to lesser magistrates. The Jesuit Juan de Mariana proposed the legitimacy of the individual citizen’s opposition to tyranny and suggested that legislatures had a similar duty. John Milton reinforced these views by proposing the existence of a contract between king and subject that bound kings to obey the law and the subjects to obey their king. But the king’s failure to abide by the contract justified revolution.

2. Resistance and Rebellion. Portuguese and Catalonian rebels used resistance theory to justify their revolt against Spain’s Philip IV. The Catalanian revolt escalated to a full-scale rebellion that lasted for a dozen years before the Spanish army finally crushed it. In France, a national financial crisis led Mazarin to impose new taxes on officeholders, landowners, and the nobility in 1648. These factors provoked an intense aristocratic revolt called the Fronde. Bad crops, a harsh winter, disease, and the leadership of Louis XIV enabled the crown to suppress the revolt by 1652.
C. The English Civil War

England saw the most serious challenge to royal authority even though the country experienced a period of peace and mild prosperity during the early seventeenth century.

1. James I. James I inherited serious financial difficulties with the English crown in 1603. The English antipathy toward the nationality of their new king and their idealization of Elizabeth I’s accomplishments meant that James I received neither sympathy nor support in solving England’s problems.

2. Charles I. Shackled to an undervalued tax base, the English monarch was constantly at odds with Parliament, which alone could authorize extraordinary taxes. Parliament demanded political reform, however, in exchange for appropriations. Puritan demands for the abolition of episcopacy further sapped the authority of James I and of his son, Charles I, each of whom sought to strengthen episcopal power to achieve religious reform. Charles I’s efforts to introduce a new prayer book in Scotland in 1637 provoked riots and resistance among the Scots and led Scottish soldiers to invade England in 1640. The military crisis exacerbated the economic problems Charles faced as they increased the king’s reliance upon Parliament.

3. The Long Parliament. Thwarted by the Long Parliament, which forced him to accept constitutional reforms while refusing to grant him funds to fight the Scots, Charles I declared war on Parliament in 1642. After three years of inconclusive fighting Parliament’s forces won a signal victory at Naseby. Parliamentary leaders who captured the king in 1645 found themselves at an impasse when the king refused to accept limitations on his authority or the reform of the Church of England. The rebels remained divided over religious and financial issues, though they realized that a settlement with Charles I was at an impasse.

D. The English Revolutions

The civil war became a military revolution in 1647 when London Presbyterians rose up against the army only to be suppressed by soldiers occupying the city. Sir Thomas Fairfax and Oliver Cromwell quickly suppressed royalist forces and then used their army to purge Parliament of moderates who opposed the trial of Charles I. The remnants of the House of Commons, the so-called Rump Parliament, tried Charles I and found him guilty of infringing upon his citizens’ liberties. The Rump then beheaded the king in 1649.

1. Oliver Cromwell. Divested of its monarchy and the House of Lords, England became a commonwealth that the Rump governed for four years. In 1653 Oliver Cromwell overthrew the Rump. The Instrument of Government established a new political structure that Cromwell headed as lord protector. Cromwell's death in 1658 paved the way for the army to restore the Stuart monarchy in 1660. Parliament's authority over taxation and religion continued in the new constitutional monarchy of Charles II.

2. The “Glorious Revolution.” The efforts of James II to evade Parliamentary limitations ended in the Glorious Revolution, which assured constitutional protection of his English subjects
as well as religious toleration and protection of private property. The new monarchs—William III and Mary II—ruled as constitutional monarchs within the constraints established by the Declaration of Rights (1689). The Toleration Act established Protestant religious toleration. John Locke's *Two Treatises on Civil Government* (1690) justified resistance to tyrants who violated the social contract between governor and governed that threatened man's natural rights to life, liberty, and property.

**IV. THE ZENITH OF THE ROYAL STATE**

The crises of seventeenth-century states shook the foundations of government by limiting royal authority and restricting the political ambitions of aristocratic and urban elites. Increasingly, king, noble, and commoner came to expect the king to reconcile his ambitions with those of the state to establish a stable government. In England, Holland, and Sweden constitutional monarchy became firmly established. Elsewhere rulers utilized the cult of personality and divine right theories to become absolute monarchs.

A. The Nature of Absolute Monarchy

Although England ultimately became a constitutional monarchy, it provided absolute monarchy with its greatest theorist, Thomas Hobbes. Arguing that only government could preserve the individual from the savage state of nature, Hobbes' *Leviathan* (1651) gave the ruler almost absolute authority over the populace. Absolutism was, however, a manifestation of control rather than the arbitrary exercise of absolute power. On the Continent, political leaders sought to enact the ideals of absolutism by consolidating the power of monarchs, increasing their armies, and enhancing their stature. Representative institutions dwindled in importance as absolute monarchs sought to tighten their control over their subjects. Kings were, however, never able to wield the full authority that they supposedly had.

B. Absolutism in the East

In eastern Europe, Frederick William the Great Elector of Brandenburg-Prussia inherited a scattered collection of war-torn territories. He established excise taxes that enabled him to build one of the most successful armies of his time. By creating a separate department of war to oversee both military affairs and taxation, he established an exceptionally efficient bureaucracy in Prussia. Peter I the Great was responsible for westernizing Russia and for increasing its political and military importance. Peter modernized Russia's military by introducing conscription, building a fleet, unifying the military command structure, and introducing merit-based promotions. He used his army to good effect by destroying the Swedish army at Poltava in 1709, enabling Russia to replace Sweden as the dominant Baltic power.
C. The Origins of French Absolutism

Cardinal Richelieu, who became Louis XIII's principal minister in 1624, stabilized the French monarchy. Richelieu elaborated a doctrine of *raison d'état* that favored the nation's needs over those of Huguenots, the nobility, and provincial governors. Enhancing the power of the intendants at the expense of local authorities and revoking the political and economic privileges of Protestants, Richelieu laid the foundations of French absolutism. The cardinal had the tacit support of Louis XIII. Richelieu’s policies ultimately provoked a rebellion against his successor in 1648.

D. Louis le Grand

Cardinal Jules Mazarin schooled the young Louis XIV in Richelieu’s lessons of *raison d'état*. Mazarin, liked even less than the unpopular Richelieu, was still a talented administrator.

1. The King and His Ministers. Louis XIV assumed full control over government in 1661. Jean-Baptiste Colbert, minister of finance, transformed France’s substantial deficit into a substantial surplus in only six years, created a strong navy, and introduced legal and cultural reform. Minister of War Marquis de Louvois used these revenues to build and reorganize the French army, introduce merit-based promotions, and build logistical depots. Louis XIV increased the power of the intendants and used them to tie the provinces more closely to the central administration. French government consequently became more professional and efficient.

2. The Court of Versailles. The palace that Louis XIV built at Versailles reflected his majesty and enabled him to control his nobility. Under Louis XIV, France became not only the leading military power in Europe, but a cultural, artistic, scientific, and commercial leader as well. Intent upon demonstrating his absolute power by forcing the Huguenots to abandon their religion, Louis revoked the Edict of Nantes in 1685, weakening his domestic rule and the kingdom's economy.

CONCLUSION

The seventeenth century saw great monarchs rule France, Prussia, and Russia. These rulers utilized the permanent institutions of government, as well as the economic, military, and intellectual resources of their nation to enhance royal and national power.

KEY TERMS, PEOPLE, AND EVENTS

| Versailles | divine right of kings | absolutism |
| James VI, I | Jean Bodin | Richelieu |
| Buckingham | Olivares | *intendant* |
| Parlement of Paris | nobility of the robe | lettrados |
| justices of the peace | assizes | Louis XIII |
lords lieutenant      Philip IV      taille
Colbert              millions      impositions
ship money           theory of resistance Nu-Pieds
Duplessis-Mornay     de Mariana    John Milton
Catalan rebellion    Fronde       Louis XIV
Mazarin              Petition of Right Puritans
Charles I            William Laud Long Parliament
Independents         Presbyterians Oliver Cromwell
Rump Parliament      Instrument of Government James II
William and Mary     Glorious Revolution Louvois
Declaration of Rights John Locke Thomas Hobbes
Frederick William, the Great Elector excise Peter I
Revocation of Edict of Nantes paulette raison d'etat
William Shakespeare Ben Jonson Louvois
Union of Arms        Junker        Poltava
Naseby               Toleration Act James II

NEW GEOGRAPHICAL LOCATIONS

Versailles            Catalonia            Poltava
Brandenburg-Prussia   Naseby              Palermo
Naples

DISCUSSION AND ESSAY QUESTIONS

1. Compare and contrast the strategies developed by seventeenth-century French, Spanish, and English monarchs to finance wars.

2. *Raison d'etat* became a central political doctrine in seventeenth-century France. Discuss the development of this concept from Richelieu to Louis XIV. Were the interests of peasants and nobles challenged by "reasons of state" or enhanced by them?

3. The author describes Versailles as "a gaudy mask to hide the wrinkles of the royal state." Discuss the meaning of this assertion. What were the "wrinkles" of the French state in the seventeenth century? In what ways did the Palace of Versailles enhance the stature of French kings?

4. John Locke's *Two Treatises on Civil Government* (1690) argued that natural rights to life, liberty, and property outweighed the absolute authority of kings. What events led to the elaboration of Locke's theory of government.

5. How were art, literature, and political theory used to enhance the power of monarchs? How do you reconcile the conflicting conclusions of Hobbes, Locke, de Mariana, and Bodin?
RELEVANT TRANSPARENCIES AND MAPS

Danzer's Discovering Western Civilization Through Maps and Views

S46: Versailles, c. 1765
S47: The Spanish Empire, 1601

RELEVANT STUDENT MAP EXERCISES

Danzer's Mapping Western Civilization

T23: Early Modern Times: A Chronological Context

ANNOTATED FILM AND CD LIST

The English Civil War
2 CD-ROMs

Interactive examination of key military and political events of English Civil War, including dramatic reenactments.

Puritan Revolution: Cromwell and the Rise of Parliamentary Democracy
33 min; color; 1971
16mm CC2334,16

Describes the history of England from the late 1620s to the execution of King Charles I in 1649. Considers the rise of parliamentary opposition to absolute monarchy, the Civil War, and the emergence of Oliver Cromwell as a key opposition leader.

Restoration and the Glorious Revolution
11 min; color; 1958
16mm CC1035,16

A brief depiction of English history from the assumption of the English throne by Charles II in 1660 to the overthrow of his successor, James II, in the bloodless revolution of 1688. Focuses on the new monarchy, henceforth limited by the authority of Parliament, that emerged from the constitutional crisis of the seventeenth century.

Versailles
16 min; color; 1967
16mm

Aerial view of the palace of Versailles and a description of its historical significance.
John Locke
52 min; color

Explains the philosophy of John Locke by placing him in the setting of the seventeenth century.

The Age of Charles II
50 min; color

Looks at the life and the contributions of the English king, including the Royal Observatory and the expansion of the English navy.

The Civil War in England, 1645-1649
37 min; color

Investigates the religious and political causes of the English Civil War, as well as some of the military engagements.

Daily Life at the Court of Versailles
60 min; color; 1981

Dramatization of various personalities at Versailles during the reigns of Louis XIV, Louis XV, and Louis XVI. Also illuminates the court culture of the period.
Chapter 17

Science and Commerce in Early Modern Europe

I. THE VISUAL RECORD: REMBRANDT’S LESSONS

The seventeenth century saw Holland emerge as a center of commerce, culture, religious toleration, and free thought. Scientific discovery, as depicted in Rembrandt’s *The Anatomy Lesson of Dr. Nicholas Tulp*, figured prominently in the rich intellectual life of the Dutch Republic. Dutch commercial and professional leaders displayed civic pride and prosperity in their flourishing art.

II. THE NEW SCIENCE

The seventeenth-century scientific revolution challenged people's basic scientific, religious, and philosophical beliefs. Carefully examining the contradictions that existed between theory and reality, European thinkers transcended the limits of Aristotle and classical thought. Materialism and mathematics replaced common sense. Advances in mathematics such as logarithms, calculus, and analytical geometry, along with the centrality of scientific experimentation, made the Scientific Revolution. The printing press disseminated scientific discoveries throughout Europe. The scientific revolution was truly a continental phenomenon and one that largely took place outside the university and focused on solving practical problems.

A. Heavenly Revolutions

Aristotle offered a harmonious cosmology that allowed Europeans to integrate their scientific outlook with their spiritual beliefs. But, Aristotle's world view failed to describe the observed revolutions of celestial bodies or to explain anomalies such as the inequality of the four seasons. Although eccentric circles and epicycles made Aristotle’s system work, they also made it unnecessarily complex.

1. Copernicus. Nicolaus Copernicus simplified the Aristotelian system by placing the sun at the center of the universe. This refinement encouraged other scientists to rethink the structure of the universe.

2. Brahe and Kepler. In Denmark, Tycho Brahe and his students discovered a nova and a comet, questioning the existence of impenetrable crystalline rings. They also collected a wealth of data on planetary motion, which Johannes Kepler used to prove elliptical planetary orbits and to demonstrate that mathematical laws explain planetary motion in a heliocentric universe.
3. Galileo. In Italy, Galileo used a telescope to confirm Kepler's mathematical formulas by observation. Although he was successful in popularizing Copernicus's heliocentric theory of the universe, Galileo failed to convince the Catholic church that the new science was compatible with the church's teachings.

B. The Natural World

Spiritual and mystical traditions laid the groundwork for early scientific investigation. Modern scientists were concerned about developing systems of thought that explained the natural universe. An atmosphere of sharing discoveries emerged.

1. Neoplatonism and the New Scientists. Neoplatonists led by Marsilio Ficino and Pico della Mirandola argued that ideas and forms concealed by matter shaped the structure of the universe. Neoplatonism encouraged developments in mathematics, astronomy, alchemy, and numerology. During the Renaissance, scholars resurrected the beliefs of Hermes Trismegistus, who held that all matter contained a universal spirit capable of spontaneously revealing its presence.

2. Paracelsus. Combining Neoplatonic and Hermetic traditions, the Swiss alchemist Paracelsus rejected Galen's theory of disease, which suggested that illnesses came from an imbalance of the body's four humors. He proposed instead that there were discrete causes and remedies for each illness, which could be cured by the ingestion of chemicals. Paracelsus also advanced the notion that all matter was composed of sulfur, salt, and mercury.

3. Boyle and Chemistry. Rejecting Aristotle and Paracelsus's findings, the English chemist Robert Boyle used experiments to support his atomic theory of matter. Boyle's discovery of the interconnection of a gas's volume to its pressure led to his invention of the air pump.

4. Medical Science. The English physician William Harvey discovered how the mechanisms of the human heart caused the blood to circulate. Vesalius advanced the understanding of human anatomy. The new microscope permitted Leeuwenhoek to discover the presence of bacteria.

5. Sir Isaac Newton. The most revolutionary English scientist was Sir Isaac Newton who first understood the composition of light, formulated calculus, developed three laws of motion, and built a reflecting telescope. Newton is, however, most noted for his theory of universal gravitation, which proposed that a precise mathematical relation exists between all moving objects and controls the movement of all objects.

C. Science Enthroned

Patronized by kings and leading aristocrats, scientific understanding swiftly spread beyond the confines of the royal observatory to learned societies and mechanics' colleges. Sir Francis Bacon
promoted the scientific method of inquiry that involved inductive reasoning and empirical experimentation. The Catholic church condemned the new science as a heresy that undermined people's faith in God and raised questions about the accuracy of knowledge. Rene Descartes sought to reconcile Catholic faith and scientific reason by using skepticism to achieve certainty and demonstrate the existence of a perfect God. His Cartesian philosophy distinguished between material matter, governed by mathematical rules, and mind, which reflected the divine spirit. In this fashion, Descartes reconciled the new science with religion. His other contributions included analytic geometry and advances in optics and physics. The diverse discoveries of the Scientific Revolution improved life, encouraged discovery, and fed a new spirit of optimism.

III. EMPIRES OF GOODS

The European nations traded worldwide. Exotic products from Asia and the Western Hemisphere transformed European life as goods that were once considered luxuries became necessities. With a society that encouraged commercial ventures, a spirit of business innovation, and sound management practices, the Dutch became the first major commercial nation. The entrepôt, the Bank of Amsterdam, and the flyboat were three of the developments that helped the Dutch to dominate world trade until the end of the seventeenth century. At that time the British and the French began to impose restrictions on trade with the Low Countries, provoking a series of commercial wars that would allow them to supplant the Dutch.

A. The Marketplace of the World

The age of exploration had earlier established who would initially control the trade routes. Spain traded with its colonies in the Americas; Portuguese and Dutch ships sailed around Africa to India. By 1700, however, trade routes and economic power were shifting in favor of the northern Europeans.

1. The Evolution of Long-Distance Travel. In addition to introducing the flyboat, an inexpensive low-slung vessel designed to carry cargo, the Dutch began the practice of trilateral trade whereby goods were exchanged for other goods rather than bullion. Trilateral trade not only meant greater trading flexibility, but also greater profits as Dutch traders profited from each exchange of goods.

2. The New Forms of Banking. In 1609, the Dutch founded the Bank of Amsterdam to establish a uniform currency exchange. The Italians introduced giro banking in which businesses issued bills of exchange. These and other business innovative practices enabled the Dutch to become the dominant commercial nation in Europe and inspired in Europe a commercial revolution that resulted in a long period of economic prosperity. In the late seventeenth century, the Bank of England was established to serve as a clearinghouse for bills of exchange. The risks assumed by European businessmen facilitated trade and prosperity.
B. Consumption Choices

The development of worldwide trade allowed European consumers to purchase many new products that improved lifestyles and increased consumption choices.

1. New Commodities from the East. Silver bullion from South America purchased silk, porcelain, spices, coffee, and tea from Asia. Dutch trade in Asia focused on spices like nutmeg, cloves, cinnamon, pepper, and silk. The English concentrated on textiles—Chinese silk and Indian cottons, or calicoes. The wealthy drank coffee; commoners preferred tea.

2. Colonial Trade: The Demand for Sugar. Tea consumption fed the demand for sugar, which was grown on slave plantations on Caribbean islands and in Brazil.

3. The African Slave Trade. Sugar was not the only slave crop, however, as gold, silver, tobacco, rice, and indigo also relied upon slave labor. Africans prospered by enslaving some six million fellow Africans and selling them to Europeans for gold, calicoes, and rum. Eventually the English would come to dominate the slave trade. The introduction of new textiles, new foods, and new beverages changed consumption patterns in a Europe whose economy was increasingly reliant upon a vibrant mercantilist system.

C. Dutch Masters

Despite the Eighty Year War (1565–1648) for independence, the Dutch prospered. By attacking Spanish treasure fleets and offering refuge to fleeing Huguenots, the Dutch accumulated large cash reserves and a skilled work force. The Dutch economy relied on manufacturing of high quality products, flourishing agriculture, and a successful carrying trade. The Dutch dominated trade in the Baltic and the East Indies, and had a powerful presence in North American trafficking of tobacco and sugar. There were several reasons for the Dutch success, including geography, climate, appreciation for business, a spirit of innovation, and religious toleration. Their openness to investing in commerce as opposed to putting their money in land or hoarding bullion also encouraged Dutch prosperity.

D. Mercantile Organization

Unlike the Dutch who looked at business as essentially a moneymaking proposition, most European monarchs saw trade as an important element of royal power and prestige. Kings favored international trade because it offered a ready source of taxable income. Moreover, they saw commerce as an arena of national competition rather than as a matter of competition between rival merchants.

1. Mercantilism. In the seventeenth century, the dominant economic theory of mercantilism held that the purpose of trade was to enable a nation to accumulate bullion. Any trade deficit would benefit a rival nation. Therefore, it was critical that the government establish tariffs, monopolies, or import quotas to regulate the national economy. Monopolies enabled
merchants to have the exclusive right to import and sell a given product, justifying long-term investments in an enterprise.

2. The East India Companies. The joint-stock company allowed people to purchase shares of an enterprise and share in whatever profits were accrued. Two such companies, the Dutch East India Company and the English East India Company, were two particularly successful in Asia.

3. Protective Trade Regulations. Economic competition between nations resulted in closed markets, restrictions on the re-exportation of goods, and the establishment of protective tariffs. England's Parliament enacted a series of Navigation Acts intended to protect England's merchant marine. Colbert, France's Comptroller General, followed England's example and took steps to protect French merchants and to punish foreign, particularly Dutch, businessmen. Dutch merchants, suffering greatly from the restrictions imposed on them by the English and the French, soon encouraged their government to engage in a series of commercial wars to protect their economic interests.

IV. THE WARS OF COMMERCE

The mercantilist belief that trade that enriched one nation did so at the expense of another soon led to an intensification of national competition for markets and colonies. Ultimately, this situation led to war. In the eighteenth century England replaced the Netherlands as Europe’s leading commercial nation. France became its greatest rival.

A. The Mercantile Wars

The Dutch and the English fought three commercial wars from 1652 to 1674. Despite some success, the Dutch ultimately saw their commercial supremacy declining after their loss of New Amsterdam (New York) in 1664. French protectionism led to another war that further undermined Dutch commerce and depressed the Dutch economy. Louis XIV’s desire for the Spanish Netherlands encouraged him to invade the Low Countries in 1672. Peace with England and an alliance with Spain allowed the Dutch to repel the invasion and conclude the Treaty of Nijmegen (1678–1679) with France. With this treaty, Louis XIV gained some territory from Spain, withdrew his armies from the United Provinces, and re-established free trade with the Dutch.

B. The Wars of Louis XIV

Louis XIV’s determination to regain France's Burgundian territories and to secure the northern and eastern borders of his realm would result in a series of wars.

1. The Balance of Power. Louis’s territorial ambitions worried other nations, as an enlarged France would threaten the balance of power among European states. Therefore,
thwarting French expansion was a common cause for all European states. French expansion into Alsace created a bridgehead on the Rhine that French troops used in 1688 to seize Cologne. The ensuing Nine Years' War (1688–1697), pitted Louis XIV against the Grand Alliance of England, France, and Austria. The war ended in a stalemate, demonstrating the validity of the theory of the balance of powers. War would quickly resume, however, as both Louis XIV and Emperor Leopold I would claim the Spanish throne, threatening to disrupt the European balance of power.

2. The War of the Spanish Succession. Fighting resumed with the War of the Spanish Succession (1702–1714), in which Louis XIV and Leopold I of Austria contested their heirs' rights to the Spanish inheritance. A revived Grand Alliance, joined by Prussia, sought to preserve the balance of power. Allied victories at Blenheim and Ramilles succeeded in destroying France's military power, though a final victory was delayed for eight years. Finally in 1714, the Treaty of Utrecht gave Spanish territories in Italy and the Netherlands to Austria, stripped France of its territorial gains east of the Rhine, and gave Nova Scotia, Newfoundland, Gibraltar, and Minorca to England. England then began to pursue more avidly its colonial ambitions.

C. The Colonial Wars

The peace that followed the Treaty of Utrecht lasted for almost twenty-five years. Peace benefited all European states, but it was a strong Great Britain that emerged from the war prepared to profit from the sugar and tobacco trade that flowed from its Atlantic colonies. Anglo-French relations deteriorated, however, as Britain's numerous North American settlers moved into French colonial territory. The resulting Seven Years' War (1756–1763) was fought in North America, in the West Indies, and in India. The British saw resounding success in every theater of war. The Peace of Paris (1763) gave Britain control over Canada and India, making it the first modern imperial power.

CONCLUSION

The commercial revolution of the seventeenth and eighteenth centuries had a profound impact upon European life. For the first time the world was now a single marketplace with vastly improved transportation, marketing, and distribution. Yet the profitability of trade encouraged an intensification of national economic rivalries that ultimately resulted in widespread war and the exploitation of both the European poor and the African slave.

KEY TERMS, PEOPLE, AND EVENTS

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bilateral trade  triangular trade  giro banking
bills of exchange  calico  mercantilism
monopoly  joint-stock company  Jean-Baptiste Colbert
Dutch East India Company  Navigation Acts  Anglo-Dutch War
Treaty of Nijmegen  balance of power  Grand Alliance
William (of Orange) III  War of Spanish Succession  Treaty of Utrecht
Seven Years' War  Peace of Paris (1763)  Nine Years’ War
Blenheim  Rembrandt van Rijn  Louis XIV
Great Chain of Being  Peace of Westphalia  Charles II
English East Indies Company  induction  Ramilles
heliocentric theory  Marsilio Ficino  Neoplatonism
Hermeticism  Bank of England  Anne

NEW GEOGRAPHICAL LOCATIONS

Barbados  Brazil  West Indies
East Indies  Jamaica  Virginia
Maryland  New Netherlands  Holland
Spanish Netherlands  Alsace  Lorraine
Franche-Comte  Cologne  Nova Scotia
Newfoundland  Minorca  Great Britain
Canada  Ohio River  Montreal
Quebec  South Carolina  Boston
Amsterdam  Dutch Republic  Krakow
Bengal  Mocha  Louisbourg
Montreal  Prussia  Canton
Mississippi River  Bordeaux  Java
Azores  Philippines  Burgundy
Saint Dominique  Rhode Island  New York
Liverpool  Lancaster  Chatham

DISCUSSION AND ESSAY QUESTIONS

1. Discuss the scientific revolution's impact upon religious belief. To what extent were religion and science antagonistic in the sixteenth and seventeenth centuries? To what extent were they intertwined?

2. According to the authors, "Innovation, organization, and efficient management were the principal elements of what historians have called the commercial revolution." Discuss the character of these commercial changes and their impact on life in the seventeenth century. What groups benefited most from the commercial revolution?

3. What role did the expansion of slave trade play in the commercial revolution that transformed European material life?
4. Discuss the notion of "balance of power" that emerged in seventeenth-century Europe. What forces led to its elaboration in this period? What events and which states changed its operation?

5. What factors led the Dutch to become the leading commercial nation in the seventeenth and early eighteenth century? How did Great Britain come to replace the Dutch as the leading merchant nation?

RELEVANT TRANSPARENCIES AND MAPS

Danzer's *Discovering Western Civilization Through Maps and Views*

- S49: Reclaimed Land in the Netherlands, 1712
- S50: Map of France Showing Postal Routes, 1632
- S51: View of Tycho Brahe's Stellar Observatory
- S52: A Map of the Russian Discoveries
- S54: A Colonial Outpost: Louisbourg, 1720

RELEVANT STUDENT MAP EXERCISES

Danzer's *Mapping Western Civilization*

- T19: Map of America, 1540 A.D.
- T21: Mercator's Map, 1569 A.D.
- T23: Early Modern Times: A Chronological Context

ANNOTATED FILM LIST

*A History of Commerce*
52 minutes; color; 1999

Brief survey of the economic history from barter to modern times.

*The Scientist, Part 1*
30 min; color; 1993
½ VHS

Examines the influence of medieval alchemists, artisans, and natural philosophers. Part of *The Renaissance: The Origins of the Modern West* teleseries.

*The Scientist, Part 2*
30 min; color; 1993
½ VHS
Focuses on the key era of the Scientific Revolution, including Galileo's confrontation with the church. Part of *The Renaissance: The Origins of the Modern West* teleseries.

*The Day the Universe Changed: Science Revises the Heavens*
52 min; color; 1985
½ VHS CC3534

A colorful and imaginative look at the Scientific Revolution. Considers the views of Copernicus, Galileo, and Isaac Newton, and the resistance of religious authorities to the first results of modern scientific inquiry.

*Reubens*
26 min; color; 1974
16mm RC1071,16

Examines the life and artistic achievements of the major Flemish-Italian painters of the seventeenth-century Baroque period.

*Paracelsus*
30 min; b&w; 1976; 16mm

Reveals the medical and scientific contributions of Paracelsus, the father of modern medicine.

*The Merchant, Part 1*
30 min; color; 1993; ½ VHS

Concentrates on the changing economic patterns caused by the introduction of capitalism. Part of *The Renaissance: The Origins of the Modern West* teleseries.

*The Merchant, Part 2*
30 min; color; 1993; ½ VHS

Examines the social and economic impact of the new concentration on trade and commerce. Part of *The Renaissance: The Origins of the Modern West* teleseries.

*The Dutch Miracle*
60 min; color

Presents the story of the greatest economic power of the seventeenth century.

*Science Revises the Heavens*
30 min; color; 1986

James Burke hosts this examination of the Scientific Revolution from Copernicus and Galileo to Newton.
Chapter 18

The Balance of Power in Eighteenth-Century Europe

I. THE VISUAL RECORD: A DASHING OFFICER

Sir Joshua Reynolds’ portrait of Captain Robert Orme represents the prominence of the military in eighteenth-century British society. Britain’s previous naval superiority will now be enhanced by its strong army.

II. GEOGRAPHICAL TOUR: A GRAND TOUR EUROPE IN 1714

The end of the War of the Spanish Succession and the Great Northern War reshaped Europe's political geography. By the early eighteenth century, Sweden and Poland were declining powers, while Britain, France, Brandenburg-Prussia, and Russia were ascending ones.

A. Expansion of Western Europe

Imperial expansion gave western European nations new boundaries in the eighteenth century.

1. Colonies in the Americas. In the New World, Spain and, to a much lesser degree, Portugal dominated Central and South America; France and Britain competed in the north. New France was a trading colony. English colonies, located along the Atlantic seaboard, were settled by colonists.

2. Colonies in the Far East. The Dutch were supreme in Asia, although the British were beginning to make inroads in India.


4. The Low Countries. In the Low Countries, the northern United Provinces, dominated by Holland, gained security from the Treaty of Utrecht. Austria now ruled the southern Spanish Netherlands, which had been weakened by prolonged fighting and French enroachments.

5. France. Exhausted, an enlarged France emerged from Louis XIV’s reign having gained the Duchy of Bar, Flanders, Franche-Comté, Lille, Strasbourg, Alsace, and part of Lorraine.

6. Spain. Spain suffered from France's territorial expansion, losing lands in Italy and the Netherlands, though these losses allowed Spain to regain its strength under its new Bourbon king.
7. The Empire. Divided into myriad bishoprics, principalities, and small states, the Holy Roman Empire was little troubled by its Habsburg emperor. Austria gained Hungary and Serbia with the Treaty of Passarowitz and added the Netherlands, Lombardy and Naples with the Treaty of Utrecht. Austria's possession of Naples, Sicily, and Milan strengthened Habsburg power in Italy, where independent city-states such as Venice and Genoa survived alongside the larger territories of the Grand Duchy of Tuscany, the Papal States, and the Duchy of Savoy.

B. Realignment in Eastern Europe

The Treaty of Nystad (1721) ended the Great Northern War of 1700–1721, and redrew the political boundaries of eastern Europe. Russia and Prussia were gaining strength while Poland and Sweden were becoming weaker.

   1. Russia. With his victory in the Great Northern War Peter the Great reclaimed the Baltic coast, ended Sweden's century of political power, and oversaw Russian expansion. In addition, he built a navy and a new capital at St. Petersburg.

   2. Sweden. Sweden experienced a period of rapid decline in the early eighteenth century as it lost lands in Germany, Finland, Livonia, and Estonia.

   3. Prussia. Brandenburg-Prussia also gained from Sweden's fall. Gaining Swedish Pomerania as it expanded, Brandenburg-Prussia sought to acquire the Polish territories that divided its two kingdoms.

   4. Poland. Poland, was largely overlooked by the other powers in the first half of the century, though Sweden and Russia meddled in Polish politics. Despite its large size, Poland was politically and militarily weak.

III. THE RISE OF RUSSIA

Peter the Great's victory over Sweden in the Great Northern War highlighted the emergence of Russia as a growing power. His aggressive westernization program transformed his country and convinced the West that they would have to contend with Russia in the future.

A. The Reforms of Peter the Great

Peter the Great's program of westernization and modernization was driven by his desire to advance Russia's military power. The census and the poll tax increased the purview of government and changed important elements in Russian society, but they originated in Peter's desire to increase his military strength. The burdens of conscription and warfare required the evolution of an expanded military administration, which came to include both a Senate, led by the Procurator-General, and the Table of Ranks. Dividing state service into three categories—military service, civil service, and ownership of landed estates—the Table of Ranks employed
merit as the basis of advancement in government posts. It favored the military over the other types of service. Peter's efforts to establish Russia as a center of industry allowed it to become the world's largest producer of iron and copper by 1726. The death of Peter's son, Alexis, led to a prolonged succession crisis.

B. Life in Rural Russia

More than 97 percent of Russia’s population implemented farming techniques that had changed little since the Middle Ages. Poor soil and inclement weather often combined to produce poor harvests. Meanwhile, Peter increased taxation by 500 percent. Restrictions of peasants' mobility, property rights, and freedom of petition made them the personal property of their lords. State peasants living on the czar's lands were conscript labor for various projects, such as the construction of St. Petersburg. Escape and rebellion proved equally fruitless for most peasants as Russia expanded its powers in all directions. The Russian people survived by developing a strong folk culture and by submitting to royal authority.

C. The Enlightened Empress Catherine

A series of succession crises and an expansion of the population from 13 to 19 million followed the death of Peter the Great. Enriched by this population explosion, the landholding class gained both legal status and political power. Mandatory aristocratic service to the state declined after Peter’s death and ended entirely in 1762.

1. Catherine’s Accession. Coming to the throne in 1762, Catherine the Great combined the enlightened ideals of social justice and humanity with the Russian tradition of absolutism. She used these conflicting views to reform local government and issue a Charter of the Nobility in 1785, which confirmed nobles’ exemption from national service while requiring them to render local service. With this change, district councils, administered by local landowners, became the heart of provincial government. Catherine encouraged the founding of elementary schools and teachers’ colleges, and endorsed the elimination of capital punishment, torture, and the sale of serfs. Reforms touching on these matters were, however, never implemented. Consequently, peasants fared less well under Catherine.

2. Pugachev’s Revolt. Capitalizing on rural unrest, the Cossack rebel Pugachev instigated a peasants' revolt in 1773, claiming to be Catherine's husband Peter III. Pugachev captured the city of Kazan before the Russian army crushed his forces in 1775. The international and domestic policies of Peter the Great and Catherine the Great transformed Russia into a major European nation, although little would change for that country’s peasants.

IV. THE TWO GERMANIES

The Thirty Years' War devastated the Holy Roman Empire and changed its constitutional structure. Although ruled by the same monarch, the German and Austrian empires were now
distinct. The Holy Roman Emperor had limited authority over his imperial domains in Germany as the rulers of the member states made their own foreign policy decisions. In contrast, the Habsburg emperor's authority became increasingly absolute over Austria, Bohemia, Hungary, the southern Netherlands, and his Italian states. Although Austria remained a major European power, its conflict with Prussia dominated the politics of central Europe in the eighteenth century.

A. The Rise of Prussia

The emergence of a powerful Prussia began with the leadership of Frederick William, the Great Elector, who created an efficient army. He secured Pomerania and Stettin with victories in the War of the Spanish Succession and the Great Northern War.

1. Frederick William I. Under Frederick William I and his son Frederick II the Great, Prussia emerged as a leading military power. Replacing mercenaries with German officers who headed locally recruited regiments, Frederick William I ensured that all males registered for military service. Changes in civil administration accompanied successful military reforms. By reforming the state bureaucracy and settling refugee Protestants and Jews on his eastern lands, Frederick William increased the state's revenues and population.

2. Frederick the Great. Frederick the Great put Prussia's economic and military resources to immediate use in his invasion of Silesia. Silesia and the Polish Corridor, which separated Brandenburg from Prussia, were the two principal targets of Frederick II's aggressive foreign policy. Administration of the Prussian state rested increasingly on the nobility's participation in central and local government. Frederick II promoted agricultural and educational reform, abolished torture and capital punishment, and codified Prussian law.

B. Austria Survives

Although Austria had made substantial territorial gains with the Treaty of Utrecht, Charles VI's military power was illusory.

1. Decentralized Rule. The Counter-Reformation revived Austrian culture, but encouraged Protestant capital and skilled craftsmen to flee. The throne was also hampered financially, as local autonomy limited the government's tax base. Charles VI's failure to produce a male heir further exacerbated his difficulties, forcing him to grant substantial concessions to other states in return for acceptance of the Pragmatic Sanction, a document recognizing the right of his daughter, Maria Theresa, to inherit the Austrian throne upon his death.

2. Maria Theresa. Although she lost Silesia to Frederick the Great, Maria Theresa retained her crown with Hungarian support. She later inaugurated a series of reforms that transformed her diverse empire into a consolidated state. The formation of a centralized bureaucracy made tax collection and government expenditure more efficient. She also began to tax the nobles and the clergy. Limiting the labor services that peasants owed to their feudal lords, Maria Theresa paved the way for the abolition of serfdom under her son Joseph II, who
was also responsible for extensive domestic reforms within Austria. As Hungary stood aloof from Habsburg efforts to centralize the empire, Austria and Bohemia formed the center of an increasingly consolidated state.

C. The Politics of Power

Frederick the Great's invasion of Silesia initiated the protracted War of the Austrian Succession (1740–1748), which soon involved most European states.

1. The War of the Austrian Succession. Prussia, France, and Spain joined forces against Britain, Austria, and Holland. The Treaty of Aix-la-Chapelle that ended the war left Austria and Prussia permanent adversaries.

2. The Seven Years’ War. Austria and France found themselves, united by their mutual fear of the Prussians, who had allied with Britain. Prussia’s initial success provoked the Russians, whose army won a signal victory at Kunersdorf in 1759. The death of Czarina Elizabeth and the accession of Peter III, a fan of Prussia’s king, meant that Russia would soon sue for peace and abandon its earlier territorial gains. The conclusion of the war established Prussia as the chief threat to Habsburg rule in the German states and exhausted both Austria and Prussia sufficiently to ensure a period of peace that allowed both states to focus on domestic reform.

3. The Partitions of Poland. Peace allowed Prussia and Austria to join with Russia in partitioning Poland in 1772. Capitalizing on the internal disputes that divided Poland's nobility, the three powers allocated northeast Poland to Russia, west Prussia to Prussia, and Galicia to Austria.

V. THE GREATNESS OF GREAT BRITAIN

Although it enjoyed remarkable military success in the eighteenth century, Britain derived its pre-eminence as much from economic prosperity and political stability as from its military strength. Parliament evolved as an effective instrument of political integration, uniting the monarch and the landed elite, and the central and local governments. The remainder of this decentralized system had its drawbacks, as the American War of Independence would clearly demonstrate.

A. The British Constitution

Guided by the theory of mixed government—the balance of power among monarch, commons, and lords—the British constitution occurred as a result of fortuitous circumstances rather than of explicit effort. British political institutions limited the monarch's authority, as he was unable to suspend or dispense with the laws. The king therefore ruled as King-in-Parliament and was recognized along with the House of Lords and the House of Commons as an integral part of Parliament. Although the monarch supervised administration and initiated policy, Parliament raised revenues, made laws, and expressed subjects' grievances to the crown. Coordination between the king and the two houses of Parliament resulted from the use of royal offices and favors to win the loyalty of parliamentary members and their support for governmental programs.
The so-called “placemen” benefited from royal patronage and from integrating provincial representatives with the central government.

B. Parties and Ministers

The emergence of the party system further refined the management of Parliament. The Whigs emerged as supporters of the succession of William III and Mary II and of Protestant religious toleration. Tories, on the other hand, supported Anglican supremacy and the hereditary right of the Stuarts to the British crown. Party leadership of parliamentary politics emerged gradually from this contest, gaining particular strength under Sir Robert Walpole. As minister of finance from 1721 to 1742, Walpole brought the Whigs ascendancy in Parliament while securing peace and security for the nation. Combining the function of “prime” minister and patronage broker, Walpole laid the foundations of a Whig oligarchy that became increasingly corrupt and unpopular under his successors.

C. America Revolts

War and empire brought Britain both great glory and massive deficits. By the end of the Seven Years' War in 1763, a national debt of £130 million had convinced George III and his ministers of the need for colonial administrative reform. Designed to reduce smuggling and black-market trade in the colonies and to raise money for colonial administration and defense, the Sugar Act of 1764 and the Stamp Act of 1765 instead crystallized colonial opposition to British taxes. Arguing that they could not be taxed without representation in Parliament, the colonists challenged parliamentary sovereignty. Although Parliament agreed to repeal the duties, it reaffirmed its authority over the colonies with the Declaratory Act of 1766. Turning the colonists' attention from the tyranny of the king to that of his Parliament, this act paved the way to the American Revolution. Colonial opposition intensified with boycotts and the British use of force in Boston. The war that erupted in 1775 ended eight years later with the independence of the American colonies.

CONCLUSION

The eighteenth century saw a major transformation in the relationships among the European powers. Britain was the most powerful of the European states, but even the British needed a German alliance to preserve their preeminence. Prussia emerged as a major continental power. France failed to fulfill its political ambitions, but would be the center of a great cultural resurgence in the eighteenth century.

KEY TERMS, PEOPLE, AND EVENTS

- Great Northern War
- Treaty of Nystad
- Leopold I
- Treaty of Utrecht
- Treaty of Passarowitz
- Peter the Great
- poll tax
- Senate
- fiscals
- Table of Ranks
- Catherine the Great
czar
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<th>Charter of the Nobility</th>
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<td>Joseph II</td>
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**NEW GEOGRAPHICAL LOCATIONS**

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**DISCUSSION AND ESSAY QUESTIONS**

1. Peter the Great's death inaugurated the period of "the emancipation of the nobility." Discuss the changing status of nobles in Russia from Peter's reign to the reign of Catherine the Great. Why did the elite nobility desire "emancipation" in this period?

2. Why was Catherine the Great considered "great"? Who was greater—Peter, Frederick II, or Catherine II?

3. Discuss the different approaches to government taken by Louis XIV and Frederick the Great. Did the two monarchs differ fundamentally in their vision and techniques of government?
4. Discuss the changes that marked peasant life in eastern Europe in the eighteenth century. How did the life of Russian peasants differ from that of Austrian peasants in 1700? in 1790?

5. Discuss the British concepts of the mixed constitution and the King-in-Parliament. How does the British Constitution succeed in the age of absolute monarchs?

6. Explain the importance of alliances in maintaining the European balance of power.

RELEVANT TRANSPARENCIES AND MAPS

Danzer's Discovering Western Civilization Through Maps and Views

S46: Versailles, c. 1765
S52: A Map of the Russian Discoveries
S53: Detail from the British Ordnance Survey of Scotland, 1632
S54: A Colonial Outpost: Louisbourg, 1720

RELEVANT STUDENT MAP EXERCISES

Danzer's Mapping Western Civilization

T23: Early Modern Times: A Chronological Context
T29: Modern Europe: A Chronological Perspective

ANNOTATED FILM LIST

Catherine the Great: A Profile in Power
26 min; color; 1974
16mm CC2761,16

Actress Zoe Caldwell portrays the woman who ruled Russia from 1763 to 1796 and who played the role of a patron to many of the leading figures of the French Enlightenment. As the subject of an interview, Catherine describes her rise to the Russian throne and the way she wielded power in the changing political and intellectual environment of the late eighteenth century.

The Georgians (1714–1790)
26 min; color

Examines the fashions of eighteenth-century England.
The Battle of Quebec: 1759
30 min; color

Looks at the causes of the Seven Years’ (or French and Indian) War and the siege and final attack on Quebec.

Stuart and Georgian London: 1667–1830
20 min; color

Examines the architecture of Christopher Wren and the growing urbanization of London following the Great Fire of London.

Peter the Great
30 min; color

Examines the life and reign of Russia’s Peter the Great.
Chapter 19

Culture and Society in Eighteenth-Century Europe

I. THE VISUAL RECORD: HAPPY FAMILIES

The eighteenth century saw a revolution in family relationships. Inspired by Enlightenment ideals of personal happiness, there was a new emphasis on domestic affection, companionate marriages, and romantic love, ideals that were especially popular within the middle and upper orders. The lower classes were, however, too concerned about survival to be much affected by the new values.

II. EIGHTEENTH-CENTURY CULTURE

The aristocracy of the eighteenth century became increasingly concerned about sponsoring high culture. Whether encouraging scientific, literary, and philosophical discussions in their salons or entertaining guests with operas or chamber music, European nobles were increasingly sociable.

A. The Enlightenment

The Enlightenment was a period of skepticism and criticism of traditional values, beliefs, and institutions. Moreover, the Enlightenment was more of an attitude than a litany of specific ideas. Philosophes, Enlightenment thinkers who were found in every European nation, displayed a critical mental attitude, were more popularizers and synthesizers than formal philosophers.

B. The Spirit of the Enlightenment.

Voltaire's Philosophical Letters Concerning the English Nation inaugurated the European Enlightenment. Like other Enlightenment thinkers, Voltaire attacked the traditional privileges and intolerance of the French nobility and clergy while praising the religious toleration and the social and political organization and outlook of the British.

1. Voltaire. Voltaire, a prolific writer of plays, satires, and political tracts, wrote with both irreverence and passion. His Candide satirized the optimism of the age, particularly in light of the destruction of the Lisbon earthquake in 1755. The leading spokesman of his age, Voltaire’s challenges of political and religious authority would inspire the future revolutionaries in France.

2. Hume. The Scottish philosophe David Hume argued that only perceptions of mind and matter exist. His skeptical philosophy denied the validity of Cartesian philosophy and implied the
relativity of moral values. Hume's rejection of philosophical certainty led him to question the revealed truths of Christian religion.

3. Montesquieu. Baron Montesquieu attacked established social, ethical, and religious conventions in his works. In *The Persian Letters* (1721) he satirized European social, political, and religious institutions and customs. In *The Spirit of the Laws* (1748), Montesquieu noted the need for governments to avoid despotism and secure liberty by the separation of political power and the establishment of checks and balances on the different political institutions that existed in Britain.

4. Enlightened Education and Social Reform. Philosophes employed the clockwinder theory to prove the existence of God in their rational religion, known as deism. Most philosophes were deists. The Swiss thinker Jean-Jacques Rousseau endorsed the establishment of an educational system with a curriculum that was based on student interests and where students progressed at their own speed. John Locke's notion of *tabula rasa* suggested that a child, knowing nothing at birth, learned through experience and observation. Montesquieu favored legal reform. Cesare Beccaria wanted to end the use of torture and capital punishment and provide for the rehabilitation of prisoners. The widespread belief in education and social reform encouraged the optimism of the age.

C. The Impact of the Enlightenment.

It is difficult to pinpoint one specific benefit of the Enlightenment because its influence was so pervasive. The greatest changes occurred in law, education, and religious toleration. Eastern Europe saw the most extensive reform in these areas. Efforts to codify or reform the law in eighteenth-century Prussia, Russia, and Austria reflected the impact of Enlightened thought, as did the Eastern rulers' efforts to reform education. Religious toleration was best exemplified by Joseph II's Patent of Toleration (1781), which extended religious toleration to Protestants and Eastern Orthodox. Enlightened economists, or physiocrats, believed land was the basis of wealth. They accordingly encouraged agricultural investment and the imposition of taxes on property ownership. The Scottish economist Adam Smith advanced capitalistic theories of *laissez-faire* that defended commercial freedom from government interference in the economy. The Enlightenment made many contributions to the modern age, the most important of which were perhaps the endorsements of happiness and individual self-interest.

III. EIGHTEENTH-CENTURY SOCIETY

Eighteenth-century society remained highly stratified with birth and wealth being the two most important determinants of social status and quality of life. The burgeoning middle class helped fill the void between the rich and the poor. The nobility, however, remained firmly in place at the top of the social order. The poor, whose numbers increased sharply over the century, faced a precarious life.

A. The Nobility
European nobles had the legal rights to armaments, tax exemption, and to special legal privileges that distinguished them from commoners. The nature and extent of their specific privileges varied sharply in different nations. Nobles were not all equal. Spanish grandees, English peers, and French Grandes were members of the upper nobility who possessed vast wealth and wielded great power. Lower ranking nobles were known as hidalgos in Spain and as “country nobles” in France. Although not technically nobles, English gentry had some special privileges and were responsible for the administration of local government and for filling seats in the House of Commons.

1. Maintaining Wealth. Aristocratic wealth in Britain, Spain, Austria, and Hungary relied heavily upon entailed estates, whereby heirs were prohibited from subdividing their estates. Government service, particularly in the post of secretary, offered others the route to ennoblement.

2. Increased Consumption. Wealthy aristocrats maintained a high social profile through entertainment and conspicuous consumption. During the course of the eighteenth century, aristocrats began constructing country houses and taking the grand tour of Europe. Despite their particular nationality, aristocrats shared a common world view and a common sense of fashion.

3. The Salons. Salons became centers of literary and philosophical culture where Enlightenment ideas spread among the elite.

B. The Bourgeoisie

The eighteenth century saw an expansion in the numbers and the influence of the bourgeoisie and an increasingly clear definition of their values. The bourgeoisie aggressively pursued commercial interests as their private lives increasingly emphasized affective family relationships and the importance of children.

1. Urban Elites. Increasing in numbers, wealth, and power with the expansion of commerce and urban life, the European bourgeoisie was a diverse group whose economic activities centered on business, finance, and professional service. Although they continued to amass wealth, the bourgeoisie held an uncertain position in society. They were stronger in northern and western Europe than they were in the south and east. The upper levels of the bourgeoisie merged with the nobility; the lower levels merged with the artisans and laborers from whose ranks bourgeois traders had emerged. The goal of most bourgeois was, however, to become a member of the nobility through government service or the purchase of extensive estates.

2. Bourgeois Values. Unlike the ostentatious aristocracy, most bourgeoisie were hard-working, serious, and frugal. The eighteenth century did, however, see the bourgeoisie display their increasing wealth through such acquisitions as finer clothing, silverware, coaches, and country homes, and through travel.

3. Leisure and Entertainment. Greater wealth encouraged access to cultural activities like public performances of operas, concerts, and plays. Academies and clubs provided venues for
bourgeois literary culture. Coffeehouses and tearooms became popular places to socialize and discuss literature or current events. Literary and scientific societies were also popular with the bourgeoisie. The newspaper, the magazine, and the novel were popular among literate bourgeoisie. Directed primarily at women, romance and self-instruction books instructed readers in the conventions of polite society.

4. Family Life and Companionate Marriage. Domesticity transformed the values of both noble and bourgeois families alike in the eighteenth century. Economic interests continued to bind family members together, but love and emotion became increasingly important. Paternal authority remained strong, however, and child beating remained a common practice. Love, happiness, and sexual attraction became more significant factors in marriage alliances after the middle of the eighteenth century. Compatibility supplanted patriarchy as a central goal of married life. Architects began to design houses that ensured their residents' privacy by introducing hallways and individual bedrooms. The deliberate limitation of family size contributed further to privacy and companionship within the home and transformed attitudes toward children.

5. New Attitudes Toward Children. Now that parents viewed childhood as a distinct stage of life that shaped individual character, they focused more on their children’s education. The affluent classes purchased books and games designed specifically for children. But lower class families, lacking both the time and the resources to lavish on their children, remained unaffected by the new domesticity and remained a largely patriarchal relationship.

C. The Masses

The eighteenth century saw more people surviving because of more ample food supplies, better housing, and improved sanitation. Yet economic opportunity and economic adversity for the lower orders both increased because many able-bodied men were unable to find gainful employment. Although some benefited from the spread of literacy and the greater commercialization of society, many lived increasingly miserable lives.

1. Breaking the Cycle. Central to the experience of the eighteenth-century masses was the steady population growth that began in the 1740s. This was the first European population explosion that failed to produce a countervailing demographic crisis. Rising from around 120 million in 1700 to 180 million a century later, the European population sustained massive growth without provoking the positive demographic checks of war, disease, and famine that thinkers such as Thomas Malthus proposed would reduce the increases in population. Malthus's “preventive checks” of delayed marriages, sexual abstinence, and abortion were also less effective during the eighteenth century.

2. Patterns of Population. Fertility increased in the eighteenth century because of earlier marriages, greater reliance on the use of wet nurses, and increased sexual activity outside of marriage. Decreased mortality, a consequence of diminished warfare, improved sanitation, and a drop in the virulence of epidemics, also encouraged the population boom. The rapidly rising population fostered the growth of cities, which grew primarily through migration.
3. Agricultural Improvements. Famine receded, though slow starvation and malnutrition increased. Agricultural production improved as the consolidation of landholdings allowed some farmers to abandon traditional methods of crop rotation and introduce fodder crops that added nutrients to the soil while providing winter feed for livestock, the chief source of fertilizer.

4. The New Staples. More land came under cultivation. Additional roads and canals improved the efficiency of marketing foodstuffs. New crops such as corn and potatoes changed the European diet. The expansion of markets encouraged specialization of crops and helped reduce the threat of famine. International trade in agricultural products also increased. A moderate warming trend in the European climate also appears to have enhanced crop yields.

5. The Plight of the Poor. The explosion of poverty was a fundamental fact of the eighteenth century. Ironically, peace and bountiful harvests allowed more people to survive, although many of them endured a marginal existence. Concentrated in urban areas, starving poor composed perhaps 10 to 15 percent of the population. Population growth drove up the cost of living as wages fell. Agricultural improvements enhanced yields but also increased landlessness. Wage labor expanded. In especially impoverished areas, the poor migrated to America or other European areas like Prussia. Emigration from the countryside swelled the populations of cities, where employment increasingly found in workshops and factories.

6. Caring for the Poor. Urban paupers severely taxed the resources of public and private charitable institutions. Institutions such as hospitals, workhouses, and prisons disciplined and punished the growing number of indigent. Crime increased in this period, as well.

7. Popular Culture. Family and community festivals contributed to the rich popular culture of the masses, helping to divert popular concerns about survival. Increases in literacy sustained a varied popular literature of chivalric novels, religious books, almanacs, and romances. Village festivals and sporting events relieved village aggression, as did blood sports, such as dog-fighting and bearbaiting. Taverns and alehouses were popular havens of the lower classes, as the consumption of hard liquor escalated dramatically over the century.

CONCLUSION

Eighteenth-century society remained highly stratified as the rich became wealthier at the same time that the numbers of the destitute increased. The members of the middle class, however, found that wealth enabled them to improve their social status. Meanwhile, the philosophes of the Enlightenment challenged political and religious conventions that underpinned society.

KEY TERMS, PEOPLE, AND EVENTS

philosophes
Marquise du Châtelet
Deists
Samuel von Cocceji

Jean-Jacques Rousseau
David Hume
John Locke
Patent of Toleration
Voltaire
Montesquieu
Cesare Beccaria
physiocrats
Adam Smith    bourgeoisie    Grandes
grandees    hidalgos    peerage
gentry    entail    *tabula rasa*
primogeniture    salons    novel
companionate marriage    Thomas Malthus    positive check
preventive check    wet nurses    blood sports
*laissez-faire*    *Candide*    coffeehouse
engrosser    Skepticism

NEW GEOGRAPHICAL LOCATIONS

Bath    Cirey    Hamburg
Champagne    Bordeaux    Brighton

DISCUSSION AND ESSAY QUESTIONS

1. Scholars often debate the impact of Enlightenment thought on eighteenth-century Europe. Compare and contrast the impact of Enlightenment thinking in eastern and western Europe. Where was the impact of the Enlightenment first most profound and why?

2. Compare the social and cultural changes that were taking place in the different social classes over the course of the eighteenth century.

3. Discuss the evolving concept of the family occasioned by social and economic dislocation in eighteenth-century Europe. How and why were notions of companionship, privacy, and childhood transformed in this period? Which segments of the European population were influenced most by these developments?

4. The Enlightenment emphasized the importance of the individual, and the pursuits of pleasure, happiness, and self-interest. What impact are these values having on social and political institutions today?

5. What impact did the growing population make on European society?

RELEVANT TRANSPARENCIES AND MAPS

Danzer's *Discovering Western Civilization Through Maps and Views*

S46: Versailles, c. 1765
S55: French Map of the Canals in England, c. 1819
S56: Plan of the duc de Praslin's Garden
S57: Plan of Eighteenth-Century Berlin

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RELEVANT STUDENT MAP EXERCISES

Danzer's Mapping Western Civilization

T23: Early Modern Times: A Chronological Context
T29: Modern Europe: A Chronological Perspective

ANNOTATED FILM LIST

Triumph of the West: 8—The Age of Light  
53 min; color; 1985  
½ VHS  

Discusses the contributions the Enlightenment and the French Revolution made to western civilization.

The Christians: Politeness and Enthusiasm  
41 min; color; 1976  
16mm CC2761,16  

Reminds us that the eighteenth century featured a revival in religious ideas and enthusiasm alongside the skepticism of Voltaire and the Enlightenment. Examines George Whitefield, John Wesley, and the beginnings of the Methodist church.

Civilization: The Smile of Reason  
53 min; color; 1971  
16mm CC2140,16  

A sparkling survey of the spread and transformation of the Enlightenment on both sides of the Atlantic in the eighteenth century. Strong emphasis on Voltaire as the embodiment of the Enlightenment in Europe and on Thomas Jefferson's comparable role in the American colonies. Concludes with the American Revolution and the stirrings that would soon lead to revolution in France.

Thomas Jefferson  
34 min; color; 1967  
16mm CC1877,16  

Surveys the career of the leading American participant in the Enlightenment. Stresses Jefferson's view that his most noteworthy achievements were the writing of the Declaration of Independence and the Statute of Virginia for Religious Freedom and the founding of the University of Virginia.
Voltaire Presents Candide: An Introduction to the Age of Enlightenment
33 min; color; 1976
16mm KC0470,16

A dramatization of Voltaire's most famous satire, in which the influential French writer and thinker made fun of the shallow optimism that many of his contemporaries saw in the Enlightenment. An actor playing Voltaire comments on the playwright's life.

The Enlightenment
30 min; 2 pts; color; 1985

Demonstrates how the optimism of the philosophes resulted in the popular demand for political reform.

The Enlightenment and the Age of Louis XIV
30 min; 2 pts; color; 1985

Compares the conflict that existed between the ideals of the two ages and the influence of the scientific revolution upon those values.
I. THE VISUAL RECORD: EIGHTEENTH-CENTURY REVOLUTION

“Independence of the United States” illustrates the eighteenth-century European perspective on the American Revolution. Primitive American colonists achieve independence because of the economic and military assistance they receive from Louis XVI. The American Revolution was popular with the French people although it is unlikely that the American revolutionaries would have viewed Louis as their “liberator.”

II. THE FRENCH REVOLUTION AND THE FALL OF THE MONARCHY

The French Revolution began the modern age. The French experienced a series of different forms of government during the revolution, including absolute monarchy, constitutional monarchy, republic, oligarchy, and despotism. The Revolution’s influence extended beyond politics, however, as it transformed life and society amidst the violence and repression.

A. The Political and Financial Crisis of Eighteenth-Century France.

Louis XV failed to secure sufficient taxes to satisfy his enormous and growing national debt, precipitating constant conflict between the king and the aristocracy. France faced a century-long financial crisis that France’s defeat in the Seven Years’ War exacerbated. Power struggles between the king and the nobles took place frequently in the parlements, the courts of law that had the right to register royal decrees. Intendants, provincial agents of the king, found the task of imposing the king’s will increasingly difficult. The repeated refusals of the parlements to allow the king to raise taxes created an impasse between the French elite and the king. Massive government deficits plagued Louis XVI from his accession in 1774, bringing the monarchy to the verge of bankruptcy following France’s generous financial support for the American colonists in the War of American Independence. By 1788, Louis XVI had no choice but to convene the Estates-General, France’s tricameral legislature, to solve the financial crisis.

B. Convening the Estates General

Selecting representatives for the Estates-General politicized the French people. The election created a situation that the king could not control as political discussions flourished. A flurry of political pamphlets and tracts raised the prospects of tax reform and political change.

1. “If Only the King Knew.” The opportunity to record their grievances in the cahiers de
doleances drew all regions and levels of society into a public debate on politics and taxation. The cahiers showed both a similarity of grievances expressed by all estates and a common concern about the need for extensive reform. Throughout the kingdom people looked toward a benevolent monarch who, made aware of his country’s troubles, would resolve them. An economic crisis in the spring of 1789 gave the political debates an added sense of urgency. From the start, tension emerged among the members in the Estates-General when it met in May 1789. The members of the Third Estate, intent on drafting a constitution, were unwilling to accept traditional means of submitting to royal authority.

2. The Crisis in Voting by Estate. The king and the three orders were committed to different schemes of voting. The Third Estate insisted on voting by head; the First and Second Estates wanted voting by Estate. Led by the unorthodox clergyman Sieyés, the Third Estate reconstituted itself as a separate National Assembly on June 17, 1789. Denied access to their meeting place by the king's guards, these representatives initiated the revolution by swearing the Oath of the Tennis Court, vowing to give France a written constitution based on popular sovereignty.

3. The Importance of Public Opinion. News of the events at Versailles spread quickly throughout the nation. The people of Paris, hearing of the events transpiring at Versailles, welcomed the news of political change, though they became increasingly restless with the lack of progress.

C. The Outbreak of Revolutionary Action in 1789

Refusing to accept the creation of the National Assembly, Louis XVI quietly summoned troops to Paris and Versailles.

1. The Storming of the Bastille. Anxious Parisians, seeking guns, stormed the Bastille, an armory and prison, on July 14, 1789. Demonstrating the people's ability to assume political authority without royal approval, the bourgeois and petty bourgeois Parisians participated in this popular revolt. The Marquis de Lafayette helped institute the new citizens' militia, the National Guard. The confluence of urban revolt and rural protest forced Louis XVI to recognize the National Assembly as the revolution spread throughout the countryside.

2. Peasant Fear of an Aristocratic Plot. Alarmed by the political changes introduced at Versailles and frightened by the presence of transient laborers and vagrants, rumors of an aristocratic plot to thwart the revolution spread throughout France.

3. The Peasant Revolt. Peasants responded with collective paranoia. In late July, angry and anxious peasants destroyed evidence of feudal dues, payments, and services that they owed to their seigneurs. Realizing that their political credibility rested upon their ability to protect private property, the National Assembly agreed on the night of August 4, 1789, to abolish the principle of privilege while insisting that peasants reimburse the nobles for this concession.
4. Women on the March. Motivated by a shortage of food in the capital, some 6,000 women marched to Versailles in October 1789. They forced the king to return to Paris, making him a captive of the revolution.

D. Declaring Political Rights

The National Assembly adopted the Constitution of 1791, a document that advanced revolutionary principles such as liberty and equality and established the political institutions of a constitutional monarchy and a representative legislature.

1. Civil Liberties. The revolution saw the elimination of aristocratic titles, slavery, and religious persecution. Despite Toussaint L’Ouverture’s successful revolt in Haiti, France would ultimately reject racial equality and reestablish slavery in 1802.

2. Women’s Rights. Philosophes like Condorcet championed women’s rights. Nevertheless, revolutionary leaders denied liberty and equality to women, slaves, and the poor. Consequently, the revolution became more radical.

E. The Trials of Constitutional Monarchy

By the spring of 1790, the National Assembly had divided France into new jurisdictional units, called départements; and established July 14 (Bastille Day) as a new national holiday. There were, however, signs of growing problems.

1. The Counter-revolution. In early 1790, the National Assembly confiscated the lands owned by the Catholic church. That July the Civil Constitution of the Clergy made priests paid employees of the state and required them to take loyalty oaths. This provided the incentive for a Catholic counter-revolution. Nobles who fled the country, called émigrés, were another source of counter-revolutionary activity. Louis XVI discredited the new constitution with his unsuccessful attempt to flee the country in June 1791, thereafter becoming little more than a prisoner.

2. The Fiscal Crisis. Fiscal crisis, inflation, peasant and consumer unrest, and war hastened the process of monarchical disintegration. The government's over-reliance on assignats, government bonds redeemable in the confiscated church lands, depreciated the value of French currency, fed inflation, and further increased the misery and disaffection of the French people. Peasants fomented counter-revolution, refusing to accept government assignats for their grain. Hungry townspeople rioted and demonstrated against government policies. Welcomed by many, France's declaration of war against Austria in April 1792 further exacerbated these difficulties and increased hostility toward the ineffectual king.
III. EXPERIMENTING WITH DEMOCRACY, 1792–1799

Ideals of freedom and equality supplanted traditional concepts of birth and privilege, as the qualifications for political leadership changed. Subjects became citizens. Men were declared to be free and equal in opportunity, if not in rights. Despite the rhetoric of democracy, political institutions remained undemocratic.

A. The Revolution of the People

The first phase of the revolution emphasized the need for liberty. In 1792 the revolutionaries' attention turned increasingly to equality. A mob of urban craftsmen, called sans-culottes, attacked the Tuileries palace in August 1792. They demanded universal manhood suffrage and decentralized local neighborhood organizations. Thereafter, the Parisian workers were a powerful political force in the revolution.

B. “Terror Is the Order of the Day”

The Convention, which replaced the Legislative Assembly, found Louis XVI guilty of treason. With the king’s execution in January 1793, politics became decisively polarized. Factions dominated the new legislature, called the National Convention. The radical Jacobins favored democratic government and took up the cause of the sans culottes.

1. Jacobin Ascendancy. The moderate Girondins began to lose power beginning in August 1792. Drawing support from the sans-culottes, Maximilien Robespierre, the leader of the most radical element of the Jacobins, the “Mountain,” removed the Girondins from power.

2. Robespierre and the Reign of Terror. Robespierre led the Committee of Public Safety, a twelve-man body that was established in 1793. It oversaw the institutions that would impose the Reign of Terror. For Robespierre, the will of the nation outweighed individual wills and rights. Revolutionary tribunals throughout France tried enemies of the revolution and ordered their executions. Some 40,000 people would be executed in a nine-month period. Robespierre also introduced the Cult of the Supreme Being as a replacement for the Christian church, regulated the economy, mobilized soldiers, and attempted to crush the civil war in the Vendée.

3. Women Excluded. Women failed to benefit from the political changes in the new revolutionary society as a woman’s domestic role, as portrayed in Rousseau’s novels, was seen as being incompatible with a political one. The government thus forbade women’s political organization, prohibited their political participation, and even executed Olymphe de Gouges, one of their leading spokeswomen.

4. The Thermidorean Reaction. Robespierre's assault on Jacobins and Girondins undercut his power base and led to his loss of political power and eventual execution. The resulting Thermidorean Reaction saw the institutions of the Terror dismantled. A belated attempt by the Jacobins and the sans-culottes to reassert their power failed, ending the popular revolution.
C. The End of the Revolution

The Directory led the revolution after Robespierre's fall. Successful in securing a stable constitutional government for four years, the Directory oversaw a series of military victories and the extension of France's borders. The expense of extensive military operations and the re-establishment of conscription, however, undermined the Directory's popularity. Military defeats abroad and political corruption at home further eroded the Directory's authority as resistance to the government paved the way for Napoleon.

V. THE REIGN OF NAPOLEON, 1799–1815

Napoleon was a revolutionary enigma. Intent on establishing the French state on revolutionary foundations, he employed dictatorial and militaristic tactics that appeared to pervert the achievements of the revolution even as he fulfilled them.

A. Bonaparte Seizes Power

Napoleon was an impoverished junior officer in 1795. Within four years, he ruled France.

1. Napoleon’s Training and Experience. Sharing the philosophes' belief in rational progress, Napoleon Bonaparte saw his opportunities for social, military, and political advancement expand as the French Revolution unfolded. Under the Directory, Napoleon extended French rule into central Italy and then led highly publicized campaigns in Egypt and Syria. In the process he became a national hero.

2. Napoleon as First Consul. A member of a successful conspiracy against the Directory in 1799, Napoleon became First Consul. He guaranteed property rights, re-established law and order, balanced the budget, and healed the religious schism that had divided France when he re-established cordial relations with the pope with the Concordat of 1801. Successful both in quelling civil unrest and in reestablishing Catholicism, Napoleon expanded his political power by becoming First Consul for life in 1802.

B. Napoleon at War with the European Powers

France was almost continually at war from 1803 to 1814. Having defeated Austria in 1805, Prussia in 1806, and Russia in 1807, Napoleon invaded Spain in 1808 to repel British expeditionary forces. Napoleon employed economic warfare, known as the Continental System, to destroy the British economy. This system imposed tariffs that protected French manufacturers in continental European markets, but Britain's naval blockade of Europe shut French manufacturers off from Atlantic markets. In 1810, although he was unable to break the British blockade, Napoleon seemed secure in his empire that included the new satellite kingdoms of Spain, Italy, Westphalia, and Holland.
C. The First Empire and Domestic Reforms

Proclaiming himself emperor in December 1804, Napoleon abandoned all pretense of constitutional government.

1. The Importance of Science and Economic Reforms. Napoleon sponsored practical scientific research in physics and chemistry. In addition, he created a national bank, reformed the tax system, extended France’s road network, and subsidized research encouraging the utilization of indigo and sugar beets.

2. The New Legal System. Napoleon's greatest contribution was the codification of French law. The so-called Napoleonic Code promoted economic growth by protecting property and standardizing contracts, and regulated family relations by promoting paternal authority. Napoleon also encouraged cultural activities, created a police force, and reorganized governmental administration. Plebiscites, rather than elections, demonstrated popular support for Napoleon's reforms.

D. Decline and Fall

Military defeat ultimately led to Napoleon's fall. The Peninsular War (1808–14) weakened Napoleon's army; the Russian winter of 1812–1813 devastated it.

1. The Invasion of Russia and the Battle of Nations. Fewer than 100,000 of the 500,000 men whom Napoleon had led into Russia in 1812 returned. Prussia, Britain, Sweden, Russia, and Austria joined forces against France. In 1814, Napoleon lost the Battle of Nations at Leipzig. Following the loss of Paris Napoleon abdicated and was exiled to Elba.

2. Napoleon’s Final Defeat: Waterloo. Napoleon returned to France for 100 days in early 1815, only to be defeated decisively at Waterloo in June 1815. Six years later he died in exile on St. Helena, a small island in the south Atlantic.

CONCLUSION

The French Revolution succeeded in encouraging the collaboration of noble and bourgeois elites, who were united by land ownership. The revolution failed, however, to provide stable solutions to the problems of democratic politics. The end of Napoleon's empire in 1815 left unanswered the basic difficulty of reconciling the will of the people with the authority of the state. Nevertheless, the seeds for future political change were sown.
KEY TERMS, PEOPLE, AND EVENTS

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NEW GEOGRAPHICAL LOCATIONS

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DISCUSSION AND ESSAY QUESTIONS

1. Discuss the character of social, economic, and political life in France under the old regime. Which attributes of the old regime were demolished by the revolution? Which endured?

2. Discuss the social composition of the groups that participated in the French Revolution. Was the revolution primarily the response of a single class or of the French people as a whole?

3. Compare the first and second phases of the French Revolution. Were the seeds of radical political change sown in the first phase?

4. Given the numerous foreign and domestic challenges that France faced in the spring of 1793, was the Reign of Terror an appropriate response to instill in the French people a "single will" of revolutionary fervor?

5. Given the revolution's desire to establish liberty, equality, and fraternity for all men, why were the revolutionaries so reluctant to give women the same privileges?

6. Did Napoleon advance or subvert the accomplishments of the French Revolution?
RELEVANT TRANSPARENCIES AND MAPS

Danzer's Discovering Western Civilization Through Maps and Views

S46: Versailles, c. 1765
S58: Map of the French Departments
S59: The French Armies
S60: Napoleon's Army in Russia, 1812-1813 (chart)

RELEVANT STUDENT MAP EXERCISES

Danzer's Mapping Western Civilization

T22: Paris in 1789 A.D.
T23: Early Modern Times: A Chronological Context
T24: Europe in 1810 A.D.
T29: Modern Europe: A Chronological Perspective

ANNOTATED FILM LIST

Napoleon Bonaparte
2 parts; 53 minutes and 57 minutes; color, 1999

Traces the career of Napoleon. Includes footage of a number of historic locations.

The Napoleonic Wars
30 minutes; color; 1999

David Chandler provides the narrative as he examines Napoleon’s strategy and tactics.

An Age of Revolutions
26 min; color; 1975
16mm CC2921,16

A broad survey of the years from 1789 to 1871 stressing the French and Industrial Revolutions as basic forces shaping the world's future. Considers the French Revolution from two perspectives: as a source of change within France, and as a force that drove outward to challenge the old order throughout Europe.
French Revolution
17 min; color; 1957
16mm CC0976,16
Brief survey of the origins and course of the revolution and the way it turned into a war against Austria and Prussia in 1792.

French Revolution: Death of the Old Regime
17 min; color; 1966
16mm
Follows the history of France from 1715 when Louis XV first came to the throne to the adoption of the 1791 constitution.

Civilization: The Fallacies of Hope
53 min; color; 1971
16mm CC2142,16
Depicts the eras of the French Revolution and Napoleon using the art and music of the time. Shows how the enthusiasm and high expectations of many Europeans in the decade following 1789 faded as the new century turned out to be an era of warfare and political repression.

The French Revolution: The Terror
19 min; color; 1971
16mm CC2405,16
Focuses on the years 1792 and 1793, in which foreign war and domestic rebellion helped drive the revolution into a period of bloody repression against tens of thousands of Frenchmen. Stresses the role of Maximilien Robespierre, the obscure provincial lawyer who came to direct the Terror.

Goya: His Life and Art
44 min; color; 1986
½ VHS, RC1262,VH
Depicts the life and work of the great Spanish painter whose work was transformed by the experience of war. Shows how the conquests of Napoleon were viewed from the side of the victims.

Napoleon: The Making of a Dictator
27 min; color; 1970
16mm CC2442,16
Depicts the situation in 1799 that permitted the brilliant young Corsican general to plot to seize power. Dramatizes the coup and Napoleon's effort to take power with a pretense of acting legally. Intended for a high school audience.
**Napoleonic Era**
15 min; color; 1957
16mm CC0996,16

A brief survey of Napoleon's career from the first victorious campaigns in Italy in 1796 to the conquest of most of Europe. Shows how the mighty French Empire collapsed in the wake of Napoleon's defeats in Russia and Germany in 1812 and 1813.

**The Death of the Old Regime**
30 min; 2 pts; color; 1989

Compares the American and French Revolutions and examines the political reforms that preceded Napoleon’s rise to power.

**The Battle of Austerlitz: 1805**
30 min; color

Reviews the campaign and Battle of the Three Emperors.

**The Battle of Waterloo: 1815**
30 min; color

Explores the events leading up to the battle of Waterloo and the consequences of Napoleon’s abdication and exile.
Chapter 21

*Industrial Europe*

I. THE VISUAL RECORD: AN IRON FORGE

The innovations that were introduced during the Industrial Revolution required creativity, adaptability, and money. Fortunately, all three were readily available. Now the machine rather than the worker would do most of the work. Initially, changes occurred in small factories.

II. THE TRADITIONAL ECONOMY

Labor-intensive agriculture long dominated Western Europe's economy. Although the domestic textile industry bolstered the rural economy, it was unable to satisfy the demands of world trade and was an unreliable source of additional income. The Agricultural Revolution, however, allowed Europeans to produce more food with fewer farmers, revolutionizing society.

A. Farming Families

Communal farming that was based on three-field crop rotation was commonplace in early modern Europe. Farmers’ natural conservatism was essentially pragmatic, however. In the late eighteenth century the sharp population increase drove the cultivation of marginal farmlands. Additional agricultural activity rose, but did little beyond keeping pace with the demands of the larger population.

B. Rural Manufacture

The growing European population demanded more food and more manufactured goods, as well. With survival becoming increasingly precarious, farmers turned to piece-work manufacturing in their homes. The putting-out system became more prevalent than the less organized cottage industry. In this system, entrepreneurs purchased raw materials that were “put out” to peasant households for manufacture. Finished products were then returned to the capitalist to sell for a profit. Requiring simple and inexpensive tools, little capital, and rudimentary skills, the putting-out system relied upon the low wages of rural workers who were happy to supplement their income. As wages from the putting-out system grew in importance in the peasants' lives, however, it often resulted in even lower wages and a declining standard of living. Furthermore, because textile workers needed only a loom or spinning wheel to make money, many of them...
married at younger ages. This helped to fuel the population increase.

C. The Agricultural Revolution

Intensifying traditional agricultural techniques helped to expand commercial agricultural production. The systematic application of innovative farming techniques first made a significant impact on increased production in Holland and England.

1. Enclosures. Prosperous farmers began to consolidate their landholdings through enclosures by agreement. Later, legislatures in Britain, France, and Prussia enacted so-called parliamentary enclosures. Despite the phrase, enclosures were often met with riots. The consolidation of fields and the enclosure of commons underpinned the emergence of commercial agriculture as farmers now focused on growing a single commercial crop.

2. Agricultural Innovations. Cover crops, such as clover and turnips, increased productivity by restoring nutrients to the soil and providing fodder for livestock. English and Dutch farmers introduced meadow floating, in which they flooded fields to grow early spring grasses. Convertible husbandry, whereby farmers switched between grain production and animal husbandry, permitted regional specialization and lowered food prices. The greater availability of food resulted in lower food prices, more discretionary income, and a growing desire for new consumer goods. But social and economic dislocation also attended the agricultural revolution, for landless laborers found no security and little charity in the commercialized countryside. Employment in the factories beckoned.

III. THE INDUSTRIAL REVOLUTION IN BRITAIN

Between 1750 and 1850, the Industrial Revolution saw Britain's predominantly agricultural work force become a predominantly industrial one. Technological changes took place along with gradual, but continuous, improvements in industrial technique. Evolutionary changes produced revolutionary results. Energy from running water and coal combined with technological innovation to bolster the sustained economic growth that allowed Britain to support its booming population.

A. Britain First

Britain was the first nation to experience industrialization and to offer an inviting environment to the changes it would introduce. Yet even in Britain, industrialization was largely a regional phenomenon as factories tended to be located near sources of natural resources. Prosperity was, however, experienced nationwide and then worldwide.

1. Water and Coal. Canals and navigable rivers allowed British merchants to transport goods with relative ease. The fortuitous location of large seams of coal near large seams of iron and rivers also facilitated industrial development.

2. Economic Infrastructure. Merchants adopted their experience in the colonial trade to
the demands of the new industrial recovery. English merchants were key in securing new markets, raw materials, and long-term financing, and in encouraging the expansion of shipping. A reliable nationwide banking system, anchored by the national Bank of England, contributed to Britain's economic transformation.

B. Minerals and Metals

Coal was Britain's first capital-intensive industry. Fortunately, the largest coal fields were owned by families with sufficient wealth to invest substantial funds in mining.

1. Early Coal Mining. Cave-ins, explosions, water, and inadequate ventilation were some of the problems early coal miners faced. Thomas Newcomen's steam-driven pump eased the problem of water drainage and consequently increased coal production markedly. The substitution of coke for charcoal in iron production, a process that Abraham Darby pioneered, put this new surplus to good use. In 1775 James Watt introduced an improved steam engine.

2. The Steam Engine. Watt’s steam engine allowed iron smelting and forging to be conducted at much higher temperatures. His mechanism to convert the pumping engine into one with a rotary action expanded the practical uses of the machine. Henry Cort's puddling and rolling process permitted industrialists to consolidate the smelting, forging, and finishing industries into a single process, dramatically increasing the production of iron.

C. Cotton Is King

Woolen cloth had dominated British trade for centuries, but cotton now replaced it in importance.

1. Domestic Industries. Extensive technological innovation allowed English producers to compete successfully with Indian imports. John Kay's flying shuttle, invented in the 1730s, allowed weavers who had formerly worked in pairs, to work alone. James Hargreaves's jenny allowed multiple threads to be spun simultaneously, significantly increasing the supply of cotton thread production. Richard Arkwright's water frame allowed British workers to spin strong warp threads. Samuel Crompton's mule combined the properties of the jenny with those of the water frame. The space required to house these machines and to regulate the quality of the goods produced led to the formation of factories.

2. Cotton Factories. Richard Arkwright introduced the factory, an institution that would transform society. Textile production was now located in mill towns, which were primarily located in northeastern England. Luddites, who opposed the social and economic changes rapid industrialization had brought, rioted and destroyed machines. Yet they were unable to stop change. Eli Whitney’s cotton gin contributed to the increased cotton production. By 1850 nearly 500,000 persons worked in the cotton industry, which had become a dominant British export.
D. The Iron Horse

An inadequate transportation system made the delivery of raw materials, as well as finished products, an impediment to future economic growth. Richard Trevithick and George Stephenson’s efforts led to the development of the railroad.

1. The First Railways. Originally intended to move coal and bulk goods, the railroad was making more money by carrying passengers than transporting freight. Railway construction itself became a major industry. In Britain, private citizens rather than the government assumed responsibility for developing their nation’s rail system.

2. From Goods to Passengers. Railroads decreased the cost of coal, helped to modernize the iron and steel industries, and created a high demand for labor. Railroads consumed much of the iron and bricks produced by British factories. Trains provided cheap transport for all social classes and promoted a shared sense of national identity, giving people new perspectives of time, space, and speed.

E. Entrepreneurs and Managers

Changes in the organization of industry combined with technological innovations and an attitude of continual improvement to revolutionize the industrial economy of Britain. Combining the skills of the entrepreneur and the manager, the successful industrialists raised capital and reorganized the workplace. Discipline and specialization of industrial tasks were critical, as managers were increasingly subdividing tasks until workers performed only one function. Managers focused increasingly on the quality of the goods manufactured and on educating workers. Industrialists came from a variety of backgrounds and social classes, but were primarily members of the middle class.

1. Josiah Wedgwood. Josiah Wedgwood, an English potter, improved his products by introducing new mixtures of clay and new glazes, enhanced production by assigning his workers distinct tasks, and grew sales by investing in shops to market his pottery.

2. Robert Owen. Robert Owen, a textile manufacturer, modernized his equipment, improved working conditions, and instituted policies of communal regulation to improve the education, productivity, and morals of his cotton workers at New Lanark, a model mill that thousands of curious observers would visit.

F. The Wages of Progress

Industrialization generated both great wealth and great distress in Great Britain. Factory production and urbanization encouraged social reform movements, resulting in a series of bills—the Factory Act (1833), Ten Hours Act (1847), Mines Act (1842), and Public Health Act...
(1848)—that sought to regulate child labor, housing, and sanitation, and control epidemics. Population increased as workers married at earlier ages.

1. The Expansion of Wealth. Industrialization increased wealth, but it did not necessarily lead to a higher standard of living. Per capita income actually dropped after 1730. Real wages did not start to rise again around 1820. Still, trade depressions, unequal distributions of wealth, and social dislocation often contributed to economic prosperity and uncertainty. By the second half of the Industrial Revolution, however, life was getting better.

2. Social Costs. The economic integrity of the family declined as the individual now emerged as the basic unit of labor. Strict factory rules and cash payments imposed new forms of discipline on the work force. Society was now increasingly polarized between capital and labor. A new way of life emerged as the middle class abandoned cities for the suburbs and the conditions of the inner city deteriorated. Understandably, interaction between the social classes declined markedly.

IV. THE INDUSTRIALIZATION OF THE CONTINENT

Continental European nations, learning from Britain's industrial experiences, skipped some of the painful steps of early industrialization, but they did not slavishly imitate Britain. Unable to compete successfully against British goods, Continental manufacturers focused on domestic markets where tariffs could give an advantage to domestic manufacturers. Continental governments often subsidized railroad construction and other capital-intensive industries. Industrialization proceeded slowly in France. The lack of political unity complicated German industrial development. Although Spain, Italy, eastern Europe, and Austria utilized foreign machinery and manufacturing techniques, they continued to favor agriculture over industry. Eastern European nations meanwhile experienced regional industrialization.

A. France: Industrialization Without Revolution

French industry grew slowly and steadily. French manufacturers relied on skilled craftsmen to produce smaller production runs of higher quality luxury products.

1. Slow Growth. France’s relatively moderate population growth encouraged French peasants to maintain traditional agricultural methods, allowing them both to provision the nation and to retain their rural existence.

2. The Impact of the French Revolution. Forced by military defeats during the French Revolutionary wars to withdraw from world trade, post-Revolutionary French governments sought to bolster the economy with protective tariffs and to increase the peasants' possession of land. France therefore did not have a large number of displaced workers who were available for factory work.

3. Stages of Industrial Progress. French manufacturing remained primarily a family
concern. Thus, factories were small and workers applied traditional production techniques. Protectionism and the slow pace of economic transformation insulated French society from some of the worst dislocations and problems of industrialism. The regionalism and subsistence production that characterized the French economy impeded large-scale industrial growth until the construction of national railways in the mid-nineteenth century.

B. Germany: Industrialization and Union

The German empire's numerous political divisions impeded industrial growth and depressed the economies of manufacturing regions such as Saxony, Silesia, and the Rhineland, as each state wanted to preserve its traditional privileges, laws, and customs, and to exclude the products of others.

1. Agriculture. Germany was agriculturally diverse. Farmland use varied from animal husbandry in Bavaria and the Alps to the fertile grain-production in the Rhineland. Serfs still existed in eastern Germany while free farmers were found in the western regions. Throughout Germany mobility was limited and farmers continued to practice traditional farming methods. Linen was a key export from Silesia and Saxony, but in general Germany did not actively pursue foreign markets. Political subdivisions were too large a barrier to overcome.

2. The Zollverein. The customs union, or Zollverein, that Prussia established in 1834 encouraged the various German states to establish uniform trading regulations and permitted them to take advantage of their diverse natural resources. While benefiting Prussia politically, the Zollverein also laid the groundwork for the railroad network that united German markets and facilitated industrialization.

C. The Lands That Time Forgot

The Netherlands, Spain, Russia, Austria-Hungary, the Italian peninsula, and Poland experienced little industrial progress. Shortages of raw materials and an underdeveloped transportation system contributed to these regions' slow development. Their social structure and commercial policies discouraged innovation. Subsistence farming continued to absorb the bulk of labor and capital without producing an agricultural surplus that would free workers for industrial employment. Excessive tariffs isolated their markets without protecting them. Unable to compete with the industrialized nations, these countries became exporters of raw materials and foodstuffs and fell farther and farther behind economically.

CONCLUSION

Industrialization freed people from many of the vagaries of life as manufacturing became an increasingly dominant economic activity. Sustained population growth, higher standards of living, urbanization, and industrial production were enduring hallmarks of a complex process in which Britain took the lead. But, industrialization also led to imperialism and an intensive arms
race—areas of international rivalry that ultimately led to the First World War.

**KEY TERMS, PEOPLE, AND EVENTS**

- meadow floating
- cottage industry
- Thomas Newcomen
- four-course rotation
- Abraham Darby
- pudding and rolling
- "safe boxes"
- Eli Whitney
- Josiah Wedgwood
- John Kay
- Ten Hours Act
- Matthew Boulton

- Agricultural Revolution
- putting-out system
- Richard Arkwright
- flying shuttle
- Robert Owen
- Factory Act of 1833
- Junkers
- Navigation Acts
- open-field farming
- enclosure
- James Watt
- pig iron
- jenny
- water frame
- Luddites
- George Stephenson
- Public Health Act
- Zollverein
- John Wilkerson

**NEW GEOGRAPHICAL LOCATIONS**

- Greenwich
- Rhineland
- Catalonia
- Tuscany
- Manchester
- Ruhr
- Glasgow
- Hanover
- Liverpool
- Saxony
- Lombardy
- Birmingham

**DISCUSSION AND ESSAY QUESTIONS**

1. The authors note that "the Agricultural Revolution was not an event, and it did not happen suddenly." Yet they also argue that this prolonged process deserves the label "revolution." Discuss the "revolutionary" nature of agrarian change in Europe from the eighteenth century. In what sense did agrarian reform constitute revolution?

2. Discuss the changes that accompanied the industrial transformation of Britain's textile industry from ca. 1750 to 1850. What role did technological innovation play in this process? In what ways did new technologies change the daily life of textile workers?

3. Historians disagree as to the benefits of the Industrial Revolution for the British worker. Discuss the benefits and the problems of industrialization. Overall, did the benefits outweigh the disadvantages?

4. Compare and contrast the role of the state in the process of industrialization in Britain, France, and Germany. Where was state involvement strongest, and why?

5. Engels, criticizing the shanty towns of the industrial revolution, complained, “in such dwellings only a physically degenerate race, robbed of all humanity, degraded, reduced
morally and physically to bestiality, could feel comfortable and at home.” What did he find to criticize about the living conditions of the nineteenth-century industrial worker?

6. Who made the greatest contributions to the Industrial Revolution—the workers, the inventors, the financiers, or the factory managers?

7. Explain the failure of some nations (e.g., Austria-Hungary and Russia) to industrialize.

RELEVANT TRANSPARENCIES AND MAPS

Danzer's Discovering Western Civilization Through Maps and Views

S61: View of an Arsenal
S62: Plan of a Sugar Plantation
S63: Plan of Manchester
S64: Railroads in the Countryside
S65: The Development of the Zollverein
S71: Industrial Production, 1870–1880

STUDENT MAP EXERCISES

Danzer's Mapping Western Civilization
T23: Early Modern Times: A Chronological Context
T24: Europe in 1810 A.D.
T25: European Industrialization, c. 1850 A.D.
T29: Modern Europe: A Chronological Perspective

ANNOTATED FILM LIST

The Agrarian Revolution
23 min; color; 1979
16mm CC2940,16

One of the rare films examining the crucial shifts in agriculture that set the stage for England's emergence as the world's industrial pioneer. Presents the role of individual inventions, the impact of the Enclosure Acts, and the development of new techniques of agriculture. Intended for a high school audience.

Triumph of the West: 9—Monuments to Progress
53 min; color; 1985
½ VHS 50946,VH
Investigates the social, economic, and cultural changes that resulted from the Industrial Revolution.

*Civilization: Heroic Materialism*
55 min; color; 1971
16mm CC2143,16

A lively examination of the industrial society of the nineteenth and early twentieth centuries featuring painting, music, and the new art of photography. Considers the many facets of the social crisis brought on by the parallel growth of industry and the new industrial cities. Features the primitivism of Leo Tolstoy as the response to the horrors of modern life.

*The Crystal Year*
30 min; b&w; 1965
16mm CC1676,16

An examination of England at the mid-way point of the nineteenth century. Uses the Crystal Palace industrial exhibit as a symbol of Victorian society's apparent stability. Examines such forces as Marxism that were soon to push for drastic change.

*The Industrial Revolution*
37 min; color; 1984

Examines the major stages of the Industrial Revolution in Britain.

*The Industrial Revolution and the Industrial World*
30 min; 2 parts; color; 1989

Looks at the changes that took place in technology, communications, agriculture, and industry during the nineteenth century.

*England—Industrial Empire*
17 min; color; 1964
16mm

Investigates the diversity of the British economy—mines, industry, and trade.

*The Tragedy of the Commons*
25 min; color; 1971
16mm

Historical example of farmers sharing the benefits, but not the responsibilities, of the commons.

*Working Lives*
20 min; color
Covers the social and economic changes that occurred in Europe from 1750 to 1850.  
*The Railway Age*  
20 min; color

Investigates the economic and social consequences of the construction of railroads.  

*The Growth of Towns and Cities*  
20 min; color

Looks at the changing landscape of the modern industrialized city and the problems which urban areas had with crime, disease, and overcrowding.  

*The Industrial Revolution*  
30 min; 2 pts; color; 1989

Looks at the changes that took place in technology, communications, agriculture, and industrial production during the nineteenth century.  

*Britain 1750–1900: Expansion, Trade and Industry*  
CD-ROM

Shows the social, political, and religious changes that England experienced during the Industrial Revolution.
Chapter 22

Political Upheavals and Social Transformations, 1815–1850

I. THE VISUAL RECORD: POTATO POLITICS

The Europeans were introduced to the potato in the late sixteenth century. It quickly became a favorite of the poor because the vegetable required little land to support a family and it provided most of the nutrients necessary for life. Yet over-reliance on a single crop had devastating consequences. In Ireland this problem took an especially extreme form in the potato famine. As Irish farmers had increasingly relied upon this single crop, the effect was particularly devastating when a potato blight struck in 1845, reducing the Irish population by nearly 25 percent in five years.

II. GEOGRAPHICAL TOUR: EUROPE IN 1815

Following the Napoleonic wars, the leaders of Prussia, Austria, Russia, France, and Britain met at Vienna to redraw European boundaries so as to ensure political stability. Delegates at Vienna were able to draft a peace treaty that gave Europe general peace for almost a century.

A. The Congress of Vienna

Delegates met in Vienna in 1814 to negotiate a treaty that would reestablish peace and order after the disruptive Napoleonic wars. Austria's Prince Klemens von Metternich, Britain's Viscount Castlereagh, France's Charles Maurice de Talleyrand, Russia's Tsar Alexander I, and Prussia's King Frederick William III dominated the Congress of Vienna, which first convened in September 1814.

1. Settling with France. Unwilling to burden the restored French king, Louis XVIII, with the consequences of a punitive peace, the allies were very lenient in their demands of France. In the Second Peace of Paris, France returned to its 1790 borders, paid a 700 million franc indemnity, and suffered a short period of military occupation.

2. New Territorial Arrangements. Britain and Austria were concerned with restraining Russian and Prussian territorial ambitions while containing France. The Kingdom of the Netherlands, Sardinia-Piedmont, Austrian territories in Italy, and the German Confederation served as bulwarks against future French aggression. Competing Russian and Prussian interests made the issue of Poland problematic, but Talleyrand solved this long-standing problem. Prussia
retained Posen, Austria retained Galicia, Krakow gained independence, and the kingdom of Poland emerged theoretically autonomous from Russia. Prussia gained substantial lands from the Polish negotiations, but lacked geographical unity. Russia meanwhile acquired Finland; Sweden received Norway. Britain gained no territory in Europe and actually returned the colonies it had seized from France during the wars.

B. The Alliance System

Two alliance systems were developed to protect the settlement at Vienna. The Quadruple Alliance of Austria, Britain, Prussia, and Russia pledged to protect Europe from future French expansion. This alliance became the Quintuple Alliance with the addition of France in 1818. The Holy Alliance, engineered by Alexander I, pledged that Prussia, Austria, and Russia would renounce warfare and advance the interests of Christianity. In addition to the various diplomatic alliances, the major powers agreed to meet regularly to discuss European affairs. The major powers tried to preserve the peace by restoring legitimate political leaders and maintaining a balance of power among European states.

III. THE NEW IDEOLOGIES

The political, economic, and social changes that the French Revolution and the Industrial Revolution introduced encouraged Europeans to embrace new ideologies that claimed to be able to explain the changes that were taking place. Liberalism, nationalism, romanticism, conservatism, and socialism revolutionized and energized the intellectual scene.

A. The New Politics of Preserving Order

Revolutionary armies, but not revolutionary ideals, were defeated with Napoleon. In the period after 1815 political theorists sought different routes to stability and wanted answers to the conflict between individual freedom and authority of the state.

1. Conservatism. Conservatives emphasized the importance of tradition, common values, and slow growth in addressing the political, social, and economic changes that Europe was then experiencing. Led by the English politician Edmund Burke in the 1790s, conservatives maintained a firm belief in the benefits of evolutionary change and the importance of an organic social order. Louis de Bonald and Joseph de Maistre were strong supporters of monarchical government. Metternich epitomized the more reactionary manifestation of conservatism by enforcing the Carlsbad Decrees of 1819, which closed fraternities and imposed censorship and espionage at German universities to regulate nationalistic ideology and activity.

2. Liberalism. Belief in the freedom of the individual and in the tendency of authorities to be corrupt underlay liberalism. Liberals fought for individual civil liberties, the extension of the franchise, legal equality, *laissez-faire*, the end of slavery, and constitutional government. Jeremy Bentham's utilitarianism accepted the need for government intervention to pursue the “greatest
happiness of the greatest number of people.” The classical liberal John Stuart Mill advanced both women's and individual rights while encouraging the government to help the poor. David Ricardo, on the other hand, opposed government intervention on behalf of the poor because the “iron law of wages” would keep workers’ wages at the subsistence level and any effort to raise wages would simply cause a population increase.

B. Romanticism and Change

Both liberals and conservatives took advantage of the literary and artistic movement of romanticism.

1. The Romantic World View. Rejecting the highly structured classical style, romanticism emphasized the centrality of human emotions.

2. Intellectuals, Artists, and Freedom. Building on the work of the eighteenth-century philosopher Immanuel Kant, romanticism embraced subjective knowledge, creativity, feelings, spontaneity, and intuition. A conviction in the supreme value of human freedom and a recognition of the importance of the individual underpinned the romantics’ concept of knowledge. Art, music, philosophy, and literature alike benefited from the inspiration of romanticism.

C. Reshaping State and Society

Nationalism was as a key ideology in the period. Now, theorists suggested that the “nation” should be the center of unity and loyalty. Socialists were more concerned about the needs of the poor.

1. Nationalism. Before 1850 nationalism romanticized a united people fighting against absolute kings and foreign tyrants. Nationalism captured the imagination of those who resented foreign domination and sought national liberation. Nationalists encouraged the use of vernacular language and encouraged the popularity of folk tales and folk dances. Liberalism and nationalism were closely related in this period as is demonstrated by the politics of the Italian nationalist Giuseppe Mazzini and the economic policies of the German Friedrich List, who believed in economic nationalism and wanted protected tariffs instead of free trade.

2. Socialism. Socialists differed substantially in their goals, but were united in condemning the social and economic changes resulting from industrialism. Henri de Saint-Simon encouraged the establishment of a new society that would emphasize the primacy of the group over the individual and would make productive labor the basis of social status. Pierre Proudhon, hostile to industrial development, urged the restriction of property ownership. He favored instead a cooperative society in which workers benefited from their labor and where a large government did not exist. Charles Fourier envisioned a utopian society where people would work and live together harmoniously in communes called phalanxes. There, people would be rewarded in accordance to their contributions of talent, work, and capital. Socialists disagreed
over the issue of women's rights, however. Some argued for greater freedom for women; other
believed that women's proper place was in the home. Karl Marx and Friedrich Engels
collaborated in their severe criticism of modern industrial society. They argued that the
continuing exploitation of the proletarian workers would inevitably result in a class war that the
industrial proletariat led.

IV. PROTEST AND REVOLUTION

The changes brought about by industrialization, urbanization, and the population explosion
included crime, poverty, and disease. These problems taxed European political and social
institutions, leading to demands for extensive political and economic reform.

A. Causes of Social Instability

Middle-class workers and women initiated waves of protest that swept Europe beginning in the
1820s. Their demands for the franchise and the opportunity to participate in the political process
were often met with force.

1. Urban Miseries. Internal migration led to rapid urban growth. Unemployment, poverty, crime, disease, and prostitution often characterized city life.

2. The “Social Question.” Poverty and urbanization forced European states to intervene increasingly in workers' lives, regulating the workplace and providing relief. Governments took two approaches in dealing with the poor. Some opposed state intervention because they believed that such action would worsen matters. Others claimed that governments were responsible for the care and well-being of their citizens. The division of workers into categories of deserving poor and able-bodied sturdy beggars drove governments to provide relief to the first group and punish the second. Another concern was the exploitation of child workers. Britain took the lead in 1833 by legislating restrictions on child labor, marking the first intervention in the workplace by the British government. At the base of the social question was whether the government was responsible for the care of its poor.

B. The Revolutions of 1830

Poor harvests as well as social and political unrest converged in 1830, sparking revolutions
throughout much of Europe. The “Peterloo massacre” in Britain illustrates the force
governments employed to deny popular democracy. Mutual aid societies along with secret organizations in many European nations remained active proponents of revolutionary political and social change.

1. The French Revolution of 1830. In France, Charles X's efforts to restore absolutism by realigning the monarchy with the Catholic church antagonized the liberal French bourgeoisie at a time when workers were plagued by high food prices. After the liberals won an electoral victory,
Charles X issued the Four Ordinances, voiding the recent election, modifying electoral laws, and censoring the press. Workers took their grievances to the streets in July 1830, forcing Charles X to flee to England. Liberal politicians soon assumed the leadership of the movement, making Louis-Philippe the new constitutional monarch. The July Monarchy of Louis-Philippe nearly doubled the franchise, but it was still limited to property owners.

2. Unrest in Europe. Britain, Switzerland and several German states saw popular disturbances, but avoided rebellion. In the 1827 Treaty of London, Britain, France, and Russia promised aid to Greek rebels. Their military intervention against the Ottoman Empire followed, securing Greek independence. The French, British and Russians intervened because of their desire for political stability, not because of a desire to endorse Greek nationalism or liberalism. Nevertheless, they were able to secure Greek independence.

3. Belgian Independence. Belgian patriots, inspired by the French revolution of 1830, succeeded in overthrowing their Dutch rulers. The Great Powers, uncertain about what to do with Belgium, finally recognized Belgium as an independent and neutral nation. Russian troops crushed the Polish bid for independence. Italian nationalists in Modena and Parma made an unsuccessful bid to drive out the Austrians in early 1831. The Revolutions of 1830 strained relations between the Great Powers by testing their commitment to a European balance of power and stability in an age of extensive domestic instability. These revolutions further demonstrated the Great Powers’ increasing willingness to compromise or to use force to crush revolution. The revolts raised the political awareness of all people, regardless of their social rank, and showed the impact of foreign affairs on domestic politics.

C. Reform in Great Britain

There was little support for universal manhood suffrage outside of Switzerland as most political leaders believed that wealthy property owners were best qualified to serve as political leaders.

1. The Rule of the Landed. In the early nineteenth century industrialization led to urbanization and the depopulation of the countryside. Wealthy landowners dominated a political system that was becoming increasingly unrepresentative. The moderate Great Reform Bill of 1832 enfranchised most of the British middle class while increasing the political representation of the new industrial towns. It also made possible social reforms, increased the importance of political parties, and fed the growing demand for democratic government.

2. The Chartist Movement. Workers and their radical leaders, disillusioned by the limited scope of the 1832 bill, pushed for extensive political reform. Labor leaders initiated the Chartist movement which advocated universal manhood suffrage; the secret ballot; the elimination of property qualifications for public office; equal electoral districts; and annual elections of Parliament. Workers warmly embraced Chartism; but, the government responded to this new form of radical protest with a show of police force. Parliament successfully resisted the Chartist movement and it faded after 1848.
D. Workers Unite

The word “proletariat” identified poor, unskilled workers.

1. Luddism. Skilled workers were determined to protect their economic privileges by adopting new forms of labor organization or, like the Luddites, destroying the new machinery. The destruction was witnessed throughout Europe. French artisans adopted socialism and agitated for the creation of a democratic republic in a series of uprisings and strikes that lasted from 1831 to 1834. Government repression drove the workers' secret societies underground, but failed to eliminate them.

2. Women in the Work Force. Trade unions contested both the authority of the state and the rights of women to engage in industrial work. Industrialists often relied on female workers who subcontracted to do industrial work in their homes. Low overhead and piece-rate salaries made their “sweated labor” inexpensive. French labor leader Flora Tristan believed that women's only hope of emancipation lay in education and unionization and in joining with men in a common cause to secure political rights for all. Yet, antagonism between male and female workers added to the mounting unrest and few working women became politically active.

E. Revolutions Across Europe, 1848–1850

The year 1848 saw revolutionary activity throughout Europe. Subsistence crises, widespread unemployment, and demands for political participation combined to ignite a year of revolutions. A subsistence crisis in 1846 led to a more widespread economic disaster two years later. Nationalism and desires for liberation also fed revolutionary fervor, particularly in eastern Europe.

1. France Leads the Way. Bourgeois reformers in Paris held “banquets” to circumvent government dictates against political speeches. Parisian workers took to the street to protest the prohibition of banquets in February 1848 and ended by toppling King Louis-Philippe and proclaiming the Second Republic. Bourgeois reformers led the new Provisional Government, but workers committed to the right to work wanted a social revolution instead. Unsuccessful in fending off workers' demands with its “national workshops,” which provided jobs to the unemployed, the government suppressed an insurrection of armed workers in June when the military dictatorship of Cavaignac restored order in the capital.

2. Revolutions in Central and Eastern Europe. The French Revolution of 1848 inspired efforts in the German states to create a united Germany with a constitutional government. The Frankfurt Assembly convened in May to draft a constitution for a united Germany. The fate of non-Germanic people living outside of German lands and the future of Germans living in Austria complicated debates. Ultimately the assembly decided to have a “little Germany.” The Frankfurt Assembly collapsed, however, when Prussia's Friedrich Wilhelm IV refused to serve as the German king. In Austria, Emperor Ferdinand I faced revolts in Vienna, Prague, and Budapest. The Magyars briefly gained Hungarian independence while Czechs struggled unsuccessfully for self-rule in Prague. Ferdinand I abdicated in favor of Franz Joseph.
3. Italian Nationalism. Italian nationalists also contested Austrian dominion. Mazzini and Garibaldi briefly made Rome an independent republic in February 1849. Regional rivalries, the absence of a single individual to lead the Italians toward unification, and French military intervention thwarted the move toward a united Italy. Conservative forces soon rallied, crushing the revolutionary movement and restoring Habsburg control.

4. Europe in 1850. Hapsburg armies squashed Prussian efforts to create a united Germany. Everywhere soldiers and diplomats worked to defeat the revolutions. The Revolutions of 1848 marked an irreparable split between liberals and radical democrats. As the conservative forces regained control over political institutions, they withdrew their constitutions and rejected liberalism, socialism, and romanticism. Property owners, who remained in control of political institutions throughout Europe, were willing to accept repressive governments as the price of order and stability. What is particularly amazing about the Revolutions of 1848 is how few changes occurred.

CONCLUSION

Although the rebels failed to achieve their democratic, nationalist, and republican ends in 1848, they left a lasting mark on European politics. Realism, repressive government, and intervention became central aspects of statecraft in the decades that followed and marked the beginning of modern politics.

KEY TERMS, PEOPLE, AND EVENTS

<table>
<thead>
<tr>
<th>Congress of Vienna</th>
<th>Castlereagh</th>
<th>Louis XVIII</th>
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<tr>
<td>Second Peace of Paris</td>
<td>Talleyrand</td>
<td>Alexander I</td>
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<td>Frederick William III</td>
<td>Pius VII</td>
<td>German Confederation</td>
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<td>Quadruple Alliance</td>
<td>Holy Alliance</td>
<td>&quot;social question&quot;</td>
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<td>John Stuart Mill</td>
<td>David Ricardo</td>
<td>iron law of wages</td>
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<td>Nationalism</td>
<td>Liberalism</td>
<td>Friedrich List</td>
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<td>Romanticism</td>
<td>Victor Hugo</td>
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<td>Louis Kossuth</td>
<td>Conservatism</td>
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<td>Saint-Simon</td>
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<td>Phalanxes</td>
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<td>July Monarchy</td>
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<td>Treaty of London (1827)</td>
<td>Young Italy</td>
<td>Mazzini</td>
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<td>Rotten/pocket boroughs</td>
<td>Great Reform Bill of 1832</td>
<td>Chartism</td>
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<td>Proletariat</td>
<td>&quot;sweated labor&quot;</td>
<td>Louis Napoleon</td>
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<td>Provisional Government</td>
<td>Louis Blanc</td>
<td>national workshops</td>
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<td>Frankfurt Assembly</td>
<td>Factory Act of 1833</td>
<td>Carlsbad decrees</td>
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<td>Immanuel Kant</td>
<td>Jeremy Bentham</td>
<td>Lajos Kossuth</td>
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<tr>
<td>&quot;banquet&quot; campaign</td>
<td>Young Italy</td>
<td>Giuseppe Garibaldi</td>
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<tr>
<td>Luddism</td>
<td>Luxembourg Commission</td>
<td>Red Shirts</td>
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Charles Albert  Giuseppe Mazzini  Friedrich Wilhelm IV
Franz Josef  “humiliation of Olmutz”  utilitarianism

NEW GEOGRAPHICAL LOCATIONS

Kingdom of Netherlands  Piedmont-Sardinia  German Confederation
Congress Poland  Chios  Swedish Pomerania
Romania  Frankfurt  Savoy
Nice  Berlin  Genoa
Galicia  Posen  Krakow
Dublin  Budapest  Prague
Baden  Hesse-Darmstadt  Württemberg
Hanover  Schleswig  Holstein
Kingdom of Two Sicilies  Piedmont  Tuscany

DISCUSSION AND ESSAY QUESTIONS

1. Discuss the goals, strategies, and consequences of the Congress of Vienna. Did the Congress and the alliance system it created restore the pre-revolutionary order in Europe or create a new balance of power?

2. Discuss the relationship between liberalism and nationalism in the early nineteenth century. Did liberalism and nationalism derive their inspiration from similar or different economic and political sources in this period?

3. Explain middle-class conceptions of liberty and political rights. How did social and economic experiences lend different meanings to this political concept for the two groups in this period?

4. Compare the causes and results of the 1830 Revolutions with those of 1848.

5. Compare the political goals of liberals, conservatives, and socialists.

RELEVANT TRANSPARENCIES AND MAPS

Danzer's Discovering Western Civilization Through Maps and Views

S64: Railroads in the Countryside
S65: The Development of the Zollverein
S66: Paris: The Barricades of 1848
RELEVANT STUDENT MAP EXERCISES

Danzer's *Mapping Western Civilization*

T24: Europe in 1810 A.D.
T29: Modern Europe: A Chronological Perspective

ANNOTATED FILM LIST

*Civilization: The Fallacies of Hope*
53 min; color; 1971; 16mm CC2142,16

Shows how the enthusiasm and high expectations of many Europeans following 1789 faded as the new century turned out to be an era of warfare and political repression. Examines the post-1815 turn toward Romanticism.

*Utopias*
26 min; color; 1984; ½ VHS

Considers the role of utopian thought in Western society since Plato. Depicts the way in which the Industrial Revolution gave new impetus to utopian thinking and the effort to form utopian communities. Presents the role of Marx, along with Robert Owen, St. Simon, and Fourier.

*The Victorian Era*
35 min; color; 1984

Explores the political and social changes in nineteenth-century Britain.

*Age of Revolutions (1776–1848)*
26 min; color; 1989

Investigates the spread of revolution from the American Revolution to the series of revolts in 1848. Looks especially at the influence of Napoleon and Karl Marx.

*When Ireland Starved*
26 min; color; 1992

Provides eyewitness accounts of the effects of the Irish Potato Famine.

*Managing the Famine*
26 min; color; 1992
Explores the actions of the British government in dealing with the problems of the Irish famine and reveals what the British failed to do on behalf of the starving Irish.

*Early Victorian London: 1837–1870*
Investigates Victorian London—from the slums to the Crystal Palace at the 1851 Exposition.
Chapter 23

State Building and Social Change in Europe, 1850–1871

I. THE VISUAL RECORD: THE BIRTH OF THE GERMAN EMPIRE

Otto von Bismarck played a crucial role in unifying Germany through diplomacy and war. The announcement of the creation of the Second German Reich in the Hall of Mirrors at Versailles furthered the humiliation of the French who had been soundly defeated in battle in only six weeks. Conservatism and military might accomplished what liberalism and democracy had failed to achieve.

II. BUILDING NATIONS: THE POLITICS OF UNIFICATION

Pragmatic conservative statesmen filled the political scene after the Revolutions of 1848 failed to satisfy nationalistic aspirations. In the 1850s and 1860s statesmen recognized the importance of centralized political authority and domestic reform.

A. The Crimean War

Russian intervention ended the 1848 Revolutions. Russia intended to extend its power into the Balkans, controlling the Bosporus and Dardanelles to gain access to the Mediterranean Sea.

1. The Eastern Question. The Great Powers (Britain, France, Russia, Austria, and Prussia) anticipated territorial gains following the collapse of the Ottoman Empire. Russia announced its intention to protect Orthodox Christians within the Ottoman Empire, thereby justifying its invasion of the Danubian Principalities in 1853. The Russian naval victory over the Turks at Sinope brought Britain, France, Piedmont-Sardinia, and Ottoman Empire into an alliance that forced Russia to accept defeat in 1856. Few territories changed hands in the Peace of Paris of 1856, but the Crimean War had enduring consequences nonetheless. The Black Sea was neutralized as the Ottomans regained control of the mouth of the Danube. Five years later the Danubian Principalities became Rumania.

2. The Human Costs of the War. Diseases like cholera and typhoid and lack of sanitation contributed to the death of some 750,000 men. Florence Nightingale’s medical reforms saved numerous lives, but her efforts were undone by incompetent military leadership. The most noteworthy example of which is the Charge of the Light Brigade. Russian withdrawal from western European politics followed the Crimean War. This power vacuum permitted Prussia to
emerge as a major international player. The Crimean War also marked the end of the Concert of Europe.

B. Unifying Italy

The *Risorgimento* movement to unify Italy faced stiff Austrian opposition after 1848..

1. Cavour’s Political Realism. Camillo Cavour succeeded in unifying Italy through bold diplomatic and military initiatives and the strategic employment of plebiscites. Cavour’s progressive reforms and his alliance with France strengthened Sardinia's domestic politics and its diplomatic status. With French aid, Cavour added Lombardy to Piedmont, and then placed Tuscany, Parma, Romagna, and Modena under Piedmont's rule. Meanwhile, Garibaldi’s Red Shirts were taking over Sicily and southern Italy. Cavour led Sardinia’s army in its invasion of the Papal States before annexing southern Italy.

2. A King for a United Italy. Garibaldi transferred the lands he had conquered in southern Italy to Sardinia-Piedmont. Italy secured Venetia in 1866 and Rome in 1870, completing the unification of Italy, which King Victor Emmanuel II would rule until his death in 1878.

C. Unifying Germany

Otto von Bismarck, master of *Realpolitik* (the notion that any means justifies its political end), won aristocratic support for German unification. He pursued unification as a means of enhancing Prussian power.

1. Prussia’s Seven Weeks’ War with Austria. Bismarck continually undermined Austrian influence in Germany. Determined to advance his political goals with military force, Bismarck precipitated the Seven Weeks’ War of 1866 with Austria over the administration of Schleswig and Holstein. Prussia quickly defeated Austria, but did not penalize her in the peace that followed. Austria then withdrew from German politics and focused on its own domestic problems. In 1867, the Austrian Emperor assumed the additional title of King of Hungary to assuage the aspirations of Hungarian nationalists. Ethnic unrest within the empire continued, however.

2. The Franco-Prussian War. Bismarck's desire to bring the south German states under Prussian control led him to provoke war with France. His manipulation of the Ems Dispatch created the notion that the French ambassador had insulted the Prussian king during negotiations over the succession to the Spanish throne. This led to war between France and Prussia in 1870. The Prussian army soon defeated the French by advantageously employing the railways and their technological and numerical superiority. The unification of Germany followed.

3. Prussian Dominance of United Germany. Its new constitution granted Germans the external trappings of democratic politics with universal male suffrage and a national assembly, or Reichstag, but real power rested with the emperor and his chancellor, aided by the state
bureaucracy.

D. The United States: Civil War and Reunification

The Northern victory in the United States Civil War and subsequent westward expansion gave the United States the benefits of a single national market without internal barriers, as well as a single financial system, achievements that Germany and Italy had secured with their unification. These developments facilitated rapid industrial growth in Germany and the United States.

E. Nationalism and Force

From 1850 to 1870 statesmen used symbols and language to personify the nation-state, giving it unique vitality, unity, and personality, making it the ultimate source of authority. They further demonstrated how the use of force could further national goals by validating political ideologies and offering a ready alternative to traditional diplomacy.

III. REFORMING EUROPEAN SOCIETY

Although the Revolutions of 1848 had failed, European rulers recognized that social and political reform were required to secure social stability and economic prosperity. Europeans saw three different models of reform develop after 1850 in Britain, France, and Russia. Despite their innate differences, these states agreed on the necessity of progress and the state’s responsibility for it.

A. The Second Empire in France, 1852–1870

In France, Emperor Napoleon III relied on specialized civil servants, central administrators, and on the support of liberals to secure reforms.

1. Napoleon III. Napoleon III introduced a new system of private banking, and undertook extensive railroad construction. French industry expanded substantially as the French economy prospered. Living standards increased. Clearly there was substance beneath the glitter of Napoleon III’s reign.

2. Rebuilding Paris. Napoleon III’s Baron Georges Haussman rebuilt and beautified Paris. His urban renewal projects pushed the poor to the suburbs, leaving the center of the city to the French bourgeoisie. A revitalized Paris became renowned for straight, wide boulevards, public parks, monuments, gardens, and modern sewers. A more conservative element took over the city.

3. The Foreign Policy of the Second Empire. French engineers constructed the Suez Canal, which linked the Mediterranean and the Red Seas. Napoleon III sought to return France to a preeminent position in European affairs by intervention in the Crimean War, in Italian
unification, and in Mexico. Failure to support the regime of Maximilian over Benito Juarez in Mexico revealed French political and military weakness, but inspired a wave of military, political, and economic reforms. The disastrous Franco-Prussian War of 1870-71 brought the Second Empire to an end.

B. Victorian Political Reforms

Britain’s model of reform relied on a liberal parliamentary democracy that sought to balance liberty and protection, and on amateurs who oversaw reform efforts at the local level. A broadening electorate elected Parliaments that were responsible for these reforms.

1. Parliamentary Reforms. Britain escaped the social and political revolutions that visited most of Europe at mid-century because of an expanding capitalist economy. Nevertheless, the British government faced problems of poverty, disease, famine, and inadequate housing. Britons, however, shared a political tradition of individual liberty, which Parliament utilized to had caused and to reconcile the interests of capitalists and workers and preserve social stability while resolving the problems that rapid industrialization. Reform Bills in 1832 and 1867 gradually extended male suffrage, though women remained disenfranchised until after the First World War.

2. Gladstone and Disraeli. The careers of two prime ministers, the liberal William Gladstone and the conservative Benjamin Disraeli, illustrate this period of parliamentary compromise. Gladstone's reforms, which included free trade, lower taxes, the disestablishment of the church of England in Ireland, reductions in military spending, universal elementary education, the introduction of the secret ballot, and military and civil service reform, advanced the interests of the bourgeoisie. Disraeli's political philosophy encouraged state intervention to help the poor and disadvantaged, a tendency reflected in his support for the Factory Act of 1875, the Artisans Dwelling Act, the Trade Union Act, and the Public Health Act. Combining free enterprise with regulation, British political parties ensured British economic prosperity in the latter nineteenth century.

C. Reforming Russia

Russia provides the third model of reform, whereby an autocratic tsar maintained control through a strong bureaucracy and police force. Lacking a parliament, a constitution, and civil liberties, Russia had anachronistic political and economic systems.

1. A Serf-Holding Nation. Nineteenth-century Russia became increasingly aware of its need to abolish serfdom. Yet, although there was a profound moral justification for freeing the serfs, there was an equally profound difficulty in finding a way to compensate owners for their losses and to provide land to the serfs.

2. Alexander II and the Emancipation of the Serfs. After the Crimean War, Alexander II embraced reform, freeing the Russian serfs in 1861 and the Polish serfs in 1864. Ending serfdom did not cure all of Russia's problems, however. Granting land allotments to the village commune, or mir, in return for redemption payments, the czar perpetuated the peasantry's
bondage to the soil while failing to modernize Russian agriculture. Resentment among the peasantry grew.

3. The Great Reforms. Emancipation strengthened the Russian bureaucracy and banks. Alexander III reformed the military, reducing terms of military service and created the *zemstvos*, or elected local assemblies. Innovations in education, health, welfare, and justice followed. But, he still failed to quiet his critics, radical intellectuals who traveled around the country encouraging dissent.

4. The Populist Movement. Intellectuals, dissatisfied with the extent of the Great Reforms, incited unrest among Russian peasants. The so-called “Will of the People” terrorists argued that violence was the only answer to autocracy. Attempts at assassination only succeeded in convincing Alexander to end his reform efforts. The assassins finally succeeded in killing the tsar in 1881.

D. The Politics of Leadership

In the latter half of the nineteenth century a new breed of political leader emerged. The new leader, represented by Cavour, Bismarck, and Napoleon III, was more realistic and less moral in his politics.

1. The Demise of Royal Authority. Popular acceptance of divine right of kings had faded by the mid-nineteenth century as notions of popular sovereignty had become more widespread. Realists understood that public opinion had become important factors in influencing policy decisions and the press had become important in influencing popular opinion.

2. The Supremacy of the Nation-State. With *Realpolitik* the interest of the nation-state became the primary consideration. National needs superseded morality. No single ideological viewpoint gained the support of all of Europe's leaders. Rather these political leaders were pragmatic, immoral, and opportunistic individuals who were not averse to taking risks as long as the nation benefited.

IV. CHANGING VALUES AND THE FORCE OF NEW IDEAS

The intellectual and cultural changes accompanied the transformation of material life in the later nineteenth century were both influential and disorienting. Charles Darwin’s new ideas about science and Karl Marx’s unique perspective on society profoundly altered traditional ways of thinking.

A. The Politics of Homemaking

Domestic life acquired new meaning and power in the nineteenth century, as it became a symbolic—if not a real—haven from the stresses of the industrial workplace.
1. Women’s Place. Middle class wives ruled the home, where they employed business
concepts of “home economics” to provide their husbands with a clean, well-managed home.
Order, economy, and hard work were especially prized domestic virtues.

2. Working-Class Wives and Mothers. Not all families, however, subscribed to the new
domestic ideology, which was largely aimed at middle-class families. Despite the popular
rhetoric surrounding domesticity, working-class wives regularly engaged in industrial activities
as their families’ survival often relied upon the additional income secured in these activities.

3. Troubles at Home. When rates of illegitimacy and sexually transmitted diseases
increased, critics blamed working women. Some women rejected the criticism and the social
constraints, however, as support for women’s rights began to spread through the female
population.

B. Realism in the Arts

Realism rejected romanticism and the idealized and subjective values of the arts, and illuminated
the alienation and disillusionment of modern society.

1. The Social World of the Artist. Artists used ordinary working people and the poor as
subjects in an effort to portray the harsh reality of nineteenth-century life and make a
commentary on contemporary society. Gustav Courbet, Jean-Francois Millet, and Honoré
Daumier were early realist painters.

2. Realist Novels. Novelists such as Charles Dickens, George Eliot, Gustave Flaubert,
and Fyodor Dostoyevsky sought to employ the realities of modern life to reveal the unjustifiable
self-satisfaction of the middle class, and to question the values of modern society.

3. The New World of Photography. Photography began in 1839 when Louis Daguerre’s
daguerrotypes began to capture images of modern life. Portraits and landscapes were popular
subjects of photographers.

C. Charles Darwin and the New Science

Nineteenth-century scientists synthesized knowledge and developed practical technical
applications of that knowledge. Charles Darwin revolutionized Western conceptions of science
when he published his *Origin of Species* in 1859. His theory of natural selection posited the
evolution of humans through a process of dynamic competition. Notions of struggle and
discipline, Darwin's supporters argued, applied not only to science but to economics, politics, and
social organization, as well.

D. Karl Marx and the Science of Society
Karl Marx and his colleague Friedrich Engels argued that labor and property ownership were the central structural devices of society where the worker was defined only by his or her labor. Marx’s scientific socialism proposed that the injustice of modern society came from the division that existed between the propertied bourgeoisie and the propertyless proletariat.

1. The Class Struggle. The uneven distribution of property ownership was responsible for the class divisions that were found in modern society. Marx’s labor theory of value suggested that despite the fact that the worker produced most of the value of a product, the bourgeois factory owner unfairly expropriated the profit, alienating the worker from his or her work. Revolution, consequently, was imminent as the number of proletariat would continue to grow.

2. Marx’s Legacy. Marx’s critique of capitalism energized the proletariat, encouraging them to unionize, and convinced politicians to take seriously the plight of the industrial worker.

E. A New Revolution?

Napoleon III surrendered to German forces in 1871, but the radical populace of Paris withstood a German siege and proclaimed the Third French Republic.

1. The Siege of Paris. Despite starvation, severe cold, and a prolonged German bombardment the Parisians refused to surrender. Paris held out even after the surrounding French territories had conceded defeat and the newly elected conservative leaders sued for peace. When the new government surrendered, Parisians felt betrayed by their countrymen.

2. The Paris Commune. Efforts to disarm Paris precipitated another siege and led to the establishment of the Commune, in which citizens seized control of the city’s government from March to May 1871. Brutally suppressed, the Commune nonetheless subsequently succeeded in inspiring revolutionary activists throughout Europe. The Commune clearly demonstrated both the power of patriotism and the power of the state.

CONCLUSION

The years from 1850 to 1871 saw the beginning of the modern period with industrial expansion and a process of modernization. The future would apparently depend on a reliance on realism and power.

KEY TERMS, PEOPLE, AND EVENTS

"Eastern Question"  Battle of Sinope  Nicholas I
Crimean War  Alexander II  Florence Nightingale
Peace of Paris (1856)  Cavour  plebiscite
Cult of domesticity  Victor Emmanuel II  Otto von Bismarck
Seven Weeks' War  Karl Marx  Franco-Prussian War
### NEW GEOGRAPHICAL LOCATIONS

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<tr>
<th>Danubian</th>
<th>Principalities</th>
<th>Crimea</th>
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<tr>
<td>Moldavia</td>
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<td>Bessarabia</td>
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<td>Lorraine</td>
<td>Romagna</td>
<td>Nice</td>
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### DISCUSSION AND ESSAY QUESTIONS

1. Compare and contrast the unification of Germany and of Italy. Did the unification of these two countries significantly alter the political landscape of Europe?

2. Discuss the changing notions of domesticity that marked the latter nineteenth century. How did new concepts of domestic life complement new norms of economic life in this period?

3. Frederick Engels argued that, "Just as Darwin discovered the law of development of organic nature, Marx discovered the law of development of human history." Were the "scientific" philosophies of Marx and Darwin compatible or mutually antagonistic?

4. Compare and evaluate the three governmental models of Great Britain, France, and Russia in the post-1850 period. Which was most effective?

5. What was Realpolitik? Evaluate the political leaders after 1850 to determine whether they upheld this ideal.

### RELEVANT TRANSPARENCIES AND MAPS

Danzer's Discovering Western Civilization Through Maps and Views
RELEVANT STUDENT MAP EXERCISES

Danzer's *Mapping Western Civilization*

T26:  Europe in 1871
T29:  Modern Europe: A Chronological Perspective

ANNOTATED FILM LIST

*Marx and Rockefeller on Capitalism*
27 min; color; 1977
16mm CC3211,16

Brilliantly conceived film, permitting a fictional encounter between the great political revolutionary of the nineteenth century and the most important of the industrial empire builders. The two consider the competing virtues of capitalism and socialism, the role of the factory worker, and the characteristics of a just society.

*Early Victorian England*
34 min; color; 1962
16mm

Explores life in Victorian England by using excerpts from novels by Charles Dickens.

*Marxism: The Theory That Split a World*
25 min; color; 1970
16mm CC2338,16

Considers Marxism from its origins to its role in the present-day world. Explains Marx's theories on the nature of history, oppression of factory workers, and the inevitability of a workers' revolution.

*Germany: Feudal States to Unification*
13 min; b&w; 1959
A brief survey of Germany's past from the death of Charlemagne in 814 to the success of Otto von Bismarck in creating a united Germany in 1871. Focuses on the growing role of Prussia within the German-speaking part of Europe starting in the seventeenth century and culminating in the wars of unification (1864-1871). Intended for a high school audience.

**Darwin’s Evolution**  
52 min; color; 1986

James Burke examines Darwin’s evolutionary theories and the development of the notion of Social Darwinism.

**The Unification of Germany**  
33 min; color; 1986

Examines the events that led to German unification, including the resurgence of nationalism and military reform within Prussia.

**The Battle of Solferino: 1859**  
30 min; color

Portrays the events and consequences of a key battle in the drive for Italian unification.
Chapter 24

The Crisis of European Culture, 1871–1914

I. THE VISUAL RECORD: SPEEDING TO THE FUTURE

The late nineteenth and early twentieth centuries witnessed diverse efforts to reshape the cultural mores of the West. Futurist writers and artists sought to introduce a new, allegedly superior culture that emphasized movement and change. Violence, individuality, and irrationality dominated the Futurist vision, which embraced the passions of the masses whose spirit could be neither understood nor controlled. Changes in transportation, communications, science, and technology increased the speed of innovation, transforming people’s traditional views and mores.

II. EUROPEAN ECONOMY AND THE POLITICS OF MASS SOCIETY

Modern industrialization expanded the scale of life dramatically as Britain lost ground to two rising industrial nations—Germany and the United States.

A. Regulating Boom and Bust

Ever larger populations concentrated in cities that grew both in number and in population. Those who remained on farms found themselves tied increasingly closer to the burgeoning cities.

1. The Need for Regulation. The economic depressions that occurred between 1873 and 1895 convinced European statesmen, economists, and capitalists of the need to regulate the economy. Technological advances in agriculture and transportation led to the overproduction of foodstuffs, precipitating cyclical deflation and unemployment. The increasing reliance of European industry on capital-intensive technologies made the economic slumps increasingly difficult for business and banking to tolerate. Investors, moreover, demanded that their capital be protected from loss. This could only be accomplished by abandoning free trade.

2. Cartels. International trusts and cartels, designed to fix prices and regulate markets in heavy industry, emerged on the Continent as a way to deal with economic uncertainty and to tame the business cycle. Continental states also chose to intervene increasingly in domestic economic affairs, creating tariff barriers to protect their manufacturers from foreign competition. Banks formed consortia that set interest rates and regulated the movement of capital. Only the British refused to abandon free trade and attempt to control the economy.
B. Challenging Liberal England

Britain experienced a unique political stability because of the homogeneity of its ruling elite, an outlook that the country’s elitist schools and universities encouraged. Mass democracy began to supplant the emphasis on political individualism and resolving the economic and political demands of the masses.

1. Trade Unions. Britain, therefore, had an enviable state of political stability regardless of which political party was in power. The 1880s saw the emergence of independent working-class politics that would challenge the established political structure. Militant trade union activities increased; once wages stagnated after 1900 workers began to support Labour party candidates rather than the Liberal candidates for whom they had voted in the past. James Keir Hardie led the Labour party in securing twenty-nine Parliamentary seats in 1906. Concern about public housing, urban renewal, and increasing worker benefits came to the fore.

2. Fabian Socialism and Parliamentary Reforms. Intellectuals like Sidney and Beatrice Webb and H. G. Wells advanced the cause of the poor. Calling themselves Fabians, these socialists popularized issues like public housing, public health and sanitation, and better pay for workers. Under pressure from the new Labour party, Liberal politicians, led by David Lloyd George, enacted legislation such as the National Insurance Act of 1911, which provided workers with sickness and unemployment benefits; and the Parliament Bill of 1911, which reduced the political clout of the House of Lords.

3. Extraparliamentary Protest. Although they had been successful in achieving gains for employers, alienated unions became increasingly aggressive in seeking additional concessions. The Trade Unions Act of 1913, permitted labor unions to negotiate with employers. Irish nationalists, suffragettes, and labor strikes continued to concern Parliament until the onset of war in 1914 as mass politics had come to dominate the British political scene.

C. Political Struggles in Germany

In Germany, Bismarck used political alliances to undermine the establishment of a strong parliamentary democracy and to limit the power of the Reichstag. To him, unification was more important than democracy.

1. Bismarck and the German Parliament. Bismarck worked with Liberals to secure a number of domestic reforms, including the codification of law, and the establishment of a railroad network and a banking and monetary system. He also employed the Kulturkampf campaign to undermine the authority of the Catholic church in Germany. The Catholic Center Party emerged as defenders of Catholic interests. In the late 1870s, Bismarck reached an agreement with Pope Leo XIII to end the Kulturkampf campaign at least in part due to his growing concern about the rising power of the liberal party.

2. The Social Democratic Party. Bismarck secured the enactment of the Anti-Socialist
Law (1878) to suppress the Marxist Social Democrat Party. Economic prosperity convinced the socialists to secure social and economic reforms through the Reichstag. Evolution rather than revolution was the key. Yet German workers remained relatively immune to Bismarck's efforts to wean them from socialism with state-sponsored welfare legislation or to deter them from supporting socialists through his attack on civil liberties and his use of the police. After Bismarck's fall in 1890, workers increasingly supported the Social Democrats. Social Democratic success convinced conservatives to improve their party organization, support an aggressive foreign policy, and encourage nationalistic sentiments.

D. Political Scandals and Mass Politics in France

Established in 1870, France's Third Republic faced an uncertain future as it embraced France's revolutionary past.

1. Creating Citizens. The Third French Republic fostered national culture and common values through a national mass media, mandatory schooling and military service, and a national transportation network. Increasingly, local issues would be correlated with national concerns.

2. The Boulanger Affair. The Boulanger Affair of 1889 saw General Georges Boulanger make an unsuccessful bid to manipulate popular opinion and employ military might to seize political power. In the aftermath of this crisis, conservatives gained support by employing the symbols of French nationalism.

3. The Dreyfus Affair. The Dreyfus Affair also divided France. Supporters of Alfred Dreyfus, a Jewish officer who was accused of selling military secrets to Germany, emphasized the Third Republic's commitment to freedom and justice. Dreyfus's opponents, on the other hand, sought to uphold the church and the army. Rival leagues, unions, and newspapers used propaganda concerning the Dreyfus Affair to serve their own ends. The national press became an increasingly important factor throughout these scandals in shaping public opinion. Extra-parliamentary pressure groups would ultimately transform the Third Republic.

E. Defeating Liberalism in Austria

In the 1870s, liberalism dominated the political mind-set of Austria's bourgeoisie, who were satisfied with the prospects of a constitutional monarchy with a limited franchise.

1. Vienna and the Bourgeoisie. Anti-Semitism, anti-capitalism, nationalism, and mass politics eroded bourgeois support for the Austrian government, however.

2. The New Right. Previously disenfranchised groups (peasants, workers, artisans, and Slavs) rejected liberal bourgeois politics and economics in favor of nationalism and socialism. Mass political parties gained popular support by appealing to Pan-Germanism, anti-Semitism, and nationalism, eroding much of the liberal achievement by 1900.
III. OUTSIDERS IN MASS POLITICS

Mass politics supplanted the focus on individual rights that had existed earlier in the nineteenth century. Interest group politics saw lobbyists play an increasingly active political role. Women, Jews, and ethnic minorities were denied political rights. These groups, however, began to employ the organization and politics that interest groups had used earlier. Others, like anarchists, rejected mass politics as they sought the destruction of the state.

A. Feminists and Politics

The cult of domesticity respected women's role in the home, but also made it more difficult for women to secure civil, legal, economic, and political rights.

1. Women’s Rights. Feminists were divided into two camps—those who gave primacy to the franchise and those who maintained that legal, economic, and social gains were the most important goals. Middle-class feminists employed the techniques of interest-group politics and mass organization to obtain the political concessions that men had won earlier.

2. Movements for the Vote. In Britain militant feminists gained both notoriety and faced repression as they sought the franchise. The most effective of the early feminist organizations was Britain's Women's Social and Political Union, which Emmeline Pankhurst and her daughters Christabel and Sylvia led. A more radical group of women termed suffragettes emerged in 1910. This increasingly militant group used mass demonstrations, imprisonment, and the destruction of property to achieve their political objective of full voting rights, which was ultimately achieved in Britain and Germany (1918), the United States (1920), and France (1945).

3. Women and Social Reform. An international feminist movement raised women's consciousness, though female socialists were less concerned about gaining the franchise than they were in securing social, economic, and legal reform. The social, political, and economic gains they ultimately secured were not as far-reaching as they desired, however.

B. The Jewish Question and Zionism

From 1868 to 1914 tens of thousands of Jews migrated from eastern to western Europe and from rural to urban settings. The Jew was often seen as an alien presence responsible for inflation and unemployment and as a threat to small businesses.

1. Anti-Semitism. Anti-Semitism raged in eastern and central Europe in the late nineteenth century. Pogroms devastated the Jewish population of Russia and eastern Europe. Jews were blamed for the ills of capitalism, democracy, liberalism, and cosmopolitan culture. Anti-Semitism intensified in the period as demagogues incited mobs to violence against members of the so-called “alien race.”

2. Zionism. Some eastern Jewish leaders responded to growing anti-Semitism by
rejecting the goal of cultural assimilation and embracing Jewish nationalism or Zionism. Theodor Herzl argued that only the restoration of their ancient Jewish homeland in Palestine (Zion) could protect Jews from the rising anti-Semitic tide. By the outbreak of World War I almost 90,000 European Jews had emigrated to Palestine. Some Jews argued against the migration, however, proposing that Zionism would actually result in an increase in anti-Semitism.

C. Workers and Minorities on the Margins

As European society grew in size and urbanization, a similar transformation occurred in politics. Industrial and financial leaders assumed political roles. Labor unions and other mass-movement organizations intervened in politics. Propaganda became increasingly influential, as well.

1. Anarchism. Disdainful of parliamentary politics, anarchists sought to replace the capitalist order with a society predicated on unlimited freedom. Deriving its theoretical justification from the Russian aristocrats Mikhail Bakunin and Prince Petr Kropotkin, anarchists wanted to replace the existing social order. Differences among anarchist theorists existed, however, with Bakunin endorsing the use of random acts of violence and Kropotkin favoring common ownership of property and personal interdependence. Anarchism enjoyed substantial support in the working-class communities of southern Europe. In France, skilled artisans combined trade union organization with anarchism to create anarcho-syndicalism, a movement designed to retain worker autonomy and control of the process of production. European states were able to curtail anarchist activities, however. Consequently, anarchists never posed a major threat to the social order.

2. The General Strike. Georges Sorel, an advocate of anarcho-syndicalism, anticipated a general strike in lieu of working for reform within established institutions. He called for “direct action”—random acts—to demonstrate commitment to the movement.

IV. SHAPING THE NEW CONSCIOUSNESS

Science and art transformed the Europeans’ worldview and encouraged criticism of western culture.

A. The Authority of Science

New scientific and technological methodologies transformed modern life.

1. Discoveries in the Physical Sciences. Physical science was revolutionized by the discoveries of electricity, chemistry, magnetism, and radioactivity. Max Planck's quantum theory helped dismantle classical physics; Albert Einstein's special and general theories of relativity fundamentally changed concepts of time and space and the relationship between mass and energy.
2. Achievements in Biology. Biological science also saw revolutionary developments with Louis Pasteur's study of micro-organisms and Gregor Mendel's work with genetics leading to advances in understanding the nature of inheritance. Scientists also enhanced public health, making breakthroughs in the treatment of malaria, cholera, yellow fever, and other infectious diseases.

3. Applied Knowledge. Applied research in various fields of biology led states to build sewage and water systems and fund public health programs. Airplanes, submarines, and plastic were only a couple of the key inventions of the period.

B. Establishing the Social Sciences

Social scientists tried to apply the same “scientific” methods of observation and experimentation to studying society. After 1870, sociology, economics, history, psychology, anthropology, and archaeology became the core of new social scientific endeavors that came to be used for both good and bad ends.

1. Archaeology. Heinrich Schliemann discovered the ancient city of Troy; Sir Arthur Evans found the ancient Minoan civilization. Leopold von Ranke introduced a more objective historical method.

2. Economics. Alfred Marshall's neoclassical economic theory advanced the importance of individual choice in the marketplace and proposed “marginal utility” as a method to determine potential profits.

3. Psychology and Studying Human Behavior. Wilhelm Wundt introduced the psychology laboratory. Ivan Pavlov studied the conditioned reflex in dogs. Another psychologist, Sigmund Freud, introduced psychoanalysis, which focused on understanding a patient’s unconscious mind. Sociologist Emile Durkheim proposed that deviance was due to environment and heredity. Alfred Binet measured intelligence with his IQ test. Gustave Le Bon studied the irrationality of crowds. Collectively, the social scientists contributed to a signal transformation in people's understanding of their world.

C. The “New Woman” and the New Consciousness

In the late nineteenth century, scientists proposed the natural inferiority of women, justifying the rejection of female suffrage.

1. Biology and Woman’s Destiny. Charles Darwin argued that women were less intelligent than men and thus should be subservient. Their dependence upon men weakened women’s ability to compete and thus fed their increased independence. Women's reproductive role and their social role as mother moreover “proved” their natural inferiority to men, and justified women's exclusion from schools, voting booths, and professions.

2. The New Woman. As a reaction to the pseudo-scientific studies of the period the
phenomenon of the “new woman” emerged. The “new woman” was noted for her intelligence, strength, and sexual desire. In every way man's equal, she sought a life of independence and fulfillment, a goal advanced by public discussions of birth control. Yet in spite of concerted efforts, women remained on the outside of societies that excluded them from political participation, access to education, and social and economic equality.

D. Art and the New Age

Artists experimented with a variety of styles in the last quarter of the nineteenth century. The new schools of art included impressionism, post–impressionism, pointillism, symbolism, futurism, pre-Raphaelites, and the arts and crafts movement. Artists employed color, light, and technique in new, dynamic ways. Despite their stylistic differences, they reflected their era.

1. Disposable Income. Consumption patterns changed as the standard of living rose. Department stores, advertising, and new approaches to displaying goods encouraged consumers to buy things they did not need.

2. Leisure as Consumption. The economist Thorstein Veblen noted that conspicuous consumption had become widespread in society. The manner in which people dressed and spent their leisure time—vacations, participatory and spectator sports, scouting—were manifestations of the desire to engage in conspicuous consumption.

CONCLUSION

The Eiffel Tower illustrates the physical and moral transformation of fin-de-siècle Europe. Traditional values were under attack as innovation in all areas of life was accelerating.

KEY TERMS, PEOPLE, AND EVENTS

futurists
cartel
James Keir Hardie
National Insurance Act of 1911
Trade Unions Act of 1913
Boulanger Affair
anti-Semitism
Emmeline Pankhurst
Theodor Herzl
Pet Kropotkin
Georges Sorel
Georg Mendel
Sigmund Freud
Emile Durkheim
conspicuous consumption
impressionists
trust
Labour Party
David Lloyd George
Social Democrats
Dreyfus Affair
"feminist"
Cat and Mouse Act
anarchists
anarcho-syndicalism
Albert Einstein
Leopold von Ranke
Otto von Bismarck
birth control
Kulturkampf
"Great Depression"
consortium
Fabians
Parliament Bill of 1911
Anti-Socialist Law
Emile Zola
suffragette
Zionism
Mikhail Bakunin
pogrom
Louis Pasteur
Alfred Marshall
Third Republic
Thorstein Veblen
Karl Lueger
NEW GEOGRAPHICAL LOCATIONS

Ulster   French Guiana   Panama Canal
Leipzig   Kiev    Odessa

DISCUSSION AND ESSAY QUESTIONS

1. Discuss the economic and political forces that threatened British liberalism in the latter nineteenth and early twentieth century. How did liberalism change in this period?

2. Compare and contrast the development of German social democracy and French anarcho-syndicalism. Why did workers embrace such different radical ideals in the two nations?

3. Discuss the relationship between nationalism and Zionism. Did nationalism strengthen or weaken the status of Jews in Europe?

4. Compare and contrast the goals of feminists and the "new women" of the period 1880–1914. Did the two groups share a similar vision of womanhood?

5. Is Sigmund Freud, Thorstein Veblen, or Emile Durkheim more representative of his age? To what degree are their ideas "modern"?

6. How did scientific breakthroughs and new approaches to the “scientific” study of society contribute...
ANNOTATED FILM LIST

Rendezvous with Freedom
37 min; color; 1973
16mm CC2712,16

Examines the experience of European Jewry in being forced from their homes and settling in American society. Begins with the first Jews to reach North America in 1654 and stresses the Jewish part in the years of massive European immigration (1880–1914).

Turn of the Century
25 min; color; 1960
16mm CB1180,16

A brief examination of European lifestyles from 1900 to 1914. Focuses on late Victorian and Edwardian England and includes a review of events leading to the outbreak of World War I.

The End of the Old Order: 1900–1918
24 min; color; 1979
16mm

The political and social institutions of Europe are dying amid the dramatic changes taking place in the early twentieth century. Includes documentary footage of the coronation of England's Edward VII and Russia's Nicholas II.
Chapter 25

*Europe and the World, 1870–1914*

I. THE VISUAL RECORD: POLITICS OF MAPMAKING

Cartographers made a concerted effort in the nineteenth century to develop a standard, comprehensive map of the world. Yet, disagreements about the placement of the prime meridian and the map’s scale complicated the process. A compromise ultimately resulted in the utilization of the metric system and the alignment of the prime meridian through Greenwich, England. Maps would soon record the success of European imperialism.

II. THE EUROPEAN BALANCE OF POWER, 1870-1914

Imperial conflicts combined with national rivalry to disrupt the European balance of power after 1890. European nations divided into two armed camps that faced a series of tense international crises.

A. The Geopolitics of Europe

The emergence of two newly unified nations—Italy and Germany—encouraged nationalistic and militaristic aspirations. By 1871, European politics was dominated by the Big Five—Britain, France, Germany, Austria-Hungary, and Russia. These nations did not, however, plan to expand in Europe.

1. The Three Emperors’ League. The Three Emperors' League, established in 1873, linked Germany, Austria-Hungary, and Russia in an effort to compensate for each state's geopolitical weaknesses. The League promised neutrality and consultation in areas of common interest. Germany had two areas of weakness: the threat to trade through its North Sea ports and the threat of military encirclement that would force Germany to fight a two-front war. The nationalistic ambitions of its subject polyglot minorities worried Austria-Hungary. Russia’s major weakness was its absence of a warm water port.

2. The Ottoman Empire. The Ottoman Empire, filled with a linguistically and culturally diverse population, was also concerned about independence movements within its borders. Balkan ethnic groups appeared to be the greatest threat to the survival of the Ottoman Empire. The possibility of the disintegration of the Ottoman Empire complicated the foreign relations of Western states, whose efforts to shore up the sagging empire, known as the “sick man of Europe,” were based on their own geopolitical ambitions. As it was, the Ottomans lost Cyprus,
Sudan, Egypt, and Aden to the British.

B. The Instability of the Alliance System.

Two prime considerations guided the evolution of the alliance system. The first was enmity between France and Germany; the second was Russia's determination to maintain its access to the sea.

1. Franco-German Tensions. A weak France was aware of its continuing weakness and its political isolation.

2. Russian Aspirations and the Congress of Berlin. Russia continued to want year-round access to the Mediterranean and to protect its warm-water ports on the Black Sea. To strengthen its role in the Balkans, Russia supported Pan-Slavic revolts against the Ottoman Empire. The 1878 Congress of Berlin restrained Russian efforts to annex substantial Ottoman territories, leading to a collapse of German–Russian amity and an end to the Three Emperors’ League.

3. The Alliance System Revamped. In 1879, Germany and Austria-Hungary formed the Dual Alliance, which became the Triple Alliance with the addition of Italy in 1882. Conflict disrupted the alliance system in 1885, however, when Russia and Austria moved to the brink of war in responding to hostilities between Bulgaria and Serbia. In the Reinsurance Treaty, Germany and Russia promised mutual neutrality in the event either nation found itself at war. After this treaty lapsed, Russia allied itself with France, establishing a relationship that expanded to include Britain in the Triple Entente of 1907. Europe was now divided into two armed camps—Triple Alliance and Triple Entente. Renewed crises in the Balkans in 1908–1909 and 1912–1913 threatened to expand and bring western Europe into the hostilities in the Balkans.

III. THE NEW IMPERIALISM

Industrialization improved transportation and communication, allowing Europeans after 1870 to build empires. The industrial powers made an intensive, unprecedented effort to take over undeveloped regions around the world. The rivalry of nation-states, particularly Britain, France, and Germany, led to the establishment of a “new imperialism” which successfully adapted industrial resources to the requirements of rapid military and political conquest as the industrialized nations came to dominate underdeveloped areas.

A. The Technology of Empire

Industrial technology underpinned the “new imperialism” that allowed the technologically advanced European nations to dominate the nonindustrial world. Steam, iron, and electricity were central factors in Europe's imperial expansion. Iron steamships allowed Europeans to maintain close contact with their colonies and to exploit colonial resources more efficiently.
Breech-loading rifles, repeating rifles, and machine guns gave the Europeans a distinct military advantage over the native peoples. Steam engines even powered small boats used to explore the interior of Africa and Asia.

1. Engineering Empire. The Suez Canal, completed in 1869, gave Europe a shorter trade route to the East; the Panama Canal, completed in 1914, connected the Atlantic and Pacific Oceans. The electric telegraph revolutionized global communication, permitting nations to exercise close control over their colonies.

2. Medical Advances. Quinine allowed Europeans to overcome the threat of malaria and to explore the interior regions of their colonies, bringing vast tracts of territory under European rule. The technological advantage the Europeans maintained can at least partially explain the speed with which they were able to erect their empires.

B. Motives for Empire

Although economic factors encouraged the establishment of some overseas colonies, other colonies were actually financial liabilities.

1. Economics. The desire to expand investment opportunities was the central force behind European imperialism, even though some territories were not profitable. Still, Great Britain, the leading imperial nation, focused on creating an empire that was economically beneficial.

2. Geopolitics. Geopolitical factors also encouraged European states to expand into some areas to protect more valuable colonies, safeguard sea routes, or secure fueling bases that coal-powered navies required. The expansion of overseas territories justified escalating military expenditures, making governments prime consumers of industrial products. Monies spent on military equipment also stabilized national economies and provided gainful employment during times of economic depression.

3. Nationalism. Political leaders appealed increasingly to nationalistic aspirations to legitimize increased government expenditure on arms and imperialism. Newspapers, which capitalized on nationalist sentiment to increase sales, shaped public opinion that could, in turn, influence the course of foreign policy. Newspapers often manipulated public opinion by endorsing a jingoism that encouraged patriotic fervor and a xenophobia that encouraged hatred toward other nations. Countries imitated the moves of their rivals in colonization.

IV. THE EUROPEAN SEARCH FOR TERRITORY AND MARKETS

Few Europeans considered imperialism’s effect upon the conquered peoples. In Africa, European nations established extensive military empires as working with tribal leaders was considered impractical and inefficient. In India, on the other hand, the Europeans worked with established governments whose leaders were more likely to collaborate. In China, Europeans created an informal empire.
A. The Scramble for Africa: Diplomacy and Conflict

From 1875 until around 1912 the Europeans seized control over virtually all of Africa in the so-called “Scramble for Africa.” Motives for imperialism relate specifically to the historical, economic, and geopolitical situation of each imperial power.

1. The Drive for Markets and Profits. The economic recession that lasted from 1873 to 1896 inspired some nations to want overseas colonies for their potential economic value. Leopold II’s Belgium seized the Congo Basin, sparking the “scramble for Africa.” Conflict among Belgium, France, and Portugal for control of the Congo region resulted in the Berlin Conference of 1884, which gave the Congo to Belgium while declaring that effective political control of a region was a necessary preliminary to its annexation by an imperial power. The “scramble for Africa” followed.

2. European Agreements and African Massacres. Although national rivalries in Africa intensified, European nations were able to resolve their differences peacefully. European nations were always willing to trade territories and make concessions to avoid war with other European states. They reacted differently with native people, however. Modern weapons like the Maxim gun gave Europeans a decided military advantage.

3. Ethiopia as an Exception. Aside from the American-sponsored Liberia, only Ethiopia retained its independence. Led by Emperor Menelik II, whose judicious negotiations with European nations secured weapons for his people, the Ethiopians defeated the Italians at the battle of Adowa in 1896 and were accordingly recognized as an independent, sovereign state.

B. Gold, Empire Building, and the Boer War

In South Africa the British fought white Afrikaners over gold.

1. Afrikaner Rule. In 1837 Dutch Boer settlers left Cape Colony for the Orange Free State and the Transvaal in the interior during the Great Trek. German annexation of neighboring Namibia worried the British, who were concerned about the anti-British sentiments that the Germans and the Afrikaners shared.

2. Britain’s War in South Africa. A conflict between British and Dutch or Boer farmers erupted following the discovery of gold in the Transvaal in 1886. British entrepreneur Cecil Rhodes viewed the Boers as impediments to both capitalist and imperialist expansion and tried to overthrow the Afrikaner government in the unsuccessful Jameson Raid. Alfred Milner pressured the Boers to grant concessions to Britain, but received a war instead. During the Boer War (1899-1902) the British employed some 350,000 troops and ruthless tactics to secure a victory. Almost 60,000 Boer, British, and black African troops died in a war that brought Britain widespread condemnation. After the British gained control over South Africa, they granted the Boers concessions that resulted in policies of segregation that lasted until relatively recently. By the outbreak of World War I Europeans controlled almost all of the continent of Africa.
C. Imperialism in Asia

Although Asian countries were relatively strong in the first half of the nineteenth century, they would see their power decrease by the end of the century.

1. India. India dominated British imperial concerns, influencing virtually every aspect of British foreign policy as Britain sought coaling stations and naval bases that would protect trade to the sub-continent. British trading in Indian markets began in the seventeenth century with the British East India Company. Formal British rule, dating only from 1861, often maintained much of the existing India’s political hierarchy as well as its five-tier social system. India was a major market for British textiles and a source of inexpensive salt, food, and opium.

2. China. In China, British merchants traded Indian opium for Chinese tea, a very popular product among the British people. The growing traffic in opium roused the ire of Chinese officials who were concerned about the drug's effect on the Chinese people and about the silver leaving the country for its purchase. The short Opium War of 1839–1842, was the first of a series of wars that saw a defeated China experience increasing incursions from European merchants. Foreign trade, which increased sharply as other nations took advantage of the situation, debilitated China's domestic industry. Westerners demonstrated their contempt for Asian culture by introducing the principle of extraterritoriality, which placed European residents outside the jurisdiction of the Chinese government. Foreign countries appointed officials named consuls to serve as heads of their nations’ residents and as business representatives. Foreign armies suppressed the Boxer Rebellion, but the western powers realized that they would have to work through established authorities to maintain order. They therefore scrapped plans to partition China and focused on trade instead.

3. Southeast Asia and Japan. Outside of China, Britain gained control over Hong Kong, Burma, and Kowloon. France dominated Indochina, Cambodia, and Laos. Although Thailand remained independent, it granted western powers rights to extraterritoriality and treaty ports. The United States seized the Philippines from Spain during the Spanish-American War and then solidified American control there by allying with conservative landowners. Japan won the Sino-Japanese War of 1894–95 and the Russo-Japanese War of 1904–1905, becoming a new major imperial power as it expanded into the Liaotung peninsula and southern Manchuria, before annexing Korea in 1910. The Japanese victory in the Russo-Japanese War sent another strong message to the West about its emerging military power.

D. The Imperialism of the United States

In the nineteenth century the United States spread across the North American continent to the Pacific, conquering Native Americans in the process. The United States was now poised for rapid economic growth and for securing Caribbean and Pacific islands that could serve as fueling bases, sources of raw materials, and markets for American goods. The United States also increased its strength when it completed the construction of the Panama Canal.
V. RESULTS OF A EUROPEAN-DOMINATED WORLD

Europeans sought to impose their values and institutions upon the population that fell under their rule, but Westerners were themselves transformed by the imperial process. Questions about racial aspects of culture and the morality of capitalism reflected the new ways Europeans looked at the world.

A. A World Economy.

Imperialism generated an integrated global economy. Communications, trade, and transportation networks now linked a world searching for economic gain.

1. Meeting Western Needs. Although most trade occurred between western Europe and North America, European merchants viewed colonies as ready sources of raw materials and convenient protected markets. The economic and industrial needs of Europeans superseded those of non-Europeans.

2. Investment Abroad. European investors sought higher returns by investing their monies in eastern Europe, Africa, and Asia. In 1874, gold became the world’s monetary standard. Western states expanded their overseas investments dramatically. Britain led the way, followed by Germany and the United States. Loans to foreign governments and businesses led Europeans to expect that their governments would take steps to protect their overseas investments.

B. Race and Culture

Belief in their cultural superiority convinced Europeans of their need to bring western culture and Christianity to backward “heathen” peoples in Africa and Asia to “civilize” the native peoples. The European belief in cultural superiority soon led them to claim racial superiority as well. Herbert Spencer’s “social Darwinism” reinforced racist views and encouraged the belief that whites were naturally superior to other races because they were fitter and more advanced.

C. Women and Imperialism

Arguments of racial superiority led to greater concern about the health and well-being of children. Women became directly responsible for their children’s health, nutrition, and education. Francis Galton, the founder of eugenics, encouraged men and women to be careful about their selection of mates so to produce stronger, healthier, more intelligent children. Women also advanced the cause of imperialism as missionaries, nurses, and wives of colonial
administrators, while serving as symbols of western superiority.

D. Ecology and Imperialism

Imperialism had a profound and often negative effect on global and human ecology. Western diseases devastated the populations of newly conquered territories; industrialization transformed village and tribal social structure. Market economies destabilized populations and increased migration, further disrupting traditional patterns of marriage and family life. Colonies also served as convenient locales for exiled criminals.

E. Critiquing Capitalism

Critics of imperialism found it both exploitative and racist. J.A. Hobson proposed that a stagnant European economy and surplus capital encouraged Europeans to pursue colonies that could be economically exploited. The Marxist–Leninists argued that capitalism was naturally abusive and imperialistic. In spite of the criticism, imperialism was popular with the Europeans, who generally welcomed the responsibilities of empire and the cultural superiority that it implied.

CONCLUSION

Imperialism and the alliance system tied economics and politics, binding European states inextricably to each other. Although the European states maintained a relative balance of political power, economic disparities between the nations grew more pronounced. Yet it would be European and not colonial politics that would lead to war in 1914.

KEY TERMS, PEOPLE, AND EVENTS

- "new imperialism"
- jingoism
- "scramble for Africa"
- Berlin Conference
- Cecil Rhodes
- Adowa
- Opium War
- spheres of influence
- Boxer Rebellion
- Three Emperors' League
- Triple Alliance
- Open Door Policy
- Panama Canal
- Ferdinand de Lesseps
- Suez Canal
- xenophobia
- social Darwinism
- Fashoda
- Jameson Raid
- Afrikaners
- Treaty of Nanking
- extraterritoriality
- Sino-Japanese War
- Congress of Berlin
- Reinsurance Treaty
- Rudyard Kipling
- Alfred Milner
- British East India Company
- Panama Canal
- Herbert Spencer
- Leopold II
- Menelik II
- Boer War
- Great Trek
- treaty ports
- consuls
- J.A. Hobson
- Dual Alliance
- Triple Entente
- Suez Canal
- Lenin
- Treaty of Wichale
NEW GEOGRAPHICAL LOCATIONS

Belgian Congo  Congo River  Tanzania
Uganda  Kenya  South China Sea
Algeria  Indochina  Suez
Afghanistan  Singapore  Guinea
Hawaiian Islands  Eritrea  Transvaal
Orange Free State  Namibia  India
Punjab  Canton  Hong Kong
Burma  Maritime Provinces  Kowloon
Montenegro  Laos  Cambodia
Taiwan  Korea  Yangzi
Austria-Hungary  Bosnia  Herzegovina
Armenia  Japan  Malawi
Togo  Cameroon  Zanzibar
Cape Colony  Sea of Japan  Mozambique
Liberia  Ethiopia  Katanga
Bengal  Congo Free State  Angola
Samoa  Zimbabwe  Montenegro
Shandung Peninsula

DISCUSSION AND ESSAY QUESTIONS

1. Discuss the relationship between industrial development and the new imperialism of the nineteenth century. In what ways did industry contribute to the creation and the retention of formal and informal empires outside of the West in this period? Were there other factors that influenced the "new imperialism"?

2. Compare and contrast the pattern of European imperialism in Africa and Asia. In what ways did the social structure of African and Asian lands help to shape the course of European imperialism?

3. Why were the Europeans so driven to create extensive overseas empires?

4. Were the actions of the British South Africa Company in Zimbabwe typical of European colonists in Africa?

5. Discuss the structure and strategies of Europe's alliance system from 1870 to 1914. Was the alliance system responsible for maintaining peace, or for precipitating war?

6. Was the balance of power changed by the establishment of overseas colonies? Did imperialism contribute to an intensification of national rivalries?
7. What were the consequences of a European-dominated world?

RELEVANT TRANSPARENCIES AND MAPS

Danzer's *Discovering Western Civilization Through Maps and Views*

S62: Plan of a Sugar Plantation
S74: Seaways of the Empire
S75: German Sea Power

RELEVANT STUDENT MAP EXERCISES

Danzer's *Mapping Western Civilization*

T27: Africa on the Eve of World War I
T29: Modern Europe: A Chronological Perspective

ANNOTATED FILM LIST

*The Boxer Rebellion*
21 min; color; 1963
16mm CC2301,16

Excerpts from the film *55 Days at Peking* starring Charlton Heston. Depicts the massive anti-foreign movement that shook China in 1900. Indicates how foreign diplomats, soldiers, businessmen, and tourists were besieged in the Chinese capital. Colorful dramatization of the most extensive and violent reaction to take place against the European and Japanese imperialism of the late nineteenth century.

*China: The Coming of the West*
20 min; color; 1977; ½ VHS

Depicts the penetration of China by the European world from the sixteenth to the twentieth century. Describes the difference between Japan's successful resistance against outside domination and the way in which China succumbed. Concludes with the rise of Sun Yat-sen.

*The Christians: Missions Abroad*
40 min; color; 1976
16mm CC2195,16

Illustrates the religious motivation that helped establish European control in the non-Western world during the nineteenth century. Examines the history of English missionaries in East Africa and considers the role of the Christian church there from the late nineteenth century to the
present.

*The Scramble for Africa*
37 min; color; 1986

Investigates the changes to African society that European colonists caused, as well as the growth of anti-European movements within Africa.

*Zulus at War*
30 min; color; 1995

Chronicles the events of the Zulu victory over the British in 1879 and the influence of Europeans in South Africa.

*Colonialism: A Case Study*
21 min; color; 1975
16mm CC2477,16

An examination of the experience of a single area of the non-Western world under a century of European control. Considers the history of Namibia, formerly German Southwest Africa, from the 1880s to the 1970s. Harshly critical of the way in which first German, then South African, rule hindered the development of the country.

*The Afrikaner Experience: Politics of Exclusion*
35 min; color; 1978
½ VHS

Political history and psychological profile of the Afrikaners, Dutch settlers in South Africa.
Chapter 26

War and Revolution, 1914–1920

I. THE VISUAL RECORD: SELLING THE GREAT WAR

Modern advertising helped sell commodities to consumers and to sustain popular support for the Great War of 1914-1918. Governments, forced to mobilize whole populations, turned to salesmanship to maintain the flagging spirits of their citizens to encourage enlistments and to justify the self-sacrifice of the noncombatants. War posters underlined the importance of national glory and sacrifice to civilians and soldiers who endured the hardships of the battlefield and the home front.

II. THE WAR EUROPE EXPECTED

As liberal European statesmen faced war in 1914, they were optimistic about their economic prosperity and their cultural dominance. They believed that war would be limited by the destructive force of modern weapons, by the alliance system, and by the actions of generals and statesmen. In fact, Europeans believed that the recent arms race would prevent a protracted war. The European powers consequently expected a short, decisive war; they were wrong.

A. Separating Friends from Foes

On the eve of World War I, the defensive alliance of the Triple Entente (France, Britain, and Russia) squared off against the Triple Alliance (Germany, Austria-Hungary, and Italy). Allegedly maintaining a balance of power among the major European states, the system of alliances actually contributed to the outbreak of war by allowing weak states to act irresponsibly, secure in the knowledge that they would be defended by a powerful ally. Ironically the relative balance of the alliances, formed to preserve the peace, actually increased the likelihood of a prolonged war.

B. Military Timetables

Military timetables exacerbated the crisis of 1914. Military planners recommended strategies to give their nation a military edge. But, the military plans also preempted peaceful diplomatic negotiations.

1. The Schlieffen Plan. Germany’s Schlieffen Plan, adopted in 1905, called for a massive
attack on France. Von Schlieffen believed that committing Germany to invade neutral Belgium, Holland, and Luxembourg would allow Germany to defeat France quickly. This plan would thus enable Germany to avoid fighting a war on two fronts as Germany anticipated France would be defeated before Russia would be able to mobilize.

2. Russia’s Mobilization Plan and the French Plan XVII. Russian military plans called for full military mobilization before the declaration of war. The French Plan XVII emphasized the concentration of troops in Alsace-Lorraine for a decisive battle against Germany once war erupted. With the rapid mobility offered by modern transportation, the need for speed in military operations meant that military considerations would supersede diplomatic ones.

C. Assassination at Sarajevo

A Bosnian Serb teenager named Gavrilo Princip precipitated the First World War when he assassinated Archduke Franz Ferdinand, heir to the Austrian throne, on June 28, 1914. With Franz Ferdinand's death, the Balkan crisis that had been brewing for decades came to a head. Germany, eager to strengthen its ally, supported Austria-Hungary's claims to rule the region. France supported Russia, which in turn supported Serbia. In the extensive diplomatic negotiations that followed the assassination, Austria-Hungary imposed humiliating demands on Serbia that would have essentially meant the end of Serbian independence. Despite some Serbian concessions, Austria-Hungary invaded the small Balkan state in late July. Thereafter the major countries honored their treaty obligations and entered the war. In early August, Germany's violation of Belgian neutrality brought Britain into the war and the Austro-Serbian war escalated into a European phenomenon. Only Italy remained neutral.

III. A NEW KIND OF WARFARE

Europe planned for a swift, short, decisive, localized conflict, but became involved instead in a prolonged, immobile, global war. The war brought Japan, Italy, and the United States in on the side of the Allies. The Ottoman Empire and Bulgaria joined the Central Powers. The First World War defied the careful military timetables constructed before the war as technology made the war one of attrition.

A. Technology and the Trenches

Mobile cavalry and infantry units had characterized the battles of the nineteenth century.

1. Digging In. Trench warfare soon dominated fighting on the western front in 1914. Hundreds of miles of trenches hid tens of thousands of soldiers between suicidal attacks on an entrenched enemy. Ten million men would die in this war.

2. New Weapons. Artillery, machine guns, barbed wire, poison gas, flamethrowers, submarines, tanks, and airplanes magnified the destructive potential of warfare while
strengthening the defensive capabilities of armies. Technologically equal, the two sides became
deadlocked. The only thing that the generals could think to do was to mass their forces,
escalating casualties.

B. The German Offensive

After defeating Belgium in August 1914, German troops invaded northern France.

1. Germany on Two Fronts. German generals modified the Schlieffen plan, sending some
troops to the Russian front and others to thwart a French counter-offensive in Alsace-Lorraine.
The German army, driving on Paris, crossed the Marne, exposing its flank to attack.

2. The First Battle of the Marne. The Germans lost their strategic advantage when the
British and French troops forced them to withdraw in the First Battle of the Marne. The “race to
the sea” followed as each side tried to outflank the other. German forces now faced war on two
fronts as the prospects of a short war evaporated. The resulting trench warfare saw soldiers dig in
for a deadly and lengthy defensive war.

C. War on the Eastern Front

On the eastern front the war would be more fluid. Inadequate supplies and poor leadership
hampered Russian troops, who suffered devastating losses at Tannenberg and Masurian Lakes.
Although they were victorious over the Austrian army at Lemberg, by the autumn of 1915, the
Russians had lost 15 percent of their territory to Germany and had suffered extensive casualties.
Russian success against Austria-Hungary forced Germany to redeploy troops to the east. Russian
military prowess was, however, short-lived.

D. War on the Western Front

Throughout the first two years of the war, the British and French were unsuccessful in driving the
Germans from Belgium and northern France.

1. Verdun. Two years of trench warfare had not undermined the conviction that a
decisive offensive could win the war. Still, the French planned a major offensive at the Somme in
1916. Before the French could attack, however, the German army struck at Verdun. Ten months
of fighting at Verdun left 700,000 men dead and neither side with a distinct military advantage,
demonstrating the futility of offensive warfare on the Western front.

2. The Somme. British offensive efforts on the Somme were similarly futile and even
more destructive, with some one million British, French, and German casualties. The death toll
continued to mount with the failed offensives at Passchendaele and Champagne.
E. War on the Periphery

Stalemated on the western front, Britain and France deployed their new Italian ally against Austria in an effort to draw German forces to southern Europe. Elsewhere, Austria-Hungary soundly defeated Serbia. Bulgaria joined the Central Powers; Romania and Greece aligned with the Allies.

1. War in the Ottoman Empire. Germany used the Ottoman Empire to threaten the flow of supplies through the Suez and the Dardanelles. Britain responded by using troops from Australia and New Zealand at the disastrous landing on the Gallipoli Peninsula and by taking Baghdad in 1917. Thus the war expanded into the theater of the Middle East.

2. War at Sea. The fear of losing their surface fleets discouraged Britain and Germany from fighting at sea, although the British and German navies met at Jutland in an indecisive battle. The British navy blockaded Germany; German submarines, or U-boats, employed unrestricted submarine warfare in devastating Allied shipping. Only the invention of depth charges and mines and the use of convoys succeeded in overcoming the threat of the U-boats.

IV. ADJUSTING TO THE UNEXPECTED: TOTAL WAR

World War I was a “total war” which saw the dedication of entire populations to the single goal of securing a complete military victory. Whether engaged on the battlefield or the home front, all Europeans were absorbed by the war effort. Governments directed all of their resources toward satisfying military requirements to achieve victory.

A. Mobilizing the Home Front

Government and corporate bureaucracies controlled the production and distribution of goods, regulated wages and prices, and mobilized personnel and material assets for the war effort.

1. Women’s Roles. Mobilizing the home front meant mobilizing women, who entered war-related industries like munitions plants and service jobs previously reserved for men. In the east, women even served as soldiers on the front lines.

2. Government Controls. Governments regulated industrial production, established state monopolies to ensure the supply of goods for the war effort, and mobilized the work force in war-related industries. Food rationing became commonplace as governments regulated agricultural production, which had declined as farmers were fighting the war.

B. Silencing Dissent

Labor unrest escalated in 1916 as people became increasingly tired of war. Socialists began to reassert their pacifism, threatening the stability of domestic politics. Governments extended the
state's police powers, harshly enforced censorship, and suspended the civil liberties of their opponents. The promotion of dissent in an enemy's homeland became a matter of policy, as well. Pacifists were considered to be traitors. Germany encouraged the Easter Rebellion in Ireland in 1916 and returned the revolutionary Lenin to Russia. British Foreign Secretary Alfred Balfour issued the Balfour Declaration, which expressed British support for the creation of a Jewish homeland in Palestine, encouraging nationalistic sentiments among east European Jews. The British also encouraged the Arabs to rebel against the Ottoman Turks, promising them an independent Palestine.

V. THE RUSSIAN REVOLUTION AND ALLIED VICTORY

The year 1917 marked the low point of Allied fortunes in the Great War as Serbia and Romania were knocked out of the war and as Italy experienced a major defeat at Caporetto. When Russia dropped out of the war as a result of a successful revolution, Germany could now turn its full military might against Britain and France. But Germany also experienced shortages of labor and supplies even with the acquisition of large quantities of foodstuffs from the former Russian territories. Both sides experienced war-weariness and felt the futility of a war of attrition.

A. Revolution in Russia

Tsar Nicholas II entered World War I to strengthen his throne. What he did not expect was that this war would soon lead to his downfall.

1. The Last Tsar. In 1905, Russian workers protested the hardships they faced because of Russia's floundering economy. One Sunday in January 1905, the tsar's troops fired on a peaceful demonstration in front of the Winter Palace in St. Petersburg. The event, which came to be known as Bloody Sunday, set off a revolution that quickly spread. In October 1905, the tsar introduced a series of reforms that authorized political parties and convened the Duma, or national parliament. The government's return to repressive policies two years later encouraged workers to form soviets, or workers' councils. The mammoth effort to support Russian soldiers in World War I severely taxed the resources of Russian industry and exacerbated problems of poverty and starvation. Workers, already refusing to place confidence in the royal family, toppled the tsar in March 1917.

2. Dual Power. Political authority was now divided between the Duma's Provisional Government under Prince Lvov and the workers' soviets. Peasants seized agricultural lands. Soldiers deserted the war to participate in the land grab, crippling the Russian army. Nevertheless, the Provisional Government tried to honor Russia's commitment to the war. Exiled radical intellectuals returned to Russia to participate in the revolution. Although moderate Mensheviks were willing to work with the Provisional Government to achieve socialism, the Bolsheviks rejected collaboration and worked for a socialist revolution instead.

3. Lenin and the Opposition to War. Lenin's April Theses—a political platform demanding bread, land, and peace—gained popular support. Demonstrations by workers testified
to the growing influence of the Bolsheviks in the soviets and the declining popularity of the Provisional Government. Kerenski came to power during the violent July Days. The Soviets and the Duma continued to hold opposing views. The division between rich and poor Russians became more pronounced.

4. The October Revolution. In November 1917, Lenin and Leon Trotsky used the Red Guard to seize power and dismantle the Provisional Government. Although the revolution was virtually bloodless, Nicholas II and his family would be executed in July 1918.

5. The Treaty of Brest-Litovsk. The Treaty of Brest-Litovsk secured a Russian peace with Germany in March 1918, but at the price of extensive amounts of territory. Russian army officers were humiliated and angered by the treaty provisions as a civil war raged, industrial production ceased, food supplies dwindled, and people fled from towns to the countryside. Millions died from war, disease, and famine before the Bolsheviks won the civil war.

B. The United States Enters the Great War

Even before entering the war the United States supplied Allied armies. After a German U-boat sank the Lusitania, public opinion in the United States turned against Germany. Growing American anger convinced Germany to cease temporarily its policy of unrestricted submarine warfare

1. The United States Declares War. Germany sought to pressure the Allies by resuming its practice of unrestricted submarine warfare and by encouraging Mexico in the Zimmerman Telegram to enter the war on Germany's side by invading the United States. These actions brought the United States into the war in April 1917. Two million American soldiers rapidly joined the war effort under General John Pershing. Fresh troops and additional supplies revived the Allies.

2. German Defeat. Germany's military leaders responded to the American entrance with the Ludendorff offensive. Although the larger German force gained some initial success against American, British, and French forces, the Allied line ultimately held. The war finally came to an end after four years of fighting. Representatives of the German and Allied forces signed an armistice, which took effect on November 11, 1918.

VI. SETTLING THE PEACE

Once the fighting had ended, the next task was to secure a treaty that would provide a lasting peace in which self-determination of peoples was fulfilled, blame was placed, revolution was averted, and a better world was secured. The resulting peace treaty accomplished none of these goals. The Council of Four—Georges Clemenceau of France, David Lloyd George of Britain, Vittorio Orlando of Italy, and Woodrow Wilson of the United States—dominated the peace talks following the war. Germany, Austria-Hungary, and Russia were excluded from the negotiations.
A. Wilson’s Fourteen Points

Wilson’s “Fourteen Points” proposed the open discussion of treaties; disarmament; free trade; self-determination of peoples; and the establishment of a League of Nations, an international organization that would preserve the peace. Wilson called for a mild, non-punitive peace. Clemenceau's concern for French security exacted strict reprisals from Germany, including a huge indemnity, disarmament, a demilitarized Rhineland, and a series of buffer states to deter future German aggression. New nation-states were, in fact, carved from the territories of the failed eastern empires, although many nationalities remained without an independent homeland.

B. Treaties and Territories

The Treaty of Versailles forced Germany to accept responsibility for the war and to pay reparations of $32 billion for the destruction the war had caused. Antagonizing both Germany and the Allies, the terms of the peace failed to secure commitments of support from the British Empire, Russia, or the United States, whose support was crucial for a successful peace. It thus sowed the seeds of future political instability. The peace settlement redrew the borders of Europe, reflecting the emergence of a number of new countries—Finland, Latvia, Lithuania, Poland, Yugoslavia, Hungary, Estonia, Czechoslovakia—and a divided Austria-Hungary. The Balfour Declaration angered the Arabs by encouraging the creation of a Jewish homeland in Palestine.

CONCLUSION

The losses in both human and economic terms were enormous. The one winner was the United States, which emerged from the war as a major international power.

KEY TERMS, PEOPLE, AND EVENTS

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DISCUSSION AND ESSAY QUESTIONS

1. Describe the nature of the alliance systems that were in place prior to World War I. To what degree could they be blamed for the war?

2. On the eve of World War I, Britain's foreign minister, Sir Edward Grey, exclaimed, "The lights are going out all over Europe. We shall not see them lit again in our lifetime." Did the global war extinguish the "lights" of European society?

3. Compare and contrast warfare on the eastern and the western fronts. On which front did the pattern of warfare come closest to the prior expectations of European military strategists? Why was this the case?

4. Discuss the concept of total war. Why was the war of 1914–1918 more absorbing than those of previous centuries? What groups participated in new ways in the war effort of these years?

5. Explain the provisions of the Treaty of Versailles. What was the significance of the “war guilt clause”?

6. What factors led to the Russian Revolution? Why were the Bolsheviks able to overthrow the Provisional Government so easily?
7. How do you explain the success of the Russian women in pulling down the tsar? Were there other factors at play other than the demands and actions of the Petrograd women?

RELEVANT TRANSPARENCIES AND MAPS

Danzer's Discovering Western Civilization Through Maps and Views
- S75: German Sea Power
- S76: Trench Warfare
- S77: German Blockade of the United Kingdom
- S78: Night Aeroplane Raid, 1917

RELEVANT STUDENT MAP EXERCISES

Danzer's Mapping Western Civilization
- T29: Modern Europe: A Chronological Perspective

ANNOTATED FILM LIST

World War I: Clash of Empires
33 minutes; color; 1999
Brief overview of the causes leading to World War I, key events, and the Treaty of Versailles.

The Day the Guns Fell Silent
2 parts; 50 minutes each; color; 1999
Documents the last day of the war with period film footage and first person accounts.

Goodbye Billy—America Goes to War 1917–1918
26 min; b&w; 1972
16mm CB2285,16
A gripping, emotional, and effective evocation of America's experience in fighting World War I. Told using songs and archival films. Stresses the experience of the average American soldier in preparing for life in the trenches and then facing the reality of combat in France.

Memorial
10 min; color; 1971
16mm CC2458,16
Describes the Battle of the Somme in 1916 from the standpoint of the individual British soldier.
Illustrates the immense human cost of the war and the deadly futility of the great land offensives that dominated the course of the entire conflict.

*Verdun*
30 min; b&w; 1965
16mm CB1677,16

Highly effective description of the ten-month battle in 1916, the longest battle in history. Considers the German strategy in attacking at this point in the French line and the motives behind the French refusal to withdraw. Striking use of still photographs to illustrate the nature of the battle in which most soldiers died in massive artillery barrages without ever seeing the enemy.

*World War I: The Politics of Peacemaking (Second Edition)*
14 min; color; 1983
½ VHS CC3422, VH

Examines the last months of the fighting in which American influence temporarily dominated the exhausted Allied side. Describes the events of the peace conference at which the conflicting views of Britain, France, Italy, and the United States combined to produce the Treaty of Versailles.

*Russia: Czar to Lenin*
25 min; b&w; 1966
16mm CC1722,16

A brief survey covering the disintegration of imperial power in the reign of Nicholas II and Russia's radical turn toward Communism. Describes the revolution of 1905, World War I, and the two revolutions of 1917. Concludes with scenes from the Russian Civil War.

*The Last Years of the Tsars*
18 min; b&w; 1969; 16mm

Explains the various forces that led to the collapse of the Romanov dynasty.

*The Bolshevik Victory*
19 min; b&w; 1969; 16mm
Documentary footage of the Russian Revolution from the rise of Kerenski to the October (November) Revolution.

*Ordeal of Woodrow Wilson*
26 min; b&w; 1965; 16mm

Examines Wilson's Fourteen Points and their modification at the peace negotiations following World War I. Ends with the United States Senate rejecting United States membership in the League of Nations.
Chapter 27

The European Search for Stability, 1920–1939

I. THE VISUAL RECORD: THE HARSH LESSONS OF HYPERINFLATION

Inflation began during World War I. But prices rose so quickly in the early 1920s that the word “hyperinflation” was coined to define what was occurring. The French invasion of the Ruhr valley in 1923 was largely responsible for the hyperinflation that hit Germany that year. The German government’s uncontrollable printing of money, ignited a rapid and dramatic increase in prices. Germans blamed Communists, Jews, Socialists, bankers, unions, and the Weimar government itself. Germany experienced unemployment, starvation, disease, and abject poverty as a consequence of the hyperinflation of the 1920s.

II. GEOGRAPHICAL TOUR: EUROPE AFTER 1918

Revolutionary activity erupted throughout eastern Europe in the aftermath of World War I. Russia, engaged in a post–revolutionary civil war, was now both politically unstable and diplomatically isolated. After intervening in the First World War, the United States in the post-war period pursued a foreign policy of limited involvement. Consequently, Europeans faced a period of political doubt and economic instability.

A. New Nation-States, New Problems

The collapse of the Ottoman, Russian, Habsburg, and German empires in World War I created a number of new states in east and central Europe. Finland and the Baltic states of Estonia, Latvia, and Lithuania gained independence from Russia; Poland, Czechoslovakia, Austria, Hungary, Yugoslavia, and Romania separated Germany from revolutionary Russia. The hopes of peace rested on these new nations.

1. The Instability of Self-Determination. The Allies intended to stabilize the east by creating new countries that were defined by their nationality. But, these ethnically diverse, economically backward, and mutually antagonistic nations proved instead to have a destabilizing influence. The seemingly arbitrary borders of postwar Europe made even less economic sense. Industrialization was difficult given the reliance upon subsistence agriculture, low productivity, and high unemployment. Economic rivalry exacerbated territorial disputes and undermined prospects for a long-term peace.
2. Border Disputes. Virtually all of the new countries created by the Treaty of Versailles had serious territorial disputes with their neighbors. Austria, Hungary, Russia, and Germany, too, had territorial grievances. After a short war against Russia, Poland gained some land with the Treaty of Riga. Ardent nationalistic sentiments exacerbated economic, military, and ethnic rationales for modified borders and offered few prospects of a peaceful resolution of differences.

B. German Recovery

Despite its defeat, Germany emerged from World War I with a new democratic government, the Weimar Republic, and its industrial resources and transportation network largely intact.

1. Territorial Advantages and Goals. The weakness of the new buffer states in the east enhanced German interests in the region. On the other hand, its loss of Alsace and Lorraine to France, French temporary annexation of the Saar, the demilitarization of the Rhine, and the requirement to pay exorbitant reparations weakened Germany. German leaders sought to recover economically by forming an economic partnership with Bolshevik Russia, confirmed in the Treaty of Rapallo. German leaders ultimately realized that more economic benefits could be secured by improving their relations with the democratic west. Gustav Stresemann, Germany’s new foreign minister, worked with Britain and France in anticipation of proposing revisions to the Treaty of Versailles.

2. The Locarno Treaties. The Locarno treaties of 1925 sought to prevent future hostilities among Germany, France, and Britain by promising to reject war and to honor the existing boundaries of France, Belgium, and Germany. Despite the so-called “spirit of Locarno,” Germany’s secret rearmament testifies to its unwillingness to submit to the control of other European states and to its desire to regain lands forfeited at the end of the First World War, particularly along its eastern borders.

C. France's Search for Security

France emerged from World War I with the best-equipped army in Europe and a deep suspicion of Germany. Unable to secure alliances with Britain and the United States, France formed the Little Entente, an alliance with Czechoslovakia, Yugoslavia, and Romania. Although this bolstered France's position, it also committed the French to help defend its new allies. Insecurity and a desire for revenge marked the French attitude toward Germany throughout the early 1920s as France pushed for the strict enforcement of the Treaty of Versailles and constructed the Maginot Line, extensive defensive fortifications along the German border. Under pressure from Britain and the United States, France agreed to withdraw its forces from the Ruhr and the Rhineland in 1924-1925 and to lower Germany's reparations payments. Britain's unwillingness to engage in continental affairs exacerbated French fears.

D. The United States in Europe

European autonomy ended with the Treaty of Versailles. After World War I, the United States
was reluctant to assume a major role in European postwar affairs or to join the new League of Nations, thereby limiting the League's effectiveness. United States Secretary of State Frank Kellogg did, however, take the lead in the Kellogg-Briand Pact in which twenty-three nations renounced war.

III. CRISIS AND COLLAPSE IN A WORLD ECONOMY

All of the major European countries involved in World War I were left with enormous debts.

A. International Loans and Trade Barriers.

War debts to the United States sapped the economic strength of Britain and France, but American politicians had no interest in forgiving the loans. The Allies hoped that reparations from Germany would allow them to rebuild their economies. The final reparations imposed on Germany totaled $33 billion plus 26 percent of the value of German exports. Germany was unable to meet its payment schedule, setting off a period of unprecedented inflation. The efforts of bankers to stabilize this situation resulted in the Dawes Plan, which introduced a more realistic repayment schedule. Open markets were crucial to trade directly affected the debtor nations' ability to repay war loans. High tariffs, however, prevented European nations from selling goods in American markets. Inflation and a strong dollar limited the Europeans' ability to purchase American goods. American banks addressed these problems by extending private loans to European governments. This closely linked the European and American economies. Germany in particular benefited from American loans, but these loans dried up in 1928 as American investors moved their money into the American stock market. The Young Plan extended the reparations repayment schedule and provided Germany with an immediate loan of $100 million. Nevertheless, reparations undermined the economic stability of Weimar Germany. Speculation in the United States stock market, large numbers of short-term loans, protectionist trade policies, and closely intermeshed economies created a major economic collapse in 1929.

B. The Great Depression

The American stock market collapse in October 1929 swiftly pulled down the international economy and initiated a long period of worldwide economic depression.

1. Dependence on the American Economy. European nations had borrowed heavily from American investors during the 1920s. Over-reliance on short-term loans exacerbated the instability of European currencies. As production and wages fell, the Depression worsened. Banks and factories closed; people lost their jobs, their savings, and then their homes. Nations tried to protect their economies by restricting the exportation of gold and by erecting tariff barriers like the Smoot-Hawley Tariff of the United States. Problems of unemployment and under-consumption riddled most Western states. When Britain repudiated the gold standard in 1931, it lost its position as a major financial power.

2. Political Repercussions. The Depression caused the world to abandon the gold
standard. Reparations payments and war debts also stopped. Confidence in the notion of a self-regulated economy faded, as well. Fascists came to power in Germany; Democrats replaced Republicans in the United States. In Britain, a coalition government saw three parties share power. The economic instability of the period further undermined political stability of a Europe already divided by national rivalries, demands for self-determination, and grudges left over from World War I.

IV. THE SOVIET UNION'S SEPARATE PATH

Joseph Stalin demanded rapid economic improvement.

A. The Soviet Regime at the End of the Civil War

War, civil war, and famine left Russian industry in a shambles and the Russian people devastated by 1921. Within the Politburo, debates raged between proponents of a planned economy and advocates of a capitalistic one. The search for economic stability, seen as a critical component for popular political support of the Bolsheviks, led Lenin to step back from absolute communism. Lenin chose a middle course of maintaining trade unions while insisting on state economic planning and control.

B. The New Economic Policy, 1921–1928

In 1921 Lenin replaced the forced requisitioning of peasant produce with a tax in kind paid to the state. This allowed the peasants to resume private trade after fulfilling their state obligations. Lenin called his program the New Economic Policy (NEP).

1. Bukharin’s Role. The NEP combined socialism and capitalism. Engineered by Nikolai Bukharin, the NEP sought to base Russia's industrial growth on agricultural prosperity. He restored a market economy based on individual farms. He hoped that this return to capitalism would provide sufficient food for Russia’s industrial workers. But, when the new policy failed to return Russian agriculture to prewar levels of prosperity, the NEP fell out of favor with the Communist leadership as the state lowered grain prices. Lenin suffered a series of strokes in 1921, reducing him to a political nonentity by 1923, a year before his death.

2. Stalin Takes Charge. In 1928, Stalin reimposed grain requisitioning, thus inflaming the peasantry to riot. He then used this crisis to remove Trotsky and Bukharin from the Politburo. Stalin ruthlessly executed Bukharin for treason in 1938, he then exiled Trotsky in 1929 and had him assassinated in 1940.

C. Stalin's Rise to Power

Joseph Stalin emerged from extreme poverty to align himself with Lenin prior to the 1917
Revolution. Stalin served as people’s commissar for nationalities before becoming general secretary of the Central Committee of the Communist Party. After Lenin’s death, he encouraged a Lenin cult and then proceeded to eliminate his political rivals.

D. The First Five-Year Plan

Stalin's first Five-Year Plan (1929–1932) intended to transform the Soviet Union into an urban and industrial socialist society. Withdrawing labor and resources from the agricultural sector with forced collectivization, Stalin focused on the production of heavy industry. Heavy industry did flourish, but the fabric of Russian rural life was destroyed as the government forced the peasants to join collective farms. The government set prices and controlled production to guarantee the availability of food. The Five-Year Plan set the stage for a planned Soviet economy at the expense of extensive suffering by the Russian people the death of some five million people.

E. The Comintern, Economic Development, and the Purges

Lenin anticipated that a series of proletarian revolutions would sweep through central and eastern Europe after 1919. When these revolts failed to materialize, Russia turned toward traditional diplomatic methods to secure its survival. By 1924 all major countries, excluding the United States, had given diplomatic recognition to the Bolshevik government.

1. The Comintern. To advance the anticipated communist worldwide revolution, Russia established the Communist International, or Comintern, in 1919. Willing until 1929 to collaborate when necessary with moderates, the Comintern encouraged international working-class solidarity. Following Stalin’s lead, the Comintern adopted a policy of non–cooperation with Europe beginning in 1929, driving a wedge between Communists and democratic socialists. Although the Second Five-Year Plan, which was introduced in 1933, continued to focus on heavy industry, it encouraged the further industrialization and urbanization of the Soviet Union and saw a decline in Soviet dependence upon imports.

2. The Great Purge. Stalin choreographed a series of staged “show trials” beginning in 1934 when he purged the communist party of alleged opponents, termed “class enemies.” The purges were not, however, limited to party leaders as military officers, skilled industrial workers, and even peasants suffered greatly under the government's coercive policies. The Purges gave Stalin firm control of the Bolshevik Party and the Soviet Union. The purges, forced collectivization, and rigorous work requirements wreaked havoc on the Russian people during the critical period that fascism grew. In 1938 Stalin’s Third Five-Year Plan focused on the production of war material.

F. Women and the Family in the New Soviet State

The early Soviet state sought to widen women's opportunities while protecting the institution of
motherhood. In 1917, Russian women were enfranchised; in 1920, abortion was legalized. The right to divorce was guaranteed. The government failed, however, to take into consideration the special economic problems that women faced. Furthermore, declining birthrates convinced the government in the 1930s to reverse many of gains women had achieved, resulting in a glorification of motherhood and family values. Caught between the state's conflicting requirements for industrial production and for population growth, Soviet women found their burdens increasing.

V. THE RISE OF FASCIST DICTATORSHIP IN ITALY

The postwar crisis of confidence in liberal and democratic values caused by the Depression often led to fascism, where a charismatic dictator offered economic and social solutions for the difficulties in which Europeans found themselves. Fascists used the revolutionary language of the socialists, and employed patriotic symbols of the flag, nation, and army to gain mass support. Although Fascist movements were found in Britain, France, Hungary, and Spain, the one in Italy proved to be the most significant.

A. Mussolini's Italy

Many Italians were disillusioned by Italy’s meager gains in World War I and by unstable parliamentary regimes. Mussolini’s Fascists promised to solve Italy’s economic and political problems.

1. The Rise of Mussolini. Though he started his political career as a socialist, Mussolini was an ardent nationalist who came to see Bolshevism as Italy's primary enemy. His disciplined, albeit small, Fascist party was hostile to Italy’s weak government, big business, and trade unions. Fascists wanted to transform Italy into a leading power and to secure the people from the ravages of inflation. The Fascist Party overthrew a number of local governments in the early 1920s.

2. The March on Rome. The major event in Mussolini's rise to power was the “March on Rome” in October 1922, when the Fascists occupied the capital. Unemployment and inflation eroded popular support for the government. Fascist attacks on Catholics and Socialists, including the murder of the socialist leader, Giacomo Matteotti, intimidated opponents. Terrorizing rural and urban populations with the Squadristi and controlling the press, the Italian Fascists created a single-party dictatorship.

3. Dealing with Big Business and the Church. An alliance with Italian industrialists permitted management to control the workers. Mussolini’s use of loans to near-bankrupt businesses gave the government control over heavy industry. Mussolini forged an accord with the Catholic church in the Lateran Treaty, which recognized papal control of the Vatican City and Catholic involvement in Italy’s educational system. This allowed him to consolidate his position by 1929. On the eve of the Depression, Italy appeared to be orderly and stable.

B. Mussolini's Plans for Empire
His unsuccessful domestic policy encouraged Mussolini to improve his popularity through overseas adventures. In the 1930s, Italy conquered Ethiopia, revealing the irresolution of the League of Nations, and Albania. Warm diplomatic relations with Nazi Germany resulted in a military alliance known as the Pact of Steel.

VI. HITLER AND THE THIRD REICH

Weimar Germany faced grave political and economic crises in the 1920s, including hyperinflation and widespread unemployment. Extremists from both the left and right blamed the Weimar Republic for Germany's economic problems. The German economy soon recovered, however, to experience a period of solid growth. The Weimar was, nevertheless, politically unstable. Big business soundly criticized the government for its social welfare programs; growing numbers of lower class Germans complained about inflation. With little popular support for the Weimar Republic, the situation further deteriorated when the Great Depression hit in 1929.

A. Hitler's Rise to Power

Adolf Hitler was born in Austria in 1889. He lived a largely unsuccessful and uneventful life until World War I. After serving with distinction in the German army, Hitler became convinced that the Jews, communists, socialists, and liberals had betrayed Germany and were responsible for its military defeat. He recognized the weaknesses of the Weimar Republic, which he blamed for the reparations payments, the hyperinflation of the early 1920s, and the economic depression of the late 1920s. Hitler promised, however, to resolve these problems and return Germany to greatness.

1. The Beer Hall Putsch of 1923. Believing that the Weimar Republic was continuing to betray the German people, Hitler attempted to overthrow the government in 1923. His unsuccessful attempt resulted in a short incarceration, during which he wrote Mein Kampf. This book outlined Hitler's political program and stated his intent to come to power legally. He reached out in particular to the small farmer and the middle class while attacking Bolsheviks, Jews, and liberals.

2. Hitler as Chancellor. In January 1933, Hitler became the leader of the largest political party in Germany. Once he was in power, Hitler consolidated his control over the nation and transformed Germany into a police state where he was dictator. Although Hitler was at the top of the political spectrum, factions within the Nazi party established policy. Among these factions were the SA, or Storm Troopers, who helped Hitler acquire power by beating up their political opponents; and the SS, or protection squad, who purged the SA in 1934 to become Hitler's exclusive elite force.

B. Nazi Goals
Hitler had three primary goals—expansion, rearmament, and economic recovery.

1. Living Space. Hitler wanted to extend Germany's national borders through a policy he called *Lebensraum*, or living space, by taking over lands in central and eastern Europe.

2. Rearmament. Hitler saw rearmament as critical in restoring his nation's status as a major power. Hitler withdrew from the League of Nations and publicly announced German rearmament plans. In addition, he remilitarized the Rhineland and greatly increased expenditures on armaments. His *autarky* program was aimed specifically at making Germany self-sufficient.

3. Economic Recovery. Hitler's third goal was the economic recovery of Germany. The Four-Year Plan, introduced in 1936, targeted specifically rearmament and *autarky*. Under Hitler's leadership, Germany experienced a resurgent economy. Although full employment was achieved, economic self-sufficiency was not. At this point Hitler linked his economic and military goals and made the expansion of German territory his primary concern.

C. Propaganda, Racism, and Culture

Joseph Goebbels, Hitler's Minister of Propaganda, was highly effective in generating enthusiasm for the Nazi program. Taking advantage of Hitler's charisma and public speaking ability and effective use of propaganda, Goebbels appealed to the basest instincts of the German people.

1. Targeting the Young and Women. The Nazis carefully regulated family life. Youth organizations indoctrinated boys and girls in Nazi ideology. The Nazis maintained that women’s proper place was in the home where they could raise large families. The Nazis introduced a number of social programs that encouraged marriage and large families. There were also programs to eliminate abortion and birth control. Once war began, however, women gained additional responsibilities of working outside the home. By 1943, female labor was compulsory.

2. Enemies of the State. Propaganda criticized political opponents and humiliated homosexuals and other “asocials.” Communists, Jews, and deviants known as “asocials” were targeted for persecution and internment in concentration camps. The mentally ill and disabled were euthanized. Propaganda also condemned everything and everyone from outside Germany—including Mickey Mouse.

3. Scapegoating Jews. The principal targets of propaganda were the Jews. The Nuremberg Laws denied Jews access to universities, the right to pursue certain occupations, German citizenship, and the right to marry non-Jews. *Kristallnacht*, a night of violence directed against German Jews, resulted in the widespread destruction of synagogues and the arrest of tens of thousands of Jews. Hitler’s racism and anti-Semitism was neither unique nor new. Sterilization of some 400,000 “undesirables” began in 1933.
VII. DEMOCRACIES IN CRISIS

Western democracies were tentative in their reaction to the consequences of the Depression. The British and French economies remained stagnant throughout the 1930s. Meanwhile, Spain experienced a divisive civil war, in which the Soviets, Italians, and Germans intervened.

A. The Failure of the Left in France

The Depression shook the French faith in free markets without creating a viable alternative economic vision. The absence of common goals resulted in the establishment of a proliferation of political parties that led to political instability because of the government’s uncertain and haphazard reaction to the Depression. Government spending dwindled until the formation of Léon Blum’s Popular Front joined Left and Center parties in 1936. But, Blum’s inability to boost productivity strengthened the Right's appeal to the middle class even as it drove opponents on the Left toward the Communist party. No parliamentary consensus was possible in this factional context. When Blum's Popular Front government fell in 1937, France's economy remained stagnant.

B. Muddling Through in Great Britain

Prime Minister Ramsay MacDonald found his socialist Labour government to be unprepared to deal with the serious economic problems of the Depression. Consequently, he formed a coalition National Government that attempted to resolve Britain’s banking crisis, rising unemployment, and rapidly escalating national debt.

1. Slow Recovery. The National Government took Britain off the gold standard, devalued the pound, and established protective tariffs. The British economy slowly recovered.

2. The British Union of Fascists. In 1932, Sir Oswald Mosley founded the British Union of Fascists (BUF), which shared views similar to those of other fascist organizations. But public alarm over the BUF’s increasingly inflammatory and anti-Semitic rhetoric, its denunciation of parliamentary democracy, and its use of violence, along with the country’s economic recovery allowed the traditional party system to prevail.

C. The Spanish Republic as Battleground

In 1931, Spain became a democratic republic. Five years later, Spanish voters elected a radical Popular Front government that unleashed a social revolution when it seized the property of aristocratic landlords and attacked the Catholic church. Revolutionary workers went on strike. Three years of civil war followed. On one side were the Republicans, the defenders of the social revolution. On the other side were the Nationalists, led by Francisco Franco, who sought to overthrow the Republic. Italy and Germany supported Franco; the Soviet Union backed the Republicans. Franco’s Nationalists finally won in 1939.
CONCLUSION

Fascist dictatorships flourished throughout most of Europe in the 1930s as liberal governments appeared to be unable to resolve Europe’s economic, social, and international problems. A disillusioned populace turned increasingly toward fascists who threatened democratic institutions, but who also promised international stability and economic prosperity.

KEY TERMS, PEOPLE, AND EVENTS

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NEW GEOGRAPHICAL LOCATIONS

| Barcelona | Polish Corridor | Yugoslavia |
| Ruhr     | Saar            | Rhineland |
| Union of Soviet Socialist Republics | Munich | Manchuria |
| Libya    | Albania         | Valencia |

DISCUSSION AND ESSAY QUESTIONS

1. Discuss the consequences of the peace settlement of 1919. Did the Treaty of Versailles establish peace in Europe or precipitate new conflicts?
2. Compare and contrast the efforts of Lenin and Stalin to establish socialism in the Soviet Union. Which leader remained most true to Marx's vision?

3. Discuss the appeal of fascism in postwar Italy and Germany. What forces motivated two such disparate states and populations to embrace fascist ideology?

4. Why did many Europeans embrace fascism in the 1930s? To what degree did weak parliamentary systems, multiparty governments, and the general insecurity of the times magnify the attraction of charismatic leaders?

5. Compare Stalin's economic and social programs with those of Adolf Hitler. In which country would you prefer to live?

6. What was the political impact of the Great Depression?

RELEVANT TRANSPARENCIES AND MAPS

Danzer's Discovering Western Civilization Through Maps and Views

S79: Deportation of Nationalities in the USSR

RELEVANT STUDENT MAP EXERCISES

Danzer's Mapping Western Civilization

T29: Modern Europe: A Chronological Perspective

ANNOTATED FILM LIST

The Haunted Screen: Weimar Cinema
60 minutes; color; 1999

Examines leading cinema figures of Weimar Germany.

Stalin: The Red God
62 minutes; color; 1999

Uses eye–witness accounts along with dramatic reenactments and Soviet art and architecture to show key events in Stalin’s regime and explain the impact he had on Soviet society.

Stalin: Man and Image
Presents the political career of Joseph Stalin through the 1930s. Shows how his talents and the political atmosphere of the 1920s combined to open the way for him to take power. Concludes by describing the deep changes Stalin imposed on the Soviet Union and its Communist Party by the close of the 1920s.

*The Fascist Revolution*
29 min; b&w; 1959
16mm CB1102,16

An examination of fascism as a movement that was widely present in the post-1918 world. Considers the basic ideas of fascism, the way fascist parties reached power in some of the most important countries of Europe, and the way fascism helped bring on World War II.

*The Democrat and the Dictator*
55 min; color; 1984
½ VHS CC3670, VH

Bill Moyers examines the contrasting personalities and political careers of Franklin Roosevelt and Adolf Hitler. The film presents the two national leaders during a variety of public occasions. Vividly demonstrates the distinction between American and German responses to the political and economic crises of the 1930s. One of the best documentaries available on the period.

*Mussolini*
25 min; b&w; 1959
16mm CB1077,16

Examines the rise of the Italian dictator in the 1920s and his subsequent role in Italian and European affairs to 1945.

*From Kaiser to Fuhrer*
26 min; b&w; 1960

Skilled presentation of German history from the revolutionary surge following World War I to the growing role of the Nazi Party within the parliamentary system at the close of the 1920s. Unusual footage from the street fighting in 1919 contrasts dramatically with later scenes of a prosperous and apparently content Germany between 1925 and 1929.

*Franco: Caudillo of Spain*
24 min; color; 1977; 16mm

Study of Franco's rise to power during the Spanish Civil War and his influence on domestic Spain until his death in the 1970s.
*Benito Mussolini*
26 min; b&w; 1963; 16mm

Documentary examination of the life and death of Mussolini.

*Make Germany Pay*
22 min; color; 1977; 16mm

Shows the effect of the harsh Treaty of Versailles upon German life in the 1920s.

*The First Moscow Purge Trials*
27 min; b&w; 1955; 16mm

A re-enactment of the political trials that Stalin staged in the 1930s.
Chapter 28

Global Conflagration: World War II, 1939–1945

I. THE VISUAL RECORD: PRECURSOR OF WAR

Adolph Hitler’s triumphant entry into Vienna signaled his successful unity of the German people into a single nation. The *Anschluss* was the first in a series of aggressive steps that Hitler would take to extend German control over central Europe. A plebiscite of the Austrian people approved the union of Germany and Austria which anticipated a major war.

II. AGGRESSION AND CONQUEST

The refusal of Britain, France, and the United States to deal with the threat that Hitler posed to world peace was the most conspicuous factor in international politics from 1933 to 1939. Germany was not the only concern, however, as Japan invaded Manchuria, establishing a puppet regime in 1931–1932, and then attacked China again in 1937. The coming war would be a global one that pitted the Grand Alliance (Britain, United States, and Soviet Union) against the Axis Powers (Germany, Italy, and Japan).

A. Hitler's Foreign Policy and Appeasement

Hitler was aware of the inevitability of war with the Soviet Union. He wanted, however, to avoid fighting the two-front war Germany had fought in World War I by remaining at peace with Britain. He believed that peace with Britain could be maintained by his promise to leave the British Empire intact.

1. The Campaign Against Czechoslovakia. After Hitler annexed Austria he demanded that Czechoslovakia surrender the Sudetenland, a German-speaking region of that country. This area would serve as a jumping-off point for future expansion. British Prime Minister Neville Chamberlain convinced the Czechs and the French to agree to Hitler’s demands to preserve the peace.

2. Appeasement at Munich. Western statesmen responded to Hitler's aggressive foreign expansion with the policy of appeasement, whereby they made concessions to maintain the peace. Britain, unwilling to face the prospect of war, convinced France and Czechoslovakia to accept German control of the Sudetenland at their meeting at Munich. Hitler would soon
conquer the remaining part of Czechoslovakia and demand that Germany also be given Memel and the Polish Corridor. Hitler's insatiable territorial ambitions were now very clear.

B. Hitler's War, 1939–1941

Strengthened by his Pact of Steel with Mussolini in May 1939, Hitler signed the Non-Aggression Pact with Stalin, which effectively neutralized the Soviet Union. Together these pacts forced Britain and France to face reality and sign an alliance to guarantee the integrity of Poland. The German invasion of Poland initiated World War II on September 1, 1939. The Soviet Union would also invade Poland and Finland. Despite initial Finnish successes, the Soviets would win by March 1940.

1. War in Europe. Following Germany's conquest of Poland, the war entered a six-month interlude known as the “phony war,” in which Hitler delayed his offensive in the north and west. This fed a sense of defeatism in France, that deepened with Hitler's successful invasion of Belgium, the Netherlands, and Luxembourg in May 1940. At Dunkirk Britain withdrew its European troops from the Continent, leaving France to face the full impact of the German Blizkrieg, or “lightning warfare.” Neither the hilly terrain nor the Maginot Line of fortifications slowed the German advance as Germany’s armies advanced quickly through France.

2. The Fall of France. In June 1940, France, weakened by poor morale, capitulated to the Germans. Germany annexed 60 percent of France, including the entire Atlantic coast. The remainder of France, known now as Vichy France, was under the control of a collaborationist government that Petain led.

3. The Battle of Britain. Britain was now left alone to fight the Axis powers. Britain fought off attacks of the German air force in the Battle of Britain. Unsuccessful in the air war, Hitler canceled his plans to invade Britain.

4. The Balkans at War. Mussolini's unsuccessful military operations in the Balkans required German military intervention. Hitler launched Operation Marita against Greece before invading Yugoslavia. Victory in the Balkans gave Germany access to oil, metal ores, and foodstuffs, as well as control over the Dardanelles.

C. Collaboration and Resistance

Hitler realized that control of the Balkans required him to collaborate with local governments as collaboration reduced the need for German troops and supplies in the region. Some collaborators shared an ideological commitment to fascism or preferred fascism to communism.

1. Motives for Collaboration. Some thought that survival necessitated cooperation. Others believed that collaboration would lighten the touch of Nazi occupation. Other collaborators believed that it was in their national self-interest to work with the Nazis.

2. Forms of Resistance. Some preferred resistance to collaboration, however. Guerrilla warfare, dissemination of subversive tracts, sabotage, espionage, and assassination were some of
the methods that resistance movements utilized. After Hitler invaded the Soviet Union, Communists were at the center of the resistance movement. Tito's efforts to fight Nazism in Yugoslavia were highly effective, but resistance movements did little in general to influence the ultimate outcome of the war. By mid-1941 Hitler's empire stretched from the Baltic to the Black Sea, the Atlantic to the Russian border.

III. RACISM AND DESTRUCTION

Racism justified and intensified the atrocities of World War II in both Asia and Europe. Germany, Japan, and the United States employed racist arguments to bolster their war efforts, but racism was most virulent in Germany, where persecution and confiscation of property gave way to extermination in 1941.

A. Enforcing Nazi Racial Policies

The Nazi government targeted a number of different social groups for imprisonment, sterilization, scientific experimentation, euthanasia, or execution. Among those distinguished were gypsies, mixed-race children, the mentally and physically handicapped, Jews, and the “asocials”—criminals, alcoholics, beggars, vagrants, homosexuals, and prostitutes.

B. The Destruction of Europe's Jews

Hitler's anti-Semitic policies evolved during the 1930s and early 1940s. Germany seized Jewish property, concentrated the German Jewish population in urban ghettos, and considered possible deportation. His policies were, however, neither clear nor well-organized before 1941.

1. The “Final Solution.” The first mass execution of eastern Jews occurred with the invasion of Poland. Increasingly obsessed with his pursuit of the “Final Solution”—the extermination of all European Jews—Hitler engineered the mass killings of eastern European Jews when his armies invaded the Soviet Union in 1941. Envisioning the invasion as a “holy war” would destroy inferior races, the SS employed mobile murder squads (SD). Without a single specific order from Hitler, Germans built concentration camps where gas chambers exterminated Jews en masse. Concentrated in five major camps, the Nazis ultimately massacred six million Jews and approximately the same number of non-Jews. Within the camps, hard labor, starvation, disease, and death shaped the parameters of life. The Germans immediately targeted the weak, sick, pregnant, and old for extermination. It soon became clear that even those allowed to live were only intended to serve the immediate needs of the Nazis.

2. Resisting Destruction. The full mobilization of the Nazi state meant that there was little realistic chance for the Jews to resist. The gradual escalation of executions meant that few Jews fully understood what was going on. The isolated instances of resistance highlight the impossibility of rebellion by physically weak people in these heavily guarded centers.

3. Who Knew? Nazi propaganda convinced millions of Germans that the mass
 extermination of Jews was essential to the triumph of the Third Reich. Without publicly announcing the program of mass executions, the Nazi government convinced the German people of the justification of the Nazi cause. Few chose to question what they were told. Collaborationist governments similarly cooperated with Germany's Final Solution. Despite their knowledge of the nature and scale of the Holocaust, the British and American governments refused to intercede. After the war, Nuremberg hosted an international tribunal that tried leading Nazis for war crimes.

**IV. ALLIED VICTORY**

The entrance of new combatants into the war in 1941 slowly turned the tide against the German Reich as it now had to compete in a global war against the British Empire, the Soviet Union, and the United States.

A. The Soviet Union's Great Patriotic War

Despite his Nonaggression Pact with the Soviet Union, Hitler always considered that country to be his primary enemy.

1. Soviet Unpreparedness. In June 1941, Hitler turned his forces against the Soviet Union. Although the Soviet Union boasted a large army, its soldiers were inexperienced. Moreover, few senior military commanders had survived Stalin's Purges. Following the German invasion, the Soviet Union joined forces with Britain and the United States.

2. German Offensive and Reversals. Germany initially intended to destroy the Soviet army and to capture Leningrad and the oil fields in the Caucasus. The Germans were initially successful, advancing to the gates of Moscow. But inadequate supplies, the brutal Russian weather, and the arrival of reinforcements from Asia, enabled the Soviets to drive the Germans back. The next German offensive, which centered on Stalingrad, failed to capture the city.

3. Soviet Patriotism. The Soviets had three advantages: the size of the Russian population, their knowledge of Russian terrain and weather, and their willingness to suffer for their homeland. A resurgent patriotism and the knowledge of the harsh treatment they could expect at the hands of the German army sustained the Russian people in the midst of the horrors of a war, which reduced the population by 10 percent. These sacrifices spelled defeat for the German army on its eastern front.

B. The United States Enters the War

Active in providing military equipment to the Allies through its Lend-Lease Program from 1941, the United States served as the “arsenal of democracy.” American military equipment made the Russian war effort possible.

1. Japan Attacks. As Japan expanded into China, Indochina, and Thailand, it became
increasingly vulnerable to boycotts and embargoes. American-Japanese relations deteriorated after Japan invaded Indochina, setting the stage for the Japanese bombing of the American fleet at Pearl Harbor on December 7, 1941. This attack brought the United States into the war. Japan meanwhile took over Thailand, Burma, the Philippines, and most of Indonesia as it prepared to invade Australia.

2. Germany Declares War on the United States. Hitler, eager to bolster his alliance with Japan, declared war on the United States four days later. Despite the small size of its peacetime army, when war was declared, the United States would be able to use its considerable industrial base to manufacture the weapons of war as the country abandoned peace in favor of war.

C. Winning the War in Europe

President Roosevelt made Europe the principal theater of American military operations. Pressed by Stalin to open a second front in Europe, Anglo-American forces invaded North Africa in 1942. British and American troops invaded Sicily and Italy. In June 1944, Allied troops under Dwight Eisenhower landed on the beaches of northern France, in what was known as Operation Overlord. After successfully liberating Paris in August 1944, Allied troops swept across France. Then, after defeating a major German counter-offense at the Battle of the Bulge, the Allies crossed the Rhine in March 1945. Russian forces entered Berlin in April, bringing the European war to an end as Hitler committed suicide.

D. Japanese War Aims and Assumptions

At first the Japanese posed as Asian nationalists and liberators intent on overturning European imperialism in Asia.

1. Japanese Hegemony in Asia. Replacing imperialist governments with the Greater East Asia Co-Prosperity Sphere in 1940, the Japanese quickly revealed their own imperialistic ambitions and racist attitudes. Other Asian peoples soon recognized that Japan simply wanted ready markets and sources of raw materials for Japanese industry. All of Asia would eventually contribute to the economic prosperity and military success of Japan. Japanese claims of racial superiority, as well as vicious acts of brutality in places like Nanjing, China, aroused resistance to Japanese authority.

2. Japan’s View of the West. The Japanese government effectively used propaganda to advance claims of Japanese moral superiority over westerners, preparing Japanese soldiers and civilians for the sacrifices the war would bring, but misleading them about the resolution of Americans and Europeans. Japanese officials called on their people to help the war by seeking purification which could be achieved by poverty, self-sacrifice, and suicide.

E. Winning the War in the Pacific

Allied armies stopped Japanese expansion in the jungles of New Guinea, preempting the
Japanese invasion of Australia. After the American victory at Midway, the Americans employed joint air-land-sea forces to island-hop toward Japan. By the spring of 1945, American bombers were able to bomb the Japanese home islands after securing the islands of Tarawa, Saipan, and Iwo Jima. Japan surrendered unconditionally after Americans dropped atomic bombs on Hiroshima and Nagasaki.

F. The Fate of Allied Cooperation: 1945

Fifty million people, more than half of whom were civilians, died during the Second World War. The deliberate bombing of cities, along with concerted efforts to starve, enslave, and kill civilians, explain the high civilian casualty rate.

1. Civilian Populations. The personal, material, and psychological toll devastated Japan and Europe. Women were often targeted for mass rape. The physical destruction of cities was extensive. Only the United States emerged strengthened from this war.

2. The Big Three. Throughout the war, the leaders of Britain, the United States, and the Soviet Union met to discuss military strategy and war aims. Churchill, Stalin, and Roosevelt agreed that Germany would surrender unconditionally, would be de-Nazified, would be disarmed, would see their leaders tried for war crimes, would pay reparations to the Soviet Union, and would be occupied by Allied forces. Stalin, whose armies controlled all of eastern Europe, wanted these states to buffer his nation from another attack from the west. Although Britain's leader, Winston Churchill, accepted this situation, Americans were reluctant to accept the Soviet occupation of eastern Europe.

CONCLUSION

The Nazis dominated Europe during the first two years of the war. The tide turned against the Axis Powers in 1941, however, with the entry of the Soviet Union and the United States. Some fifty million people would die in a war that ended with the detonation of two atomic bombs. The world would now be divided between two superpowers—the Soviet Union and the United States.

KEY TERMS, PEOPLE, AND EVENTS

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<td>Neville Chamberlain</td>
<td>Edouard Daladier</td>
<td>Non-Aggression Pact</td>
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<td>&quot;Winter War&quot;</td>
<td>&quot;phony war&quot;</td>
<td>Dunkirk</td>
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<td>Vichy</td>
<td>appeasement</td>
<td>blitzkrieg</td>
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<td>Battle of Britain</td>
<td>resistance movements</td>
<td>Tito</td>
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<td>the &quot;final solution&quot;</td>
<td>Reinhard Heydrich</td>
<td>Auschwitz</td>
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<td>Great Patriotic War</td>
<td>Gyorgi Zhukov</td>
<td>Stalingrad</td>
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<td>Nagasaki</td>
<td>Yalta</td>
<td>appeasement</td>
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<tr>
<td>Lend-Lease</td>
<td>Tripartite Pact</td>
<td>Dwight Eisenhower</td>
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<tr>
<td>Midway</td>
<td>Chester Nimitz</td>
<td>Hiroshima</td>
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Potsdam    Douglas MacArthur    SD
Winston Churchill    Nuremberg Trials    Operation Barbarossa
Pact of Steel    Battle of Britain    Operation Marita
SS    Iwo Jima    Adolph Hitler
Operation Overlord

**NEW GEOGRAPHICAL LOCATIONS**

Manchuria    Sudetenland    Vichy France
Dunkirk    Stalingrad    Leningrad
Ural Mountains    Midway    Canton
Rotterdam    Dresden    Shanghai
Hankow    Guadalcanal    Senegal
Solomon Islands    Bessarabia    Caucasus
Coventry    Malaga    Burma
Peking    Nanking    Pearl Harbor
Hong Kong    Singapore    Thailand

**DISCUSSION AND ESSAY QUESTIONS**

1. Discuss the origins and nature of the policy of appeasement. Why did Western nations such as Britain refuse to accept the realities of German politics in the 1930s? Can you think of other situations wherein nations have consciously rejected appeasement as a diplomatic alternative?

2. Discuss the rationale and evolution of Hitler's "Final Solution."

3. Germany controlled most of continental Europe in 1941, yet fell to Allied forces in 1945. Discuss the crucial forces and events that turned the tide against Germany in the intervening years. Were internal or external pressures more decisive in Germany's defeat in 1945?

4. Was President Roosevelt right in pursuing a Europe-first policy? Given the Japanese attack that initiated our entrance into the war, should he have concentrated first on the war in the Pacific?

5. How did Americans justify the detonation of the atomic bombs at Hiroshima and Nagasaki? Were the Americans racists in using the bomb? Would they have used atomic weapons against Nazi Germany?

**RELEVANT TRANSPARENCIES AND MAPS**

Danzer's Discovering Western Civilization Through Maps and Views
S79: Deportation of Nationalities in the USSR
S80: German Infantry Division
S81: War Map of Europe, 1941
S82: The World According to Mackinder, 1943
S83: The World in 1945

RELEVANT STUDENT MAP EXERCISES

Danzer's Mapping Western Civilization

T28: World War II in Europe and North Africa
T29: Modern Europe: A Chronological Perspective

ANNOTATED FILM LIST

World War II, Part I: Into the Storm
54 minutes; color; 1999

Depicts Hitler’s rise to power, his anti-Semitic policies, and the events leading to the Second World War.

World War II, Part II: A Time of Reckoning
35 minutes; color; 1999

Describes events in both the European and Pacific Theaters of the war along with domestic events in the United States.

Atlantic Partnership
20 min; b&w; 1966
16mm

Examines the relationship between the United States and Great Britain from the signing of the Atlantic Charter to the entry of the United States into the war.

Why Appeasement?
21 min; b&w; 1977
16mm

Explains British rationale for acquiescing to Hitler's demands at Munich.

Churchill: Voice of a Lion
24 min; color; 1978
16mm CC3008,16
An examination of Churchill as political leader and orator, focusing on the World War II years. Shows his meetings with the other great Allied leaders, and presents excerpts from his most renowned wartime speeches.

*De Gaulle: Force of Character*
24 min; color; 1980
16mm CC3010,16

Describes the role of Charles de Gaulle as military and political leader in World War II. Shows how he emerged out of the defeated France of 1940 to become a successful resistance leader and to lay the basis for his postwar political career.

*Hiroshima–Nagasaki—August, 1945*
16 min; b&w; 1969
16mm CB2380,16

Describes the use of the atomic bomb against Japan in the summer of 1945. Uses vivid film footage taken by Japanese cameramen shortly after each of the two atomic blasts.

*We Must Never Forget: The Story of the Holocaust*
35 min; color; 1955

Photographs, documentary films, and personal interviews about the Holocaust.

*The Master Race*
20 min; b&w; 1984

Examines the Nazi concept of the superiority of the Aryan race.

*Hitler's Germany: 1933–1936*
24 min; color; 1978
16mm

Traces the Nazi rise to power and their early efforts to reverse the effects of the Treaty of Versailles and to persecute the Jews.

*Franklin D. Roosevelt: The War Years*
20 min; b&w; 1974
16mm CB2380,16

presents the story of the great American president during the period from 1941 until his death in 1945. Shows the disastrous beginning of the war under Roosevelt's leadership in 1941 and early 1942, the turn of affairs in late 1942, and the subsequent drive to victory. Examines his successful race for an unprecedented fourth term in 1944.

*Hitler: Revenge to Ruin*
Traces the German leader's role in the war from 1940 to his suicide in April 1945. Shows the course of the war turning from stupendous success against France in 1940, to stalemate against the Soviet Union in 1941, and to calamitous defeats thereafter.

*In Dark Places—Remembering the Holocaust*
55 min; color; 1978
16mm CC3172,16

Vivid and disturbing examination of the destruction of European Jewry at the hands of the Nazis. Presents the recollections of Holocaust survivors and the testimony of their children. Contains an interview with author and literary critic Susan Sontag, in which she considers explanations for the Holocaust and ponders its significance for the contemporary world.

*Nuit et Brouillard (Night and Fog)*
32 min; color; 1955
16mm

Classic and unforgettable account of the murder of millions of European Jews by the Nazis. Sketches the chronological course of events but emphasizes the timeless horror of the crime. Blends archive footage with recent views of the death camps. In French with English subtitles.
Chapter 29


I. THE VISUAL RECORD: EUROPE IN RUINS

In the aftermath of the Second World War Europeans experienced widespread destruction, starvation, dislocation, unemployment, deprivation, and the absence of such common things as electricity and sanitation. Warsaw is representative of the destruction of Europe in the post-war period. During World War II Warsaw had been systematically destroyed. After the war the Poles sacrificed to restore their city to the way it looked before 1939. Their success makes Warsaw a model of historical preservation.

II. THE ORIGINS OF THE COLD WAR

The massive devastation of World War II made reconstructing Europe a task of extraordinary difficulty. Political instability and the absence of money complicated efforts to reconstruct and feed Europe. The Cold War began as Americans and Soviets held markedly different positions concerning the economic recovery of Europe.

A. The World in Two Blocs

Following World War II the United States and the Soviet Union emerged as the two superpowers. The Cold War between these two nations centered on economic and foreign policy differences, an arms race, and ideological hostility.

1. The Division of Germany. While the United States expected to reestablish the German economy with American dollars, the Soviets hoped to confiscate German resources to compensate the Soviets for their extensive losses during the war. The Allies divided Germany into four zones of occupation, but there was a single administration and a single currency. The Soviets blockaded Berlin after the British and Americans sought to strengthen the German economy. The Americans and British reacted to the blockade with the Berlin Airlift. About a year later the Soviets lifted the blockade. The division of Germany became permanent, however, in 1949.

2. Eastern Europe and the Soviet Bloc. The Soviet Union established “friendly” governments in Finland, East Germany, Poland, Bulgaria, Rumania, Czechoslovakia, and Hungary. These buffer states served to protect the Soviet Union from invasion and facilitate
Soviet economic recovery. The Soviets maintained strict control over these satellite states. For the Soviets, the recovery of their economy was the first priority.

3. NATO and Other Treaty Alliances. The United States employed NATO, SEATO and CENTO military alliances to contain the Soviet Union and prevent the spread of communism. In 1966, France withdrew from NATO because of the French reluctance to follow American generals. In 1955, the Soviets joined its satellite states in the Warsaw Pact alliance that intended to counterbalance the strength of NATO.

B. The Nuclear Club

During the Second World War, the United States, Britain, Germany, and the Soviet Union worked on developing the atomic bomb. The United States took the early lead in the nuclear arms race. After the war, the Soviets worked feverishly to develop their own atomic weapon. By 1949, both the Soviet Union and the United States had tested atomic bombs; by 1953, both states had developed hydrogen weapons and the race for nuclear armament was on. When the Soviet Union launched the Sputnik I rocket in 1957, the arms race reached outer space. Cold War politics, characterized by its avoidance of direct military confrontation, took its shape from the nuclear nations' ability to exact total destruction upon each other. Paranoia seized the public imagination on both sides of the iron curtain. Efforts to achieve arms limitation achieved some success in 1963 with the Nuclear Test Ban Treaty, but the arms race continued to dominate Cold War politics. By 1974, Great Britain, France, India, and China had joined the “nuclear club.” By the 1970s, the two superpowers had decided to improve relations and reduce their nuclear arsenals.

C. Decolonization and the Cold War

Following the Second World War, European nations liberated their colonies. Former colonies were not truly independent, however, as they were forced to choose sides with either the United States or the Soviet Union. After coming to power in 1956, Khrushchev pursued varied approaches to extend Soviet influence in the so-called “third world.”

1. Asia. Gandhi used civil disobedience to secure India’s independence from Great Britain. Soon other British colonies in Asia gained their independence, as well. The postwar world saw nationalist leaders emerge in China, Korea, Burma, and Indochina. War erupted in Korea in 1950 when communist North Korea invaded democratic South Korea. The intervention of China and the United States on opposing sides resulted in a stalemate there in 1953. The United States also committed troops in southeast Asia after France withdrew its soldiers from the region in 1954. Americans justified their involvement in southeast Asia with the domino theory, which suggested that fighting in Asia was preferable to fighting elsewhere in a couple of years. Despite a valiant military effort the United States had lost the war by 1973.

2. Africa. Africa experienced decolonization in the late 1950s and 1960s. Nkrumah led the independence movement in Ghana, decried neocolonialism, and (with Kenyatta) founded the
Pan-African Federation. France lost a war that resulted in Algerian independence in 1962.

3. The Middle East. Money bought Americans and Soviets the support of client states in the Middle East as Britain and France pulled out of the region. Israel complicated relationships with its neighbors following its creation in 1948. In 1951, the United States helped impose the shah in Iran to secure access to that nation’s oil fields. Five years later Egypt’s Nasser seized the Suez Canal. Tensions remain have remained high throughout the region throughout the postwar era.

4. Latin America. The United States faced communist movements in Guatemala and Cuba in the 1950s. The 1962 Cuban Missile Crisis centered on the removal of Soviet nuclear missiles from that island. Once the crisis passed, the Americans and Soviets realized that they needed to work toward peaceful coexistence to avoid a nuclear war.

III. POSTWAR ECONOMIC RECOVERY IN EUROPE, JAPAN, AND THE SOVIET UNION

Unlike the prosperity of post-war America, postwar Europe was in ruins. The only economic concern of the United States seemed to be the ready availability of international markets.

A. The Economic Challenge

Millions of dislocated people exacerbated the economic disruption that followed the war, raising the question of whether Europe would ever recover. Housing shortages complicated the problem of resettling displaced persons; industrial and agricultural shortages complicated the problem of maintaining them. Both agricultural and industrial production fell below prewar levels. The destruction of communications networks and transportation infrastructure further hampered economic recovery. The Soviet seizure of machinery exacerbated the economic distress in Germany. The shortage of basic necessities, the black market prices, and the currency collapse fed inflation and blackened economic forecasts.

B. The Economic Solution: The Marshall Plan

In 1947, United States Secretary of State George C. Marshall introduced the European Recovery Act, better known as the Marshall Plan, which extended tens of billions of dollars in aid to those nations willing to cooperate in forming international economic policy and dismantling tariff barriers. Western nations embraced the Marshall Plan, but the Soviet Union rejected the plan, as it feared American intentions.

C. Western European Economic Integration

The Marshall Plan encouraged western states to undertake cooperative economic planning and regulation, and eschew the nationalization of industry.
1. Planning for Recovery. Post–war governments accepted their responsibility for economic planning and intervention, implementing John Maynard Keynes's economic theories, which encouraged governments to accept their central role in economic planning and regulation and in spending money to escape from economic depression. Workers additionally benefited from the extension of unemployment, retirement, and health benefits.

2. European Economic Cooperation. The Office of European Economic Cooperation encouraged economic stability and the modernization of production techniques and management methods, the collaboration of public and private enterprises, and the establishment of a welfare state. These methods facilitated economic recovery. West Germany endorsed a free-market policy that provided workers with extensive social security benefits. In doing so, it became the richest nation in Europe. The Marshall Plan helped integrate the European economy in the postwar period. Belgium, the Netherlands, and Luxembourg went even further by forging a single economic area known as Benelux; France and Germany combined their coal and steel resources in 1950 under the Schuman Plan. In 1957, these five nations, along with Italy, established the European Economic Community (EEC) to encourage free trade among member states. The EEC later led to an integrated European economy through the establishment of the Common Market which even included Britain, an initial opponent, by 1973. The Common Market encouraged the unrestricted movement of capital and labor, free trade, and coordinated welfare programs exacerbating differences with the Communist bloc.

D. Japan’s Recovery.

The American forces occupying Japan, reshaped its devastated economy, returning industrial productivity there to its prewar level by 1956. Douglas MacArthur oversaw moves to introduce democratic government and implement western planning methods and new technology that transformed Japan. Demilitarization freed valuable resources for investment and fed economic growth.

E. The Soviet Path to Economic Recovery

Stalin answered Truman’s Marshall Plan with COMECON, a series of bilateral economic agreements that gave the economic advantage to the Soviet Union over its satellite states. Under Stalin, the Soviet economy underwent a dramatic recovery, but it still focused on heavy industry, space exploration, and nuclear arms production at the expense of consumer goods. Satellite states were also important buffers between the Soviet Union and Western Europe.

1. De-Stalinization. In 1953 Stalin’s death created a power vacuum. It took three years before Nikita Khrushchev emerged as the new Soviet leader. Both inside and outside the Soviet Union efforts arose to reverse Stalin’s policies and repression. Gomulka tried to liberalize Poland. Hungary’s threat to withdraw from the Warsaw Pact and overthrow Imre Nagy sparked a Soviet invasion of that country in 1956. The violence unleashed against Hungary demonstrated that there would be no lessening of Soviet influence on Khrushchev’s watch.
2. The Soviet Standard of Living. The Soviet focus on heavy industry and defense meant that the Soviet government did little to improve the standard of living of the Russian people. Soviet women, too, received less pay than their male counterparts. After Stalin’s death, Khrushchev promised lower prices and shorter working hours. Yet, when Khrushchev fell from power in 1964, the Russian people had seen few improvements.

3. Eastern Bloc Economics and Dissent. Eastern European nations experienced a similar pattern of economic development as they pursued the same economic goals as the Soviets. The satellite states emphasized defense and heavy industry at the expense of consumer goods and agriculture, leading to a growing restlessness. Nevertheless, the communist governments subsidized housing, health care, and higher education, and were able to thus eliminate most poverty. Encouraged by economic disparities between East and West Germany, defectors fled communist regions in Germany in large numbers in the late 1950s and early 1960s. The Soviet Union erected the Berlin Wall in 1961 to stop the defections. The democratic and economic reforms of Alexander Dubcek provoked the Soviets into invading Czechoslovakia in 1968. Czech resistance in the “Prague Spring” ultimately failed. Of all of Europe’s communist leaders, only Yugoslavia’s Tito was able to hold off Soviet domination and maintain an independent foreign and domestic policy.

IV. THE WELFARE STATE AND SOCIAL TRANSFORMATION

The welfare programs that emerged after World War II extended state intervention into such areas as unemployment, health, retirement, and retirement benefits in an effort to provide everyone with a decent standard of living and economic security. Eastern Europe, more concerned with industrial development and providing everyone with a minimal standard of living, discriminated against women in favor of men and families.

A. Prosperity and Consumption in the West

As western nations experienced economic prosperity, consumer confidence and spending increased dramatically. With a sharp increase in disposable income, new spending patterns emerged. Increasingly, prosperity relied on regular consumption.

1. The New Consumption. The welfare state encouraged conspicuous consumption by guaranteeing economic security by providing unemployment, old age, illness, and accident benefits. The practice of families buying on credit also expanded dramatically as people spent freely. A small percentage of the population possessed a disproportionate amount of wealth.

2. Women’s Wages. The welfare state failed to secure equal pay for women and men. On average, women received only two-thirds of the salary of men who were doing the same job. Industrial profits were often based on this disparity.
B. Family Strategies

Women surrendered their industrial jobs to men after the war. The loss of both income and independence politicized women during the postwar era.

1. Demography and Birth Control. Postwar Europe experienced a declining birth rate as family planning became popular. New contraceptives such as birth control pills, spermicidal creams and jellies, intrauterine devices, and diaphragms became available. Abortions, illegal in western Europe, remained the primary means of birth control in the Soviet Union.

2. The Family and Welfare. Despite the declining birthrate in the postwar years, family values were key. Pronatalism gained in popularity, as governments deployed new welfare programs to encourage women to remain at home to raise their children. The British government encouraged women to remain at home and raise children by paying women less than men. The French government adopted social and economic policies that recognized women’s economic equality with men and that reflected the reality of women working outside the household.

3. The Beginnings of Women's Protest. In the 1960s, women critiqued the welfare state's idealized vision of domesticity and motherhood, laying the foundations of the mass movement for women's liberation. Simone de Beauvoir explored myths in western culture that prove that it is male-centered. Betty Friedan noted that women suffered from identity crises. Friedan and de Beauvoir wrote important books that questioned women’s status and energized a women’s rights movement that would catch fire in the 1970s.

C. Youth Culture and Dissent

Encouraged by economic security and disenchanted by the imminent threat of nuclear war, a cohesive Western youth culture emerged. Increasingly critical of the generation that governed in the Cold War, Western youth rejected traditional clothing and grooming standards, and expressed frustration at declining economic prosperity. Scholars studied the “generation gap” that yawned between the youth and their parents.

1. The Sexual Revolution. Advances in contraceptive technology underpinned a revolution in sexual morals of the 1960s and sexual pleasure became an end unto itself. Feminists complained, however, about the sexual exploitation of women.

2. The New Drug Culture. Recreational drug use escalated as chemical technology facilitated the manufacture of amphetamines, hallucinogens, tranquilizers, and barbiturates. Marijuana was popular among college students. Increased recreational drug use further widened the cultural gap between the generations.

3. The Anti-War Movement and Social Protest. Beginning as a free speech movement at the University of California at Berkeley in 1964, student protest had become an international phenomenon by 1968. Opposition to the war in Vietnam provided student protest with a common focus, but middle class European students also challenged university governance and
overcrowding, and demanded social reform. Perhaps most disconcerting was that the universities prepared students for employment in the political and commercial institutions they detested.

4. Protest and the Economy. Facing spiraling inflation and a slowing economy that threatened employment opportunities, students questioned the wisdom of modern consumption and the prospects of living a boring life dedicated to maintaining the operation of a state or corporate bureaucracy. In 1968, students and workers joined forces in protesting government regulations and social policies. Despite the unlikely nature of this alliance, some reforms emerged.

CONCLUSION

The United States and the Soviet Union dominated world politics in the post-war world. The Soviet Union played the role of an unappreciated hero as the United States served as the world’s policeman and banker. Great expectations confronted an economy that had stalled by the late 1960s. Economic stagnation began to affected the international and domestic scenes.

KEY TERMS, PEOPLE AND EVENTS

European Coal and Steel Community         welfare state         Benelux
Strategic Arms Limitation Talks            Sputnik I            arms race
Office of European Economic Cooperation    Benjamin Spock        generation gap
sexual revolution                          Truman Doctrine        Marshall Plan
Simone de Beauvoir                          Betty Friedan         birth control
pronatalism                                 Jean Monnet           Robert Schuman
George C. Marshall                         Council of Europe      Schuman Plan
George Orwell                               European Economic Community
Nuclear Test Ban Treaty

NEW GEOGRAPHICAL LOCATIONS

Vietnam                                     Guatemala                   Israel
German Democratic Republic                  Dresden                    Guatemala
Federal Republic of Germany                 Iran                       Kenya
Frankfurt                                    Dusseldorf                 Turkey
Syria                                       Persian Gulf               Suez Canal
Ceylon                                      Ghana                      Pakistan
DISCUSSION AND ESSAY QUESTIONS

1. Compare Soviet and American plans for the economic recovery of Europe.

2. Compare the views of Betty Friedan and Simone de Beauvoir regarding the plight of women. How would their views differ from government policies of pronatalism?

3. Address the impact of the welfare state on social life in postwar Europe.

4. What were the factors that led to the creation of a youth culture?

RELEVANT TRANSPARENCIES AND MAPS

Danzer's Discovering Western Civilization Through Maps and Views

S82: The World According to Mackinder, 1943
S83: The World in 1945
S84: A Soviet View of the World
S85: Massive Retaliatory Power, 1954

RELEVANT STUDENT MAP EXERCISES

Danzer's Mapping Western Civilization

T29: Modern Europe: A Chronological Perspective
T34: Contemporary Europe: A Chronological Perspective

ANNOTATED FILM LIST

The Age of Kennedy: The Presidency
52 min; b&w; 1966
16mm CB1834,16

Surveys the thousand days in which John Kennedy served as president of the United States.

The Bomb
30 min; b&w; 1966
16mm

Examines the nuclear arms race following World War II to the mid-1960s.

Khrushchev: The Bear's Embrace
24 min; color; 1980
16mm CC3022,16

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Analyzes the Khrushchev years, 1956–1964, in which the Soviet leader alternatively threatened the West and courted it with détente. Stresses Khrushchev's decision to invade Hungary in 1956. Concludes that the aggressive side of Khrushchev was the significant element shaping his policy.
Chapter 30

The End of the Cold War and New Global Challenges, 1970 to the Present

I. THE VISUAL RECORD: THE BERLIN WALL COMES DOWN

In 1961, East Germany erected a wall separating it from democratic West Germany and isolating West Berlin. For twenty-eight years the wall divided German society. In the late 1980s virtually all restrictions on emigration were lifted. Finally, in 1989 the Berlin Wall fell, paralleling the fall of communism throughout eastern Europe.

II. THE END OF THE COLD WAR AND THE EMERGENCE OF A NEW EUROPE

The Cold War divided the world politically and economically into two armed camps. The utility of this arrangement was questioned, however, by the late 1960s as the Soviet power bloc had become unstable and nuclear war became imminent.

A. The Brezhnev Doctrine and Détente

Following the failed 1968 Czech crisis, the Soviet Union implemented the Brezhnev Doctrine, whereby it resolved to intervene in the domestic affairs of Eastern Bloc nations, to stop counterrevolutionary activities. In the late 1960s the United States and Soviet Union entered a period of relaxed tensions known as détente. In the 1970s, these countries attempted to reduce their nuclear stockpiles with the Strategic Arms Limitation Talks. The failure of the United States to ratify SALT II seemed to undermine détente, however. Relations further worsened in the 1980s when President Ronald Reagan introduced the Strategic Defense Initiative and threatened to reestablish American nuclear dominance. Nevertheless, the 1980s saw the two superpowers cooperate and work toward an improved relationship.

B. The New Direction in Soviet Politics

By the mid-1980s the Soviets were beginning to question how the Brezhnev Doctrine could be enforced in an era of improved relations with the United States and growing dissent within the Soviet Union. A new Soviet leader with new, more democratic values emerged.

Solzhenitsyn, and Roy Medvedev were the most prominent of the Soviet dissidents, who protested nuclear armaments, the absence of civil liberties, and the absence of democratic government.

2. Gorbachev’s Economic Reforms. In 1985, Mikhail Gorbachev initiated bold plans for increased openness, which he called glasnost, and a program of political and economic restructuring, known as perestroika, reflecting a new innovation in Soviet leadership. The Soviet economy prospered in the next decade, but pollution, outmoded technology, labor imbalance, and shortages of raw materials slowed economic growth. Food, consumer goods, and housing continued to be either in short supply or of poor quality. Party leaders, however, lived better. The Soviet people noticed. Breaking with Stalin's tradition of centralized economic planning, Gorbachev introduced limited free market mechanisms, reduced restrictions on foreign trade, and encouraged the growth of a private service sector. The Soviet people expected high-quality goods and even paid inflated prices on the black market to secure better foreign-made products. The modest economic advances under Gorbachev did not, however, satisfy the rapidly increasing expectations of the Soviet people. As the rate of economic growth slowed, Gorbachev faced increasing criticism of his economic policies as his critics argued that his economic reforms didn’t go far enough.

3. Reforming the Soviet State. Gorbachev brought a spirit of innovation and experimentation to the Soviet Union. For him, political and economic reform needed to happen together. He therefore reduced military spending, withdrew Soviet troops from Afghanistan, negotiated arms reductions with the United States, and refused to intervene in the 1989 uprisings in the satellite states.

C. Reform in Eastern Europe

In 1988 Gorbachev announced he would not resist change in eastern Europe.

1. Poland and Grassroots Protest. Boasting a large population and a strategic location, Poland was central to the Soviet dominance of the Eastern Bloc. Increased food prices prompted waves of strikes in Gdansk shipyards in 1980. Workers created Solidarity, a noncommunist labor union that Lech Walesa led. Extracting increased civil liberties from the government in the Gdansk Accords, Solidarity rapidly grew in popularity. The imposition of martial law in December 1981 inaugurated a period of military repression that saw Solidarity outlawed until 1989, when union candidates defeated the reigning Communist party in national elections. The challenge to the new government was to improve an economy hobbled by high rates of inflation and large foreign debts.

2. Hungary, Czechoslovakia, and Romania. Peaceful “velvet revolutions” followed in Czechoslovakia and Hungary. In September 1989, Hungary opened its borders to its western neighbors. Because Hungary had long been experimenting with free trade and capitalism, it was ready to trade with western Europe once communism ended there. In Czechoslovakia, violence directed toward student protesters sparked a revolt. Vaclav Havel led the way in toppling the communist regime. Tens of thousands died before the Romanian dictator Ceaucescu fell from
power in 1989.

D. The Unification of Germany

East and West Germany developed largely independently of one another after World War II. This division appeared to be permanent. Yet, West Germany’s free trade policy with East Germany, contributed to their mutual prosperity. Despite their relative economic prosperity, East Germans were drawn to West Germany. After the Berlin Wall fell in 1989, the two countries eliminated all travel restrictions between the two states. Monetary union followed, anticipating the political union of the two German states. Germany, unified in 1990, worried some who feared its economic might or that its political power would impede plans to move toward a United Europe. Others, however, endorsed the self-determination of peoples that had led to the restoration of a single German state.

E. Russia and the New Republics

To gain credibility and backing, Gorbachev formed new parliamentary bodies, including the Congress of People's Deputies in 1988. In early 1990, Gorbachev ended the Communist party's political monopoly. The emergence of new political parties saw the rise of political opponents, including Boris Yeltsin, who was elected president of the Russian Republic later that year. The popularity of Gorbachev declined as he vainly sought to retain political power while maintaining political stability.

1. Boris Yeltsin in Power. In 1991, a group of hardliners tried to seize power and reestablish the Communist party. Mikhail Gorbachev fell from power that year, but his reforms continued. This coup failed, however, as it could not control the country after the intervention of Boris Yeltsin and the Soviet army. In the aftermath of the failed coup, Yeltsin emerged as the new popular leader.

2. Economic Challenges. Inflation undercut government programs that aimed at privatizing industry and eliminating price controls. The Russian mafia ran a black market where only the American dollar was a viable currency. As the Russian economy stumbled, poverty consumed some thirty percent of the population.

3. The Nationalities Problem. The Soviet Union also faced a resurgence among its subject nationalities in central Asia, the Baltic, and Armenia. Various ethnic groups sought self-determination and independence. Gorbachev's failure to recognize the claims of the nationalities ultimately undermined popular support for his government as an educated urban elite opposed his rule and demanded either independence or local autonomy.

4. The Breakaway Republics Lead the Way. Latvia, Lithuania, and Estonia, were the first of the Soviet Union's fifteen republics to proclaim their independence. Eleven of the republics would later join the Commonwealth of Independent States. Boris Yeltsin replaced Gorbachev as the dominant politician in the new state. Control of the former Soviet military and nuclear weapons along with unemployment, trade, ethnic unrest, and inflation remained critical
unresolved issues. The changes that 1989 brought transformed Europe.

III. ETHNIC CONFLICT AND NATIONALISM

Following the collapse of the Soviet Union, ethnic hatred erupted in eastern Europe. War, genocide, and barbarism defined the ethnic conflicts in the region.

A. The Chechen Challenge

In 1991, Chechen rebels began a war of independence against the Russian Republic. Russia dispatched 30,000 troops to suppress the revolt.

1. Russian Invasion, 1994–1996. Although Russia possessed a marked military advantage over the Chechen rebels, the rebels had won by 1996.

2. The Truce. A truce kept the Chechnya inside the Commonwealth of Independent States.

3. Renewed War and Terrorism. In 1999, terrorist bombings in Moscow resumed, swaying public opinion against Chechen’s independence. Russian leaders were also reluctant to lose control over the pipeline that ran through the region. Ethnic unrest remained a serious threat to political stability in Russia, although Vladimir Putin announced the Chechen war to be over in 2001. When terrorist acts continued the Russians recommitted themselves to eliminating Chechen terrorists. In 2003 the bombing of an airliner and the terrorist massacre of more than 300 schoolchildren turned the Russian people against the rebels and justified Vladimir Putin’s restriction of civil liberties and democratic government.

B. War in the Balkans

In 1991, war erupted between Serbia and Croatia, two of the six republics of the former Yugoslavia, over control of a third republic, Bosnia and Herzegovina. A long history of antagonism and religious differences fed the hatred and intensified the fighting.

1. The History of Ethnic Differences. Tito had curtailed religious differences along with competing territorial claims and historical grievances. Following his death, however, the various ethnic groups engaged in a bloody war renowned for massacres and other atrocities. Catholic Croats faced Orthodox Serbs. Frequently subjected to atrocities, the large Bosnian Muslim minority further complicated the dynamics of the region. Animosity between the belligerents encouraged genocide under the rubric of “ethnic cleansing” that Serbia employed against Bosnian Muslims. The resulting war has proven to be Europe’s bloodiest since World War II. In 1995, United Nations peace–keeping forces arrived. They were soon supplemented by NATO forces that bombed Bosnian Serb military bases, bringing the war to a close. The Dayton Peace Accords

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reached an agreement between the three Balkan states whereby the various ethnic groups in Bosnia shared political power and protected the people regardless of their ethnicity.

2. Kosovo and the Ongoing Conflict in Eastern Europe. Concern about merging ethnic Albanians in a “Greater Albania” that included Kosovo, western Macedonia, and Albania sparked a Serbian invasion of Kosovo in 1990. The Kosovo Liberation Army fought against the Serbs, who caused some 10,000 deaths and created some 800,000 refugees. In 1999 NATO forces launched an air offensive against Serbia that succeeded in allowing NATO to occupy Kosovo. The high numbers of casualties and refugees contributed to regional instability. Pollution, unemployment, and the absence of foreign investments further weakened an already tottering economy.

IV. THE WEST IN THE GLOBAL COMMUNITY

In the 1970s, high oil prices sparked inflation and higher unemployment while raising concerns about the presence of foreign workers. In the 1980s, European leaders strove to convert Western Europe into a single political and economic entity at the same time that Eastern Europe saw nationalism create new nations out of large states. Despite the optimism of the new millennium, Europe has continued to experience terrorist attacks, a resurgence of nationalism, and problems with its welfare programs.

A. European Union and the American Superpower

Jean Monnet and Robert Schuman began the move toward European unity when they founded the European Economic Community in 1957. Established in 1967 with the union of the European Coal and Steel Community, EURATOM, and the European Economic Community, the European Community advanced European integration. Beginning in 1974, summit meetings of the European Council advanced this cause. In 1974, European heads of state began to hold summit meetings as the European Council.

1. The Politics of Oil. The Arab oil embargo that had reduced oil supplies while sharply increasing oil prices, strengthened the resolve of European nations to unify. Integration, it seems, was the only answer to the threat of economic domination posed by the Americans and the Japanese.

2. Toward a Single Europe. The passage of the Single European Act in 1985 proposed to establish a single fully integrated European market by the end of 1992. Areas of standardization included education; work hours, pay, and benefits; passports; and currency. In 1991, the European Community and the European Free Trade Association merged to form an enormous trading bloc known as the European Economic Area, which had a population of around 380 million.

3. The European Union. In 1991, twelve nations signed the Treaty on the European Union, also known as the Maastricht Treaty. This treaty provided for a new currency, the euro,
and a centralized banking system. Common defense, labor, immigration, and welfare policies were adopted, as well, in anticipation of the creation of a political union of European states. Britain, the most reluctant member of the European community, agreed to join in a united, standardized Europe. In 2004, ten additional nations joined the European Union. The European Community increases the possibility of the formation of a single worldwide trading block.

B. A New Working Class: Foreign Workers

Postwar Western industrial expansion relied heavily on cheap foreign labor from southern Europe and former colonies. Employed in unskilled and semiskilled tasks, these workers lived a marginal existence to send money home.

1. Working Conditions and Rights. Separated from their families and often denied the rights of citizenship, migrant workers suffered widespread discrimination. Often they worked in menial, dangerous jobs. Immigrant women had special problems because of the expense or unavailability of social programs and child care. The restrictions, however, failed to drive foreign workers back to their home nations despite the growing hostility of European governments toward them.

2. Opposition and Restrictions. Opposition to foreign workers led to the emergence of political parties that adopted racist and anti-foreign programs. Opposition to foreigners increased once the 1973 oil embargo led to rising unemployment and higher prices. Governments imposed policies to control immigrants and adopted programs to repatriate foreign workers. Foreign workers, however, have shown little interest in repatriation and have met government attempts at control with strikes and riots.

3. French Laws on Secularity. The presence of growing numbers of foreigners aggravated cultural differences. In 2004, the French government used the justification of the need to separate church and state to prohibit Muslim schoolgirls from wearing scarves and veils, a practice they had begun two decades earlier.

C. Women's Changing Lives

Increased educational opportunities brought women into new occupational and political positions and raised their awareness of their collective condition. International conferences on women's issues raised women’s concerns about equal pay, fertility, and sexuality.

1. Reforms and Political Action. Women used law, contraceptives, abortions, feminist scholarship, and language to fight gender discrimination and to argue for equality of rights. Women assumed positions of prominence in the peace, anti–nuclear, and ecological movements, but enjoyed little real political or economic authority as they continued to balance work outside and inside the home. International conferences on women's issues flourished. Modern women advanced personal issues, such as incest and sexual orientation. In this fashion they hoped to encourage social and institutional change.
2. Soviet Women’s Experiences. Soviet women enjoyed a larger political role, but wielded no more political power than their western European counterparts. As in the west Soviet women worked longer hours for less pay than their male peers. Soviet women often engaged in heavy manual labor on the farm and in the factory. Meanwhile, abortions and other birth control methods led to a declining birth rate in the Soviet Union.

D. Terrorism: The “New Kind of War”

Powerless groups turned to violence in an effort to achieve their goals. Terrorism began in the late 1940s in the aftermath of the creation of Israel. Arab terrorists, supportive of the displaced Palestinians, engaged in terrorist acts around the world. Islamic fundamentalists used terror to advance their “holy war” against the West. Muslim terrorists formed a decentralized band that targeted the World Trade Center and the United Nations building, among other targets. Terrorists also began hijacking airplanes in the 1960s. Not all terrorists are Muslims, however.

1. Terrorism in the Last Quarter of the Twentieth Century. Terrorist organizations like the Red Brigade and Red Army Faction used a variety of violent methods to attract the attention of the popular press. Terrorist acts such as bombings, assassinations, kidnaping, and “knee-capping” continued throughout the century. Following the 1991 Gulf War Osama bin Laden emerged as a terrorist leader who was responsible for planning a series of attacks against the United States and its allies.


3. Terrorism and Counter-terrorism. Terrorists are found on both the left and right of the political spectrum. They often believe that only the destruction of the current political and economic system will bring about the changes they desire. Nevertheless, terrorism has yet to effect any significant change in the status quo even as the number of terrorist acts increases. Western governments have so far been reluctant to negotiate and meet terrorist demands. In fact, governments have often retaliated with force to diminish popular support of terrorism.

CONCLUSION

In the late twentieth century, the European peoples saw improved prospects for political union and the spread of democratic government. Nevertheless, terrorism, a resurgent nationalism, environmental destruction, and growing economic and social inequalities augur an era of uncertainty and continuing violence.
KEY TERMS, PEOPLE, AND EVENTS

Imre Pozgay    Berlin Wall    Solidarity
Gdansk Accords    Vaclav Havel    Euro
Irish Republican Army    Organization of Oil Producing Countries
Slobodan Milosevic    Dayton Peace Accords    “ethnic cleansing”
“velvet revolution”    Ronald Reagan    Chechens
Yuri Gagarin    Sputnik In    Red Brigade
Sergei Krikalev    Red Army Faction    Aldo Moro
Single European Act    Wojciech Jaruzelski    Lech Walesa
State Council    Bill Clinton    Glasnost
Mikhail Gorbachev    Boris Yeltsin    Robert Schuman
Jean Monnet    Nikole Ceaucescu    terrorism
Yuri Gagarin    European Economic Area    Perestoika
Nuclear Test Ban Treaty    Treaty on the European Union
European Free Trade Area    European Economic Community

NEW GEOGRAPHICAL LOCATIONS

Israel    Arctic Circle    Azerbaijan
German Democratic Republic    German Federal Republic    Gdansk
European Community    Grozny    Kosovo
Chechnya    Belarus    Armenia
Croatia    Siberia    Lebanon
Palestine    Srebenica    Kazakhstan

DISCUSSION AND ESSAY QUESTIONS

1. Compare and contrast the Russian Revolution of 1917 and the "velvet revolutions" of 1989. In what ways are these revolutions similar? In what ways are they different?

2. Evaluate terrorism as a political tool. Have terrorists ever succeeded in achieving their political, economic, or social objectives? Why are the numbers of terrorist acts increasing?

3. Why is Eastern Europe moving away from cooperation and union while Western Europe is moving toward greater economic and political cooperation?

4. Why did communism fall so quickly and easily throughout Eastern Europe in 1989?
RELEVANT TRANSPARENCIES AND MAPS

Danzer's *Discovering Western Civilization Through Maps and Views*

S83: The World in 1945  
S84: A Soviet View of the World  
S85: Massive Retaliatory Power, 1954  
S86: Industrial Location and Economic Potential, 1969  
S87: Defining Europe, 1970  
S90: Ecumenopolis in Europe: the 21st Century

RELEVANT STUDENT MAP EXERCISES

Danzer's *Mapping Western Civilization*

T29: Modern Europe: A Chronological Perspective  
T30: The World in 1975  
T31: World Population Cartogram, 1975  
T32: The Soviet Union: Ethnic Composition in 1989  
T33: Europe: Major Cities, 1990  
T34: Contemporary Europe: A Chronological Perspective  
T35: Europe Viewed from the Atlantic

ANNOTATED FILM LIST

*The History of the European Monetary Union*  
60 minutes; color; 1999

Examines the history of the European Monetary Union through 2002 and the impact of the euro on the world economy.

*A Very Russian Coup: The Demise of Communism*  
48 minutes; color; 1999

Documents the events of the collapse of communism in 1989 and the emergence of Yeltsin as the new Russian leader.

*In Our Defense*  
26 min; color; 1983; 16mm

Examines the social, political, and economic ramifications of the nuclear arms race.

*War: 6—Notes on Nuclear War*  
55 min; color; 1983; ½ VHS

Looks at various aspects of nuclear war and the arms race, including mutual assured destruction,
"limited" nuclear war, and deterrence.

*War Without Winners II*
29 min; color; 1983; 16mm
Suggests that there would be no winners in a nuclear war.

*Charles de Gaulle*
14 min; color

Examines the political career of the president of the Fifth French Republic through the student riots of 1968 and his death later that year.

*The Germans: Portrait of a New Nation*
56 min; color; 1994

Looks at Germany five years after its reunification in 1989.

*Solidarity*
23 min; color

Surveys the emergence of the Solidarity union in 1980 and the threat posed by the Soviet army.

*Lifting the Yoke: Ukraine*
58 min; color

Investigates the changes that took place in the Ukraine after it reestablished itself as an independent state.
Teaching Western civilization presents an unusual challenge to all instructors. Inspired by a desire to protect and perpetuate Western ideals, the scholars and teachers who introduced the Western civilization course to the college curriculum espoused a vision of society dominated by the literary achievements of elite intellectuals and little concerned with the social and economic life of the non-elites. Favoring diplomacy over popular politics, white over nonwhite, and man over woman, this view influenced the Western civilization course for decades. But the development of social history, black studies, and feminist scholarship have rendered this traditional approach to the history of the West increasingly problematic. The growing cultural, ethnic, and racial diversity of undergraduate populations, moreover, offers new challenges to the composition and emphases of the Western civilization course.

Civilization in the West contributes to this debate on the meaning of Western civilization. From the outset, the text encourages a self-conscious, reflective introduction to the fluid array of peoples, ideas, and conditions that constitute Western society, without restricting coverage to any single approach to the history of the West. This section of the Instructor's Resource Manual suggests some of the many techniques that can be used to convey the complexities of Western civilization to college students. Intended primarily for new instructors, it offers guidelines for the format, content, and evaluation of the Western civilization course.

**FORMAT**

Class size will necessarily influence the format of your course, but need not dictate every element of its structure. Enrollments of less than twenty students are ideal for seminar instruction; enrollments of more than forty or fifty students make discussions difficult--but not impossible--to sustain. In classes with high enrollments, lectures traditionally serve as the primary means of instruction, but debate and discussion can be used to enliven even large lecture courses.

**Lecture Format**

Clarity of expression, logical organization, and an engaging manner of presentation are the linchpins of a good lecture. Outline form helps ensure the first two of these considerations. A combination of forethought and experience can help secure the third.

Lectures organized in outline form can clarify lecture material for students and instructors alike. Most important, preparing your lectures according to an outline will permit you to distinguish among the primary, secondary, and tertiary points that you wish to convey. Writing the outline on the board at the beginning of class transmits this information to your students and helps them structure their notes in a manner that highlights the main topics under discussion.

In preparing your outline, bear in mind that in the undergraduate classroom: Less is often more. In other words, students tend to absorb more information when they are presented with less
material. Rather than overwhelming your students with a flood of information that they are unable to process, try to engage them in debates that you believe to be central to the study of history.

Beginning each lecture with a five-minute introduction will help capture students' attention at the beginning of class and alert them to the main points and persons that you will discuss. A good introduction should relate the present lecture to material covered in previous classes, mention the major historical debates or questions that you will assess, and note the key terms or figures that will appear in the lecture. (Writing all key terms and names on the board at the beginning of class in the order that they will appear will help prevent students from being distracted from the lecture by their efforts to locate key terms in the outline.) Though it is advisable to avoid focusing on the minutiae of historiographical argument, you should not hesitate to introduce students to historical controversy. Conveying the essential features of these disputes encourages students to regard history as an ongoing debate in which they too may play a part, rather than as a dry record of events and the actions of dead persons in a bygone era.

The body of your lecture should focus on two or three primary points, each of which should be subdivided into two or three secondary points, illustrated with a few examples when possible. Focusing your material on a limited number of points is one of the most difficult parts of lecture preparation but also one of the most essential, for it breaks material into units that undergraduates can digest within a fifty- or eighty-minute period. Do not be afraid to reiterate key points during the lecture; timely repetition helps students assimilate material. If you are unsure of your timing, placing some sort of mark in the margin beside material that serves primarily to reinforce established points will allow you to discard material without sacrificing substance if you begin to run out of time toward the end of your lecture.

The material that you use to illustrate your secondary points should both exemplify and enliven your arguments. Statistics provide one of the easiest ways to illustrate social and economic trends, but anecdotes, biographical details, and pictures are among the best means with which to animate your lectures. When introducing anecdotal material, it is a good idea to indicate to your students that this material is purely illustrative (that is, it will not appear on the examination). This encourages them to stop taking notes for a moment and give you their undivided attention. Occasional pauses of this sort are essential--particularly in longer classes--if your class is to assimilate material rather than merely record it.

The following example illustrates outline form for a sample lecture on "The Atlantic Economy and Slave Labor":

Introduction

I. The Mercantilist System
   A. Definition of mercantilism
      1. Wealth as gold
      2. The importance of government regulation
      3. Mercantilism and international rivalry
   B. Methods of achieving mercantilist goals
      1. Guilds
2. Colonies
   a. Colonies as sources of gold
   b. Colonies as markets for manufacture

II. Slave Labor and the Atlantic Economy
   A. Spain and the asiento
      1. Spanish mercantilism in theory: The asiento
      2. Spanish mercantilism in practice: Evading the asiento
         a. French violations of the asiento
         b. British violations of the asiento
   B. Sugar and slavery
      1. Sugar and consumer demand
      2. Slave labor and sugar
         a. Labor-intensive cultivation
         b. "Sugar Factories": the organization of slave labor

To deliver your lectures, you may wish to use less-schematic notes than those provided by the outline. Even if you choose to write your lecture out completely in advance, however, you must be careful not to read it to (or at) your students. Few academic experiences are so numbing to all parties involved as a lecture read by a professor who refuses to make eye contact with the class. If you have great difficulty in this respect, the following expedient can be helpful. Write the words "center," "left front," "right back," "right side," an so forth, in the margins of your notes, next to each of your outline headings (for example, I, 11, A, B, I, 2, 3). Then make a point of looking at a student sitting in the direction indicated when you arrive at the heading. This will prevent you from looking only at your notes or only at a single spot in the classroom.

Your delivery will also be enhanced if you provide opportunities for students to participate in your presentation of the material. You can do this by asking informational questions. In the lecture outlined above, for example, you might ask students to define "mercantilism" before you do so yourself, or to identify a prominent critic of mercantilism, such as Adam Smith. Or you can encourage students to participate by posing more substantive questions. For example, having explained that mercantilists equated wealth with precious metals such as gold, you might ask the class what other definitions of wealth might be defended, or how a mercantilist definition of wealth would alter the structure of the twentieth-century global economy. In any event, leave at least a few minutes at the end of class to answer questions, and prepare a few questions of your own in advance to encourage the habit of ending every class with discussion and reflection.

**Discussion Format**

Leading or moderating class discussions is a difficult but rewarding task. Although enrollments of more than thirty students tend to limit the amount and depth of class debate, they need not preclude it. Flexibility, ingenuity, and determination can convert the lecture hall into a forum if you plan your strategy well in advance.

In general, the three most difficult obstacles in moderating a class discussion are initiating dialogue, maintaining a coherent and relevant line of argument, and avoiding undue rigidity. These difficulties can be eased by advanced preparation and by dividing your class into small units. Prepare and distribute in advance two or three questions that require students to take a
stand on basic issues addressed in lectures or the readings. (Each chapter synopsis in this manual is followed by four such discussion questions.) Then, on the day of the discussion, divide your class into "teams" of five to seven students. Give the members of each team a quarter of an hour or so to discuss each of the assigned questions among themselves and to appoint a spokesperson to present the team's consensus—or conflicting views—to the whole class. Take notes yourself as they do so, so that you can associate each team with a line or lines of argument. Then encourage the groups to debate each other, intervening occasionally to direct the discussion to groups whose arguments are under-represented. Avoid frequent interventions, however. Structuring discussions rigidly convinces students that you are more interested in hearing them voice your ideas than in listening to them elaborate their own analyses.

Class discussions of this variety have several advantages. Most important, debate brings students into the historical process, making them sensitive to their role as participants in—rather than mere observers of—Western civilization. Teamwork, moreover, encourages students to learn each other's names and to listen to each other's ideas. Students who are too shy to ask or answer a question posed by the professor in a large lecture often flourish in smaller groups. You can also use the discussions to speak directly to students whom you know only as names, faces, and identification numbers. Use the initial period of the class to sit briefly with each team and listen to its arguments. Most students will appreciate your attention and benefit from it.

If you wish to impress students with the importance of debate to historical understanding, you will need to hold your first discussion early in the semester. As a general rule of thumb, schedule this class no later than two weeks after the end of your college's add/drop period, when class enrollments stabilize. Students are creatures of habit. If you lecture to them for several weeks and then ask them to participate in a discussion, they will resist your efforts, however rigorous or well-intentioned. Placing your preliminary debate early in the term can also capitalize on the enthusiasm that characterizes many students in the first weeks of classes.

**CONTENT**

Choosing topics for lectures and discussions is a highly individual process. It is generally easy to compile a list of topics that you need or wish to cover, but excluding material—a necessary task in any course that surveys the vast territory of Western history—is inevitably problematic. Two tactics can simplify this procedure for the new instructor. First, ask colleagues who also teach in your department's Western civilization sequence for copies of their syllabi. You may wish to structure your course very differently from theirs, but consulting others will inevitably yield useful information. In particular, it is useful to know what kinds of readings they assign, how lengthy their assignments are, and how this material is integrated with lectures and discussions. Once you have examined a few syllabi, ask yourself what basic issues they all contend with, and which important issues they ignore or slight. This process will rapidly generate a list of central issues or themes around which to structure your classes.

Compare your list of key issues with the issues discussed in the textbook. Determine which issues are dealt with in particular depth in the text, and use this analysis to plan your lectures and discussions. When the text alone provides sufficient information for students to grasp the fundamental point of a key topic, devote most class time to exploring a specific aspect of this issue. In a class devoted to industrialization, for example, you might expand upon the author's
discussion of Robert Owen, detailing Owen's highly innovative modes of factory discipline and discussing his heterodox career as a utopian socialist. Narrowly focused classes such as this should be balanced with more broadly conceived lectures, in which you expand upon themes that inform a wide variety of historical circumstances. Your class on Robert Owen, for example, might usefully be followed by one on the contrast between utopian and Marxian socialisms, and on the relative fortunes of these two ideals in the nineteenth century.

One further aspect of course content that also deserves consideration is the question of relevance. Students enrolled in required Western civilization courses often question the relevance of course material to their own backgrounds, life experiences, and future careers. Overcoming this resistance is essential to the success of your class. One strategy that contributes to this end is attention to the full range of Western culture. Discussions of, for example, the impact of Islam on Western philosophy and science, the critical role of African slave labor in the expansion of eighteenth-century commerce, and the role of women in cottage industries can help ensure that students of diverse backgrounds recognize the contributions made to the Western experience by groups with which they identify. Another strategy is to bring material to class that demonstrates the myriad ways in which the combination of information in today's society relies upon familiarity with the history of the West. Examine advertisements, newspaper and magazine articles, and even television guides for material that uses the symbolism or resonance of classical Greek culture, for example, to make its point or sell its product. Then ask students to assess the use to which these classical themes are being put. How does the media draw from and exploit Western traditions to pursue contemporary interests? Would a person familiar with the economic and political structure of classical Greece be more or less likely to buy a product associated with classical symbols or themes? What products might arguably be marketed best with the symbolism of archaic Greece? Questions such as these help students realize that the history of the West informs their own lives in the global culture of the twentieth century.

EVALUATION

Evaluating students' comprehension of course material also allows you to evaluate your effectiveness as a teacher. It is a good idea to keep some record of students' performance on particular questions and types of questions that appear on your quizzes and exams. If three-quarters of your students confuse Platonism and Neoplatonism, make a note that you need to clarify your presentation of this topic. Similarly, if many of your students are unable to write an acceptable in-class essay, explore ways of redesigning your essay questions so that they are more accessible. In this manner, test materials can be used to improve the structure of your course, as well as to record students' progress.

Regular quizzes or assignments can be helpful and need not be graded to be beneficial. One useful tactic is to ask students to write a few sentences at the end of each class or the end of each week of classes summarizing either the major points that they have learned or the major questions that they believe remain unanswered. Collect these assignments and read over them to obtain a sense of how well the students are absorbing material. It is useful to hand the assignments back at the beginning of the next class and to address one or two of the issues raised in your lecture or discussion. This device encourages students to begin to synthesize material well before the examinations and is much less time-consuming than grading frequent quizzes.
Assigning papers and essays offer perhaps the best means of evaluating students' progress, but they are also the most time-consuming for all parties concerned. If you assign papers to freshmen, be sure to make your expectations clear to students well in advance. It is a good idea to prepare a handout in which you clarify material such as typing specifications, page length, the use of introductory paragraphs and thesis statements, the use of sources, and the penalties of plagiarism. Plagiarism is a notorious difficulty in large survey classes. To reduce this problem, be sure to spell out very clearly precisely what plagiarism is and how you and your college will respond to it if discovered. It is also possible to reduce plagiarism by assigning different essay topics to different classes or sections of the same class and by requiring students to submit a draft of their essay with the final copy. (This policy has the added advantage of ensuring that students do, in fact, write a draft.) Whatever the content of your handout on essay writing, be sure to spend time explaining it in class before the essays are due and again when the graded essays are returned. Many students come to college with little writing experience. They will learn most quickly if you provide them with a clear and consistent framework for their compositions.

Tests or examinations often provide the main tool for evaluation of students in freshman surveys, such as Western civilization. Including some questions that deal with essentially factual information—dates, definitions, geography, and so forth—will help ensure that students pay attention to significant details and will also provide them with relatively straightforward questions to tackle at the beginning of the exam. Interpretive questions will, however, provide you with the most information about your students' progress. One possible tactic here is to give students a passage from an assigned primary source and ask them to locate it historically. Who is the author of the passage and in what historical context was he or she writing? What are the key terms employed in the passage and why are they important to the author? A second type of interpretive question, the short essay question, is often more challenging to students. If your class has difficulty with this kind of question, try distributing a list of three or four potential essay questions in advance of the exam. Then choose one or two for the exam itself. This device gives students time to think about questions in advance but prevents them from concentrating exclusively on a single question or memorizing their response.

Whatever your means of evaluating your students, be sure to explain your criteria clearly at the beginning of the term and on your syllabus. Such explanations will not prevent disgruntled students from contesting their grades, but it can help moderate the tone of the complaints. If possible, give quizzes, papers, or exams at the end of the semester more weight than those at the beginning. This practice rewards students who improve as the course progresses.
Unit 3

Teaching Western Civilization With Primary Sources

Lectures offer the most efficient means of introducing undergraduates to the broad spectrum of persons, forces, and events that have contributed to the Western experience, but a firsthand acquaintance with primary sources will deepen students' understanding of the history of the West significantly. The use of primary texts, moreover, requires students to develop and hone essential skills of reading and interpretation. Students who have little experience with close readings of historical documents often find their first encounters with primary sources intimidating. By developing and articulating a clear sense of the goals and strategies of this portion of your course you can help your students overcome these difficulties.

GOALS

Factors such as class size, the level of student preparation, and the particular traditions or expectations of your college or university will influence your approach to teaching with primary sources. But the use of primary sources raises diverse intellectual issues, as well. Primary sources offer a wide variety of pedagogical opportunities, and you will need to choose among several options to use primary sources effectively in your Western civilization survey course.

Before composing your syllabus, identify your goals with regard to the use of primary sources. Is your chief goal in using these sources to teach reading skills? To encourage discussion? Do you intend your discussions to introduce students to new material? To solidify their understanding of material discussed in the lectures and the textbook? Do you intend the sources you choose to convey the great diversity of historical experience in the West? To illustrate the fundamental continuities of Western civilization?

These goals, of course, are not mutually exclusive, and every discussion does not need to have the same goal or goals. Indeed, you may wish your use of primary sources to establish a progression: beginning as a device for reinforcing material and ideas introduced in class, it may eventually become a means for students to challenge established interpretations as they become more assured in their historical grasp. No matter what your choice, however, students will benefit from their clear articulation. Alerting students in advance to the goals that you hope to achieve in assigning a primary source will advance your aims considerably.

STRATEGIES

As undergraduate students often read poorly, you may find your first discussions of primary sources quite taxing. Various strategies can be used to awaken students' curiosity and develop their analytical skills. Experimenting with these tactics early in the semester will allow you to reformulate your approach without undue difficulty, if you have misjudged the abilities of your students. Introducing primary materials early in the term also helps indicate the centrality of these materials, for students tend to form their impressions of what is more "relevant" during the first few weeks of the course.
For your first source, it is advisable to choose one with which students have some familiarity. This will allow you to focus discussion around themes and meanings. Assigning sources discussed in the textbook, such as the Code of Hammurabi, Calvin's Institutes, or Simone de Beauvoir's The Second Sex, is one method to achieve this end. Or you may choose a source with which students have some familiarity before they enter college for instance, the Book of Genesis or the Declaration of Independence.

Using the latter kind of source has the added advantage of demonstrating to students how important it is to give even familiar texts close scrutiny. Most students who read Genesis, for example, will expect to encounter the creation story in which Eve is generated from Adam's rib (Genesis: 2:21-24). Few will be prepared for (or will choose to notice) Genesis 1:27: "So God created man in his own image, in the image of God he created him; male and female he created them." Focusing on these two descriptions of the creation will allow you both to underline the importance of close readings and to initiate a discussion about the relative utility of any particular reading of the text. You might ask your students, for example, to discuss the advantages of Genesis 2:21-24 for a patriarchal society, or of Genesis 1:27 for an egalitarian one. Emphasizing the variety of possible interpretations of a historical text encourages students to participate in the debate with an interpretation of their own.

Students' ability to read primary sources critically will also be enhanced if you help them to identify key terms and to be sensitive to the changing implications of these terms. Words such as family and household, sovereignty and nation, freedom and bondage, are central to the Western tradition, but are far from constant in their meaning. Emphasizing a cluster of such terms throughout the term will help students focus their reading of any single text and will also help them integrate material from different portions of the course. You might, for example, spend an early class discussing the different conceptions of freedom and bondage illustrated in the Book of Exodus and Aristotle's Politics. In Exodus, why is the Egyptian bondage both appealing and offensive to the people of Israel? In the Politics, how does the bondage of slaves help ensure the freedom of the citizen? Having raised questions such as these within the context of the ancient world, you can continue to explore the relation between freedom and restraint in subsequent primary sources. The Magna Carta, the Twelve Articles of the Peasants of Swabia, Rousseau's Social Contract, and The Communist Manifesto lend themselves easily to this approach.

Class discussions of primary sources provide a good means of assessing students' comprehension of concepts and developments introduced in the lectures, but written assessments of primary texts are also of value. At the simplest level, presenting students with a few sentences excerpted
from assigned primary sources provides ample material for quiz questions. Who wrote the material and why? What other primary source does the excerpt rebut? What texts did the excerpted text itself generate?

More extensive written analyses of assigned primary sources can be used to encourage students to make connections between persons, issues, or developments treated separately in class. You might, for example, ask students to use their reading of Mrs. Beeton's *Book of Household Management* (1861) to explain the nineteenth-century concept of domesticity. Then ask them to write a critique of Victorian domesticity from the perspective of Alexandra Kollontai or of Virginia Woolf. How might they themselves critique the critique of Mrs. Beeton offered by Kollontai or Woolf? What key terms would hold different meanings for an analyst of the domestic sphere in the mid-nineteenth, early twentieth, and late twentieth centuries? How might a male observer respond to these issues differently than a woman? How might a non-Westerner? By drawing attention to both the ruptures and the continuities of the Western tradition, questions such as these can, like primary sources themselves, engage students directly with the complex interpretive processes of Western civilization.
FILM AND TEACHING

History is a discipline traditionally attached to the written word. Historians read—they read widely. As undergraduate and graduate students, historians devoured history books, novels that gave a "feel" for history, government documents, long-unread committee reports, and barely legible manuscripts. They sifted through all these materials, and more, in an effort to understand, write, and teach history. In the process they became historians, and the written word took on an increased importance. In the process, perhaps, some lost touch with other visual forms of communication and understanding.

Some historians resist the use of films for what they believe are valid reasons. The use of film, they may argue, is a sloppy way to transmit the richness of the past. In support of this position they point to movies that are little more than slick Hollywood productions that significantly distort the past or, worse yet, perpetuate long unaccepted myths about America's past. For example, what can be learned from Darryl Zanuck's *Drums Along the Mohawk* (1939), a film about the Revolutionary War that glosses over the role of the British as America's enemy and emphasizes the role of the Indians as England's ally? Indeed, Zanuck himself said that he did not want his film's stars, Henry Fonda and Claudette Colbert, to be "lost in a rambling jungle of historical and revolutionary data."

The answer to these questions raised by critics is that films (especially Hollywood movies) cannot replace effective classroom teaching. Without guidance and discussion, films can misinform and can reinforce stereotypes. However, with proper preparation and guidance, films can make teaching and learning American history a more fulfilling adventure. As Robert Brent Toplin noted in his Organization of American Historians report on the historian as filmmaker, "Often the apathetic students who regard historical figures and events with only distant curiosity spring to life with probing questions when the subject for discussion covers ground treated by the mass media." More than ever, film is the language of youth—the use of film in the classroom aids the communication process by which history is transmitted.

In the 1960s, Marshall McLuhan theorized on the growing importance of film in our culture. People born before the 1950s were trained to think in a linear pattern. This, according to McLuhan, was due to the influence of the printed word. However, today's college students, mostly born in the 1960s and early 1970s, became accustomed to a nonlinear, electronic medium long before they learned to read. For McLuhan, then, real education can only begin when the teacher moves beyond the limitations of print-dominated instruction.

One does not have to accept all of McLuhan's ideas to recognize the possibilities of films. To be sure, films will not replace books and discussions in the teaching and learning of history. The
processes of verbal and visual cognition are quite different from each other—recent scientific research suggests that they are functions of separate hemispheres of the brain. However, as film authority David A. Cook has written, "There are few things more compelling in human perceptual experience than the cinematic image in projection."

It is the instructor's job to use this compelling image properly for the sake of education. This cannot be done simply by showing a film without making a solid introduction to the film or having a serious discussion at the conclusion of the film of its value for understanding history. Films continually contradict reality. In fact, the phenomenon of the persistence of vision that makes a series of photographs appear to be moving is a trick that the eye plays on the mind. Both teacher and student must be constantly aware of the seductive nature of film. And, because of its special nature, film must be approached with even more caution than one takes when reading traditional historical documents.

**FILM AND HISTORY**

Perhaps the first thing to discuss regarding the use of film is that you cannot believe everything you see. This caution, of course, is nothing new to the historical process. Every student new to the study of history is warned not to believe everything he or she reads. Critical thinking is essential to the study of history. There isn’t a problem when the film being watched is a clearly fictional feature film. As when reading a novel, it is quite easy to discern representations of physical or emotional reality from reality itself. *The Grapes of Wrath* (1940), for example, captured something of the mood of desperation during the Great Depression, and the film can give the viewer a real feeling for what life was like for millions of Americans during the 1930s. It is clear, however, that *The Grapes of Wrath* is fictionalized reality.

This is not so clear in the case of a documentary. Too often, a documentary or a newsreel is presented and accepted as a bona-fide slice of reality, much in the same manner as the nightly news programs are delivered and received. It should be stressed that here, more than anywhere else, the historian's critical judgment should be exercised. Documentary as propaganda should be understood. An effective way to do this is through a general discussion of the filmmaker's trade. The student should be shown how an imaginative filmmaker can alter the emotional impact of any film through skillful editing. A classic example of this is Leni Riefenstahl's *Triumph of the Will* (1935), a pro-Hitler propaganda film. The film's beautiful beginning, with Hitler's plane appearing through the clouds above Nuremberg, sets the emotional tone of the film. Through a series of expertly edited sequences, Riefenstahl establishes an emotional bond between the viewer and the wild frenzy of the cult of Hitler. And she does this while ostensibly reporting reality.

Propaganda and skillful editing were not tricks known only to the Nazis. All governments use these skills. For the American historian, Frank Capra's *Why We Fight* series made for the United
States Army is a particularly apt example. It explains in simple but emotional terms why Americans must help defeat the Nazi aggressors. For much of this seven-film series, Capra simply re-edited newsreel footage that the Germans and Italians had produced themselves.

Film, then, is not objective. Once students realize this, they can begin to learn both from the text and subtext of the medium. And once students understand that the art of filmmaking is as subjective as painting or writing, they can begin to view films—documentary, educational, and feature—as historical sources. This critical approach can be especially rewarding when viewing feature films.

Stanley Kubrick's Dr. Strangelove or: How I Learned to Stop Worrying and Love the Bomb (1964), for example, is a useful document for understanding how a feature film reflects the temper of the times. Fears about the absurdity of the arms race and about people's inability to control rationally their own technology form the core of this satire. Appearing as it did before America's large-scale involvement in Vietnam and before the widening of the "credibility gap," Dr. Strangelove was viewed as mildly subversive. However, in the next decade it was hailed as a brief shaft of light into the dark tunnel of American foreign policy of the 1950s and 1960s.

PRACTICAL SUGGESTIONS

The most obvious questions are when and how one should use films in the classroom. For a short documentary or experimental film like Un Chien Andalou this is no problem; such films can easily be fit into a fifty- or seventy-five-minute classroom format. However, the feature film offers distinct problems. To break a film into two or even three segments and show it over the course of a week cuts deeply into classroom time and does an injustice to the film. One remedy for this problem is to view the film as a text and to require your students to view it at some other arranged time. Classroom time could then be used for a discussion of the film. This has proved a useful solution. Students' schedules are usually flexible enough to adjust to this arrangement.

One final suggestion: Be prepared. For most historians, the use of film offers new and unique challenges. The books listed in the first part of the bibliography examine the possibilities and problems of using film. To capitalize on increased student interest caused by the use of film, the instructor must be prepared in a technical and artistic sense to handle students' questions. Reading up on film technique, theory, criticism, and history is essential. It is a time-consuming but rewarding task.

BIBLIOGRAPHY

Perhaps the most vexing problem for the instructor who wishes to use films in the classroom is locating the films he or she wishes to show. There are a number of major 16mm film-rental libraries. Addresses for the major distributors, as well as rental information, are conveniently

Although most "movie books" tend to be slick picture books that seldom treat Hollywood in the larger general context of American culture, there is a substantial body of quality literature that examines the importance of the motion picture industry. David A. Cook's *A History of Narrative Film* (New York: Norton, 1981) is a soundly researched history of the feature film. In it Cook discusses both the technical and the artistic aspects of the history of the movies, and he deals extensively with foreign as well as American films.

Some of the best writing on individual films has been in article or essay form. In this regard, the best journals are *American Cinematographer, Cinema Journal, Film and History, Film Comment, Film Heritage, Film Quarterly, The History Teacher, Journal of the University Film Association, Literature/Film Quarterly, Quarterly Review of Film Studies, Velvet Light Trap*, and *Wide Angle*. 
Using Film and Video Effectively in the Classroom

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THE VISUAL WORLD AND THE CLASSROOM

Changes in technology during this century have transformed both the world in which we live and the history classroom in which we teach. As the world has grown smaller and closer, the imagery we have of it is almost overwhelmingly visual. Television intrudes upon world events and on our lives in ways unimaginable even fifty years ago; even though the video technology existed at that time. Similarly, the study and teaching of history is no longer bound by the printed word or the spoken lecture. The fact is that college students have been weaned on television and movies. Many gain greater understanding and knowledge from a picture than a written description or spoken explanation. Yet, it is also true that too often this visual knowledge and understanding is visceral. It cannot stand the test of time, nor can connections and extension be made analytically to the themes and content of history. Film and video certainly have a place in the classroom but they are not panaceas. Instead, these media represent just one component of education; one piece of the historical puzzle that comes together with lecture, discussion, etc., to comprise the whole of effective instruction.

USING FILM AND VIDEO EFFECTIVELY

This short essay cannot cover the subject of media in the classroom in its entirety, but it can point out some common problems and pose some practical solutions. The major problem facing teachers wanting to include films in their classes is reconciling time and space. There is the problem of time available for screening in a frequently overcrowded curriculum. There is the typical conflict between the length of the production and the length of the class. And there are the more vexing problems of content and quality. Does the film stray off the point or illuminate an important theme or topic? Is the production of high enough quality to merit taking up valuable class time? A corollary problem is that, too often, instructors and students do not take films and videos seriously as instructional tools. Scheduling a film means a day off for the instructor and the perfect time for a nap for the student. In other words, selections and use present dilemmas to the instructor. Use depends upon carefully preparing the class for the presentation and providing follow-up. It requires creating a context for the film or video so that students can see its value and utility. Films and videos can be employed as a hook to open a unit; as a means to provide further insight into a topic discussed in class or the readings. They can stimulate discussion, or provide closure to a topic. They are also useful in student assignments. Most history professors are well aware of the various uses of film and video and can accommodate their classes to effectively include these media. But the selection remains a seemingly insoluble problem for many. Choosing a film typically requires considering content, length, and availability. The irony
is not that too little is available, but that the volume of titles has increased geometrically in the last few years. With the massive number of productions available, selecting a film becomes the proverbial search for a needle in a haystack. Reference guides like the Educational Film/Video Locator and the NICEM Film & Video Finder are so comprehensive that unless you have a title in mind, finding a good one is difficult. The first has ten, double-column pages of U.S. history titles alone, while the other contains twenty-four, four-column pages on this subject. Faced with the daunting task of wading through thousands of titles of unknown productions, many instructors just give up. Others may schedule a film only to find its quality so poor that its value is nil. The following Annotated Film List is intended to aid history instructors in their selection of quality films.
Discovering Western Civilization Through Maps and Views

Gerald A. Danzer, University of Illinois at Chicago

Gerald A. Danzer of the University of Illinois at Chicago, has developed two map supplements of unusual pedagogical value. Both are available free of charge to adopters of Civilization in the West, Sixth Edition.

Discovering Western Civilization Through Maps and Views

This fine collection of maps and views on overhead transparencies is a sequel to the collection for which Professor Danzer won the 1990 James Harvey Robinson Prize from the American Historical Association. This prize is awarded triennially to the AHA member who has made the most outstanding contribution to the teaching and learning of history.

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Mapping Western Civilization: A Guide for Beginning Students

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chart references the maps in Discovering Western Civilization Through Maps and Views and Mapping Western Civilization to the appropriate chapters in Civilization in the West.