INSTRUCTOR’S MANUAL

to accompany

Stearns ♦ Adas ♦ Schwartz ♦ Gilbert

WORLD CIVILIZATIONS

The Global Experience

Fifth Edition

Pamela Marquez

PEARSON
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PART I
From Hunting and Gathering to Civilizations, 2.5 million-1000 B.C.E.: Origins

The first human beings appeared over two million years ago, with major stages in physical development ending about 140,000 years ago. They discovered tools using and improving and thus were able to move away from hunting-and-gathering practices to form larger groups. The beginnings of agriculture, about 10,000 B.C.E., were based on improved tools during the New Stone Age (Neolithic). More elaborate political and cultural forms slowly emerged. Civilization emerged in five different areas. While focusing on the agricultural revolution, we must not lose sight of the many areas in which other systems prevailed. Hunting-and-gathering was not only a different economic system, but brought with it differences in gender relations, daily life and less complex societies.

Triggers for Change. This phase of human history is mainly the story of accommodating different environments, especially in the search for food. Around 10,000 years ago, near the Black Sea, humans turned to agriculture, as hunting became less productive. The reasons for the change are not clear, but possibilities include population pressure, and shortages caused by accidental or deliberate over-hunting. Agriculture brought other essential changes in social organization, tool-making and specialization of occupation.

The Big Changes. Agriculture involved a different set of challenges and benefits than did hunting-and-gathering. The demands of farming meant a sedentary life and larger settlements. Social structures became more complex, and greater gender divisions of labor. Agriculture also made possible the key elements of civilization: states, towns, and monumental building. The first four civilizations arose in river valleys that made irrigation, and hence agriculture possible.

Continuity. Change took place over millennia. Many peoples adhered to their traditional economy, which meant as well adherence to traditional social and cultural ways. As they took to farming, traditionally women's work, men developed ideas of superiority over women. This can be interpreted not as innovation, but as a way to compensate for change.

Impact on Daily Life: Children. Hunting-and-Gathering societies necessitated small families, because of the migratory lifestyle and limited resources. With farming, however, not only were larger families possible, they made sense. Children are an integral part of traditional agriculture. Birth rates increased enormously, although infant mortality remained high. The importance of child labor, moreover, brought with it strict control over children. A culture of parental dominance developed, totalitarian in some instances.

Societies and Trends. Chapter 1 deals with the emergence of agriculture and its impact on human life, the spread of agriculture and the persistence of other patterns. Chapters 2 and 3 cover the four great river valley civilizations of Mesopotamia, Egypt, the Indus Valley and the Yellow River Valley. These chapters examine commonalities among the four, but also the differences and their enduring legacies.
CHAPTER 1
The Neolithic Revolution and the Birth of Civilization

Introduction: definitions of civilization
Elements: urban, monumental building, writing, specialized occupations
Connotation v. denotation

Homo sapiens by 10,000 B.C.E.
larger brain, tools, weapons

A. Paleolithic Culture
Developments by 12,000 B.C.E.
Hunting-gathering, Art
Spread to Europe, Asia, Australia, and the Americas

B. Human Society and Daily Life at the End of the Paleolithic Age
Variety
Bands of hunter-gatherers, Agricultural settlements
Gender division of labor
Men: hunting, fishing, defense and Women: gathering, making medicine

C. Settling Down: Dead Ends and Transitions.
Central Russia
c. 18,000 to 10,000 B.C.E.
Hunting mammoths, gathering wild plants
Trading
Social stratification
Eventually disappeared
Natufian Complex
Jordan River Valley, 10,500 to 8000 B.C.E.
Barley, wheat
Hunting-gathering
More densely-populated
Building
Society: stratified, matrilineal, and matrilocal
Abandoned after 9000 B.C.E.

II. The Neolithic Revolution - 8000 to 3500 B.C.E.
Sedentary agriculture
Animals domesticated
Development of towns

Causes?
Climatic shifts
A. The Domestication of Plants and Animals
   Plants: slow development
   Animals: from 12,000 B.C.E.: dogs, sheep, goats, pigs

B. The Spread of the Neolithic Revolution.
   Hunting-and-gathering persists
   Pastoralism
   Sub-Saharan Africa: root and tree crops
   Northern China: millet
   Rice
   Southeast Asia, to China, India, islands
   Mesoamerica, Peru
   Maize, manioc, sweet potatoes

C. The Transformation of Material Life
   Population
   Pre-neolithic: 5-8 million
   By 4000 B.C.E., 60 or 70 million

D. Social Differentiation
   Specialized occupations
   Regional exchange of goods
   Communal ownership
   Women lose political and economic roles

III. The First Towns: Seedbeds of Civilization

A. Jericho
   Jordan River
   urbanized by 7000 B.C.E.,
   cultivation of wheat, barley
   also hunting, trading
   Building
   wall and ditch, brick houses, plaster hearths, stone mills
   Rule by elite

B. Çatal Hüyük.
   c. 7000 B.C.E., southern Turkey
   Large complex
   Agriculture, commerce
   Shrines

C. The 4th Millennium B.C.E.
   Innovations: plow, wheel
   Copper and stone, bronze
   States: larger, centralized
Trade networks
Writing facilitates trade, holding power, cultural exchange

A Hunter. An example of Neolithic culture can be found near the Pecos River, in the American Southwest, around 10,000 B.C.E. The hunter, traveling between communities, lit a fire and cooked a small animal, using tools he had brought with him and fuel found nearby. Humans had migrated to North America from northeast Asia as early as 25,000 B.C.E. Speech was possible by about 80,000 B.C.E.

Chapter Summary. Between the Old Stone Age (Paleolithic) and the New Stone Age (Neolithic)—12,000 to 8,000 B.C.E.—changes in human organization and food production prepared the way for the emergence of the first civilized societies. Neolithic development of agriculture, from 8500 to 3500 B.C.E., was the first truly revolutionary transformation in human history. Neolithic farmers were able to remake environments to suit their needs, producing surpluses for the support of specialized elites in agriculture, commerce, and manufacturing. The combination of factors usually resulted in urban settlements marked by complex social stratification based upon birth, sex, and occupation.

Human Life in the Era of Hunters and Gatherers. By 10,000 B.C.E., Homo sapiens, one of several humanlike species, was present in all continents except Antarctica. Most groups supported themselves through hunting and gathering. Homo sapiens’ larger brain and erect posture stimulated hand evolution, the use of more efficient tools and weapons, and the development of language. By the close of the Paleolithic, Homo sapiens had mastered many differing environments.

Paleolithic Culture. By 12,000 B.C.E. Homo sapiens were still similar in development to rival human species. Fundamental discoveries included the better use of fire, thus increasing the range of edible foods. Groups survived by hunting, fishing, and gathering wild plants. More complex tool production, and impressive artistic and ritual creativity, demonstrated sophisticated levels of thinking.

The Spread of Human Culture. Fire and tools, plus the effects of climatic change, allowed the human species to spread widely. By around 12,000 B.C.E., they had moved from Africa into Europe, Asia, Australia, and the Americas.

Human Society and Daily Life at the End of the Paleolithic Age. Human groups experimented with different survival strategies. Most individuals were members of small bands of hunters and gatherers constantly moving in pursuit of game and plants. Others harvested wild grains and established long-enduring settlements where they resided for a year or even longer. Only the communities making the transition to true farming were capable of producing civilizations. Most peoples lived in open areas, and population density was very low since extensive territories were necessary to support groupings that probably numbered no more than 20 to 30 men, women, and children. In a gender division of labor, males hunted, fished, and protected the band. Women’s roles were equally important: they gathered vital food supplies and herbal medicines.
Settling Down: Dead Ends and Transitions. A few pre-farming peoples developed different strategies from the majority populations of hunting-and-gathering groups. In central Russia, about 18,000 to 10,000 B.C.E., meat gained from successful hunting of slow woolly mammoths, along with wild plant food, allowed a more sedentary lifestyle and complex social organization. The residents traded with distant peoples and social stratification was demonstrated in burial customs. The society disappeared for unknown reasons. The more sophisticated Natufian complex flourished in the Jordan river valley between 10,500 and 8000 B.C.E. The cultivation of wild barley and wheat, combined with hunting and gathering, allowed the creation of many densely populated permanent settlements. Natufian society developed advanced agricultural and building techniques and was stratified, matrilineal, and matrilocal. Climatic change after 9000 B.C.E. caused site abandonment.

A Precarious Existence. By the late Paleolithic, Homo sapiens lived in tiny, scattered bands. Life was harsh and individuals were at the mercy of nature and disease. Their few tools and weapons left them dependent on the habits of migrating animals. The few humans living in permanent settlements were more secure, but still endured precarious lifestyles.

Agriculture and the Origins of Civilization: The Neolithic Revolution. Between 8000 and 3500 B.C.E., a major change occurred which fundamentally altered human history. Some humans mastered sedentary agriculture and domesticated animals. The resulting food surpluses and increasing populations made urban life and occupation specialization possible. The reasons for change are unclear, but climatic shifts associated with the close of the last ice age forced migration of game animals and changed wild crop distribution. These shifts, along with better hunting-and-gathering techniques, may have led to human population increase.

The Domestication of Plants and Animals. People had long observed wild plants as they gathered their daily needs. Hunters and gatherers either experimented with wild seeds or accidentally discovered domestication. Once learned, the practice developed very slowly as people combined the new ideas with old techniques. From about 12,000 B.C.E., different animals–dogs, sheep, goats, pigs, and cattle–were tamed. Animal products improved the quality of life and increased crop yield.

The Spread of the Neolithic Revolution. Hunting-and-gathering societies persisted as sedentary agricultural societies developed. Animal domestication led to pastoralism in semi-arid regions. Pastoral peoples posed a serious challenge to agricultural societies and created extensive empires. Interactions between nomads and agriculturalists were a long-enduring major theme in world history. The agriculturists increased in numbers and spread their production techniques for grain crops and fibers from the Middle East to Asia, Europe, and northern Africa. Africans south of the Sahara evolved independently, developing root and tree crops. In northern China, millet cultivation spread eastward and southward. Rice, first cultivated in southeast Asia, spread to China, India, and the southeast Asian islands. Maize (corn), manioc, and sweet potatoes were developed in Mesoamerica and Peru and spread to the rest of the hemisphere.

The Transformation of Material Life. The growing population of sedentary humans, with their plants and animals, transformed their immediate environments. By 4000 B.C.E., human numbers soared from pre-agricultural levels of five to eight million to 60 or 70 million. Hunting-
and-gathering groups survived, but villages and their cultivated lands became the dominant feature of human habitation. A sudden surge in invention produced better agricultural implements and techniques of seed selection, planting, and fertilization. Irrigation systems came later. Settlements became more complex, built of a great variety of materials. Food storage also developed: pottery appeared in the early Neolithic Age.

**Social Differentiation.** Surplus production allowed the development of specialized occupations, including political and religious elites, and specialized production of tools, weapons, and pottery. Regional products were exchanged with other peoples. Class distinctions remained minimal, and leadership and property were communal. Women, with the shift to sedentary agriculture, lost ground to men in social and economic matters.

**In Depth: The Idea of Civilization in World Historical Perspective.** The word *civilization* was coined by the Romans to distinguish between themselves—an urban culture—and others, supposedly inferior, who lived on the fringes of their empire. The Greeks earlier had made a similar division; so did the Chinese and Aztecs. Europeans during the 17th and 18th centuries revived the perceived difference between civilized and barbarian societies. Later, racist ideologies awarded Europeans primacy of place among humans. The 21st century has seen the fading of racist thinking, but ethnocentrism still plays a harmful role in defining what is regarded as civilized.

**The First Towns: Seedbeds of Civilization.** By 7000 B.C.E. agriculture was capable of supporting population centers numbering in the thousands. Two of the earliest settlements in the Neolithic transformation were at Jericho and Çatal Hüyük. Their inhabitants included political and religious elites, participated in large-scale commerce, and developed specialized crafts.

**Jericho.** Jericho, an oasis near the Jordan River, was an urban center by 7000 B.C.E. Its economy was based primarily on wheat and barley farming, but both hunting and trade also were important. Expanding wealth resulted in walled fortifications and an encircling ditch. Housing, built of improved bricks and containing plaster hearths and stone mills, became more sophisticated. Religious shrines were present in a later period. The city was governed by a powerful elite, probably associated with keepers of the shrines. Vivid sculpted naturalistic figures give us an impression of Jericho’s inhabitants.

**Çatal Hüyük.** Çatal Hüyük, founded around 7000 B.C.E. in southern Turkey, was larger in size and population than Jericho. It was the most advanced human center of the Neolithic period. A rich economic base was built on extensive agricultural and commercial development. Standardized construction patterns suggest the presence of a powerful ruling elite associated with a priesthood. Well-developed religious shrines indicate the growing role of religion in people’s lives.

**The 4th Millennium B.C.E.: Another Watershed.** The early sedentary settlements established patterns for future civilizations in Mesopotamia, Egypt, India, and Africa. The levels of specialization and political organization present in the towns were critical to new inventions and techniques appearing in the 4th millennium B.C.E. The plow increased crop yields; wheeled vehicles eased transport. Bronze replaced copper and stone in weapon and tool production. The
changes prompted the rise of more centralized and expansive states. Trade networks reached across Afro-Eurasia. Writing in Mesopotamia and other later civilizations expanded communications, enhanced political elite power, and helped the rise of transcultural religions.

GLOBAL CONNECTIONS: The Neolithic Revolution as the Basis for World History. The diffusion of the transformations achieved during the Neolithic revolution made world history possible. Agricultural civilizations spread new technologies and ideas and allowed population growth and urban society. Pastoralists had fewer options for development.

KEY TERMS

**Hunting and gathering:** means of obtaining subsistence by humans before the mastery of sedentary agriculture; normally typical of band social organization.

**Civilization:** societies with reliance on sedentary agriculture, ability to produce food surpluses, and existence of nonfarming elites, along with merchant and manufacturing groups.

**Paleolithic:** the Old Stone Age ending in 12,000 B.C.E.; typified by use of evolving stone tools and hunting and gathering for subsistence.

**Neolithic:** the New Stone Age between 8000 and 5000 B.C.E.; period in which adaptation of sedentary agriculture occurred; domestication of plants and animals accomplished.

**Nomads:** cattle- and sheep-herding societies normally found on the fringes of civilized societies; commonly referred to as “barbarian” by civilized societies.

**“Savages”**: societies engaged in either hunting and gathering for subsistence or in migratory cultivation; not as stratified or specialized as civilized and nomadic societies.

**Culture:** combinations of ideas, objects, and patterns of behavior that result from human social interaction.

**Homo sapiens:** the species of humanity that emerged as most successful at the end of the Paleolithic.

**Neanderthals:** species of genus *Homo* that disappeared at the end of the Paleolithic.

**Band:** a level of social organization normally consisting of between 20 and 30 people; nomadic hunters and gatherers; labor divided on a gender basis.

**Agrarian revolution:** occurred between 8000 and 5000 B.C.E.; transition from hunting and gathering to sedentary agriculture.

**Natufian complex:** pre-agricultural culture, located in present-day Israel, Jordan, and Lebanon; practiced collection of wild barley and wheat to supplement game; large settlement sites.
Matrilocal: a culture in which young men, upon marriage, go to live with the bride’s family.

Matrilineal: family descent and inheritance traced through the female line.

Shifting cultivation: the practice of farming temporarily, then abandoning a site, sometimes when productivity is diminished.

Pastoralism: a nomadic agricultural lifestyle based on herding domesticated animals; tended to produce independent people capable of challenging sedentary agricultural societies.

Huanghe (Yellow) River Basin: site of the development of sedentary agriculture in China.

Mesoamerica: Mexico and Central America; along with Peru, site of development of sedentary agriculture in Western Hemisphere.

Jericho: early walled urban culture based on sedentary agriculture; located in modern Israel, occupied West Bank near Jordan River.

Çatal Hüyük: early urban culture based on sedentary agriculture; located in modern southern Turkey; larger in population than Jericho, had greater degree of social stratification.

Bronze Age: from 4000 to 3000 B.C.E.; increased use of plow, metalworking; development of wheeled vehicles, writing.

LECTURE SUGGESTIONS

1. Discuss the definition of civilization. Civilizations are societies with reliance on sedentary agriculture, the ability to produce food surpluses, and possessing nonfarming elites, along with merchant and manufacturing groups. There have been changes in the concept of civilization through time. Early peoples used a cultural definition: uncivilized peoples were those organized differently. During the 17th and 18th centuries Europeans classified peoples according to their definition of stages in human development and in the 19th century Europeans and Americans divided societies according to supposed racially derived attributes.

2. Discuss the patterns of life in Paleolithic society. People in Paleolithic society lived in small groups, and relied upon hunting and gathering for survival. Their lifestyle meant a very limited material culture. They had discovered fire and made wood, bone, and stone tools. They lived in open ground and not in caves. In gender roles, there was a social deference of males to females. They developed forms of artistic expression.

3. Discuss the first sedentary agricultural communities. Describe how the first communities domesticated plants and animals. Focus on the first efforts in central Russia and the Natufian complex, and then on the later developments at Jericho and Çatal Hüyük. Explain their legacy for the future.
4. The Neolithic agrarian revolution. What was the revolution about? Explain how the transformation made possible a better life for humans through developments in tools, seed selection, planting, fertilization, irrigation, housing, fortifications, and fiber plants. Also discuss the resulting changes in social organization: political and religious elites; specialized production of tools, weapons, pottery; merchants; lack of clearly defined social classes.

CLASS DISCUSSION QUESTIONS

1. What does civilization mean?
2. How is the term “civilized” misused?
3. Compare and contrast the terms “civilized,” “barbarians,” and “inferior peoples.”
4. Describe the culture of Paleolithic hunting-and-gathering societies.
5. What is the difference between hunting-and-gathering societies and intensive hunting-and-gathering societies?
6. Where were the first sedentary agricultural communities established? How are the first sites connected to the spread of sedentary agriculture?
7. How did the Neolithic agrarian revolution transform the material life and social organization of human communities?

THE INSTRUCTOR’S TOOL KIT

Map References

Danzer, Discovering World History Maps and Views.

Video/Films

Guides to the rich store of visual aids can be gained from NICEM, the National Video Clearinghouse, Inc., and Educators Progress Service Inc., and should be consulted by instructors who wish to use them. See the many editions of:

NICEM Index to Educational Slides
NICEM Index to 35 mm. Educational Filmstrips
NICEM Index to Educational Records
NICEM Index to Educational Audio Tapes
NICEM Index to Educational Video Tapes
NICEM Index to 16mm. Educational Films

Perhaps the best, most “user-friendly” slide resource is the *Western Civilization Slide Collection*. The reproductions are excellent and the collection is chronologically arranged.

Films of particular interest for Chapter 1 are:

*Dr. Leakey and the Dawn of Man*, Films, Inc.
*A New Era*, Time-Life Films
*The Ascent of Man*, # 2, *Lower Than Angels*, Time-Life Films, Jacob Bronowski BBC Series
*In the Beginning*, Kenneth Clark, Pyramid Films
CHAPTER 2
The Rise of Civilization in the Middle East and Africa

I. Civilization in Mesopotamia.
   Civilization by 3000 B.C.E.
      Writing, expanded cities, complex social structure, religion

   A. The Sumerians.
      Tigris and Euphrates plain
      Irrigation > food surplus
      Sumerians in c. 4000 B.C.E.
   Political and Social Organization
      City-States
         establish boundaries
         state religion
         courts
      Kings
         defense, war
      Priests
         with kings, administer state land and slaves
   Culture and Religion.
      Writing
         cuneiform: stylus on clay tablets
         phonetic
         scribes
         Gilgamesh
      Astronomy
      Numeric system
      Religion
         patron gods
   Civilization in Sumeria
      Economic surplus
      Government
         priests
         officials
      Merchants, artisans
      Writing
         allowed greater organization
         intellectual pursuits
         scientific data
Gains and Losses

Greater inequalities
  gender
class
wealth

B. Later Mesopotamian Cultures
The Akkadian Empire
  Sargon I
  c. 2400 B.C.E
to Egypt and Ethiopia
The Babylonian Empire
  c. 1800 B.C.E., unites
  Hammurabi
  Law Code
  Scientific knowledge expanded
Hittites
  c. 1600 B.C.E., conquer Babylonians
Fragmentation
  1200 to 900 B.C.E.

II. Ancient Egypt

A. Basic Patterns of Egyptian Society
  Farming by 5000 B.C.E.
  Civilization emerges by 3200 B.C.E.
  Difference: no city-states
Government
  Pharaoh, intermediary between gods and men
  Bureaucracy
  Regional governors

B. Egyptian Ideas and Art.
  Hieroglyphic alphabet
    pictograms, phonetic
    papyrus
    monopolized by priesthood
Medicine
Religion
  Isis, Osiris, Horus
  Cycle of life and death tied to annual rise and fall of Nile

C. Continuity and Change
Old Kingdom
  Invasions from Palestine, c. 2200 B.C.E.
  end of Old Kingdom
Middle Kingdom
  restoration
  control of Sudan
New Kingdom
  c. 1570 B.C.E.
  greater international contact

III. Egypt and Mesopotamia Compared

A. Differences
   Political form
     Mesopotamian city-states
     Egyptian centralized government
   Epic tradition
     *Gilgamesh* in Mesopotamia
     None in Egypt
   Building
     Monumental, use of stone in Egypt
     Use of brick, not so immense in Mesopotamia
   Trade, outside contact
     Greater in Mesopotamia than in Egypt
     Greater technological advances in Mesopotamia
   Women had higher status in Egypt

B. Similarities
   Stratified society
   Noble, land-owning class
   Priesthoods
   Astronomy and mathematics important
   Both conservative except when under outside threat

C. Women
   Patriarchal society
     males dominate political life
     female roles less important
   Women have some religious roles

IV. Civilization Centers in Africa and the Eastern Mediterranean
   Various centers from c. 20000 to 1000 B.C.E.

A. Kush
   Southern Nile, Egyptian border
   Independent existence by 1000 B.C.E.
   Conquered Egypt by 730 B.C.E.
   After Assyrian conquest of Egypt
     Kush moves south
Meroë, 6th century
Height from 250 B.C.E. to 50 C.E.
center of iron working
Defeated by Axum, c. 300 C.E.

B. The Mediterranean Region
from 1500 B.C.E.
Hebrews
Semitic
from c.1600 B.C.E.
Yahweh
Torah
Minoans
Crete, from c. 1600 B.C.E.
Trade with Egypt and Mesopotamia
Egyptian influence: architecture, math, writing
Mesopotamia: political traditions
Conquer Greek mainland
Mycenae
Phoenicians
c. 2000 B.C.E., Lebanese coast
Not unified, several city-states
Alphabet, spread to other civilizations
Colonization
to Atlantic
Iberia
Britain
Carthage
Independent power in western Mediterranean
Conquered by Assyrians, but cities survive

C. The Issue of Heritage
Legacy?
Disruption after 1200 B.C.E.
Indo-Europeans
use of iron
rulers not god-kings, but chosen by warriors
Continuity:
writing, scientific and mathematical knowledge, improved technologies, religious ideas, and art forms.

**Women in Mesopotamia and Egypt.** Mesopotamia and Egypt differed considerably in their treatment of women. In general, women in Mesopotamia suffered under greater restrictions, and were veiled and their movements restricted. In Egypt, on the other hand, although women were considered inferior to men, their range of action was much greater. Nefertiti, living in the
early 1300s B.C.E. is an example of a powerful Egyptian queen. Also, Egypt was rare among contemporary cultures in not practicing female infanticide.

Chapter Summary. Full civilizations emerged first in the Tigris-Euphrates valley, by 3500 B.C.E., and in Egypt along the Nile by 3000 B.C.E. The two very different civilizations had distinct political and cultural characteristics which influenced both neighboring and distant succeeding generations. Both civilizations encountered difficulties around 1000 B.C.E. as the river valley period ended, but by then they had produced offshoots in neighboring regions.

Civilization in Mesopotamia. The first civilization appeared around 3000 B.C.E. and generated the characteristic features of writing, expanded cities, complex social structure, and distinctive religious beliefs and artistic styles.

The Sumerians. Civilization began in the Fertile Crescent, the arable plain of the Tigris and Euphrates river valleys. The rivers annually deposited fertile soil in a region of low rainfall. Irrigation and technological advances produced food surpluses for population growth. Sumerians, migrating from the north about 4000 B.C.E., mixed with local groups to establish Mesopotamian civilization.

Sumerian Political and Social Organization. Political organization was based on city-states; their leaders—kings and local councils—ruled agricultural hinterlands. The government defined state boundaries, regulated and enforced religious duties, and provided court systems for justice. Kings were responsible for defense and warfare, and, along with priests, controlled land worked by slaves. Political stability and the use of writing allowed urban growth, and agricultural, commercial, and technological development.

Sumerian Culture and Religion. Around 3500 B.C.E. the Sumerians introduced writing to meet the needs of recording religious, commercial, and political matters. Their system of writing, called cuneiform, evolved from pictures baked on clay tablets which eventually became phonetic elements. Its complexity confined its use mostly to specialized scribes. Writing helped to produce a more elaborate culture. The world’s oldest story, the Gilgamesh epic, portrayed a hero constantly defeated by the gods. In art, statues and painted frescoes adorned temples and private homes. The Sumerians created patterns of observation and abstract thought, such as the science of astronomy and a numeric system based on units of 12, 60, and 360, still useful to many societies. Their religion, based upon a pantheon of anthropomorphic gods intervening arbitrarily in human affairs, was accompanied by fear and gloom among believers. Each city had a patron god. Priests were important because of their role in placating gods and in making astronomical calculations vital to the running of irrigation systems. Many Sumerian religious ideas influenced Judaism, Christianity, and Islam.

What Civilization Meant in Sumeria. Sumeria established the basic definition of civilization. Its society was based upon economic surplus and was able to support priests, government officials, merchants, and artisans. The spreading irrigation systems made regional coordination vital. A clearly defined government developed. Most individuals lived in the countryside. In the emerging cities, residents amassed wealth and power; they exchanged ideas encouraging
technological innovation and artistic development; they promoted specialization in trade and manufacture.

The Importance of Writing. Writing allowed increased political, social, and economic organization and stimulated an elaborate intellectual life. More formal scientific knowledge was possible. Commercial and manufacturing information became more accessible and cultural expression became more diverse.

Civilization: Gains and Losses. We must remember that civilization does not produce a monopoly on higher values and controlled behavior. It brings losses as well as gains. In the Middle East, distinctions based on class and wealth increased, while greater inequality between men and women emerged. Both civilized and noncivilized societies have the capacity to regulate human behavior, as they endeavor to satisfy human needs, but do not guarantee promoting human happiness. Civilization does create new technological and political capacities, along with elaborate artistic and intellectual forms. Thus the term has a useful meaning for historians.

Later Mesopotamian Civilization: A Series of Conquests. The Sumerians were not able to create a unified political system able to resist pressure from invaders, especially those who had copied their achievements.

The Akkadian Empire. Around 2400 B.C.E the non-Sumerian city of Akkad, led by Sargon I, the first clearly identified individual in world history, conquered the region and founded an empire. Its military forces ranged as far as Egypt and Ethiopia. During 200 years of rule, the Akkadians directed a unified empire with a strong military and bureaucracy. They were the first civilization to produce literary works with known authors. Around 2000 B.C.E. many other kingdoms had emerged in the Middle East, while new invaders brought disorder.

The Babylonian Empire. Around 1800 B.C.E. a new state, the Babylonian Empire, unified Mesopotamia. The state evolved the most elaborate culture among all the successors to the Sumerians. One ruler, Hammurabi, became famous for codifying the laws of the region. The Babylonians maintained Sumerian cultural traditions, and added to their scientific and mathematical work. Indo-European invaders, the Hittites, overthrew the Babylonians about 1600 B.C.E. In the period from 1200 to 900 B.C.E., smaller kingdoms struggled for mastery.

Ancient Egypt. Egyptian civilization, formed by 3000 B.C.E., benefited from contacts with Mesopotamia, but produced a very different society. Egyptian civilization flourished for 2000 years before beginning to decline around 1000 B.C.E.

On Being a God King. Egypt’s rulers, pharaohs, were contacts between gods and people, indeed they became gods after death. It remains unclear how their people reacted to their claimed status, while priests often controlled rulers.

Basic Patterns of Egyptian Society. Farming had developed along the Nile River, assisted by regular floods, by 5000 B.C.E. Before 3200 B.C.E., the Egyptians, with trade and commercial influence from Mesopotamia, formed their distinct civilization. Largely because of the unifying
influence of the desert-surrounded Nile, the Egyptians moved directly from sedentary agricultural communities to large governmental units without experiencing city-states. Political organization remained authoritarian and centralized. The unified state created in 3100 B.C.E. lasted for 3000 years. The three major periods, the Old, Intermediate, and New Kingdoms, were characterized by a pharaoh thought to possess the power to assure the prosperity of the Nile agricultural system. An extensive bureaucracy trained in writing and law upheld his authority. Appointed regional governors supervised irrigation and the building of great public works. One pharaoh, Akhenaton, without success attempted to replace the many gods with a monotheistic religion. The pyramids were constructed to commemorate the greatness of pharaohs. They were the result of impressive human organization since Egyptians were not very technologically advanced.

**Egyptian Ideas and Art.** The Egyptians developed their own hieroglyphic alphabet based upon pictograms, and using papyrus instead of clay tablets. The complex system was monopolized by priests and never developed an epic literary tradition. Egyptian science, focused on mathematics and astronomy, was less advanced than in Mesopotamia, but they were the first to establish the length of the solar year, dividing it into 12 months. Important advances were made in medicine. Religion was the pillar of Egyptian culture. Many gods were worshipped. Elaborate funeral rituals and mummification were part of a distinctive focus on death and a satisfactory afterlife. Art, in unchanging and stylized form, focused upon the gods.

**Continuity and Change.** Changes did occur in this stable society. Invasions from Palestine about 2200 B.C.E. ended the Old Kingdom and brought disorder and rival kingdoms. The Middle Kingdom restored unity and spread settlements into present-day Sudan. New invasions and social unrest led to the New Kingdom, around 1570 B.C.E. Commercial and diplomatic contacts spread Egyptian influence in the Middle East and eastern Mediterranean. Slavery became a formal institution. After 1150 B.C.E., invasions and internal disorder brought steady decline.

**Egypt and Mesopotamia Compared.** The two civilizations had important differences and similarities. In political life, the Mesopotamians developed regional city-states while the Egyptians lived under a strong, centralized government. Both had stratified social classes. Mesopotamia developed an epic literary tradition lacking in Egypt. With better access to building materials, the ability to organize masses of laborers, and a strong belief in an afterlife, the Egyptians focused more on monumental structures than did the Mesopotamians. Both societies traded widely, but Mesopotamia’s trade contacts were more extensive, and greater attention was given to the merchant class and commercial law. Because of its more difficult environment, Mesopotamia produced more technological advances. Egypt’s different environment contributed to its stable civilization and cheerful outlook both of life and the afterlife. In social organization, women probably held higher status in Egypt. Both societies had a noble land-owning class, powerful priesthoods, and masses of peasants and slaves. In science, both emphasized astronomy and mathematics. Aided by relative regional isolation, the two conservative civilizations resisted change until pressured by natural disaster or invasion.

**In Depth: Women in Patriarchal Societies.** Agricultural societies were patriarchal, awarding men primary position in political, economic, and cultural life. Egyptian society allowed upper-
class women more influence than they held in Mesopotamia, but they clearly remained a subordinate group. The decline in the status of women probably occurred because their labor became less important than it had been in hunting-and-gathering and early agricultural societies. Some women achieved influence through religious functions, by the emotional hold gained over husbands and sons, and through their important role in managing household operations.

**Civilization Centers in Africa and the Eastern Mediterranean.** A number of partially separate civilization centers developed between 20,000 and 1000 B.C.E. Although influenced by the achievements of the major civilizations, they developed their own lasting characteristics.

**Kush and Axum: Civilization Spreads in Africa.** Kush, the first known African state, developed along the southern reaches of the Nile, on the frontiers of Egyptian influence. Kush was an independent polity by 1000 B.C.E.; by 730 B.C.E. it conquered and ruled Egypt. When the Assyrians invaded Egypt, Kush turned southward and established a capital at Meroë during the 6th century. The kingdom’s greatest period was from 250 B.C.E. to 50 C.E. Kush became a key center of iron technology, using iron tools to extend cultivation. Kushite writing and political organization were influenced by Egypt. The kingdom traded extensively with other African regions, but its influence outside the area of the upper Nile is unknown. Kush was defeated by Axum around 300 C.E.

**Cultures in the Mediterranean Region.** Many small centers sprang up after 1500 B.C.E., mixing their cultures with Mesopotamian influences. Some of the smaller cultures had major influences in other world regions.

The Hebrews and Monotheism. The Hebrews, a Semitic people influenced by Babylonian civilization, moved into the southeast corner of the region around 1600 B.C.E. Jewish tradition relates that Moses led them from Egypt to Palestine in the 13th century B.C.E. Their distinctive achievement was the development of a monotheistic and ethical religion. They regarded themselves as a chosen people under their god Yahweh’s guidance. Their religious ideas were written down in the Torah and other writings. Two important features were the idea of an overall divine plan in history and the concept of a divinely ordered morality. The Jews were not important politically, but their written religion enabled them, even when dispersed, to retain cultural identity. The Jews did not try to convert other peoples, but the later proselytizing faiths of Christianity and Islam incorporated their ideas.

The Minoans. A civilized society developed in Crete around 1600 B.C.E. They traded with Egypt and Mesopotamia. Egypt influenced Minoan architectural forms, mathematics, and writing, and with Mesopotamia, influenced centralized, bureaucratic political forms. The Minoans conquered parts of the Greek mainland and established its first civilization at Mycenae. Both Crete and Greece were conquered by Indo-Europeans around 1000 B.C.E., but the Minoan legacy influenced later Greek civilization.

The Phoenicians. Around 2000 B.C.E. the Phoenicians settled on the Lebanese coast. Primarily a maritime commercial society, they absorbed important influences from major civilization centers. Around 1300 B.C.E. they devised a simplified alphabet that became the ancestor of the
Greek and Latin lettering systems. Phoenician traders established colonies on the shores of the Mediterranean; the North African settlement at Carthage later became a major political and economic power. They sailed into the Atlantic, settling on the Iberian coast, and even went as far as Britain, trading in the tin the island provided. The Phoenician cities fell to the Assyrians by the 6th century B.C.E., but their colonies long survived.

**The Issue of Heritage.** How much influence did early civilizations have on later societies? After 1200 B.C.E. invasions by Indo-European hunters and herders from central Asia disrupted Middle Eastern civilizations. By introducing iron use, they began the formation of new polities and economies. Indo-Europeans de-emphasized beliefs in the divine attributes of kings, instead selecting their rulers in military councils. Although the invasions closed the era of river valley civilizations, their legacies endured: writing, scientific and mathematical knowledge, improved technologies, religious ideas, and art forms. It has been argued that Mesopotamian-influenced cultures emphasized a division between humanity and nature, in sharp contrast to the traditions of other world regions.

**GLOBAL CONNECTIONS: The Early Civilizations and the World.** Mesopotamia and Egypt differed in influencing regions beyond their spheres. Without barriers hindering invaders, Mesopotamians had an expanding political and commercial society. The more isolated Egyptians centered their thoughts on themselves, although they did influence regions to its south, and had eastern Mediterranean contacts.

**KEY TERMS**

**Mesopotamia:** literally “between the rivers”; the civilizations that arose in the alluvial plain of the Tigris-Euphrates river valleys.

**Potter’s wheel:** a technological advance in pottery making; invented circa 6000 B.C.E.; encouraged faster and higher-quality ceramic pottery products.

**Sumerians:** people who migrated into Mesopotamia circa 4000 B.C.E.; created the first civilization within the region; organized area into city-states.

**Cuneiform:** a form of writing developed by the Sumerians using a wedge-shaped stylus and clay tablets.

**City-state:** a form of political organization typical of Mesopotamian civilization; consisted of agricultural hinterlands ruled by an urban-based king.

**Epic of Gilgamesh:** the first literary epic; written down circa 2000 B.C.E.; included story of the Great Flood.

**Ziggurats:** massive towers usually associated with Mesopotamian temple connections.

**Animism:** a religious outlook that recognizes gods in many aspects of nature and propitiates them to help control and explain nature; typical of Mesopotamian religions.
**Sargon I of Akkad:** ruler of city-state of Akkad; established the first empire in Mesopotamian civilization circa 2400 B.C.E.

**Babylonian Empire:** unified all of Mesopotamia circa 1800 B.C.E.; collapsed due to foreign invasion circa 1600 B.C.E.

**Hammurabi:** the most important Babylonian ruler; responsible for codification of the law.

**Hittites:** Indo-European peoples centered in Anatolia; height of their empire in the 14th century B.C.E.

**Pharaoh:** the term used to denote the kings of ancient Egypt; the term, "great house" refers to the palace of the pharaohs.

**Akhenaton:** Egyptian pharaoh of the New Kingdom; attempted to establish monotheistic religion replacing the traditional Egyptian pantheon of gods.

**Pyramids:** monumental architecture typical of Old Kingdom Egypt; used as burial sites for pharaohs.

**Mummification:** act of preserving the bodies of the dead; practiced in Egypt to preserve the body for enjoyment of the afterlife.

**Hieroglyphs:** form of writing developed in ancient Egypt; more pictorial than Mesopotamian cuneiform.

**Patriarchate:** societies in which women defer to men; societies run by men and based upon the assumption that men naturally directed political, economic, and cultural life.

**Axum:** a kingdom in the north of modern Ethiopia.

**Kush:** African state that developed along the upper reaches of the Nile circa 1000 B.C.E.; conquered Egypt and ruled it for several centuries.

**Yahweh:** the single god of the Hebrews; constructed a covenant with Jews as his chosen people.

**Monotheism:** the exclusive worship of one god; introduced by Jews into Middle Eastern civilization.

**Minoans:** a civilization that developed on Crete circa 1600 B.C.E.; capital at the palace complex of Knossos.

**Mycenae:** the first civilization to emerge on the Greek mainland; destroyed circa 1000 B.C.E.
Phoenicians: seafaring civilization located on the shores of the eastern Mediterranean; established colonies throughout the Mediterranean.

LECTURE SUGGESTIONS

1. Discuss the innovations and technological advances that made possible the transition from sedentary to agricultural societies. Begin with conditions at places like Jericho and Çatal Hüyük and then move on to the larger populations typical of civilization. Factors to discuss are the spread of sedentary agriculture through the Middle East, the growth of the concept of private property, the need for new laws and enforcement, the development of more complex government, the building of irrigation systems, the status of women, and the invention of new tools.

2. Compare and contrast the civilizations of Mesopotamia and Egypt. The following factors can be compared to illuminate the differences between the two civilizations: social stratification (the roles of land-holding nobles, priests, agricultural workers, and slaves), emphasis on astronomy and related sciences, conservatism to change, the degree of political centralization, monumental architecture, literary traditions, technological development, and the status of women.

CLASS DISCUSSION QUESTIONS

1. What is the importance of private property in civilization?

2. What is the connection between irrigation systems and civilization?

3. Why did the earliest civilization emerge in Mesopotamia?

4. How did the Sumerians politically organize early Mesopotamia?

5. What factors defined civilization in Sumerian culture?

6. Why were cities important in Mesopotamian civilization?

7. Was writing indispensable to civilization?

8. What are some of the great social losses associated with civilization?

9. What was the form of political organization in ancient Egypt?

10. What other early centers of civilization developed in the Middle East and Africa besides Mesopotamia and Egypt?
THE INSTRUCTOR’S TOOL KIT

Map References

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CHAPTER 3
Asia’s First Civilizations: India and China

River valley systems
   akin to Egypt and Mesopotamia

I. The Indus River Valley and the Birth of South Asian Civilization.
   Harappan civilization, 3rd millennium B.C.E.
   Indus river system
   Valley plains, snow-fed rivers

A. The Great Cities of the Indus Valley
   Harappa, Mohenjo-Daro
   Densely-populated
   Walled
   Square grid pattern
   Construction: kiln-dried bricks
   Citadels
      defensive retreats
      civic centers
      bathing tanks
   Granaries
   Sewage system
   Residences
      courtyards

B. Harappan Culture and Society
   Agriculture
      Wheat, rye, peas, cotton, and possibly rice
   Domesticated animals
   Irrigation systems
   Trade with Mesopotamia, China, and Burma
   Priests
      privileged
      intermediaries
      Fertility central
      female figures and phallic symbols common

C. The Slow Demise of Harappan Civilization
   c. 1150 B.C.E.
   Causes unclear
   Floods at Mohenjo-Daro
   Fertile areas drier
   Migrants lead to deterioration irrigation system
II. The Aryans

Indo-Europeans
Pastoralists
From Black and Caspian areas
3rd, 2nd millennia B.C.E.
into Asia Minor, Europe, Iran, and the Indus and Ganges river systems.

A. Aryan Warrior Culture
Dominated by warriors
Turn to agriculture in Ganges
Villages
Oral literature
The Vedas
religious hymns
Horses
chariots
Indra, god of battle and lightning

B. Aryan Society
Originally: warriors, priests, and commoners
added serfs (dasas) from indigenous Indians
develops into caste system

Four castes (varnas)
priests (brahmans)
warriors
merchants
peasants
Plus non-Aryan conquered peoples

Patriarchal, patrilineal, patrilocal
brides bring dowries

C. Aryan Religion
Polytheistic
Male gods dominate

D. Harappa's Fall
After 1500 B.C.E., civilization gives way to pastorlism, small settlements
Tribal organization predominates
comparatively egalitarian
Aryans later turn to agriculture
form small kingdoms
New culture forms from synthesis
III. A Bend in the River and the Beginnings of China

A. Beginnings
   Peking man

   Neolithic
   Ordos Bulge of Huanghe
   Migrants
   By 4000 B.C.E., two cultural centers
   Yangshao culture (2500-2000 B.C.E.)
   Longshan culture (2000-1500 B.C.E.)
   millet, larger villages
   controlled river with dikes
   Rulers associated with flood control
   mythical Yu, ruler of Xia

B. The Warrior Kings of the Shang Era
   Early legend
   Yu's rule of Xia

   c. 1500 B.C.E.
   Small kingdoms near Ordos Bulge

   Culture develops
   divination, using bones
   silk worms, silk fabrics
   ancestor worship

   Shang tribe
   nomadic
   kings
   intermediaries

C. Shang Society
   Anyang, capital

   Farming
   peasant cooperatives
   millet, wheat, beans, rice

   Slaves

   Ruling class
   walled towns
   extended families
   patrilocal
Commoners
  nuclear families

D. Shang Culture
Religion
  fertility central
  human sacrifice
  shamans
    divination
      bones, tortoise shells

Writing
  from religious script
  pictograms initially
  3000 characters
  paper used by 100 C.E.

IV. The Decline of the Shang and the Era of Zhou Dominance
Zhou
  Turkic
    initially vassals of Shang
  Take power by 1100 B.C.E.

Feudal
  oaths of allegiance
  grants of fiefs for military service

Wu
  extended rule to east and south

A. Changes in the Social Order
  Two developments weaken feudal order
    Idea of Mandate of Heaven
      begins with Wu

    Professional bureaucracy
      shi

B. New Patterns of Life
  Capitals, Xian and Loyang
  Garrison towns
  Peasants
    military, labor requirements
C. Migrations and the Expansion of the Chinese Core
Movement along Huanghe Valley
then into Huai, Yangtze basins

Non-Chinese displaced

D. Cultural Change in the Early Zhou Period
Patriarchy reinforced
Correct behavior, ritual important

Decline by 8th
771 B.C.E., assassination

Xian abandoned
Loyang the basis of smaller realm
Fragmentation, disunity follows

Harappa. The early Indus valley civilization–later called Harrapan–was first excavated in the 1850s, during the construction of railways under British supervision. Alexander Cunningham, a British general involved in the discoveries, later headed the Indian Archeological Survey. The Indus valley had been home to a huge network of towns and villages, first arising in the mid-3rd millennium B.C.E. Two great cities, Harappa and Mohenjo Daro, were at the heart of the civilization.

Chapter Summary. East and South Asia developed civilizations near great river systems. Chinese civilization emerged along the Huanghe River, and the ancestor to Indian civilization, Harappa, flourished in the Indus River Valley. Nomadic Aryan invaders moved into the region of the latter between 1500 and 1000 B.C.E. and established the basis for a new pattern of civilization in South Asia. In North China the formation of the Shang kingdom, from around 1500 to 1122 B.C.E., and the succeeding Zhou dynasty, marked the origins of the distinctive and enduring Chinese civilization.

The Indus River Valley and the Birth of South Asian Civilization. Harappan civilization, a huge complex of cities and villages, developed rapidly during the 3rd millennium B.C.E. within the Indus river system. The two principal cities were Harappa, in the north, and Mohenjo-Daro, in the south. The rivers were fed by the melting snows of the Himalayas, and monsoon rains, depositing rich soil in the valley plains. Early settlers profited from the region’s rich environment. They domesticated animals and practiced sophisticated agricultural techniques; they made pottery, mirrors, bronze tools, and weapons.

The Great Cities of the Indus Valley. Harappa and Mohenjo-Daro were densely populated, walled cities similar in layout and construction. They were built on a square grid pattern divided by main streets into smaller, precise grids. Buildings and walls were made of standardized kiln-dried bricks. The massive scale required an autocratic government able to manage large numbers of workers. Each city possessed fortified citadels which served as defensive sanctuaries, community centers, assembly halls or places of worship, and public
bathing tanks. Large granaries located nearby stored grain, whose sale and production may have been regulated by the state. Smaller uniformly constructed residences made of brick were arranged along twisted lanes. They lacked exterior decoration and ornamentation and contained a courtyard surrounded by rooms for sleeping, cooking, and receiving visitors. Bathing areas and drains emptied into a citywide sewage system, one of the best in the ancient world.

**Harappan Culture and Society.** An advanced agricultural system supported Harappa’s peoples. The main food crops were wheat, rye, peas, and possibly rice, and domesticated animals and cotton were also part of the system. Irrigation systems controlled the rivers’ flow. The cities were major trading centers; there is evidence for trade with Mesopotamia, China, and Burma. The Harappans remained conservative and resistant to external influences, including weapon development. A powerful class of priests, drawing authority from their role as intermediary between the populace and gods, dominated society. Promoting fertility was a paramount concern. The most prominent deity depicted was a fierce-faced naked male with a horned head. The concern with fertility was demonstrated by numerous naked female figures (*devis*, or mother-goddesses, and sacred animals—especially bulls), and phallic-shaped objects. The figures, along with carvings depicting members of society, represent the pinnacle of Harappan artistic expression. The rigid order of the society required an extensive administrative class serving the priests. The latter, along with merchants, occupied the larger residences of the city.

**The Slow Demise of Harappan Civilization.** The precise causes of Harappan decline during the mid-2nd millennium B.C.E. remain disputed. Many factors contributed to its demise. Mohenjo-Daro and other locations suffered from severe flooding. Shifts in climatic patterns eventually transformed the fertile region into an arid steppe. The priestly class lost power. Migrants, some of them Aryan pastoralists, destroyed the irrigation system over a long period of time.

**Aryan Incursions and Early Aryan Society in India.** New peoples, including the Aryans, moved into the Indus valley. Their descendants eventually created a sophisticated civilization that included the great world religions of Hinduism and Buddhism. The Aryans, speakers of Indo-European languages, were herders coming from the region between the Black and Caspian seas. During the 3rd and 2nd millennia B.C.E., they migrated into Asia Minor, Europe, Iran, and the Indus and Ganges river systems.

**Aryan Warrior Culture.** The Aryans were a warrior people, who had not reached the level of civilization attained by Harappa. Realizing the potential of the Ganges valley, the Aryans settled and became agriculturists. Villages were built of wood and thatch. The Aryans had little interest in sculpture or painting, but excelled in music and dancing. Gambling was a very popular pastime. The Aryans did not develop writing until much later, but they possessed a rich oral lore. The Vedas, religious hymns, depicted Aryans as a restless and warlike people. They were superb horsemen, employed chariots, and had more effective weapons than the Harappans. The chief deity was Indra, god of battle and lightning.

**Aryan Society.** When they arrived, the Aryans were divided into three main social groups: warriors, priests, and commoners. The conquered indigenous inhabitants added a fourth group,
slaves or serfs (dasas). There was rigid social differentiation between Aryans and dasas. The effort to prevent mixture gave rise to the caste system, the lasting basis of Indian social organization. Four broad social castes (varnas) emerged: priests (brahmins), warriors, merchants, and peasants. Beneath them were the descendants of non-Aryan conquered peoples. Males dominated Aryan society as rulers, warriors, and priests. Descent and inheritance were patrilineal. Brides, bringing sizable dowries with them, joined the family of their husbands. Monogamous marriages were the norm.

**Aryan Religion.** The polytheistic Aryans worshipped many deities possessing the power to assist believers in their daily lives. Male gods dominated. Major priestly functions in Aryan religious worship centered on animal sacrifice and ritual food offerings. Religious thought was not introspective, and the later Indian concepts of reincarnation and the transmigration of souls were absent.

**Harappa’s Fall and Aryan Dominance.** After 1500 B.C.E., civilization disappeared as Aryan pastoralists conquered the indigenous agricultural population. The relatively egalitarian tribal organization replaced the earlier, more complex political and social organization. Civilization reemerged when the invaders turned to agriculture in the Himalayan foothills and Ganges valley and formed small kingdoms. The interaction between the invaders and indigenous peoples established the basis for India’s great classical civilization.

**A Bend in the River and the Beginnings of China.** Chinese civilization took form during the mid-2nd millennium B.C.E. along the Huanghe River. The Shang dynasty, founded by nomadic warrior peoples, expanded and improved earlier irrigation systems and developed the Chinese system of writing. The north China plain had been occupied by humanlike creatures and humans from a very early date. It is the home of Peking Man, one of the earliest hominids. During Neolithic times the Ordos bulge of the Huanghe received migrants who worked its rich loess soil and utilized the abundant river water resources. By 4000 B.C.E. the many sedentary communities formed two cultural complexes that laid the basis for the Shang. In the Yangshao culture (2500-2000 B.C.E.) supplementary shifting cultivation aided a predominantly hunting and fishing society. The later Longshan culture (2000-1500 B.C.E.) relied upon millet cultivation and was able to support large, permanent villages. Irrigation systems were vital to the growth of this agricultural society. The seasonal flow of the Huanghe, and the large amounts of silt in the water, required the building and upkeep of great earthen dikes. The first rulers, like the mythical hero Yu, ruler of Xia, were associated with successful flood control.

**The Warrior Kings of the Shang Era.** Around 1500 B.C.E. many small kingdoms, ruled by nomadic tribal groups coming from the north and west, emerged near the Ordos bulge. Semi-legendary accounts of earlier states, like Yu’s foundation of Xia, lack archaeological verification. A distinctive Chinese culture emerged. Key features were cooking vessels and cuisine, use of cracked animal bones for divination, domestication of the silk worm, use of silk fabrics, and ancestor worship. One tribe, the Shang, became dominant and established the foundations of Chinese civilization. They were warlike nomads, ruled by strong kings, with advanced military techniques. The ruler was regarded as the intermediary between the supreme being and mortals; he held responsibility for the fertility of the state.
Shang Society. The Shang had a thriving bureaucracy in Anyang, the capital city, but most subjects were governed by vassal retainers recruited from the former ruling groups. The vassals depended upon the produce and labor of commoners to support their power and to provide tribute and soldiers for the king. Peasants worked land in cooperative teams and grew millet, wheat, beans, and rice. They lived in sunken homes of stamped earth. Some skilled artisans were prosperous and lived in large homes. The lowest societal group was the large slave population. Many artisans were slaves, but some skilled individuals were free and prosperous. The Shang ruling elite lived within walled towns in large compounds holding extended families. Elder males held absolute authority in their households. Marriage tradition was patrilocal. The majority of the population followed a different pattern. Commoner families lived in nuclear households, which probably were male-dominated and patrilocal.

Shang Culture. Shang elites were preoccupied with rituals, oracles, and sacrifices. They joined the ruler in propitiating spirits to provide crops and offspring. Artistic expression peaked in bronze vessels used for offerings of grain, incense, wine, and animals. Human sacrifice occurred during ritual warfare and when war captives and servants were buried with the king and important officials. Shamans performed oracular functions for harvests, wars, journeys, and marriages. Readings were taken from animal bones and tortoise shells. They were drilled and seared, and the resulting cracks were interpreted. Patterns inscribed on the bones and shells formed the basis for a written language that provided the diverse peoples of the loess zone with a common culture. The initially pictographic characters evolved to convey complex ideas. By the end of the Shang period there were 3000 characters. The bones and bronze vessels on which the characters were first carved gave way to bamboo, silk, and wooden surfaces. In the 1st century C.E., they were replaced by the Chinese invention of paper.

Writing and Chinese Identity. Writing became fundamental to Chinese identity and the growth of civilization. The written language made communication possible between the elite of the many different groups of the region and provided a foundation for the basic elements of the developing Chinese civilization.

The Decline of the Shang and the Era of Zhou Dominance. The Zhou, a Turkic-speaking nomadic people from central Asia, became vassals of the Shang. By the end of the 12th century B.C.E. they seized power and established a dynasty enduring until the 3rd century B.C.E. The first ruler, Wu, greatly expanded the state’s borders to the east and south. The new rulers had a more centralized government than the Shang. Their most powerful vassals were relatives or loyal allies who controlled other relatives under them in the hierarchy. Formal oaths of allegiance and regularized fief-granting procedures transformed the Shang vassal system into a more genuinely feudal order. Zhou rulers granted fiefs in return for loyalty and military service. The system worked under strong rulers, but weakness at the royal center facilitated rebellion.

Changes in the Social Order. The continuance of the feudal system was undermined by two developments. The first was the elaboration of the concept of the Mandate of Heaven. King Wu, when the Shang were conquered, claimed that they had lost the Mandate of Heaven. This appeal to a supernatural source of authority enhanced the capacity of rulers to become
absolutist, authoritarian, kings. However, if rulers failed to govern effectively, they might lose the mandate, making it legitimate for subjects to rebel and replace the dynasty. The second development weakening feudalism was the emergence of a professional bureaucracy that provided an alternative to the use of military vassals. They were educated men, known as shi, who kept records, ran departments, and organized rituals. They were supported by land grants or regular salaries. By the middle of the 8th century B.C.E., some of the shi gained considerable influence with rulers and powerful vassals.

**New Patterns of Life.** During the early dynasty the Zhou conquerors lived separately from the subjugated indigenous people in the twin capitals of Xian and Loyang. Zhou vassals lived away from the capitals in walled garrison towns laid out on a grid pattern. Servants, artisans, and slaves lived in or near the garrisons. The great majority of the population, peasants, producing millet, wheat, and rice, lived and worked in villages. Iron farm implements and extended irrigation systems increased productivity, but most of the surplus went to the ruling elite. The peasants’ many obligations also included military service and forced labor on roads and on irrigation projects. Peasants living away from their lord’s direct influence escaped many such burdens and were, in effect, free cultivators.

**Migrations and the Expansion of the Chinese Core.** Improved agricultural technology stimulated population growth in Zhou lands and caused extension of cultivation to the south and east. Migrants moved down the Huanghe valley and beyond, eventually into the Huai and Yangtze basins, and replaced non-Chinese inhabitants who were hunters and gatherers and shifting cultivators. By the close of the Zhou era, the region that became the heart of Chinese civilization was permanently occupied.

**Cultural Change in the Early Zhou Period.** The Zhou strengthened male dominance within Chinese society. Males probably secured increased authority by their control of the ceremonies of ancestor veneration which became the central focus of religious observance. Human sacrifice ended and philosophical speculation remained a distant second to elaborate rites designed to win divine blessing. Emphasis on correct ritual performance led to concern among the elite for refined manners and proper decorum.

**The End of the Early or Western Zhou.** The Zhou were in decline by the 8th century B.C.E. Vassals defeated and killed the ruler in 771 B.C.E. The state broke apart, and Xian was abandoned. For the next five centuries, a less powerful Zhou dynasty ruled from Loyang over a continually shrinking domain. Several competing kingdoms emerged during the long period of chaos and societal suffering. The chaos and suffering prompted a reaction among the shi that altered the course of Chinese civilization.

**In Depth: The Legacy of Asia’s First Civilizations.** The first civilizations of south Asia and China surpass early Mesopotamian and Egyptian civilizations in some aspects. Harappan civilization had a markedly different legacy than the Shang and Zhou. The region where the Chinese polities emerged became the center of a civilization continuing until today. The system of writing was one of many factors in the evolution of Chinese civilization. While the Harrapan civilization of the Indus valley collapsed, and much was lost, influences persisted as the core of Indian civilizations passed to the east and south. The Ganges river system became the new
center of the subcontinent. A critical difference between the two was that the Harrapans were more isolated, and unprepared for the nomadic invasions that disrupted their way of life, while Chinese civilization had developed in constant contact with nomads, and became more adaptable.

**GLOBAL CONNECTIONS: Contrasting Legacies: Harappan and Early Chinese Civilizations.** China, like Mesopotamia, was a great source of civilizing influences in human history. It influenced the development of Japan, Korea, Vietnam, and other regions of east Asia. China’s technological legacy was equally important. In contrast, the fundamental aspects of Harappan civilization disappeared, although some traces—such as yoga—remain.

**KEY TERMS**

**Monsoons:** winds that reverse direction seasonally.

**Harappan civilization:** first civilization of the Indian subcontinent; emerged in Indus river valley circa 2500 B.C.E.

**Harappa and Mohenjo-Daro:** major urban complexes of Harappan civilization; laid out on planned grid pattern.

**Monsoons:** seasonal winds crossing the Indian sub-continent and southeast Asia; during the summer they bring rain.

**Yoga:** special technique for exercise and meditation; may have originated in Harappan era.

**Aryans:** Indo-European nomadic, warlike, pastoralists who replaced Harappan civilization.

**Sanskrit:** the Indo-European language of classical India; mainly used today for ceremony.

**Vedas:** Aryan hymns originally transmitted orally; written down in sacred books in the 6th century B.C.E.

**Indra:** chief deity of the Aryans; god of battle and lightning; depicted as a hard-drinking warrior.

**Dasas:** Aryan name for indigenous people of the Indus river valley region; regarded as societally inferior to Aryans.

**Miscegenation:** sexual relations between different groups.

**Varnas:** four broad social class groups: brahmins (priests), warriors, merchants, peasants; beneath them were the untouchables.
**Patrilineal**: social system in which descent and inheritance is passed through the male line; typical of Aryan society.

**Polygamy**: marriage practice in which one husband had several wives; present in Aryan society.

**Polyandry**: marriage practice in which one woman had several husbands; recounted in Aryan epics.

**Huanghe River**: river flowing from the Tibetan Plateau to the China Sea; its valley was site of early Chinese sedentary agricultural communities.

**Ordos Bulge**: located on Huanghe River; region of fertile soil; site of Yangshao and Longshan cultures.

**Loess**: fine-grained soil deposited in Ordos bulge; created fertile lands for sedentary agricultural communities.

**Yangshao culture**: a formative Chinese culture located at Ordos bulge circa 2500 to 2000 B.C.E.; primarily an intensive hunting-and-gathering society supplemented by shifting cultivation.

**Longshan culture**: a formative Chinese culture located at Ordos bulge circa 2000 to 1500 B.C.E; based primarily on cultivation of millet.

**Yu**: a possibly mythical ruler revered for construction of a system of flood control along the Huanghe river valley; founder of Xia kingdom (no archaeological sites yet discovered).

**Shang**: 1st Chinese dynasty; capital in Ordos bulge.

**Vassal retainers**: members of former ruling families granted control over peasant and artisan populations of areas throughout Shang kingdom; indirectly exploited wealth of their territories.

**Extended families**: consisted of several generations, including sons and grandsons of family patriarch and their families; typical of Shang China elites.

**Nuclear households**: husband, wife, and their children, and perhaps a few other relatives; typical of Chinese peasantry.

**Oracles**: shamans or priests in Chinese society who foretold the future through interpreting animal bones cracked by heat; inscriptions on bones led to Chinese writing.

**Ideographic writing**: pictograph characters grouped together to create new concepts; typical of Chinese writing.
Zhou: originally a vassal family of the Shang; possibly Turkic-speaking in origin; overthrew Shang and established 2nd Chinese dynasty (1122-256 B.C.E.)

Wu: early ruler of the Zhou dynasty (r.1122-1115 B.C.E.)

Xian and Loyang: capitals of the Zhou dynasty.

Feudalism: social organization created by exchanging grants of land (fiefs) in return for formal oaths of allegiance and promises of loyal service; typical of Zhou dynasty.

Mandate of Heaven: the divine source of political legitimacy in China; established under Zhou to justify overthrow of Shang.

shi: educated men who serve as professional bureaucrats; grew in importance during Zhou dynasty.

Tian: the deity claimed by the Zhou to have been associated with the earlier Xia dynasty; probably the original clan deity of the Zhou family.

LECTURE SUGGESTIONS

1. Compare and contrast Harappan and Chinese civilization. First consider their agricultural systems, religious practices, and political organization. Both agricultural systems were based on irrigation; the Harappans grew wheat, rye, peas, and rice; the Chinese produced millet and silk. In religion the Harappans emphasized fertility rituals; they had a pantheon of gods, the most significant of which may have been a nude male deity with horns; there might have been ritual bathing. The early Chinese also were concerned with fertility and practiced human sacrifice; divination was practiced on animal bones. In political organization Harappan society was closely supervised from Harappa and Mohenjo-Daro; a priestly elite probably ruled. The Chinese were governed through feudalism: decentralized under the Shang, centralized under the Zhou.

2. Discuss the responses of Harappan and Chinese civilizations to contacts with outsiders and external migration. Harappan civilization was conservative, but it did have commercial contacts with foreigners; it was unable to withstand the migration of the Aryans. The Chinese were able to handle migration by absorbing invaders. The Zhou might replace the Shang, but the fundamental nature of Chinese civilization remained.

CLASS DISCUSSION QUESTIONS

1. In what ways was Harappan civilization like Mesopotamian civilization?

2. What is the evidence for an autocratic form of government in Harappan society?

3. What were the causes for the decline of Harappan society?
4. How was Aryan society organized?

5. What was the nature of the formative Chinese agricultural system?

6. What was the nature of the political organization of Shang China?

7. What was the social organization of Shang China?

8. What was the relationship between Shang religion and the development of writing?

9. What do we know about the status of women in Harappan and early Chinese civilization?

THE INSTRUCTOR’S TOOL KIT

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PART I RETROSPECTIVE
From Hunting and Gathering to Civilizations, 2.5 million to 1000 B.C.E.: Origins

Contacts and Their Limits. This period saw no regular contacts between population centers. Notable similarities between the emerging civilizations were resulted from similar needs, not exchange. Three kinds of intermittent contact did occur in early human history. First, trade between neighboring areas was an important vehicle for the diffusion of knowledge. Diplomatic exchanges, often in the form of gifts, were also important. Most of the details of this kind of commerce remains a mystery to us. While the products can be traced, the mechanics of the exchange cannot. Movement of peoples, through migration or invasion, was another kind of contact. While these movements could be traumatic, they were nevertheless often fruitful. Finally, direct trade between centers of civilizations also occurred. Some areas, such as China and the Americas, remained isolated.
PART II

The Classical Period, 1000 B.C.E. - 500 C.E.:

Uniting Large Regions

In the classical period, China, India, the Mediterranean, and the Middle East all saw the development of large regional civilizations, and, in some cases, massive empires. These civilizations had not only the greatest concentrations of people, but also influenced areas outside their control. For the most part, little contact existed between the regions, but for some, trade forged links, and sometimes served to further an exchange of ideas. Syncretism was often a result of this exchange.

Triggers for Change. The transition to the classical period was slow, and not marked by sharp changes. Developing technology seems to have been a commonality, causing changes in China and Persia, and was a factor in the fall of Harrapan India.

The Big Changes. The formation of large regional cultures permits historians to attempt broad comparisons of political forms, economic developments and mentalities. For example, in all of the areas, the civilizations that marked this period have proved to have lasting influence. Moreover, each area developed a common culture, especially in ideology. Conquest was also a commonality. Finally, in each area, later periods would look back to this age with admiration, and the foundations for many later developments were laid.

Continuity. Although technology was a factor in change, the era was not marked by widespread innovation. In the rural world in particular, continuity was more common than change. Patriarchy remained the norm, now integrated into new cultural systems. In general, some of the hallmarks of the earlier civilizations - money and law codes for instance - were carried forward and further developed.

Impact on Daily Life: Old Age. A respect for the aged was common to all of the great cultural regions. Confucianism in China placed special value on veneration of elders. The Mediterranean culture, especially that of Classical Greece, showed greater variation, the infirmities of old age being a common theme in literature.

Trends and Societies. Chapters 4 through 6 that follow trace the developments of each of the major areas. Chapter 7 focuses on the history of Rome. Chapter 8 turns to the Americas, which have more in common with earlier periods of the river valley systems elsewhere. Chapter 9 also deals with areas outside the main areas of the classical civilizations, concentrating on Afro-Eurasia and the Pacific. Chapter 10 returns to the classical civilizations, following the decline in these areas, and religious innovations.
CHAPTER 4
Unification and the Consolidation of Civilization in China

Kung Fuzi (Confucius)
late 500s B.C.E.
Wandering scholars
 Analects, collected sayings

I. Philosophical Remedies for the Prolonged Crisis of the Later Zhou
Role of shi gives way to military, aristocracy
Merchants become important

A. Confucius and the Restoration of the Shi
Concern with stability, peace
Role of moral elite
education central

B. The Confucian Gentleman
Moral rectitude
Public and private spheres equally important
Kings should be reminded of duties

C. The Heirs of Confucius
Division: Mencius, Sunzi
Mencius
natural goodness
government should encourage goodness
through consent

Sunzi
natural weakness, evil
government must be strong
education improving
Legalists

D. Daoist Alternatives
Laozi
philosopher
Retreat from society
state cannot solve all problems
Nature
Dao, cosmic force
Meditation

II. The Triumph of the Qin and Imperial Unity
Qin Dynasty
Originally nomadic, marginal
Shi Huangdi
Zhou rival
c. 200 B.C.E.

A. The Transformation of a “Barbarian” Land
Reforms
improved technology
peasants freed
autonomous warrior lords weakened
shi used in bureaucracy
military transformed
influence of nomads
cavalry
crossbow

B. The Legalists
Shang Yang
Absolute rulers under rule of law
all to serve the state

C. Shi Huangdi, Emperor of China
Unification by 221 B.C.E.
Warriors disarmed
Upper classes to live in capital Xianyang
Unification through common writing, coinage, weights and measures
Great Wall

D. Opposition
207 B.C.E., rebellion
Lasting impact

III. The Han Dynasty and the Foundations of China’s Classical Age
Liu Bang (Gaozu)
peasant
202 B.C.E., becomes first ruler

A. The Restoration of Imperial Control
Centralized state

Expansion
Hsiung-nu nomads
sporadically disruptive
realm extended to Korea and Vietnam
assimilation
B. The Shi
Legalists replaced by shi
Dominance of Confucianism
basis of government exams

Education, Examinations
examination system
meritocracy

The Scholar-Gentry
basic strata: the shi, other free subjects, the “mean people”
local property-owners linked to shi
> scholar-gentry

C. Class and Gender Roles in Han Society

Peasants
range from dependent poor to more wealthy
production increased
more land in cultivation
horse collar, wheelbarrow
formed secret societies

Women
more freedom in this period
upper classes
arranged marriages
education common

D. Towns and Commerce
Xian, capital
walls, towers
grid pattern
c. 100,000 citizens
c. 100,000 in hinterland
"Forbidden city"

Trade
expands east and south
large companies
merchants gain in wealth, but not social standing

E. Arts and Sciences
Invention
innovative period
paper
compasses
watermills
rudders
technology improves

Art
decorative arts thrive
calligraphy

Science
calendar: 365.5
medicine: diagnosis, remedies, acupuncture

IV. The Later Han
A. Crisis
Emperor's wives

Wang family, 9 - 23 C.E.
Wang Mang
overthrown by scholar-gentry and peasants

B. Later Han
Restoration, 23 C.E.
Central power declines

Kung Fuzi. In the late 6th century B.C.E., Kung Fuzi applied for a position in the government of the kingdom of Lu, in northeast China. Unsuccessful, the scholar later known to the West as Confucius, took to the road to search for a ruler worthy of his service. In this period of the decline of the Zhou kingdom, numerous smaller states competed for dominance. He was joined by many wandering scholars of the shi–scholar gentry—including some who became his disciples. The sayings of Confucius were collected after his death in the early 5th century B.C.E., and became known as the Analects. His writings were influenced by the turbulent times he lived in, and advocated strong leadership and centralized power. His philosophy incorporated all aspects of life, including family relationships, etiquette, and ancestor worship. Although Confucianism has had opponents and was even outlawed in the 20th century, it has provided an enduring foundation for Chinese thought and culture.

Chapter Summary. The Zhou dynasty in the 8th century B.C.E. lost control of its vassals. Internal political disorder was increased by nomadic pressure. The unstable times eventually led to the emergence of a more complex classical society. Political stabilization began in the 3rd century B.C.E. with the victories of Shi Huangdi of the Qin dynasty. Unwise policies by the Qin rulers caused revolts ending with the emergence of the Han dynasty in 207 B.C.E. The Han, ruling over 400 years, reestablished and expanded the extent of Chinese civilization and created a lasting sense of Chinese identity. They founded an enduring bureaucracy whose members were a major influence on social and cultural development.
Philosophical Remedies for the Prolonged Crisis of the Later Zhou. The continuing disorder marking the decline of the Zhou dynasty prompted debate over appropriate remedies. Widespread warfare awarded societal value to military skills and depressed the worth of the shi. Aristocratic power grew while the shi fell to minor occupations. Rituals and court etiquette were replaced by rough nomadic manners. Warfare consumed state resources and public works, including dikes and canals, were ruined. Peasants were taxed heavily and conscripted into the military. The need for military materials stimulated commerce, helping the growth of a prosperous merchant class with an important role in society. By the end of the Zhou period, China supported larger urban centers than any other contemporary civilization.

Confucius and the Restoration of the Shi. By the 5th century B.C.E., thinkers, including Confucius, sought ways to create a stable society and political structure. Confucius, a member of a poor shi family, became a traveling teacher whose political and philosophical ideas attracted followers. He was a social philosopher concerned with the need to reestablish order and harmony in China; he thought that achieving order depended upon rulers accepting the advice of superior men—women were excluded—who were awarded power because of their moral excellence. Such men, recruited from the shi, would gain wisdom through education and, in principle, could be from any social class.

The Confucian Gentleman. Confucius thought that the superior man defended his decisions against all opposition. Rulers should receive deference, but the shi should criticize them for neglecting their subjects’ welfare. The shi gentleman was a generalist equally accomplished in public and private aspects of life. With such men, said Confucius, China would be peaceful, its social struggles over.

The Heirs of Confucius. The most important division among Confucius’s disciples was between Mencius and Sunzi. Mencius believed that humans were good by nature and that government should develop that goodness. He stressed that the consent of the common people was the basis of political power, and that they had the right to overthrow oppressive rulers. Sunzi thought that humans by nature were lazy and evil, thus requiring a strong and authoritarian government. Education could improve people, he thought, but he rejected the idea that government was based on their consent. The later Legalist school of thought embraced his views.

Daoist Alternatives. The philosopher Laozi offered an alternative to Confucianism. Although he urged rulers to cultivate patience, selflessness, and concern for the welfare of all creatures, Laozi thought that a strong state and absolute ethical prescriptions were not significant in solving human suffering. Laozi instead advocated a retreat from society into nature where individuals could attune with the Dao, or cosmic force. Some of his followers, particularly among the shi, followed Laozi’s stress on meditation. Others mixed his ideas with magic and eroticism and sought immortality.

The Triumph of the Qin and Imperial Unity. The western state of Qin, led by Shi Huangdi, one of the many competing rivals striving to supplant the Zhou, unified China at the end of the 3rd century. Qin rulers had nomadic origins and were regarded as barbarians by other Chinese.
The Transformation of a “Barbarian” Land. The Qin rulers introduced critical reforms strengthening their state. The Qin produced better metal weapons and tools. Peasants were freed from bondage to lords and allowed to hold land. The change weakened vassal warriors and allowed the Qin to employ shi in a loyal bureaucracy. Freed peasants enlarged armies made more efficient by shi management. The nomadic heritage of the Qin helped in military tactics, especially in the use of massed cavalry and the crossbow.

The Legalist Sanction. The political centralization of the Qin was supported by statesmen known as Legalists. Shang Yang and other thinkers argued that the power of rulers should be absolute, but subject to the law. Legalists considered that people existed to serve the state, and that strict laws and harsh punishments were required.

Shi Huangdi, Emperor of China. Shi Huangdi favored Legalist doctrine and utilized harsh measures against opponents. By 221 B.C.E. he unified China under the rule of the Qin. Regional fortresses and the weapons of local warriors were destroyed. Formerly independent states were replaced by provinces ruled by bureaucrats. Surviving aristocrats and rich merchants had to live in the capital, Xianyang. State officials developed a standard script, coinage, and unified weights and measures. Shi Huangdi expanded earlier constructions to create a defensive barrier against nomadic invaders, the Great Wall. Other projects, also employing forcibly recruited peasants, included canals and roadways.

The Collapse of a Tyrannical but Pivotal Regime. Shi Huangdi’s harsh policies created opposition among both the shi and peasantry. All but a few state-approved books were ordered destroyed. Building projects stimulated a rising which ended the dynasty in 207 B.C.E. Despite its short rule, the Qin marked a watershed in Chinese history. Shi Huangdi unified China, ruling through a strong centralized bureaucracy. The power of the feudal aristocracy ended. The building of roads and canals, the shelter of the Great Wall, and a unified currency all helped to hold the territory together. A sound foundation was ready for the succeeding Han dynasty.

In Depth: Sunzi and the Shift from Ritual Combat to “Real” War. The development of classical civilizations, with their agricultural surpluses, increased populations, and improved technologies advanced the business of making war. More people fought and suffered during hostilities. In general, warfare was not organized, but subject to ritual rules. Duels between warrior champions were important. Change came during the late Zhou period, when Sunzi, advisor to a warrior ruler, produced a great classic of military theory, The Art of War. He argued that wars should be fought to increase the power of the state, and should be waged with great efficiency. The result was a lasting transformation in the tactics of warfare. The Greeks of the same era independently developed similar patterns.

The Han Dynasty and the Foundations of China’s Classical Age. The Han era, a time of great creativity and innovation, emerged from the disorder following the collapse of the Qin. Liu Bang, a peasant village headman leading an army of soldiers, bureaucrats, and peasants, became its first ruler in 202 B.C.E.
The Restoration of Imperial Control. After a brief return to the vassalage system, Liu Bang, officially known as Gaozu, relied on the shi to create a more centralized administration. Subsequent rulers, especially Han Wudi, continued his policies by weakening the position of landholding aristocrats and granting greater authority to appointed officials.

Han Expansion. The military might enlarged the Han Empire and strengthened its borders. The Hsiung-nu nomads initially were defeated, but they later returned to raiding China when rulers were weak. Han armies extended Chinese rule to northern Korea and southward into Vietnam. Many of the conquered peoples assimilated to Chinese civilization.

The Revenge of the Shi. The Legalists, influential under the Qin, were replaced by Confucians. By the end of the 2nd century B.C.E. the shi were preeminent among ruling classes. Confucianism became the dominant thought system in Chinese civilization for the next 2000 years. Knowledge of Confucius’ teachings was required for employment in government service; an imperial university was founded to train future officials.

Education, Examinations, and Shi Dominance. Confucian classics were the centerpiece of the educational system. An examination process was established for entering the bureaucracy. Since education was expensive, the system effectively excluded almost all peasants and served the shi and landholders. Even though many political positions remained essentially hereditary or appointed, the Han had initiated the concept of a professional civil service where holding office depended more on merit than birth.

The Emergence of the Scholar-Gentry. Three main social strata gained official recognition: the shi, ordinary free subjects, and an underclass (the “mean people”). Each had many occupational and status divisions. Local landlord families increasingly were linked to shi by marriage to create a new class, the scholar-gentry. It controlled both land and office-holding and had a base in towns and rural regions. Scholar-gentry families lived in large, comfortable, extended family compounds. Some families played major roles in society for millennia.

Class and Gender Roles in Han Society. Women, especially from higher social classes, had more freedom in Han times than under later dynasties. Marriages were arranged as alliances between important families. A bride entered her husband’s household, but her relatives ensured good treatment. Widows were permitted to remarry. Upper-class women often were educated. Extended family living was not common among the peasantry; women worked in households and in town markets. At all levels, however, women were subordinate to men. Their most vital social function was to produce male children. Elder males dominated households and males received the greater share of family property. Political positions were reserved for males.

Peasant Life. Few peasants produced more than what was required for subsistence and taxes. Those with a large enough holding could sell their surplus and live well. Poorer peasants with little or no land labored for their landlords in conditions of poverty. Technological development eased labor burdens through inventions such as the shoulder horse collar and wheelbarrow; other improvements included iron tools, irrigation networks, and cropping patterns. Population pressure was relieved by cultivation of unexploited hill and forest regions, and newly conquered lands in the south. Some peasants turned to banditry, or became beggars. Many, for economic
and physical protection, formed secret societies which might, in stressful times, provide a basis for rebellion.

**The Han Capital at Xian.** The urban growth of the Zhou era continued under the Han. Xian, the model for later imperial cities, was laid out on a grid pattern, roadways defining its major quarters. Walls with towers and gates encircled the city. About 100,000 people lived within the walls, with as many or more residing nearby. The imperial family lived in a “forbidden city” separate from the rest of the citizens. The complex was surrounded by administrative buildings and the residences of the scholar-gentry and aristocrats.

**Towns and Traders.** In this period, China probably had the world’s most urbanized civilization. There were many towns of over 10,000. Most were walled, and many were administrative centers. Others were centers for mining, industry, or commerce. Under the Han, trade expanded by land and sea routes into central Asia, south China, southeast Asia, and India. Large firms controlled and grew wealthy from the trade. They also profited from lending and investing in mining and other activities. Despite their wealth, merchants were barred, because of scholar-gentry influence, from gaining political power or social status.

**A Genius for Invention and Artisan Production.** The Han significantly advanced the Chinese aptitude for invention, becoming the most technologically innovative of all classical civilizations. Innovations included the introduction of the brush pen and paper, rudders, compasses, and watermills powering mills and workshops. Improved techniques appeared in mining, silk making, and ceramics. The advances led to the growth of a mostly urban artisan and manufacturing class. Artisans, although relegated by the scholar-gentry to a social status inferior to peasants, surpassed them in living standards.

**The Arts and Sciences of the Han Era.** Art was largely decorative and geometric. Calligraphy was a highly praised form. Painting was less developed than under later dynasties, but bronzes and ceramics established a lasting standard. Work in the sciences focused on practical applications. Astronomers developed a 365.5-day calendar and calculated planetary movement. Medical advances came in disease diagnosis, herbal and drug remedies, and acupuncture. In mathematics, the practical focus led to discoveries in acoustics and measurement standards.

**Imperial Crisis and Han Restoration.** The successors of Han Wudi were not efficient rulers, losing control of affairs to the families of emperors’ wives. One of them, the Wang family, seized power in 9 C.E. Emperor Wang Mang’s reform efforts alienated the scholar-gentry and peasants. In 23 C.E. he was overthrown and the Han dynasty was restored.

**The Later Han and Imperial Collapse.** The restored dynasty did not reach the peak attained by earlier rulers. Political decline was continuous, and central authority crumbled as court factions, the scholar-gentry, emperors’ wives, eunuchs, and regional lords duelled for power. The dynasty ended in 200 C.E.

**GLOBAL CONNECTIONS: Classical China and the World.** The Qin and Han dynasties established the basic components of Chinese civilization. China emerged as one of the most creative and influential world civilizations. Successful agrarian development supported a large
population, flourishing urban centers, and creative elites. A wide range of basic technologies was pioneered and later spread widely into other regions. From central Asia to the Pacific, China spread the components of its political, social, technical, and artistic forms.

KEY TERMS

**Qin:** dynasty (221-207 B.C.E.) founded at the end of the Warring States period.

**Shi Huangdi:** first emperor of China; founder of Qin dynasty.

**Warring States period:** time of warfare between regional lords following the decline of the Zhou dynasty in the 8th century B.C.E.

**Confucius:** major Chinese philosopher born in 6th century B.C.E.; sayings collected in *Analects*; philosophy based on the need for restoration of social order through the role of superior men.

**Mencius:** major follower of Confucius; stressed that humans were essentially good and that governments required the consent of their subjects.

**Sunzi:** follower of Confucius; stressed that humans were inherently lazy and evil and required an authoritarian government.

**Laozi:** Chinese Daoist philosopher; taught that governments were of secondary importance and recommended retreat from society into nature.

**Daoism:** philosophy associated with Laozi; individual should seek alignment with Dao or cosmic force.

**Legalists:** Chinese school of political philosophy; stressed the need for the absolute power of the emperor enforced through strict application of laws.

**Great Wall:** Chinese defensive fortification built to keep out northern nomadic invaders; began during the reign of Shi Huangdi.

**Sunzi:** author of *The Art of War*; argued that war was an extension of statecraft and should be fought according to scientific principles.

**Liu Bang:** founder of the Han dynasty in 202 B.C.E.

**Han:** dynasty succeeding the Qin ruled from 202 B.C.E. to 220 C.E.

**Scholar-gentry:** Chinese class created by the marital linkage of the local landholding aristocracy with the office-holding shi.

**Secret societies:** Chinese peasant organizations; provided members financial support during hard times and physical protection during disputes with local aristocracy.
Forbidden city: imperial precinct within Chinese capital cities; only imperial family, advisors, and household were permitted to enter.

Wang Mang: member of a powerful family related to the Han emperors through marriage; temporarily overthrew the Han between 9 and 23 C.E.

Eunuchs: castrated males used within households of Chinese emperors, usually to guard his concubines; became a political counterbalance to powerful marital relatives during later Han rule.

LECTURE SUGGESTIONS

1. Discuss political centralization under the Qin and Han dynasties. Discuss the factors associated with the creation of political unity in classical China. They include: the development of appropriate political philosophies; the contributions of Confucius and his disciples; other philosophies (Daoism, Legalism); the institutionalism of the teachings of Confucius in the examination system; the rise and triumph of the shi; the destruction of regional states and the feudal aristocracy; the creation of a unified political infrastructure.

2. Compare the social organization of China under the Zhou and Han dynasties. Zhou China was based upon the existence of a regional aristocracy that governed as feudal vassals; the aristocracy were often members of the royal family and more closely controlled by the dynasty than under the earlier Shang rulers. Beneath the warriors were the peasantry and artisans. Han China was ruled by the imperial family and the shi who evolved into the scholar-gentry. The peasantry was divided into those with land and those without who served as agricultural laborers; artisans were growing in numbers; merchants were becoming wealthy but remained with low social status. The clear difference between the Zhou and Han was the replacement of the feudal aristocracy by the scholar-gentry and the growing importance of artisans and merchants.

CLASS DISCUSSION QUESTIONS

1. What were the political, social, and economic consequences of the period of the Warring States?

2. Describe Confucius’s political philosophy.

3. What changes in Confucius’s political philosophy were made by his disciples?

4. Describe the Daoist alternative to Confucian political philosophy.

5. What was the significance of the Qin dynasty?

6. Discuss the impact of Sunzi’s political philosophy.

7. How did the Han institutionalize Confucian political philosophy?
8. Discuss the status of each of the following groups during Han times: scholar-gentry, women, peasants, merchants, artisans.

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CHAPTER 5
Classical Civilization in the Eastern Mediterranean: Persia and Greece

I. The Persian Empire: Parallel Power in the Middle East

A. The Persians
   550 B.C.E., Cyrus the Great
   Empire

   Conquered peoples retain culture

   Zoroaster
   good vs. evil
   last judgment

B. The Political Character of Classical Greece
   Variety of polities
   aristocracy generally dominant

   Literacy
   from 8th century B.C.E.
   *Iliad, Odyssey*
   foundation for Hellenic culture

   Architecture
   Colonnaded buildings

   Arts
   sculpture: idealized form becomes more realistic in Hellenistic period
   black and red pottery

C. The City-State as a Political Unit
   City-states (*polis*)
   participation
   assemblies, councils

   500s
   Conflict between aristocracy and middling class
   reform
   Solon of Athens
   greater participation

   Poleis deeply united
   public religion
   political participation
   cultural events, e.g. theatre
D. The Rise of Democracy in Athens

- Solon
- Peisistratus
- Cleisthenes
  - Council

Popular assembly
  - oversight of most of the government

Offices filled by lot

Who was excluded?
- women
- slaves
- foreigners and their children

E. Fragmentation and Unity

Colonization
- spread of Greek culture
- expansion of trade

Religious games
- truces
- competition
- Olympics
- Delphi

Conflict between cities
- constant
  - networks of alliances, enmities

Persian Wars
- temporary unity
  - Delian League
    - dominated by Athens

Athens versus Sparta
- political contrast
- competing alliances
  - Peloponnesian War, 431-404 B.C.E.
    - Athenian surrender, 404 B.C.E.
II. The Hellenistic Period

Spread of Greek rule, Greek culture
Formation of a common cultural area
Mediterranean, Near East

A. Macedonian Conquest
Macedon compared to southern Greece
monarchy v. city-state
plains v. mountainous
linguistic differences

Philip II (359-336 B.C.E.)
by 338 B.C.E., Greece conquered

B. Alexander the Great
Conquests, 334-331 B.C.E.
into India, Egypt
cities founded
e.g. Alexandria, Egypt

Death, 323 B.C.E.

C. Later Hellenistic States
Division
"Successor states"
Alexander's generals rule

Egypt: Ptolemies
relative stability

Persia: Seleucids

Macedonia: Antigonids
civil wars

Bactria
blend of Indian and Greek culture

III. Creativity in Greek and Hellenistic Culture

A. Religion, Philosophy, and Science

Religion
pantheon of gods with human traits
mystery religions
more emotional
Philosophy
   Use of reason to understand all
   Attempt to build one system of explanation

Socrates
   skepticism

Plato

Stoics
   moral fortitude

Science
   Pythagoras
   Euclid
   Galen
   Archimedes

B. Literature and the Visual Arts
Drama
   public, religious, typified by conflict
   Sophocles
      tragedy

   Aristophanes
      comedy

Oral epic
   Homer

History
   Herodotus
   Thucydides

Visual arts
   public
      e.g. temples, victory sculpture
   human achievement central
      especially in Hellenistic period

C. Hellenistic Culture
   Focus on exact sciences
      geometry, medicine, etc.

   Art more emotional, less idealized
Philosophy emphasizes withdrawal, not engagement

IV. Patterns of Greek and Hellenistic Society

A. Economic and Social Structure
   Aristocracy
   power from land, military role

   Economic expansion, colonization
   challenges role of aristocracy

   Merchants
   ambiguous place in society

   Slavery
   From captives

B. Men, Women, and Social Divisions
   Patriarchy
   Women
   legal and cultural disabilities

   Adultery in men tolerated
   punishable in women

   Some improvement in Hellenistic period

C. A Complex Legacy
   Ideas
   no lasting polities

   Artistic legacy
   direct and indirect
   consciously imitated, revived
   mingled with Middle Eastern legacy

The First Marathon. In 490 B.C.E. a Greek soldier named Pheidippides ran to bring the Athenians the news of the defeat of the Persian army at Greek hands, at Marathon. This was the first “marathon,” later to become a lasting feature of the modern Olympics. The Persian attack on Greece followed a revolt of the Greek city-states on the western edge of the Persian Empire. Xerxes, the Persian king, assembled an army and fleet that should have made his victory sure. However, Themistocles, leading the Athenian forces, used his knowledge of the coastline to lure the Persians into the narrow waters off Thermopylae. The Persian fleet was defeated and Xerxes took flight. The two civilizations that confronted each other at Thermopylae developed along
different lines. The Greek civilization, initially covering an area dwarfed by the Persian Empire, was later spread by the conquests of Alexander to western Asia and the eastern Mediterranean. This Hellenistic culture was to have an enduring influence.

**Chapter Summary.** Classical Greece built on the legacy of earlier regional civilizations in the Middle East, Egypt, Crete, and Mycenae. Internal warfare and Indo-European invasions destroyed the early civilization by 1100 B.C.E. By 800 B.C.E. a new classical civilization began to emerge. Greek politics and culture flourished until 400 B.C.E. Then Alexander the Great formed a military empire and introduced the Hellenistic period, a time when Greek culture spread widely in the Middle East, North Africa, and southern Europe. The Greeks demonstrated new political and cultural capacities in philosophy and politics, and in scientific and mathematical advances. The Greek legacy influenced many later societies.

**A Revealing Fight.** The differences between the Persians and Greeks is summed up in an anecdote from the life of Alexander the Great. One of his generals, Cleitus, accused him of having adopted Persian customs. This chapter will help to explain why this confrontation was emblematic of the confrontation of cultures in the Hellenistic era.

**The Persian Empire: Parallel Power in the Middle East.** The Persians developed different political and cultural values than the Greeks. They influenced many historical currents, including modern Iran. About 550 B.C.E., Cyrus the Great established a Persian empire as successor to the Mesopotamian states of the past. The Persians allowed traditional cultures to continue, and advanced iron technology. The religious leader Zoroaster revised Sumerian beliefs to produce a religion emphasizing the importance of choosing between the divine forces of good and evil; a last judgment decided the eternal fate of each person. Later Persian rulers expanded the empire and provided much of the Middle East with a long period of peace and prosperity. Although ultimately conquered by Alexander, Persian language and culture remained influential.

**The Political Character of Classical Greece.** The Greeks highly valued political activity, contributing greatly to the later developments of democratic cultures. Although Greek communities had varied political forms, aristocratic rule was prevalent. A general revival of eastern Mediterranean trade spurred the growth of Greek city-states and challenged existing political structures. The Greeks during the 8th century B.C.E. simplified the Phoenician alphabet to write their own language. The spread of literacy enhanced commercial exchanges and cultural life. The *Iliad* and the *Odyssey* were written down and provided a mythic foundation for Hellenic culture. In architecture, the Greeks developed distinctive forms based upon an oblong building framed by pillars. Sculpture moved to a more realistic portrayal of the human body, while decorated pottery depicted scenes of human activity.

**The City-State as a Political Unit.** After 800 B.C.E., the prevailing form of government was the city-state (*polis*): polities varying in size and embracing a city and its dependent agricultural hinterland. Many city-states formed, independent and frequently in conflict with each other. The city-states were ruled by land-owning aristocrats descended from Indo-European warriors. They and free farmer citizens met in councils, even when there were kings, to discuss political issues. After 700 B.C.E. the system of aristocratic control was challenged as a result of
commercial expansion and the growth of specialized commercial agriculture. Small landholders suffered and a growing gulf emerged between the rich and poor. In purely agricultural regions, some aristocratic oligarchies, such as Sparta, remained unchallenged, but others faced steady pressure. By the 6th century B.C.E., urban commercial groups and dispossessed farmers sought reform. Tyrants won support by challenging aristocratic interests. Other reformers, like Solon of Athens, labored to develop new laws to regulate economic relationships. Additional cause for change came from the democratization of military service by qualified citizens. By 500 B.C.E. most city-states were based upon principles of loyalty to the public community rather than to an individual ruler. Male citizens were immersed in the public life of the polis. Since each city-state had its own gods, religious rituals also deepened participation.

The Rise of Democracy in Athens. Athens took the lead in democratic development, but Solon’s reforms did not resolve all societal tensions. Peisistratus ruled as a tyrant, but following his death, the reformer Cleisthenes reestablished a council elected by all citizens. Athens continued to depend upon a popular assembly of citizens as sovereign authority, and citizens formed the army and the judiciary. Most officials were chosen by lot and were responsible to the assembly. Athenian democracy was both more extensive and less inclusive by modern standards. Many adults—women, slaves, and foreigners—were excluded from political rights, and aristocrats like Pericles and Alcibiades had excessive importance.

A Comparison of Greek and Chinese Political Styles. Greek political life emphasized individual participation, but in a heterogeneous system quite different from the single centralized Chinese state. Formal law was more important to the Greeks, while the Chinese stressed bureaucratic codes.

Greek Diplomacy and the Tensions of United Effort. Many city-states founded colonies along the coasts of the Mediterranean and Black Sea. Colonization relieved population pressure, and provided grain supplies and markets for Greek products. The city-states were only occasionally united. They came together under a truce at the Olympic games and recognized the oracle at Delphi. An important collaboration occurred when Greeks united and preserved independence by defeating a Persian invasion. After the wars, Athens dominated other Greek city-states through an alliance, the Delian League. Athens gained valuable resources, but the new wealth caused political divisions and infighting.

Athens versus Sparta. The growing power of a democratic, commercially active Athens led to competition with oligarchic, conservative, and militaristic Sparta. When Corcyra tried to free itself from Athenian domination in 435 B.C.E., warfare between the two powers of Greece ensued. The Peloponnesian War between Athens and Sparta lasted from 431 to 404 B.C.E. Athens, weakened by a disastrous plague and an unsuccessful invasion of Sicily, surrendered to Sparta in 404 B.C.E. The defeat marked the end of the polis as the dominant political form in Greece.

The Hellenistic Period. Sparta failed to dominate Greece after its victory. The Peloponnesian War had destroyed any basis for Greek unity and weakened the major participants. A conquering northern state took control of Greece and expanded into the Middle
East and Egypt. The short-lived empire of Alexander the Great greatly expanded the impact of Greek culture.

**Macedonian Conquest.** The northern kingdom of Macedon filled the power vacuum in Greece. The loosely organized, Greek-influenced state was strengthened militarily during the rule of Philip II (359-336 B.C.E.). He invaded and conquered the divided Greek city-states by 338 B.C.E.

**Alexander the Great.** Philip’s son, Alexander, invaded and defeated the Persian Empire in campaigns between 334 and 331 B.C.E. He also took control of Egypt. Alexander pressed on into India but was halted when his army refused to go on. Alexander hoped to merge Greek and Asian traditions. He founded numerous cities, spread Greek officials widely, encouraged intermarriage with local women, and established centers of Greek scholarship. Alexander’s unexpected death in 323 B.C.E. ended the dream of a multinational empire.

**Later Hellenistic States.** The new empire quickly fragmented into states run by former generals. City-states still existed, but politics centered on military empires. The three principal dynasties were the Ptolemies in Egypt, the Seleucids in Persia, and the Antigonids in Macedon and Greece. Many Greeks remained in the successor states as officials and merchants, and Greek culture spread widely to mix with other cultures and form a new intellectual framework for much of the civilized world. In northwestern India the kingdom of Bactria importantly mixed Greek and Indian themes.

**Creativity in Greek and Hellenistic Culture.** The genius of Greek civilization expressed itself more in culture than politics. Greek culture made lasting contributions, especially in art and philosophy, to the Mediterranean world and the larger Hellenistic world created by Alexander.

**Religion, Philosophy, and Science.** Unlike the Indians and Chinese, the Greeks did not create a major religion. A pantheon of unruly gods and goddesses, presided over by Zeus, interfered in human affairs. Both Greeks and Indians drew their religion from Indo-European origins, but the Greeks produced a more human-centered approach. Its lack of spiritual passion contributed to the development of alternative “mystery” religions more satisfying to people’s needs. Since religion did not provide a basis for ethical thought, Greek thinkers worked to create a separate philosophical system. The effort to understand phenomena through rational observation became a hallmark of Greek and Hellenistic culture. Socrates urged consideration of secular criteria for moral decisions. Aristotle stressed the importance of moderation to balance political and religious instability, while the Stoics focused on inner moral independence. Other philosophers attempted to define appropriate political structures. Plato proposed an ideal government where philosophers ruled. Most philosophers stressed practical, balanced systems incorporating democratic and oligarchic elements. A nonreligious philosophy encouraged emphasis on the powers of human thought. Socrates encouraged skepticism; Plato suggested reason could approach an understanding of eternal reality. In science, the Greeks, unlike the Chinese, speculated about nature’s order, founding a lasting Western passion for seeking rationality in the universe. Pythagoras and Euclid contributed major achievements to geometry,
while Galen’s contributions to anatomy were a standard for centuries. Archimedes, primarily a mathematician, also studied hydraulics.

**Literature and the Visual Arts.** All arts received attention, but drama had a central role in Greek culture. The Greek division of drama into comedy and tragedy remains a Western tradition. The Athenian dramatist Sophocles used tragedy to demonstrate the fragility of human virtues. Aristophanes did the same through comedy. Greek literature included a strong epic tradition, and formal historical writing emerged with Herodotus and Thucydides. In the visual arts, the Greeks emphasized architecture, ceramics, and realistic sculpture. Temples, markets, and public buildings had three building styles: Doric, Ionic, and Corinthian. All art was public: temples and markets were for daily use; dramas were public rituals for all citizens. Cultural achievement was based on four principles. An emphasis on formal political theory reflected the special political atmosphere of Greece. Art and sculpture glorified human achievement. Drama and philosophy stressed the importance of human striving. The philosophical and scientific tradition emphasized the validity of logical constructs for understanding the natural world. A large cultural gap existed between the elite and the masses.

**Hellenistic Culture During and After Alexander.** The Hellenistic world did not develop new styles and continued the influence of Greek art and sculpture. Hellenistic intellectuals preserved Greek scientific achievements while making advances in astronomy, geography, and mathematics. The knowledge amassed was fundamental to future research in Europe, the Middle East, and northern Africa.

**Patterns of Greek and Hellenistic Society.** The standard features of an agricultural society, a large peasantry, and a landowning aristocracy were basic to Greek and Hellenistic society. Commerce, although often looked down upon, was vital. Patriarchal family values predominated, although there was more ambivalence about women than in classical China. Slavery was of major importance.

**Economic and Social Structure.** Economic and social structure in classical Greece resembled that of other civilizations where warlike invaders had settled down to agriculture. The aristocracy was based on land ownership and military service. Many independent farmers owned land and claimed political and social rights. Subsequently, commerce and urban growth complicated social structure. Distinctive factors for the Greeks included an infertile, mountain environment, making city-states dependent on trade. War and colonization allowed the frequent seizing of slaves, thus resulting in less attention being given to manufacturing technology. Aristocratic dominance in politics and society persisted. Merchants remained in an ambiguous position; their status was higher than in Confucian China, but less firm than in India.

**In Depth: Defining Social History.** Until recently historians awarded an undue emphasis to political and intellectual history. Social and economic history was given a secondary place. It is now recognized that the lives of ordinary men and women deserve a major place in the study of the past of all societies. The daily activities of the often silent masses are difficult, but not impossible, to reconstruct. To understand the past, and the present, historians must attempt to portray the lives of all segments of society. So-called ordinary people, after all, have made up the bulk of human society. The often-neglected role of women is an obvious example of the past
insensitivity to the reality of human existence. The only way to understand how a society functions is to give proper attention to all of its members.

**Slavery and Production.** Slavery, justified by Aristotle, was vital to a society and economy dominated by aristocrats devoted to political and cultural pursuits. Slaves, often acquired in war, served in almost all occupations. Many enjoyed considerable personal and economic independence, but the system clearly demonstrated the limited nature of Greek democracy.

**Men, Women, and Social Divisions.** Greek culture emphasized the husband/father in control of a tightly structured family. Women performed vital economic functions, especially in farming or artisan families, and powerful female personalities often were influential within households. Although women had some legal rights, both law and culture held them inferior. Female infanticide might occur in large families. Marriage was arranged by a father. While divorce was possible for men at will, women needed court procedure. Adultery was without penalty for men, but a cause for divorce for women. Women focused their lives on household duties. Upper-class men consorted more often with lower-class women and male youths than with wives. In the Hellenistic period, conditions for women improved, but they remained a subordinate group.

**A Complex Legacy.** The classical Greek and Hellenistic political legacy was in the form of ideas; unlike the Chinese, they did not develop enduring political institutions. The most enduring legacy came in art and philosophy. Although the Western educational tradition long focused on the legacy of the Greeks, they were inferior to China and India in many political and scientific achievements. Their legacy is not only a result of their achievement, but also because the West consciously adopted many of its features. Moreover, Alexander’s conquest of Persia brought a complex mixture of reciprocal influences, blurring the line between Greek and Middle Eastern culture.

**GLOBAL CONNECTIONS: Persia, Greece and the World.** Both Chinese and Greek classical civilizations thought other peoples were inferior barbarians. But, although city-states like Sparta rejected outside influences, most Greeks were a trading and expansionist people. Some, like Herodotus, studied other cultures. Alexander extended Greek outreach beyond the Mediterranean world to as far as western India.

**KEY TERMS**

**Cyrus the Great:** (c. 576 or 590-529 B.C.E.); founded Persian Empire by 550 B.C.E.; successor state to Mesopotamian empires.

**Zoroastrianism:** Persian religion that saw material existence as a battle between the forces of good and evil; stressed the importance of moral choice; a last judgment decided the eternal fate of each person.

**Hellenism:** culture derived from the Greek civilization that flourished between 800 and 400 B.C.E.
Hellenistic culture: culture associated with the spread of Greek influence and intermixture with other cultures as a result of Macedonian conquests.

_Iliad_ and _Odyssey_: Greek epic poems attributed to Homer; defined relations of gods and humans that shaped Greek mythology.

Polis: city-state form of government typical of Greek political organization from 800 to 400 B.C.E.

Solon: Athenian reformer of the 6th century; established laws that eased the debt burden of farmers; forbade enslavement for debt.

Socrates: Athenian philosopher of late 5th century B.C.E.; tutor of Plato; urged rational reflection of moral decisions; condemned to death for “corrupting” minds of Athenian young.

Direct democracy: literally, rule of the people, in Athens meaning free male citizens; all decisions emanated from the popular assembly without intermediation of elected representatives.

Pericles: Athenian political leader during 5th century B.C.E.; guided development of Athenian Empire.

Olympic games: one of the pan-Hellenic rituals observed by all Greek city-states; involved athletic competitions and ritual celebrations.

Oracle of Delphi: person representing the god Apollo; received cryptic messages from the god that had predictive value if the seeker could correctly interpret the communication.

Persian Wars: 5th century B.C.E wars between the Persian Empire and Greek city-states; Greek victories allowed Greek civilization to define identity.

Delian League: alliance formed by Athens with other city-states after Persian wars; later taken over by Athens and became Athenian Empire.

Peloponnesian War: war from 431 to 404 B.C.E. between Athens and Sparta for domination in Greece; the Spartans won but failed to achieve political unification in Greece.

Macedon: kingdom of northern Greece; originally loosely organized under kings; became centralized under Philip II; conquered Greek city-states.

Philip II: ruled Macedon from 359 to 336 B.C.E.; founder of centralized kingdom; conquered Greece.

Alexander the Great: (r. 336-323 B.C.E.); son and successor of Philip II; conquered Persian Empire and advanced to borders of India; attempted to combine Greek and Persian culture.
Alexandria: Egyptian city; founded 334 B.C.E.; one of many "Alexandrias" founded by Alexander the Great.

Ptolemies: a regional dynasty after the death of Alexander; ruled in Egypt.

Seleucids: a regional dynasty after the death of Alexander; ruled in Persia.

Antigonids: a regional dynasty after the death of Alexander; ruled in Macedon and Greece.

Socrates: (b. 465 B.C.E.); Athenian philosopher; usually seen as the father of western philosophy.

Aristotle: Greek philosopher; teacher of Alexander; taught that knowledge was based upon observation of phenomena in material world.

Stoics: Hellenistic philosophers; they emphasized inner moral independence cultivated by strict discipline of the body and personal bravery.

Plato: Greek philosopher; knowledge based upon consideration of ideal forms outside the material world; proposed ideal form of government based on abstract principles in which philosophy ruled.

Sophocles: Greek writer of tragedies; author of Oedipus Rex.

Aristophanes: Greek writer of comedies: author of The Frogs.

Doric, Ionic, Corinthian: three distinct styles of Hellenic architecture; listed in order of increasing ornate quality.

Helots: conquered indigenous population of Sparta; provided agricultural labor for Spartan landowners; only semi-free; largest part of the population.

LECTURE SUGGESTIONS

1. Discuss the differences in political organization between Greece and China. Greece was less politically united and hierarchic; it lacked imperial unity, except briefly under Alexander; it did not have a formal bureaucracy. Both China and Greece developed formal theories of government. In social structure, both held merchants and women in low social esteem, although women were marginally better off in Greek culture. The Greeks did not have a scholar-gentry class and they depended more on slavery than the Chinese. In philosophy both developed major systems: the Chinese with Confucius emphasized social and political order, and with Laozi, stress on unity with nature; the Greeks stressed the rational basis for the political order (Plato and Aristotle) and the natural world. Greek philosophy tended to be more dependent on general theories based on rational explanation of phenomena than the Chinese.
2. Discuss the reasons for political and social fragmentation in classical Greece. Greek
geography fostered political separatism. Their form of political organization, received from
Mycenean civilization, was the city-state, not the empire. The city-states retained their separate
identities until the Hellenistic period and existed in some form thereafter; competition between
the city-states often ended in war. In social affairs, there was always a gulf between the
aristocratic elite and the lower classes. They had separate religious practices; philosophy did
not appeal to the lower classes. The economy depended on slavery. In all, there was a greater
gulf between social groups in Greece than in many other civilizations.

CLASS DISCUSSION QUESTIONS

1. How does Greek civilization compare and contrast to other civilizations?
2. Define a polis. How did the polis change between 800 and 400 B.C.E.?
3. How did Greek city-states work together? Why were they often separate?
4. Compare the political structure of Hellenistic Greece to that of the Greek world before
400 B.C.E.
5. What was the function of philosophy in Greek culture?
6. What, according to the authors, were the principles of Greek culture?
7. Why was the Greek economy so market-oriented?
8. Discuss the role of slavery in Greek economic and social life.
9. Discuss the status of women in society. What effect did class position have on women’s
roles?

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CHAPTER 6
Religious Rivalries and India’s Golden Age

I. The Age of Brahman Dominance

A. The Kingdoms of the Gangetic Plains
   Aryan settlers
   into Ganges plain after 1000 B.C.E.
   small states
   warrior councils
   brahmins dominate

   Dramatic changes from Harappan period

B. Sources of Brahmin Power

   Mediators
   perform rites

   Monopoly on literacy
   Vedic texts
   Sanskrit

   Special status
   inviolate, exempt from taxes

II. An Era of Widespread Social Change

   Economic changes
   towns grow
   merchants, artisans more important
   pastoralism replaced by agriculture
   peasant villages proliferate

A. The Caste System
   *Varnas*, categories; based on pollution
   brahmins
   warriors
   merchants
   peasants
   artisans
   untouchables

   Status (*dharma*) determined by birth

   Transmigration of souls
   *karma*
B. The Family and the Changing Status of Women
   Extended family only among higher castes
   most families nuclear
   Women subordinate

   *Mahabharata* and *Ramayana*
   epics
   from earlier period of greater freedom for women

C. The End of an Era
   Social and armed conflict lead to unrest

### III. Religious Ferment and the Rise of Buddhism

Widespread changes in 500s, 400s B.C.E.

- China: Confucius, Laozi
- Persia: Zoroaster
- Israel: prophets
- Greece: classical philosophers
- India: Buddha

A. The Making of a Religious Teacher
   Buddha, born in 6th century B.C.E.
   takes to wandering life, asceticism

   Four Noble Truths
   Escape suffering by renouncing worldly things
   achievement of *nirvana*

   Followers
   form principles into religion
   worship Buddha as god
   dissension
   good works v. contemplative life

B. The Buddhist Challenge
   Challenges to Brahmins
   Buddha denies Vedas as scripture
   critique of caste system
   untouchables and women can gain nirvana
   monasteries open to all

C. The Greek Interlude
   Alexander the Great, 327 B.C.E.
Contact between India and Hellenistic world improves
Greek mathematics and astronomy
Indian religious ideas
   Stoics and mystery religions influenced
Synthesis of sculptural traditions

IV. The Mauryas

A. The Rise of the Mauryas
   Alexander's retreat leaves vacuum

   Chandragupta Maurya
      forms empire
      absolute monarch
      Arthashastra, Kautilya
      influential treatise
      successors extend empire

B. Ashoka’s Conversion and the Flowering of Buddhism in the Mauryan Age.
   Ashoka
      grandson of Chandragupta
      conversion to Buddhism
      becomes pacific, vegetarian
      infrastructure: roads, hospitals, inns
      opposed by Brahmins
      Buddhism extended to Sri Lanka, Himalayan kingdoms, central Asia.
      thence to Burma, Java, southeast Asia, Tibet, China, beyond

C. Imperial Patronage and Social Change
   Merchants, artisans benefit
   Women's status improves
   Monasteries spread
      stupas

   Ashoka’s Death
      successors less competent
      division follows
      by 185 B.C.E., empire ended
V. Brahminical Recovery and the Splendors of the Gupta Age

A. Three religions compete
   Buddhism
   loses popular appeal:
   monastic isolation, scholarship
   serve wealthy

   association with international trade
   as trade declines, so does Buddhism

   Hinduism
   widens appeal
   individual worship
   more frequent, humble offerings
   Shiva, Vishnu, Kali, Lakshmi dominate
   temples more common
   more participation: all castes, women to a limited extent
   adopts Buddhism
   Brahmins appeal to elites
   *Upanishads*

B. The Gupta Empire
   Gupta family
   by 4th century C.E., build empire
   allow autonomy of elites

   A Hindu Renaissance
   Brahmins restored as royal supporters
   educate elite
   stimulate artistic, scientific rebirth

   Hindu temples
   urban centers
   stimulate urban growth

   Literature and the Sciences
   Kalidasa
   poet

   Mathematics
   zero, decimals, "Arabic" number system

   Medicine
   hospitals, surgery
C. Intensifying Caste and Gender Iniquities
   Distinctions more rigid

   Status of women reduced
      no longer allowed to read the Vedas
      permanent legal minority
      female infanticide more common in some regions

The Pleasures of an Elite Life
   Four stages of ideal life
      youth: study, diversion
      householder, raise sons, increase family position
      ascetic, meditation
      holy life

Lifestyles of the Ordinary People
   more freedom for lower-caste women
   festivals, social gatherings

D. Gupta Decline
   Hun invasions, 400s C.E.

   Local rulers profit
   fragmentation

Ajanta and Ellora. The religious complexes at Ajanta and Ellora are witness to developments in India over one thousand years, ending in the 8th century C.E. They reflect Buddhist, Hindu, and Jain traditions, which coexisted on the subcontinent, essentially without conflict. They also illustrate an array of aspects of Indian life. One of the caves depicts scenes from the Ramayana. A theme common to much of the art of Ajanta and Ellora is the distinct division between man and the natural world. Taken as a whole, the complexes are remarkable records of a millennium of Indian culture and development.

Chapter Summary. The basis for Indian civilization after 1500 B.C.E. was laid by Aryan invaders who ended Harappan civilization. By 500 B.C.E., states ruled by kings claiming divine descent controlled much of the Ganges Plains. Its settlement resulted in the clearing of forest lands and contributed to broad climatic changes. Rigid social castes developed, with brahmans emerging as dominant because of their literary and religious functions. Discontented with empty rituals, ascetic holy men offered new religious ideas. Buddha began a religion that challenged Vedic tradition; the resulting rivalry led to a revitalized Hinduism that survived the Buddhist challenge. The religious unfolding accompanied the rise of India's 1st empire during the 4th century B.C.E.. The Mauryans spread Buddhist teachings through Asia before falling to nomadic invasions. A later dynasty, the Gupta, during the 4th century C.E. restored unity, and reasserted brahmanic dominance. Hinduism presided over an age of splendid artistic and intellectual achievement.
The Age of Brahmin Dominance. Brahmins became the dominant force in regions where the Aryans settled. In the Himalayan foothills, Aryans founded small states based on sedentary agriculture and livestock breeding; they were ruled by warrior councils who elected or removed tribal rulers. Endemic warfare kept brahmin power in check, and religious skepticism flourished. A new religion coalesced around the teachings of the Buddha.

The Kingdoms of the Gangetic Plains. After 1000 B.C.E. Aryan settlers moved into the Ganges Plains. Many rival kingdoms, dominated by warrior elites with few formal checks on their authority, competed for power. The rulers were expected to protect their subjects and to follow the advice of brahmins. Constant internal and external conflicts made such ideal conduct impracticable.

Sources of Brahmin Power. Brahmins, the only literate group, dominated the bureaucracy and administration. They alone performed the rituals awarding rulers divine status. Above all, brahmins were able to mediate between gods and humans. They monopolized the performance of properly executed sacrifices necessary to win divine favor. Brahmins alone knew the Vedic texts containing the rituals. The ethical prescriptions in the Vedas also influenced the lives of individuals. Sanskrit became the standard scholarly language. All brahmins were privileged individuals exempt from taxes and protected from injury.

An Era of Widespread Social Change. Other important social changes included the growth of towns around royal capitals or riverbank trading and manufacturing centers. Merchants and artisans became distinctive social groups. As farming replaced herding, peasants made up a large percentage of the population. Peasant villages, their members developing better irrigation systems and tools, spread through the rain forest. Both subsistence and luxury crops were grown.

The Caste System. The original Aryan social order altered. New social divisions among Indians consisted of broad categories (varnas) arranged in a hierarchical system based upon the degree to which occupations were considered polluting. At the top of the order were the brahmin, warrior, and merchant castes. Most of the population were members of peasant and artisan castes. Below them were the untouchables who performed defiling tasks. Over time, caste boundaries hardened. Status determined diet and who one could marry. Only members of the three highest varnas could read the Vedas.

Enforcing Social Divisions. Although castes over time could rise or fall in status, the position of individuals, determined by birth, was permanent. Since the system was believed to be of divine origin, all individuals had to accept their place (dharma). Failure to accept one’s status meant ostracization or death. Transmigration of souls explained individual status. Souls existed through many lives and earned merits or demerits (karma) during one existence that determined status in a new life.

The Family and the Changing Status of Women. The extended family was the ideal, although only the higher castes were able to support the attendant costs. The majority of families lived in nuclear households. The father held extensive authority over family members.
Women were regarded as weak and unstable by nature and were subordinate to men. The great epics, the *Mahabharata* and *Ramayana*, indicate an earlier greater freedom. Women then read the Vedas, practiced many occupations, and participated in ceremonies that celebrated high-caste membership.

**In Depth: Inequality as the Social Norm.** The Indian complex mode of social organization, the caste system, is built on the belief that humans are inherently unequal. An individual’s place in life depends upon the social strata of his or her birth. As all classical social systems—with limited exceptions among the Greeks and Chinese—the caste system stressed the primacy of broad social groups over the importance of individuals. Castes were directly opposed to modern Western society’s basic belief in individual equality and opportunity for social movement.

**The End of an Era.** A civilization very different from the Harappan complex had emerged about 1000 years after the Aryan arrival. Well-established agriculture supported a complex society. The caste system provided both social stratification and labor division. Accomplishments in philosophy and religious speculation, as in the *Bhagavad Gita*, were important. Brahmin dominance, endless warfare between kings, and religious and ethical bankruptcy prompted unrest and the beginning of a new era.

**Religious Ferment and the Rise of Buddhism.** The 6th and 5th centuries B.C.E. were a time of social and intellectual ferment in Eurasia. Confucius and Laozi in China, Zoroaster in Persia, Hebrew prophets, and Greek thinkers all sought new religious and philosophical forms. Indian reformers, above all the Buddha, questioned the brahmin monopoly over ritual, posed questions about the nature of the universe, and sought alternatives to the caste system. The Buddha was responsible for a new, wide-spreading religion.

**The Making of a Religious Teacher.** The Buddha was born in the 6th century in a Himalayan hill state where the power of brahmins and kings was limited. He was a member of the warrior ruling class, but renounced his inheritance to become a wandering ascetic. He experimented with forms of religious experience, finally turning to meditation to find enlightenment and discover the Four Noble Truths. Buddha believed individuals could escape suffering only through ceasing to desire worldly things. This realization was possible by following an eight-step process of right action, thinking, and meditation. When enlightenment was achieved, an individual attained *nirvana*, an eternal state of tranquility. After gaining enlightenment, Buddha became a traveling teacher offering alternatives to brahmin interpretations. He won a substantial following from all castes, who eventually altered his teachings into an organized religion.

**The Emergence of Buddhism as a Religion.** After Buddha’s death, many of his followers worshipped him as a deity. Some became monks devoted to the spread of his teachings and to reaching nirvana. Disputes over the meaning of Buddha’s legacy led to the formation of rival schools of interpretation. Some monks gained followers among the general population through stressing the performance of good deeds winning salvation. Others emphasized monastic meditation.
**The Buddhist Challenge.** Buddha’s teachings offered revolutionary challenges to the established braminical order. Buddha rejected acceptance of the Vedas as an ultimate authority and ridiculed the powers claimed by brahmins. Buddha sought to do away with the caste system, teaching that both untouchables and women were capable of achieving nirvana. Monasteries were open to all, including women.

**The Greek Interlude.** Political upheaval intensified societal ferment. The forces of Alexander the Great successfully invaded India in 327 B.C.E. When the weary soldiers refused to continue the campaign, Alexander left India. The brief invasion stimulated trade and cultural exchange between India and the Hellenistic world. Greek mathematical and astronomical ideas reached India, while Indian religious thinking spread to the Mediterranean. Both the Stoics and mystery religions were influenced by Indian philosophy. A distinctive Indo-Greek school of sculpture emerged.

**The Rise of the Mauryas.** Alexander’s withdrawal left a political and military vacuum. Chandragupta Maurya, a regional ruler in the Ganges Plain, created a great empire in northern India. Chandragupta, borrowing Persian forms, ruled as an absolute monarch. He built a standing army and sought to replace regional rulers with loyal officials. The *Arthashastra*, a work similar to Sunzi’s *Art of War*, attributed to Kautilya, one of Chandragupta’s advisors, included most of these ideas in a treatise on statecraft. Chandragupta’s successors pushed Mauryan boundaries far to the south and gave India a period of great prosperity and cultural splendor.

**Ashoka’s Conversion and the Flowering of Buddhism in the Mauryan Age.** Ashoka, Chandragupta’s grandson, was a harsh and war-loving ruler during the early years of his reign. He radically changed course following conversion to Buddhism. Ashoka ended military campaigns and instead developed roads, hospitals, and rest houses. He favored vegetarianism and, by seeking to reduce animal slaughter, contributed to the enduring veneration of cattle. Ashoka also tried to develop a state bureaucracy to enforce sanctions against war and animal slaughter. His policies aroused opposition among brahmins—they regarded the changes as a threat to the dominance they gained from ritual slaughter—and former important regional warrior families.

**Imperial Patronage and Social Change.** Other social groups profited from Ashoka’s Buddhist-inspired reforms. The expansion of international trade benefited merchants and artisans who supported their ruler and patronized Buddhist monasteries. Women also supported the Buddhist alternative to their former societal status. Monasteries spread widely; their legacy remains in great stone shrines (*stupas*) built to hold the relics of the Buddha. Ashoka pushed the reach of Buddhism beyond India to Sri Lanka, the Himalayan kingdoms, and the steppes of central Asia. From Sri Lanka, Buddhism went to Burma, Java, and southeast Asia; from Nepal and central Asia it went to Tibet, China, and the rest of east Asia.

**Ashoka’s Death and the Decline of the Mauryas.** Ashoka’s weaker successors were unable to maintain his reforms. Dynastic divisions and internal strife ended the empire by 185 B.C.E. Political fragmentation reappeared and warrior invasions increased political instability.
Brahminical Recovery and the Splendors of the Gupta Age. After the fall of the Mauryas, Buddhism and Hinduism struggled to gain supporters. Buddhism had developed weaknesses that made it vulnerable to a brahmin counteroffensive. Buddhist monks isolated themselves in monasteries and became obsessed with fine philosophical points. They lost contact with the common people and instead focused upon serving wealthy patrons. Brahmans, in contrast, tried to make Hinduism more appealing to ordinary people. They stressed personal worship and small, regular, offerings to gods. Shiva, Vishnu, Kali, and Lakshmi were the most important deities; other gods were revered by particular caste groups. Temples were established as a focus for popular worship. Devotional cults were opened to all castes, and women, at times, were allowed to join in. In all, Hinduism had absorbed salvationist Buddhism and added the Buddha to its pantheon of gods. Among the elite, brahmans emphasized the philosophical ideas of the *Upanishads*, stressing that meditation and asceticism released the soul from rebirth and allowed its fusion with the godhead. Buddhism’s decline was accelerated by the falling-off of the Rome-China trading connection. Merchant groups favoring Buddhism lost power and became dependent upon local rulers who favored brahmans. The rise of the Gupta dynasty sealed the demise of Buddhism as a major Indian religion.

The Gupta Empire. A wealthy landholder family of the eastern Ganges Plain, the Gupta, built an empire across most of northern India by the 4th century C.E. They controlled less territory, and had less dominance over vassals, than the Maurya. The Gupta were content to receive tribute from locally autonomous elites. The local lords periodically fought among themselves, but did not threaten the empire’s general peace and prosperity. Foreign invaders were kept beyond the Himalayas.

A Hindu Renaissance. The Guptas supported Hinduism and restored the brahmans’ roles as royal sanctifiers and teachers of the ruling elite. Brahmans became a major stimulus to an era of artistic and scientific achievement. Great Hindu temples, which became repositories of symbolic Hindu art, were constructed in urban centers. They helped increase urban growth by their economic impact and the visits of pilgrims.

Achievements in Literature and the Sciences. The Gupta reign initiated a great age of Indian literary achievement. Kalidasa, the foremost Sanskrit author, created poetry describing life in that era. Hindu scholars made major discoveries in mathematics, the sciences, and medicine. They devised the concepts of zero, decimals, and the “Arabic” number system. Medical advances included hospitals and surgery.

Intensifying Caste and Gender Iniquities. The caste hierarchy supported by brahmans became the backbone of the social system. Caste divisions grew more complex, and restrictions on untouchables and low-caste individuals grew harsher and more pervasive. Women suffered further reduction in status and career outlets. They were barred from reading the Vedas. Women were legally minors, supervised by males, and unable to inherit property. Marriages were arranged to support family interests. In dowry-high regions, female infanticide resulted. Residence was patrilocal and a wife’s status depended upon producing sons. There were few avenues except marriage open for women; only successful courtesans could find limited outlets for their talents.
The Pleasures of an Elite Life. The upper castes lived in large compounds and enjoyed luxurious lives. Males had special privileges as they passed through the four stages of an ideal Hindu life. Youths studied and enjoyed pleasurable diversions. Next, one became a householder and worked to strengthen family fortunes and raise sons. Few individuals advanced beyond this stage. In the third stage a man became a meditating ascetic. Finally, an individual became a wandering holy man.

Lifestyles of the Ordinary People. The great majority of Indians followed a different path. Their lives were devoted to hard labor for the benefit of caste superiors. Lower-caste women had more freedom of movement and employment opportunity than upper-class females. Both sexes participated in festivals and social events. The general prosperity of the era allowed ordinary people satisfactory lives. Commerce continued to be important, with India serving as a pivot of Indian Ocean trading networks. There were strong links to Sri Lanka and southeast Asia.

Gupta Decline and a Return to Political Fragmentation. The Gupta Empire was threatened in the 5th century C.E. by Hun invasions. Efforts to repel the Huns diverted attention from local rulers challenging the dynasty. The empire disintegrated into a patchwork of warring local states.

GLOBAL CONNECTIONS: India and the Wider World. India was more open to outside influences than other classical civilizations. Indian civilization produced major contributions in art, philosophy, science, technology, mathematics, urban development, and commercial organization. It was able to support one of the world’s largest populations. Buddhism was one of a few truly world religions. Indian civilization fundamentally influenced mainland and island southeast Asia, and made important contributions to Mediterranean culture.

KEY TERMS

Himalayan Mountains: region marking the northern border of the Indian subcontinent; site of Aryan settlements that formed small kingdoms or warrior republics.

Varnas: the categories organizing Indian society into a functional hierarchy; four groups; related to but distinct from the caste system.

Untouchables: lowest caste in Indian society; performed tasks that were considered polluting (street sweeping, removal of human waste, tanning).

Rama: major figure in the popular Indian epic Ramayana.

Dharma: the caste position determined by an individual’s birth; the Hindu system required that one accept one’s caste and perform to the best of one’s ability in order to advance to a better position in the next life.

Karma: the sum of merits accumulated by an individual; determined the caste one would be born into in the next life.
**Transmigration**: the belief in the successive reincarnation of the soul in different bodies.

**Reincarnation**: the successive rebirth of the soul according to merits earned in previous lives.

**Mahabharata, Ramayana**: Indian epics, deeply imbued with Hindu teachings.

**Buddha**: creator of a major Indian and Asian religion; born in the 6th century B.C.E.; taught that enlightenment could be achieved only by abandoning desires for earthly things.

**Nirvana**: the Buddhist state of enlightenment; a state of tranquility.

**Maurya dynasty**: established in Indian subcontinent in 4th century B.C.E. following the invasion of Alexander the Great.

**Chandragupta Maurya**: founder of the Mauryan dynasty, the first empire in the Indian subcontinent; first centralized government since Harappan civilization.

**Kautilya**: political advisor to Chandragupta Maurya; one of the authors of *Arthashastra*; believed in the scientific conduct of warfare.

**Arthashastra**: political treatise written during the reign of Chandragupta Maurya; advocated the use of all tactics in scientific conduct of warfare.

**Ashoka**: grandson of Chandragupta Maurya; extended conquests of the dynasty; converted to Buddhism and sponsored its spread throughout his empire.

**Stupas**: stone shrines built to house relics of the Buddha; preserved Buddhist architectural forms.

**Upanishads**: later books of the Vedas; combined sophisticated and sublime philosophical ideas.

**Shiva, Vishnu, Kali, and Lakshmi**: the most important Hindu deities.

**Gupta dynasty**: built an empire in the 3rd century C.E. that included all but southern Indian regions; less centralized than Mauryan Empire.

**The Signet Ring of Rakshasa (Mudra Rakshasa)**: 9th century play by Vishakhadatta based on the life of Chandragupta.

**Mandalas**: figures representing the cosmos; used in Buddhist practice.

**Gurus**: brahmins who served as teachers to the imperial Gupta court.

**Sanskrit**: the classical and sacred Indian language.
Kalidasa: foremost Sanskrit author during the Gupta era.

*Kamasutra*: written by Vatsayana during the Gupta era; offered instructions on all aspects of life for higher-caste males.

Skanda Gupta: (d. 467); last prominent Gupta ruler.

**LECTURE SUGGESTIONS**

1. **Discuss the importance of the brahmins and the caste system to Indian development.** In India, despite the achievements of the Maurya and Gupta empires, a division into many petty states governed by the Aryan warrior elite was most common. The duration of empires was relatively brief. Conversely, Indian social organization, although it became more complex and rigid as time passed, was constant throughout the classical period. The brahmins enjoyed both social dominance and religious authority; they were one of the highest castes and were monopolists of the rituals associated with the Vedas. Except for the Maurya Empire under Ashoka, governments accepted the social position of the brahmins and patronized their religious authority.

2. **Compare and contrast the political, social, and religious organization of Gupta India and Han China.** In political life, the Han state was vastly more centralized than the Gupta. The Han governed through the scholar-gentry, an educated and professional bureaucracy certified through national examinations; regional authority was limited. The Gupta depended on the brahmins for political advice and administrative personnel; they never directly controlled the various petty state subdivisions that paid tribute. Both Han and Gupta societies possessed substantial social stratification. In China, the scholar-gentry joined land-holding with administrative authority; beneath them were artisans and peasants. Merchants, although wealthy, held low social status. In India, the caste system provided social stability; brahmins, warriors, and merchants composed the higher castes; artisans and peasants were next. At the bottom were the untouchables. In religion, Han China depended on the political and ethical teachings of Confucius institutionalized through the university and examination system. Gupta India patronized the revitalized Hinduism of the brahmins; their position in society was institutionalized by social tradition and religion rather than by state authority.

**CLASS DISCUSSION QUESTIONS**

1. What were the fundamental patterns of Indian civilization?

2. What were the sources of pre-imperial brahminic authority?

3. How was the caste system organized?

4. How did the rise of Buddhism represent a challenge to the brahmins?

5. Compare and contrast the organization of the Maurya and Gupta empires.
6. What were the keys to the brahmins’ recovery in India?

7. Compare the status of women in classical India with other contemporary societies.

THE INSTRUCTOR’S TOOL KIT

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CHAPTER 7
Rome and Its Empire

I. The Development of Rome’s Republic.
   Aristocracy v. people
      Senatusque populus romanorum
         The senate and people of Rome
   Tradition v. expansion

A. Etruscan Beginnings and the Early Republic
   Complex racial makeup
      Indigenous Italians
      Indo-Europeans from north
      Greek colonies in the south
   Etruscan
      City states
   Rome
      independent from Etruscans c. 510 B.C.E.
      Republic
         v. monarchy
         Senate holds most power
due to
   order
      written law
      clientage
      popular participation

B. The Expansion of Rome
   Rivalry with neighbors
      Central, southern Italy by mid-4th century B.C.E.
   Parallel developments as territory expands
      extension of participation with citizenship
growth of military
   Punic Wars
      146 B.C.E., Roman victory

C. The Results of Expansion
   Polarization of rich and poor
      weakens traditional balance
      large estates replace small farms
   Numbers of slaves increase
D. The Crisis of the Republic
   Class conflict
   Tiberius Gracchus
     program to redistribute land
     assassinated

   Gaius Gracchus
     brother of Tiberius
     attempts to continue program
     enforced suicide

   Generals take the initiative
     precedent of military intervention
     Marius forces Senate's hand
     Sulla supports Senate, defeats Marius

   Julius Caesar
     49 B.C.E., takes power
     king in all but name
     uses military to keep order
     44 B.C.E., assassination

   Civil War follows
     Caesar's nephew, Octavian victorious, 31 B.C.E.
     initiates period of Roman Empire
     Augustus

II. Roman Culture
   Period of social and constitutional crisis
     increased borrowing from Greece, Hellenistic world

   A. The Range of Roman Art
     Much inspired or copied from Greece
     Roman differences
       emphasis on rhetoric
     Roman engineering superior
       arches
       urban planning

   B. Major Themes in Roman Literature
     General move to court patronage
     away from public

     Horace
     Ovid
     Livy
III. The Institutions of Empire

A. Imperial Rule
   Unification
      inclusion, citizenship
      protection of one law
      appeal of Roman culture
      military, especially at margins

B. Augustus and His Successors
   Reforms
      mystery religions banned
      laws supporting marriage, family
   Building program
   Restructured provincial government
   Rewards to veterans

C. Government and Expansion
   Control of economy
      commerce regulated
         especially grain supply
      taxations system
   Public works: baths, stadiums, aqueducts
   Official religions supported

   Expansion
      Trajan (101-106 C.E.)
         greatest extent

      Stagnation, difficulties by 180 C.E.

D. Roman Law
   Codification
      precedent
      principles

   Citizens gain protection of law
IV. The Evolution of Rome’s Economic and Social Structure
Agrarian initially

Merchant class added

Family important
patriarchal
fathers had power of life and death in Republic
women have relative freedom
right to divorce

A. Slavery in Rome
Increases as a result of empire
from captives
leads to stagnation in technology

Farmers displaced by slavery
turn to military for employment

B. Rome’s Economic Structure
Variations across empire
some areas kept pre-Roman traditions

V. The Origins of Christianity
Christianity arises in Roman empire
but distanced from Roman culture

A. Life and Death of Jesus
Called for reform in Judaism
Taught importance of love, charity, humility
Especially popular among lower classes
antagonized leaders
Crucified, 30 C.E.

Popular following, but many Jews remain loyal to Judaism

B. Christianity Gains Converts and Religious Structure
c. 10% of Roman Empire by 4th century C.E.
Offered salvation to all
Filled spiritual needs as had mystery religions

Spread via communication offered by empire
used Roman-style structure
Paul of Tarsus
Greek follower
important in spread of Christianity

C. Relations with the Roman Empire
Christian religion brings new synthesis with Greek and Roman ideologies
Refused to recognize imperial cult
persecution

VI. The Decline of Rome
Challenges
- declining revenue
- borders threatened
- fewer slaves result from lack of new conquest
- epidemics

A. The Classical Mediterranean Heritage.
Passed on Greek culture
with contributions in law, architecture, empire

The Roman Army. The Roman legions were a central feature of Roman culture. Solidarity among the soldiers kept them united and loyal to Rome when in the field, and was essential to their style of fighting. Service in the army was sought for centuries. The benefits included grants of citizenship, land grants, and bonuses. In the later years of the Roman Empire, the army became an expensive and potentially disruptive force.

Chapter Summary. When the Greek and Hellenistic worlds declined, many of their political, cultural, and economic traditions were carried on by the Romans in their own distinct society. Rome grew from a minor city-state to become the dominant factor in Mediterranean civilization. Its civilization included much of the Greek and Hellenistic sphere in the eastern Mediterranean and extended beyond it into Europe and North Africa. The Roman empire surpassed the political and commercial organization of the Greeks in durability and organization. Its greater geographical extent spread the Roman version of classical Mediterranean civilization to new regions in Europe and North Africa and served as a breeding ground for the development of Christianity

The Development of Rome’s Republic. Rome established firm political institutions balancing aristocratic and popular interests. Rome also quickly began expanding in Italy and beyond. Tension between expansion and established political values was a key theme by the 2nd century B.C.E.

Etruscan Beginnings and the Early Republic. Rome’s people were Indo-European migrants who assimilated agriculture and interacted with indigenous peoples and Greek colonists. They were ruled for a time by the Etruscans, but secured their independence around 510 B.C.E. The Romans created a republic to avoid tyrannical control. They adapted the Greek alphabet to form their Latin version. The early constitution allowed aristocrats to control the most
important offices. Lower-class citizens had political and economic rights; they elected tribunes to voice their interests. The Senate was the center of political life, with two annually-elected consuls as chief executives. The system balanced the various interests of society, but gave aristocrats most weight. The early economy resembled that of Greece. Aristocrats controlled large estates, while smaller holdings belonged to free citizen-farmers. Social strife was minimized by written laws, popular participation in government, and patron-client relationships. Rome, without important city-state rivals, and with fewer societal tensions, followed a different military and diplomatic path than the Greeks.

The Expansion of Rome. Rome developed a disciplined army based upon the service of citizen-farmers. Lacking the protection of natural boundaries, the Romans had to defend themselves against neighboring rivals. By the mid-4th century B.C.E., Rome had won control of central and southern Italy through alliances and warfare. The success of the aggressive Roman polity was based upon its disciplined legions (infantry units) and the wealth of its prosperous agricultural economy. The granting of citizenship to subdued elites and the continuation of local governing institutions built loyalty to the developing state. Rivalry in the western Mediterranean with Carthage led to hostilities, the Punic wars, ending in Roman victory in B.C.E. Rome also expanded into the eastern Mediterranean as Hellenistic kingdoms collapsed.

The Results of Expansion. The often brutal course of imperial expansion changed Roman society and politics. Profits resulting from warfare widened gaps between the rich and poor and weakened the traditional constitutional balance between classes. Aristocrats bought out smaller farmers, and client relationships deteriorated. Large estates producing commercial crops pushed displaced farmers into Rome, swelling the numbers of its impoverished citizens. Conquest also greatly increased the numbers of slaves in Italy.

The Crisis of the Republic. The increasing social tensions caused class conflict on a much larger scale than in Greek society. The republic declined as ambitious individuals battled for power. The tribune Tiberius Gracchus attempted to redistribute land, but he was assassinated by conservatives. Gaius, his brother, tried to introduce land reforms and extend citizenship; the Senate ordered his suicide. Then generals intervened in politics. Marius coerced the Senate with an army composed of permanent paid volunteers instead of citizen conscripts. Sulla sided with the Senate and defeated Marius. Later, Pompey gained power through foreign military success. The succession of generals ended with Caesar taking over the government in B.C.E. He maintained republican forms, but dominated through military power. Caesar was assassinated in 44 B.C.E. In the following civil war, Octavian, later called Augustus, emerged as victor in 31 B.C.E. and became the first Roman emperor.

Roman Culture. During the years of political crisis, a major cultural transformation merged Roman ways with the Greek and Hellenistic heritage. Intellectual life did not match the vibrancy of Athens, but Romans developed their own strengths while carrying forward the Greek heritage.

The Range of Roman Art. The Roman cultural foundation was based on Greece. Writers and artists followed Greek models. Romans advanced rhetorical arts, and gave much attention to ethical philosophy. In architecture, engineering advances made larger buildings possible,
adapted to Greek forms. Roman arches were unsurpassed. Urban planning efforts were made to regulate building safety and living conditions in Rome and other cities. A chief Roman contribution was the dissemination of its culture to the empire’s regions in the Middle East, northern Africa, and Europe.

Major Themes in Roman Literature. The period of the late republic and early empire witnessed a literary revival. Horace adapted Greek poetic meters into Latin, while Ovid stressed aristocratic sensuality in the arts of love. Livy composed histories linking the empire to its republican past, while Vergil wrote of the glories of Augustus and his empire. Later intellectual life did not match this attainment.

The Institutions of Empire. With the winning of a large empire, the importance of military administration and effective laws increased. Rome, unlike China, did not develop an elaborate bureaucracy or integrating political culture.

Imperial Rule. Rome’s rule rested on tolerance and cohesion through law. Considerable autonomy was granted to local authorities, thus eliminating the need for an elaborate bureaucracy. Military garrisons kept order where necessary. Only occasionally were conquered areas taken over completely.

Augustus and His Successors. Augustus maintained republican forms while securing domination of the government. He consolidated his regime by instituting moral reforms, banning mystery religions in favor of traditional ceremonies, and strengthening family legislation. A building program created new jobs. Augustus reformed provincial control and rewarded the military for loyal service. The basic forms established endured for two centuries. The army was the source of power, a factor causing trouble when unclear succession mechanisms for selecting new emperors brought instability, or when incompetent emperors ruled.

Government and Expansion. Efficient administrative and taxation structures allowed the extensive empire’s long existence. Commerce was regulated to secure vital grain supplies. Public works facilitated both commercial and military needs, and provided amenities—baths, stadiums, aqueducts—for large urban populations. The government supported official religious ceremonies, but did not impose beliefs on its subjects. Worship of other gods usually was tolerated unless believers—as Jews and Christians—refused primary loyalty to the state.

Expansion continued during the early empire. Trajan (101–106 C.E.) brought the empire to its greatest extent, bringing the influences of Mediterranean civilization to much of western Europe and deeper into the Middle East. The process placed heavy burdens on the economy. By 180 B.C.E., the empire was in gradual decline.

Roman Law. Rome’s greatest contribution to governing was the development of legal codes. Jurists constructed an extensive legal system based upon general principles and case precedents. The laws focused upon protection of private property and family stability. They evolved to meet changing conditions, providing firm rules to govern social relationships. Roman willingness to extend citizenship increased access to the law and loyalty to the empire.
The Evolution of Rome’s Economic and Social Structure. Rome’s basic social structure was based on an agricultural economy composed of an aristocracy and free farmers. A merchant class, both native and foreign, expanded during the late republic. Its societal prestige never matched that of aristocrats, but was higher than among the Greeks. Roman cities had large artisan and landless classes. Family structure resembled the firm patriarchal pattern of classical Greece, although women were less oppressed than in Greece or China. They freely appeared in public and a few received education. Inequality between the sexes increased during the latter empire.

Slavery in Rome. The spread of slavery contributed to the decline of free farmers and to Roman militarism. Displaced farmers sought economic advancement through military careers. Military expansion secured new additions to a slave population that did not reproduce itself. Slavery caused many societal tensions and occasional slave revolts. Slaves were used in all occupations; many were better off economically than poor free individuals. Some were able to buy or secure freedom. Slavery had important consequences for Roman development. From the 2nd century B.C.E., commercialized agriculture and mining industries increasingly utilized slave labor. As in Greece, the dominance of slavery led to stagnant technology in manufacturing and agriculture.

Rome’s Economic Structure. The empire had a varied economic and social structure. In conquered regions, Rome established cities inhabited with soldiers and colonists who often married local women. Estate agriculture spread to northern Europe only slowly and incompletely. There were great cultural gaps between Romans and the indigenous population. In northern Africa, large estates predominated and peasants often were exploited ruthlessly. The agricultural exploitation resulted in lasting harm to the environment. In Greece and western Asia, pre-Roman traditions were maintained.

In Depth: The Classical Civilizations in Comparative Perspective. The three great classical civilizations had both striking differences and similarities. Each developed empires, and relied on an agricultural economy. Greece, Rome, and China emphasized secular over religious culture. Greco-Roman political values and institutions were unlike the Confucian emphasis on deference and bureaucratic training. The Greek emphasis on theoretical constructs in science contrasted with the Indian and Chinese approach. Each civilization had a definite social hierarchy and the groups at the top subordinated those beneath them to assure their economic supremacy. Greece and Rome depended upon slave labor. The groups at the top varied in the three civilizations—priests in India, bureaucrats in China, cultivated aristocrats in Greece and Rome. There was limited opportunity for social mobility. India’s caste system kept people in their original social and occupational position. In China only a very few individuals from non-landed aristocratic families managed to gain the education to enter the bureaucracy. Greek and Roman society allowed some opportunity for those gaining wealth to rise in status. The concept of political power for Greek and Roman citizens was unusual. Each civilization held its social hierarchy together in a different manner. Greece and Rome relied on local authorities to work for common goals; they also relied on military force and clear legal regulations. China and India used force and legal rules, but had other structures. Hinduism promised reincarnation as a reward for submission. Confucianism urged cultural values of obedience and self-restraint to
legitimize social ranks. All civilizations had bouts of social unrest, but basic patterns remained firm.

The Origins of Christianity. The early history of Christianity is an integral part of the Roman experience. The Jews, ruled by Rome, believed in the coming of a messiah. The early stages of what became Christianity, arising in a remote province and primarily appealing to poor people, focused on reforming aspects of Jewish practices and had little to do with Roman culture.

Life and Death of Jesus. Jesus, a Jewish prophet and teacher, was regarded as the son of god by his disciples. He urged purification of Jewish religion and taught a moral code based upon love, charity, and humility. Jesus won many followers among the poor, but roused suspicion among the leaders of the Jewish community. They helped to convince the Roman authorities that he was a danger to the state. Jesus was crucified in 30 C.E. His followers believed he rose from the dead three days later. The religion based on his thought initially spread among Jews in the Middle East, but the failure of the immediate return to earth of the messiah, plus hostility and persecution from unconvinced Jews, caused disciples to spread through and beyond the empire.

Christianity Gains Converts and Religious Structure. By the 4th century C.E., Christians comprised about 10 percent of the population of the Roman Empire. Christianity appealed to the poor because of the social grievances suffered by farmers, city dwellers, and slaves. The new religion answered spiritual needs unfilled by Rome’s state religion. Christianity also benefited from the political stability and communications systems of the empire. The early Christians modeled their church organization after Roman forms, with bishops as local leaders. Under Paul’s leadership the religion moved away from Jewish law to become open to all. He used the Greek language and explained Christianity in terms understandable to Greco-Roman culture. He emphasized female subordination to men and the dangers of sexuality.

Relations with the Roman Empire. By the 4th century B.C.E., Christian writings were the most creative cultural expressions within the empire. Augustine and other theologians related Christian thought to Greek philosophy and Roman ethics, redirecting Roman culture into new paths and preserving earlier intellectual achievements. Christians clashed with Roman authorities when they refused to honor the emperor as a divinity. Some emperors persecuted Christians as scapegoats for political problems, but the persecution was not constant. Roman influence in time reshaped Christianity to accept the state as a legitimate, but separate, sphere of authority.

The Decline of Rome. The empire was in decline before Christianity became important. The government lacked the resources necessary for continuing expansion. Economic disruptions reduced prosperity and tax revenues. Pressure from border peoples increased. Slavery declined and economic and political units focused on their own regions, not the larger empire. Epidemics seriously reduced population size.

The Classical Mediterranean Heritage. Rome preserved and expanded the legacy of Greece, contributing in the areas of law, empire, and architecture, forming a lasting heritage. The great
extent of the empire was a major factor, but the capacity to preserve that unity did not survive, as it did in China.

GLOBAL CONNECTIONS: Rome and the World. Roman leaders were aware of the wider Mediterranean world and the Middle East. They both feared and incorporated aspects of Greek culture. Neighboring peoples, like the Germanic tribes, sought to enter the empire. Although the main focus of Roman activity was within its huge empire, commercial contacts reached through intermediaries to China. Some Romans visited India.

KEY TERMS

Etruscans: culture that ruled Rome prior to the republic; ruled through powerful kings and well-organized armies; Romans won independence circa 510 B.C.E.

Plebians: ordinary citizens; originally Roman families that could not trace relationships to one of the major Roman clans.

Consuls: two chief executives of the Roman republic; elected annually by the assembly dominated by the aristocracy.

Clientage: the social relationship whereby wealthy Roman landholders offered protection and financial aid to lesser citizens in return for political and labor support.

Legions: the basic infantry unit of the Roman military; developed during the republic.

Carthage: founded by the Phoenicians in Tunisia; became a major empire in the western Mediterranean; fought the Punic wars with Rome for Mediterranean dominance; defeated and destroyed by the Romans.

Punic Wars: three wars (264-146 B.C.E.) between Rome and the Carthaginians; saw the transformation of Rome from a land to a sea power.

Hannibal: Carthaginian general during the second Punic War; invaded Italy but failed to conquer Rome.

Republic: the balanced political system of Rome from circa 510 to 47 B.C.E.; featured an aristocratic senate, a panel of magistrates, and popular assemblies.

Tribunes: plebeian officials elected annually during the Roman republic.

Tiberius and Gaius Gracchus: tribunes who attempted to introduce land and citizenship reform under the late Roman republic; both killed by order of the Senate.

Marius: Roman general during the last century B.C.E.; introduced the use of paid volunteers in the army rather than citizen conscripts; became a military force with personal loyalty to its commander.
Sulla: conservative military commander during the last century B.C.E.; attempted to reinforce powers of the Senate and to counter the influence of Marius.

Julius Caesar: general responsible for the conquest of Gaul; brought army back to Rome and overthrew republic; assassinated in B.C.E. by conservative senators.

Octavian: later took name of Augustus; Julius Caesar’s grandnephew and adopted son; defeated conservative senators after Caesar’s assassination; became first Roman emperor.

Cicero: conservative senator and Stoic philosopher; one of the great orators of his day.

Vergil: a great Roman epic poet during the Golden Age of Latin literature; author of the Aeneid.

Horace: poet who adapted Greek poetic meters to Latin; author of lyrical poetry laudatory of the empire.

Ovid: poet exiled by Augustus for sensual poetry considered out of touch with imperial policies stressing family virtues.

Livy: historian who linked the Roman empire to the traditions of the republican past; stressed the virtues thought to be popular during the early empire.

Trajan: emperor (101-106 B.C.E.); instituted a more aggressive imperial foreign policy resulting in expansion of the empire to its greatest limits.

Jesus of Nazareth: Jewish teacher and prophet; believed by his followers to be the Messiah; executed by the Romans circa 30 C.E.

Bishops: heads of regional Christian churches.

Paul: early Christian leader; moved away from the insistence that adherents of the new religion follow Jewish law; used Greek as the language of the church.

Augustine: (354-430); bishop of Hippo, north Africa; early Christian philosopher; author of Confessions, City of God.

LECTURE SUGGESTIONS

1. Compare and contrast the political and social organization of Rome, Gupta India, and Han China. In political organization, all three developed imperial forms. The Gupta were the least centralized; they basically were a tribute-collecting network of otherwise independent petty states. The Romans also allowed substantial local autonomy in government, but exercised centralization through legal codes applicable to all residents of the empire. The Han, with its professionalized bureaucracy working in the emperor’s name, was the most centralized. In
social organization, all three had rigid social classifications based on principles of social inequality. Each had different elites: brahmins in India, scholar-gentry in China, land-owning aristocracy in Rome. Social mobility varied greatly. In India there was virtually none; in Rome acquired wealth was recognized; in China the examination system allowed advancement. The lowest classes in India, the untouchables, performed polluting occupations. The Romans had slavery as a major institution.

2. **Discuss whether Rome was simply a continuation of Greek civilization or an innovator in the Mediterranean world.** Rome served primarily to maintain the cultural accomplishments of the Greeks, especially in science, art, literature, and philosophy. The Romans developed significant innovations in engineering. In politics, the Roman republic began in the Greek tradition with a balanced constitution typical of a city-state. The Roman Empire was something new in Mediterranean civilization; its most innovative aspect was the formation of a universal legal code. The empire also presided over the development of Christianity, a major world religion.

**CLASS DISCUSSION QUESTIONS**

1. Compare and contrast Roman civilization to Greek civilization.

2. Describe the republican constitution of Rome.

3. How did the territorial expansion of the republic affect the society and politics of Rome?

4. Compare and contrast Greek and Roman culture.

5. Describe the constitution of the Roman Empire.

6. Compare and contrast Greek and Roman social organization.

7. Why did Christianity spread within the Roman Empire?

8. How did the status of women in the Roman Empire compare with women’s position in other contemporary empires?

9. What was the legacy of the Roman Empire to successor Western civilizations?
THE INSTRUCTOR’S TOOL KIT

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CHAPTER 8
The Peoples and Civilizations of the Americas

I. Origins of American Societies.
   Theory of migration from Asia
   via land bridge
   c. 20,000 B.C.E.-8000 B.C.E.

   Recent evidence, occupation from 40,000 B.C.E.-
   skeletons similar to Caucasians, Polynesians, Australasians

A. The Ancient Hunters.
   Early hunters
   spread through Americas by 11,000 B.C.E.
   small groups
   little specialization

B. The Question of Outside Contacts
   Similarities with Asian art
   Isolated development most likely
   creates weaknesses at time of contact with Old World

C. The Archaic Cultures
   By 9000 B.C.E.
   climate change
   shift to hunting smaller animals, gathering
   baskets, stone tools

   Plant cultivation
   from 7000 B.C.E. in Peru
   widespread by 5000 B.C.E.
   maize, manioc, potatoes

   Central Mexico
   maize, peppers, squash, beans by 4000 B.C.E.

   Orinoco, Amazon river basins
   manioc dominant

   Potatoes in highland areas

D. Types of American Indian Societies.
   Mesoamerica and the Peruvian orbit
   intensive agriculture
   intervening areas probably similar
Hunters and gatherers
Sedentary peoples
  villages of 100 to 200
  gender division of labor

E. Chiefdoms and States
Hereditary chiefdoms
  urban bases
  social hierarchy

  e.g. Cahokia
    up to 30,000 inhabitants

II. Spread of Civilization in Mesoamerica
  Variety of climates
  Domestication of maize and other crops by 5000 B.C.E.
  Pottery by 2000 B.C.E.

A. The Olmec Mystery.
  Foundation for later civilizations
  From about 1200 B.C.E.
    San Lorenzo, La Venta

  State
    maize cultivation, using irrigation
    hereditary elite
    urbanism
    calendar, writing systems
      365-day year

  Origins, end unknown

B. The Classic Era of Mesoamerican Civilization.
  150 and 900 C.E.
  Two focal points

  Valley of Mexico - Teotihuacan
    city of up to 200,000
    religion central
    intensive agriculture
    abandoned by 8th century C.E.

  The Classic Maya
    southern Mexico, Central America
    dozens of city-states
      Tikal, Copán, Quirigua, Palenque
30,000 to 80,000 inhabitants
culture
  monumental building
  mathematical systems, calendar
  written language

agriculture
  irrigation
  swamps drained

Religion, Writing, and Society
  20-based system, used 0
calendar
  260-day sacred cycle
  365-day solar cycle
  52-year cycle
dating from 3114 B.C.E.

writing system

religion
  dualistic

rulers
  religious and secular authority
  civil service elite

  elite women could hold public positions

C. Classic Collapse
  Decline between 700 and 900 C.E.
  Causes?
    agricultural challenges
    epidemic disease
    peasant dissatisfaction
  Towns abandoned

  New groups emerge
    Toltecs, from 1000 C.E.
    control of American Southwest, Yucatan
    fall c. 1200 C.E.
III. The Peoples to the North

A. The Mound Builders
   Mississippi, Ohio valleys
   agriculture by 2000 B.C.E.
   hunting, agriculture by 700 B.C.E.
   mounds
   finds: pottery, pipes, jewelry, worked contacts as far as Michigan
   possible spread to New York, Maryland

   Hopewell culture, 200-500 C.E.
   more elaborate mounds
   trade to Gulf, Rocky Mountains
   subsequent culture spread through Mississippi, 800-1300 C.E
   e.g. Cahoki

B. Desert Peoples
   American Southwest, by 300 B.C.E.-
   Anasazi
   from 700 B.C.E.
   villages
   roads
   trade with Mesoamerica
   drought, pressure from nomads lead to decline

IV. The Andean World
   Variety of ecosystems

A. Early Developments and the Rise of Chavín
   Farming villages 3000 and 2000 B.C.E.
   maize, potato
   sophisticated poetry from 2700 B.C.E.
   1800-1200 B.C.E.-
   ceremonial centers
   llamas domesticated
   irrigation used

   Chavin de Huantar
   center of cultural diffusion

B. Regional Cultures and a New Horizon
   Chavin's cultural influence declines by 300 B.C.E.
   new centers emerge
   Nazca
   known for weaving
Mochica builders conquests extend territory by 4th century C.E., two states: Tihuanaco, Huari decline by 9th century B.C.E.

C. Andean Lifeways
Kinship unit (ayllu) recognize common ancestor marriage within the kinship common land, herds, water rights could join with other kinships for warfare, etc. bound together by reciprocal obligations spiritual world similar

Palenque. The Mayan city-state of Palenque now lies in ruins in Chiapas, Mexico. The ruler Hanab Pacal ruled Palenque from 514 to 683, having re-established the city-state’s preeminence and extended its empire. Ultimately, he was buried in the Temple of Inscriptions he had built. The city was abandoned some 200 years after his death. The cities of Central America were first systematically explored and recorded by John Lloyd Stephens and Frederick Catherwood, who published their work in Incidents of Travel in Central America. Palenque was discovered in 1947

Chapter Summary. Civilizations developed independently in the Americas, but there were parallels with the early civilizations of Asia and North Africa. American civilizations had a separate chronology and unfolded in terms of their own environment. They developed civilizations where elements present in other civilizations - writing and metallurgy - were absent. They did not reach the technological levels of other civilizations, yet they created and ruled large empires, built monumental structures, and domesticated vital food crops.

Origins of American Societies. Archeologists long thought that the Americas were peopled by migrants from northern Asia crossing a land bridge existing during the last ice age between 20,000 B.C.E. and 8000 B.C.E. More recent findings have challenged this idea, and the earliest occupation is now dated to as early as 40,000 B.C.E. Comparison of American skeletons to those of other world areas shows similarities with Caucasians, Polynesians, and Australasians. The evidence for origins aside, the Paleo-Indians clearly developed in isolation.

The Ancient Hunters. The early hunters, using stone technology, by 11,000 B.C.E. had spread gradually through the Americas. Climatic change, bringing warmer and drier weather, diminished the existing great mammal herds of Asian origin. The disappearance was possibly due to hunting skills of the Americans. The early hunters, held together by kinship ties, lived in small bands. There was little specialization or social hierarchy; members’ roles were determined by age and gender.
The Question of Outside Contacts. Possible contact with the Americas across the Atlantic or Pacific oceans is still debated. Although Asian art styles and plants are present, there is no firm evidence of actual contact. No Old World object has been identified. Biological and archaeological evidence indicate an independent invention of American cultures. Any possible Old World contacts were not important. The isolation had negative aspects because indigenous technology did not include the wheel, plow, or iron implements, placing Americans at a disadvantage against later invaders. The lack of large mammals limited diet, transportation, and power. The Americans, tragically, did not have immunities to Old World diseases.

The Archaic Cultures. By 9000 B.C.E., when small groups of hunters were dispersed over the Americas, changes in climate contributed to the disappearance of large game animals and resulting alterations in diet and lifestyle. Americans turned to hunting of smaller game, fishing, and wild plant gathering. Baskets and stone tools were used for food preparation. Many people moved to lagoons and river mouths to exploit fish and shellfish. The earliest evidence of cultivation comes from Peru from 7000 B.C.E. By 5000, plant domestication had occurred in many other regions. The process took place gradually since many peoples continued old patterns or combined cultivation with hunting and gathering. Eventually agriculture, with over 100 different crops, was practiced all through the Americas. Maize, manioc, and potatoes became essential food sources. Maize, along with peppers, squashes, and beans, was domesticated in central Mexico by 4000 B.C.E. Maize cultivation spread throughout the Americas by 1000 B.C.E. Manioc was domesticated in the Orinoco and Amazon basins and became a staple in the South American lowlands and Caribbean islands. Potatoes held the same role in highland South America. The new foods provided surplus production that stimulated population growth and the development of civilization.

Types of American Indian Societies. Mesoamerica and the Peruvian orbit (the coastal areas of Peru and Ecuador and the Andean highlands) practiced intensive agriculture and created features present in Old World civilizations. Regions between the two centers may have contained advanced societies that only lacked monumental architecture, thus implying a continuous nucleus of civilization between central Mexico and Chile. The similarities present in the widely dispersed American societies make them more alike to each other than to any Old World civilization. Distinctions are based upon economic and political organization. Hunters and gatherers continued to move widely in small bands organized on kinship principles and possessing simple material cultures. Sedentary peoples, living in villages containing 100 to 200 inhabitants, had more complex societies. Men were warriors and hunters; women tilled the fields. Simple agricultural techniques depleted soils and required periodic migration. The most complex societies, with populations reaching the millions, emerged among peoples practicing fully sedentary agriculture.

Chiefdoms and States. Hereditary chiefdoms ruled large populations in many American regions. They governed from central towns possessing ceremonial centers and a priestly class; their authority extended over nearby smaller settlements. The social hierarchy included noble and commoner classes. The ceremonial centers might have been the base for urban development, labor specialization, and social class emergence. Cahokia, near modern St. Louis, may have supported over 30,000 individuals.
Spread of Civilization in Mesoamerica. The many ecological zones in Mesoamerica include cooler highlands, tropical lowland coasts, and an intermediate temperate zone. Different possibilities for agriculture and trade resulted. By 5000 B.C.E., maize and other crops were domesticated; pottery appeared by 2000 B.C.E. Permanent villages proliferated and population density rose.

The Olmec Mystery. The Olmecs, called the mother civilization of Mesoamerica, suddenly appeared in the wet, tropical forests of Mesoamerica’s southeast coast about 1200 B.C.E. Major sites are found at San Lorenzo and La Venta, but Olmec influence penetrated into central Mexico and the Pacific coast to the south. Maize cultivation supported a state ruled by a hereditary elite with complex religious forms. The cultural tradition included irrigated agriculture, urbanism, monumental sculpture, elaborate religion, and calendrical and writing systems. The Olmecs developed a sophisticated numerical system based upon a 365-day year which became the basis for all Mesoamerican calendars. The spoken language, and origin and demise of Olmec civilization, remain unknown. Other civilizations developed elsewhere in Mesoamerica, many of them influenced by the Olmecs. In their cultures, public art was decorative and functional, defining the place of the individual in society and the universe.

The Classic Era of Mesoamerican Civilization. A great age of cultural achievement occurred between 150 and 900 C.E. Two main centers of civilization were located in the high central valley of Mexico and the tropical lands of southern Mexico, Yucatan, and Guatemala.

The Valley of Mexico: Teotihuacan. Teotihuacan emerged as an enormous urban center, with perhaps 200,000 inhabitants, supported by intensive agriculture in surrounding regions. It had important religious functions and the size of its temples suggest considerable state apparatus. Mesoamericans worshipped many gods and most Teotihuacan art appears to have religious influence. There is evidence of economic specialization and social stratification. Teotihuacán’s influence reached southward to the Maya region, and represented either a political empire or a dominant cultural style. The lack of battle scenes in Teotihuacan art suggests a long period of peace presided over by the great city. Later buildings tend to be secular instead of religious and may indicate a shift to civil over religious authority. By the 8th century C.E., the city was in decline and later was abandoned.

The Classic Maya. Mesoamerica’s highest development occurred among the Mayans of southern Mexico and Central America between 300 and 900 C.E. Up to 50 city-states, among them Tikal, Copán, Quiriga, and Palenque, with populations between 30,000 and 80,000, flourished in an area of dense, insect-ridden forests. All shared a common culture, including monumental architecture, written language, calendrical and mathematical systems, religion, and political and social organization. The Mayans supported up to 5,000,000 inhabitants using varying agricultural systems: irrigation, swamp drainage, and constructed ridge fields. The cities, perhaps essentially ceremonial centers, included large religious-administrative centers, elite residences, and ritual ball courts. Memorial monuments commemorated secular events and religious occasions.
Religion, Writing, and Society. A complex calendar and complicated writing system were two great Mayan achievements. The calendar and astronomical observations were grounded upon a mathematical system based upon 20, and included the concept of zero. Their calendar was based on a sacred cycle of 260 days and a solar cycle of 365 days, both occurring within a 52-year cycle. They utilized a dating system—a long count—based on a fixed past date of 3114 B.C.E. Their earliest surviving date is 292 B.C.E. The Mayans created a writing system, combining phonetic and semantic elements, similar to those of Sumeria and China. The Mayans’ religious system emphasized the unity of all things and contained the basic concept of dualism. The many deities were balanced between good and evil, and male and female. Various occupations and classes had patron deities. The major cities controlled outlying territories, and constant warfare resulted from rivalries. Rulers, assisted by an administrative elite, had civil and religious authority. Scribes tended to the state cult and carried out calendrical observations. Both rulers and scribes participated in rituals of human sacrifice and self-mutilation. The cities also included artists and artisans, although most people were peasants supporting the elite. Families were patrilineal among peasants, although the elite traced descent through both lines. Elite women might hold important positions, while poor females focused upon domestic tasks.

Classic Collapse. The Mesoamerican cultural centers declined between 700 and 900 C.E. Teotihuacan fell to invaders, perhaps assisted by subject groups. Decline may have already started because of agricultural problems. Mayan centers were abandoned, perhaps because of agricultural exhaustion brought on by growing population density. Other explanations suggest epidemic disease or the refusal of the peasants to continue supporting urban populations. Whatever the reasons, the cultural achievements of the classical period dissipated. Some influences remained to create a new synthesis of Mayan and central Mexican culture. One group, the Toltecs, after 1000 B.C.E. established control in central Mexico. They were a military people and spread their influence to the American Southwest and Yucatan. The Toltecs fell around 1200.

The Peoples to the North. Complex cultures, often based on agriculture, developed between northern Mexico and Alaska. Two broad regions, in the Mississippi basin and the American Southwest, merit attention.

The Mound Builders. Agriculture appeared in the valleys of the Mississippi and Ohio rivers by 2000 B.C.E. By 700 B.C.E. a combined hunting and agricultural society emerged. Its peoples built large, earthen constructions and mounds serving defensive and burial needs. Remains include pottery, pipes, jewelry, and copper objects. There were trade contacts to Michigan and the culture may have spread to New York and Maryland. New levels of scale and complexity were present in the Hopewell culture between 200 and 500 B.C.E. Elaborate mounds were built, and there was long-distance trade to the Gulf Coast and Rocky Mountains. Artisans produced beautiful stone and clay items. Hopewell culture was followed by a successor spread widely through the Mississippi Valley between 800 and 1300 B.C.E. Large towns and ceremonial centers—Moundville in Alabama and Cahokia in Illinois—flourished, surrounded by smaller towns and dense populations. Cahokia appears to have many similarities with Mesoamerican urban settlements. Surviving artifacts indicate the presence of social divisions. The culture
may have risen because of the introduction of maize from Mesoamerica, although no Mesoamerican remains have been found.

**The Desert Peoples.** In the American Southwest by 300 B.C.E., settled communities influenced by Mesoamerican cultures took form. The Anasazi lived in large, multistory adobe and stone buildings by 700 B.C.E. Their villages, many connected by roads, featured a circular pit, a *kiva*, for male religious meetings. The Anasazi produced excellent pottery, and traded with Mesoamerica. A long drought and nomadic pressure caused the decline of the Anasazi from the late 13th century.

**In Depth: Different Times for Different Peoples.** It is appropriate to consider the importance of time and its measurement in world history. The concepts and meanings of time have varied in different cultures, and have changed historically. Early peoples observed the motion of the heavens to attempt to regulate agricultural and religious cycles. Their differing interpretations depended upon the cultural and political development of each civilization. Before the 19th century C.E. most people marked time by seasonal and daily work patterns. When the European Industrial Revolution began, a revolution in measuring time occurred. It spread to all world regions. A new work discipline was required for factory tasks. Time was bought and sold by employers and workers.

**The Andean World.** The Andean world encompassed varied ecologies, from narrow and arid coastal lands to high mountains, valleys, and *puna* (steppes). Populations concentrated in level and well-watered cool uplands, allowing cultivation of potatoes and maize, and grazing for llamas and alpacas, or in river valleys where irrigation was possible. The broken terrain required organization, through state control, to build roads, bridges, and very complex water management projects. Communities spanned ecological zones to ensure survival.

**Early Developments and the Rise of Chavín.** Permanent agricultural villages appeared in the Andean Highlands and the arid Pacific Coast between 3000 and 2000 B.C.E. Maize was grown along with the indigenous potato. Advanced pottery appeared by 2700 B.C.E. There is evidence of political organization. From 1800 to 1200 B.C.E., ceremonial centers were built, llama domestication had occurred, and simple irrigation was used. The most important center was the Peruvian Highland settlement of Chavín de Huantar. It contained temple platforms and adobe and stone constructions. Artisans worked in textiles, ceramics, and gold. Artistic motifs, probably religious themes, spread widely. The diffusion of Chavin styles is called a “horizon,” a period when a central authority integrated a widely dispersed region.

**Regional Cultures and a New Horizon.** The cultural unity of Chavín had declined by 300 B.C.E. Independent cultural centers appeared. Irrigated agricultural production and animal use led to dense populations and hierarchical societies whose peoples produced superior art. Nazca attained a high point for weaving in the Americas. The Mochica built great temples, residences, and platforms; its artisans produced jewelry and copper tools, and accomplished notable work in ceramics. The Mochica polity extended control through conquest and was one of a number of military chiefdoms supported by irrigated agriculture. By the 4th century C.E., two large states, Tihuanaco and Huari, emerged. Their religious and artistic styles spread widely in the Andean world. Tihuanaco, an urban ceremonial center, supported itself through extensive
irrigated agriculture. Its political influence reached to distant colonies and allowed access to the products of different ecological zones. Huari spread its influence through its road system. Both cultures declined during the 9th century C.E. Among the many successor regional states were the Incas who were creating new political and cultural patterns when Europeans arrived in the 16th century.

**Andean Lifeways.** One constant of Andean society was an effort to control the regional variety of ecological niches in order to secure self-sufficiency. Kin groups were another constant. A kinship unit (*ayllu*), traced descent from common, sometimes mythical, ancestors. Marriages were within the ayllu; it assigned land, herd access, and water rights to households. Ayllus were often divided into halves with different functions. Chiefs possessed dress and resource privileges. Related ayllu groups joined together for labor, warfare, or state formation. The principle of reciprocity underlying the ayllu infused social life. Obligations existed between men, women, and households. Communities owed tribute and labor to large states in return for community-benefiting projects. Reciprocity also showed in Andean religious beliefs based upon a world inhabited by spirits occupying natural objects and phenomena.

**GLOBAL CONNECTIONS: American Civilizations and the World.** The cultural development and chronology of Mesoamerica and the Andes offer striking parallels. Although regional contacts over a long time period operated indirectly through trade and cultural diffusion, there were significant differences between peoples and civilizations. Peruvian cultures were more advanced in metallurgy and animal domestication than in Mesoamerica, but, unlike the Maya, they did not invent a writing system. Still, American civilizations did have more in common with each other than with Old World cultures. Much remains unknown concerning the development of the isolated American civilizations.

**KEY TERMS**

*Archaic cultures:* hunting and gathering groups dispersed over the Americas by 9000 B.C.E.

*Maize:* a staple crop of sedentary agriculturists in the Americas; domesticated by 4000 B.C.E. in central Mexico.

*Manioc:* another staple of sedentary agriculturists in the Americas; principal crop in the lowlands of South America and the Caribbean islands.

*Mesoamerica:* the area from central Mexico to Honduras and Nicaragua.

*Chiefdom:* widely diffused pattern of social organization in the Americas; featured chieftains who ruled from central towns over a large territory, including small towns that paid tribute; predominant town often featured temples and priest class.

*Olmec:* cultural tradition that arose at San Lorenzo and La Venta in Mexico circa 1200 B.C.E.; featured irrigated agriculture, urbanism, elaborate religion, beginnings of calendrical and writing systems.
Monte Alban: Zapotec ritual center, Oaxaca, Mexico; influenced by spreading Olmec cultures.

Teotihuacan: site of classic culture in central Mexico; urban center with important religious functions; supported by intensive agriculture in surrounding regions; population up to 200,000.

Maya: classical culture of southern Mexico and Central America contemporary with Teotihuacan; extended over broad region; featured monumental architecture, written language, calendrical and mathematical system; highly developed religion.

Stelae: large memorial pillars to commemorate triumphs and events in the lives of Mayan rulers.

Long count: Mayan system of dating from a fixed date in the past; 3114 B.C.E. marked the beginning of a great cycle of 5200 years; allowed precision dating of events in Mayan history.

Toltecs: successors of Teotihuacan culture in central Mexico; established political control over large territory after 1000 C.E.; declined after 1200 C.E.

Chichén Itzá: Mayan city in Yucatan, Mexico.

Hopewell culture: second of the mound-building cultures; lasted from 200 to 500 C.E.

Mississippian culture: last of the mound-building cultures; included Moundville and Cahokia; flourished between 800 and 1300 C.E.; had large towns and ceremonial centers.

Anasazi: culture of the southwestern United States; flourished from 200 to 1200 C.E.; had large multistory adobe and stone buildings built in protected canyons or cliffs.

Kivas: circular pits in Anasazi communities used by men for religious meetings.

Puna: high valleys and steppes lying between the two major chains of the Andes; site of South American agricultural origins; also only location of pastoralism in the Americas.

Lunar cycle: one of the principal means for establishing a calendar; based on cycles of the moon; failed to provide an accurate guide to the round of the seasons.

Solar cycle: calendrical based on the solar year; variations in Western civilization are the Julian and Gregorian calendars; the Maya had a solar calendar.

Chavín culture: appeared in the highlands of the Andes between 1800 and 1200 B.C.E.; had ceremonial centers with large stone buildings; the greatest center was Chavín de Huantar.

Mochica: flourished in the Andes north of Chavín culture in the Moche valley between 200 and 700 C.E.; had great clay-brick temples; created a military chiefdom supported by extensive irrigated culture.
Tihuanaco and Huari: large centers for regional chiefdoms between 300 and 900 C.E., located in southern Peru; had large ceremonial centers supported by extensive irrigated agriculture; center for the spread of religious and artistic symbols all over Andean zone.

Chimu: regional Andean chiefdom that flourished from 800 to 1465 C.E.; fell to the Incas.

Ayllu: households in Andean societies based on kinship; traced descent from a common, sometimes mythical, ancestor.

Incas: Quechua-speaking peoples; originating in the area of Cuzco.

Curacas: leaders of the Andean peoples; representatives of the ayllus.

Huacas: spirits of Andean animism.

LECTURE SUGGESTIONS

1. Discuss the social, political, and economic bases of civilization in the Americas. In both Americas, social stratification was based on a priesthood, a warlike nobility, and agricultural commoners; kinship groups were significant. In political life, the creation of empires based on control of broad regions was more common in Mesoamerican than Andean civilizations. Political life centered on urbanized temple complexes with monumental architecture devoted to religious ceremonies; scribes and bureaucracies were associated with priesthood. Economic life was based on sedentary agriculture that required irrigation; that need may have led to increasing social complexity and more sophisticated political forms. The existence of microecologies led to a variety of products and elements of trade. Trade networks were widespread within empires.

2. Compare and contrast American civilizations with the early civilizations of the Middle East, Harappa, and Shang China. One basic difference was topographical and geographical: with the exception of the mound-building cultures of North America, American civilizations were not based on river valleys. Both Old and New World civilizations emerged in relation to the development of irrigation; in the New World, forms of terracing and ridging were used. In the New World, topography divided into multiple microecologies, unlike the more general ecological zones of the Old World. In both Old and New Worlds, formative civilizations evolved from urbanized temple complexes featuring monumental architecture. Pyramid forms were found in Egypt and the Americas; walled ceremonial complexes in mound-building cultures and all three Old World Cultures. Writing—primarily found in the Americas in Mesoamerica—was not as common as in the Old World. The New World had a simpler material culture, a more limited technology, and a general lack of pastoralism.

CLASS DISCUSSION QUESTIONS

1. Compare and contrast the civilizations of the Americas with those of the Old World.

2. How did humans get to the Americas?
3. Discuss the origins of sedentary agriculture and staple crops in the Americas.

4. What were the similarities and differences among the Olmec, Teotihuacan, Maya, and Toltec civilizations of Mesoamerica?

5. What were the major cultures of North America?

6. What were the similarities and differences among the Chavín, Mochica, Tihuanaco, Huari, and Chimú cultures of the Andes region?

7. What was the nature of social organization within Andean society?

8. Compare and contrast Andean and Mesoamerican civilizations.

THE INSTRUCTOR’S TOOL KIT

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CHAPTER 9
The Spread of Civilizations and the Movement of Peoples

I. The Spread of Civilization in Africa
Varied ecosystems: savannas, grasslands, plains, deserts

Climate change
  Sahara, fertile in Late Stone Age
    desert by 3000 B.C.E.
    > migration north and south

A. Agriculture, Livestock, and Iron.
  Millet and sorghum by 3000 B.C.E.

Domesticated animals from Asia
  horses into Egypt, 2d millennium B.C.E.

Tsetse fly
  attacks horses and cattle

Camel from 1st century C.E.

No bronze age
  stone to iron
  iron from Mediterranean coast, Red Sea
    to southern Africa by 1000 C.E.

B. The Bantu Dispersal.
  Agriculture and iron accompany Bantu dispersal
  Bantu homeland in Nigeria
    Saharan dessication may have forced flight
      knowledge of iron an advantage
  Spread throughout continent by 1200 C.E.

Culture
  agriculture, fishing, goats, cattle
  villages untied by kinship
    council of elders

II. Africa, Civilization, and the Wider World
Relationship between Egypt and the rest of Africa?
  similarities
    dynastic brother-sister marriage
    divine kingship
    direction of influence?
A. Axum: A Christian Kingdom
Axum defeats Meroë, 3rd century C.E.
influence in Arabia
Axum
urban center
Ge'ez - writing system
used Arabic script
controlled Red Sea trade

c. 350 C.E., King Ezana converts to Christianity

B. Golden Ghana: A Trading State
Savanna peoples
trade intermediaries
link northern Africa and Niger and Senegal rivers
salt for gold; gold for textiles, finished goods

Trade leads to state formation
Gao, Ghana

925 C.E., Gao's leader converts to Islam
then elites convert

Ghana
Soninke people
Kumbi Saleh, capital
tolls on commerce create wealth
state grows
influence into Sahara
Almoravids
invade in 1076
period of instability

III. Nomadic Societies and Indo-European Migrations
Culture
pastoralism: camels, reindeer, sheep, horses
varied roles for women
facilitate long-distance agriculture

Indo-Europeans
2nd millennium B.C.E.
North of the Black and Caspian seas
Middle East, Indus Plain
included the Hittites, Hyksos, and

Hsiung-nu (Huns)
attack Chinese and Roman territories
destroy the Gupta

A. The Celts and Germans.
   Celts
   Ireland to Russia
culture
   small kingdoms
   warrior elite
   kinship groups
   pastoralism, agriculture
   no cities, writing
   oral literature
   including law codes
   animistic religion
Roman influence
   especially Gauls

Germanic peoples
culture
   much in common with Celts
   matrilineal
   women holy
   admired and despised by Romans
   larger political groupings by 3rd century C.E.

B. The Slavs in Eastern Europe
   Agriculture to southern Russia by 3000 B.C.E.
   Iron brought by Indo-Europeans, c. 1000 B.C.E.
Scythian state
   7th to 3rd centuries B.C.E.
   followed by the Sarmatians.
   both spread culture of Greeks and Persians

Slavs in by 4th C.E.
   kingdoms by 5th B.C.E.

IV. The Spread of Chinese Civilization to Japan.
   Politically independent of China
   cultural borrowings
A. Natural Setting and the Peopling of the Islands.
   Mountainous population concentrates on coastal plains

   Asians from 5000 B.C.E.
      from Korea, Manchuria
      Jomon hunting-and-gathering culture
      3rd millennium B.C.E.

   Ainu displaced

B. Indigenous Culture and Society.
   Yayoi epoch
      last centuries B.C.E.
      new techniques from mainland

   Society
      clans
      90% peasants
      rigid social distinctions
      matriarchal
      women head households
      hold religious, political roles

   Yamato clan
      dominate in 4th, 5th centuries
      influence over southern Korea
      imperial cult
      Shinto worship

C. The Chinese Model and the Remaking of Japan
   Chinese script adopted 300s C.E.
      used by Yamato to build state

   Buddhism
      important from c. 550
      Korean mission to Japan
      official in 580s
      does not replace Shintoism
D. Political and Social Change
   Emulation of Chinese rulers
   Capitals at Nara, Heian
   Scholar-monks
   Merchant class

   Women's roles changed by contact with China

E. Chinese Influence and Japanese Resistance
   Elite copy Chinese
difficulties
   opposed by local lords, warriors

V. The Scattered Societies of Polynesia
   Australia, New Guinea settled
   others come from Asia
   settle other islands

A. The Great Migration
   c. 4000 years ago, Austronesian expansion
   Lapita pottery

   Common culture with differences

B. The Voyagers of the Pacific
   Double canoes, triangular sails (pahi)
sail windward
   up to 120 miles/day

C. Ancient Hawaii
   Two colonization waves, from c. 300 C.E.
c. 200,000 by 1700s

   Kamehameha I
   unification, 1810
   at head of hierarchy
   chiefs (ali‘i)

D. The New Zealand Landfall and the Development of Maori Culture
   Society Islanders
   8th century C.E., arrive in New Zealand
   fishing, agriculture
c. 200,000 by 18th century
Maori Culture

hapu, tribal units
common land
council
led by chief
chiefs also priests
shamans

Axum. The kingdom of Axum lay in the highlands of Ethiopia. In contact with Egypt and Meroë, the kingdom was Christianized by the 4th century C.E. Through the port of Adulis on the Red Sea, Axum traded with the Mediterranean area and the Middle East. Conversion to Christianity came in the rule of King Ezana. The kingdom of Axum is emblematic of the theme of this chapter: cross-cultural contacts. The spread of ideas, especially the manner and means of diffusion is a recurrent topic in history. Axum presents the model in which trade is the agency, while for the Romans, conquest was another. This chapter will examine diverse peoples in this light, moving away from a narrative historical presentation to a thematic study. Cultural expansion can be achieved by conquest, trade, and missionary activity. At times, conquered peoples influenced their conquerors. This chapter will examine five areas forming their own cultures—sub-Saharan Africa, central Asia, northern Europe, Japan, and the Pacific islands—that at times, were influenced by outside developments.

The Spread of Civilization in Africa. Although most of Africa’s 12 million square miles are in the tropics, much of its surface is composed of savannas, open grasslands, arid plains, and deserts. Large rivers flow to the coast over falls that hamper easy access to the interior. Africa was the home of the ancestors of modern humans and participated in the early development of civilization along the Nile river valley. The continent had contacts with other world areas, both receiving and sending cultural influences. Climatic change was important. The Sahara was far better watered during the Late Stone Age, but by 3000 B.C.E. was turning into desert. The desiccation forced migration to the north and south and made the sudanic region a center of cultural development.

Agriculture, Livestock, and Iron. Agriculture and the use of iron probably spread into Africa from Mediterranean and Middle East civilization centers. Domesticated crops, millet and sorghum, appeared in sub-Saharan Africa before 3000 B.C.E. Africans soon developed their own crops in a band stretching from Ethiopia to West Africa. Domesticated animals were introduced from Asia. Horses entered Egypt during the 2nd millennium B.C.E. and spread to west Africa. The presence of the disease-carrying tsetse fly limited the use of horses and cattle in many regions. The camel, arriving in the 1st century C.E., made the desert much more accessible to trade and communication. Most of Africa passed directly from stone to iron technology. Knowledge of iron working spread from Phoenician settlements in north Africa, from Red Sea ports into Ethiopia and east Africa, and down the Nile from Egypt. By about 1000 C.E. it had reached the southernmost regions of Africa. The use of iron for tools and weapons increased societal complexity and gave their makers ritual and political power.
The Bantu Dispersal. The diffusion of agriculture and iron accompanied a great movement of Africans speaking Bantu languages. It is thought that the arrival of people fleeing Saharan desiccation caused population pressure, forcing the Bantu to move from their homeland in eastern Nigeria. The use of iron weapons assisted their conquest of stone-using hunters and gatherers. After long and gradual migration through central and eastern Africa, the Bantu, by the 13th century C.E., had reached the southern extremity of Africa. Few indigenous hunting and gathering societies survived the migration. The early culture of the proto-Bantu depended upon agriculture, fishing, and raising goats and cattle. They lived in villages organized around kinship ties. A council of elders led the villages; religious beliefs centered upon spirits inhabiting the natural world. During the long period of migrations, many societies developed more complex forms of technology, commerce, political organization, and cultural life.

Africa, Civilization, and the Wider World. Many aspects of early Egyptian society—divine kingship and dynastic brother-sister marriage—strongly resembled those of other African societies. There is no consensus on which was the direction of influence, but there clearly was extensive contact between Egypt and peoples living southward along the Nile valley.

Axum: A Christian Kingdom. During the 3rd century C.E., Axum defeated the iron-producing state of Meroë and intervened in the Arabian peninsula to become the dominant state in the horn of Africa. Meroë’s defeated leaders may have moved westward into the Sudan and pushed their influence farther. Axum’s peoples, from Eritrea and Ethiopia, probably received influences and settlers from the Arabian peninsula. Axum became a great city with palaces and monuments. Its inhabitants developed a writing system for their language, Ge’ez, based upon an Arabian script. Axum controlled Red Sea ports and traded with India, Egypt, Rome, and Byzantium. About 350 C.E., King Ezana’s conversion to Christianity began a process making Axum a distinctive Christian state. Its civilization was the basis for much of the culture of the later Christian Ethiopia.

Golden Ghana: A Trading State. The peoples of the savanna became intermediaries between the Niger and Senegal river regions and northern Africa. They traded salt for gold, which was traded northward in return for textiles and manufactured products. The trade was the basis for the growth, before the 8th century C.E., of states like Gao and Ghana. In 925 C.E. Gao’s ruler converted to Islam, and conversions among the elite of west African states followed. Islam was accepted by the masses more slowly. Ghana was created by the Soninke people. Its capital, Kumbi Saleh, was divided into two cities, one for the ruler, court, and people, the other for Muslim traders and religious men. Tax revenues from commerce provided the resources revenues for a wealthy and powerful state possessing a large army. Ghana’s influence spread into the Sahara. The Almoravids, Saharan peoples converted to Islam, conquered Ghana in 1076. Political instability followed until Mali emerged to continue the traditions of Islam, trade, and military power.

In Depth: Language as a Historical Source. Historical linguistics can help historians to understand the past. Language is a guide to thought patterns of a people; it helps to explain social and political patterns and historical relationships between groups. The reconstruction of the migrations of the Indo-Europeans, Bantu, Polynesians, and early Americans is based on linguistic studies. The similarities and differences in language development that occurred as
people moved into new regions and left their original group can tell us much about societal values, social structure, material life, and migration patterns.

Nomadic Societies and Indo-European Migrations. Nomadic, herding peoples inhabited the great expanse of territory stretching from the Ukraine to China. They practiced pastoralism and moved their herds of camels, reindeer, sheep, and horses seasonally, living in small groups that could coalesce into tribes. Their hard lifestyle put great value on courage and strength. Women had more varied roles than in settled civilizations. Nomads had mixed relations with sedentary peoples; they raided their settlements or became their allies. They assisted long-distance commerce. Repeatedly, the principal Eurasian civilizations had to deal with their incursions. When nomads conquered civilization centers, they usually adopted the practices of their subjects. The first nomads known in history were the Indo-Europeans of the 2nd millennium B.C.E. They moved from north of the Black and Caspian seas into the Middle East and the Indus Plain, as late as the last centuries B.C.E. The Hittites, Hyksos, and Greeks were all part of this vast movement of peoples, each creating their own civilization where they ended their migrations. The Hsiung-nu (Huns) in the early centuries C.E. devastated Chinese and Roman territories and destroyed the Gupta.

The Celts and Germans. The Celts, extending from eastern Europe into the British Isles, formed Europe’s first culture. They were organized in small kingdoms headed by fierce warriors. They mixed agriculture and hunting, but lacked writing and cities. When Rome expanded its empire, a population of Romanized Celts developed. Germanic peoples, similar in culture to the Celts, populated much of northwest Europe. The Romans regarded the Germans as barbarians, but were impressed by the warlike culture of their chiefs and followers. German women, the elderly, and slaves performed agricultural and household duties. Women were held to be possessed of holiness and the power to foretell the future. Marriage came at a late age, with women receiving a bride-price. Strong matrilineal ties existed. Adultery was rare and there was no infanticide. Germans mixed agriculture and hunting, and herded cattle; they lacked cities or writing. By the 1st century C.E., agriculture, iron use, and the manufacture of cloth improved. By the 3rd and 4th centuries, political cohesion increased among previously decentralized tribes, as Roman influence led to the formation of tribal federations. Germanic religion was animistic, with worship of and sacrifices to the spirits of nature. The Germans entered world history as they invaded Roman territory, pushed by population pressure, Asian invasions from the east, and the empire’s growing weakness. The increasing coherence among Germans helped to prepare for the gradual development of civilization in Europe once Rome fell.

The Slavs in Eastern Europe. Agriculture, spreading from the Middle East, appeared in southern Russia by 3000 B.C.E. Indo-European migrations brought iron around 1000 B.C.E. A loosely-organized Scythian state controlled the region from the 7th to 3rd centuries B.C.E. Later came the Sarmatians. Under the Scythians and Sarmatians, Greek and Persian influence spread. At the end of the classic era, Indo-European Slavic peoples moved into eastern Europe. By the 5th century C.E., they had formed regional kingdoms, notably Bulgaria. They developed agriculture and iron working, but were temporarily disrupted by Hun invasions.
The Spread of Chinese Civilization to Japan. The Japanese formed a unique civilization by selectively mixing their culture with Chinese influences, through indirect and peaceful ways. They, unlike the Vietnamese and the inhabitants of southern China, remained independent and controlled the processes of cultural borrowing.

Natural Setting and the Peopling of the Islands. Mountainous terrain dominates the four main Japanese islands, compelling most inhabitants to live in coastal plains. By 5000 B.C.E., various East Asian groups, mostly from Korea and Manchuria, began arriving. One wave produced the Jomon hunting-and-gathering culture during the 3rd millennium B.C.E. The isolation of the islands helped, by the 1st centuries C.E., to produce a distinctive population who displaced or absorbed earlier inhabitants, the Ainu. The limited resources produced a hardworking population regulated by strict legal codes enforced by a warrior class.

Indigenous Culture and Society. In the last centuries B.C.E., during the Yayoi epoch, mainland arrivals introduced important agricultural and metalworking techniques. Until the 5th century C.E., the population was divided into numerous clans dominated by a warrior aristocracy. Peasants, 90 percent of the population, and a small number of slaves, supported clan elites. The elite and mass population was separated by rigid social distinctions. Japanese households were matriarchal, dominated by child-bearing women. They also served in religious and political roles. The Japanese worshipped numerous gods and spirits associated with the natural world who could do good or evil to humans. During the 4th and 5th centuries, the Yamato clan won dominance of the lowland plains and southern Korea, the latter allowing intensified contacts with Chinese culture. An imperial cult developed around a sun goddess and Shinto worship.

The Chinese Model and the Remaking of Japan. The introduction of the Chinese script in the 4th century C.E. allowed the Yamato to build a true bureaucracy and strengthen their rule. The Japanese were able to learn from Chinese texts in science, philosophy, religion, and art. Japanese scholars studied in China. From the mid-6th century, Buddhism, adopted widely in China after the chaos resulting from the fall of the Han, became important. A Korean ruler sent images and literature to Japan and urged conversion. The Yamato made Buddhism their official religion in the 580s C.E. As Buddhism spread, the Japanese did not surrender their Shinto beliefs. Buddhism and Shintoism developed as twin pillars of state and society. The elite supported Buddhists and in return the monks stressed rule by a strong, unified state. Most of the masses regarded Buddhism as only a magical cult that provided colorful rituals and charms against ill fortune.

Political and Social Change. Imitating China, in the 7th century, Yamato rulers proclaimed themselves absolute monarchs. They built capital cities at Nara and Heian, extended bureaucratic control to local levels, and organized a peasant conscript army. A class of scholar-monks exercised power at the Yamato court. Flourishing commerce with China and Korea produced a wealthy, distinct, merchant class. New technologies increased agricultural and mining output. Chinese influence altered traditional gender roles. Japanese women became subordinate to males and were valued only for domestic work and producing sons.
**Chinese Influence and Japanese Resistance.** The Japanese elite forwarded Chinese and Buddhist innovations to increase state power over warriors and peasants. The changes produced the first Japanese state, but many innovations, often of little relevance to local social conditions, were not fully successful. Inefficient bureaucracies were a heavy burden for overtaxed peasants. Regional lords and the warrior elite obstructed efforts for landholding reforms and the conscript peasant army. Many others simply opposed the changing of traditional culture. Until the 8th century, the forces favoring innovation along Chinese lines remained victorious.

**The Scattered Societies of Polynesia.** By 38,000 B.C.E. Australia and New Guinea were settled by dark-skinned individuals speaking their own languages. They were joined by peoples who left mainland Asia before the rise of classical India and China. In their isolated islands they developed societies on the pattern of Late Neolithic Asia. They were responsible, as they peopled Pacific Ocean islands, for one of the great, but relatively unknown epics of human achievement. They included the Polynesians, a people leaving no records of their own apart from oral traditions. According to archaeology and linguistics, they belonged to the Austronesian language family, and later European observations help fill the gaps in our knowledge.

**The Great Migration.** About 4000 years ago, Austronesian-speaking peoples expanded eastward from Melanesia to Fiji, Tonga, and Samoa. They practiced agriculture, had domestic animals, and used complex fishing techniques. A distinctive pottery style, Lapita, helps to identify their settlements. From Tonga and Samoa, they moved to Polynesia and perhaps westward to Madagascar. In the many Polynesian islands, cultures evolved differently. They share similar languages, and basic principles of social and economic organization, including complex agricultural forms, and stratified chiefdoms based upon lineage and ritual.

**The Voyagers of the Pacific.** The Polynesians used great double canoes with large triangular sails (pahi) to carry people, animals, and plants on their long voyages. They were able to sail to the windward and travel over 120 miles a day. The mariners navigated through observing stars and wave patterns. Most migration appears to have been sporadic, caused by war, population pressure, famine, or a spirit of exploration. By the time of European arrival, the Polynesians had colonized or explored almost all the Pacific islands.

**Ancient Hawaii.** The migrants to Hawaii created the most complex Polynesian society. The island chain of Hawaii was settled in two Polynesian waves beginning around 300 C.E. The isolated population grew to about 200,000 by the 1700s. Residences were scattered along the coast and in valleys; there were no towns. Political unity was achieved in 1810 under Kamehameha I. Hawaii had a hierarchical society dominated by chiefs (ali‘i) whose authority came from their descent and sacredness. They extracted labor or tribute from commoners engaged in intense agriculture on common land. Their lives were regulated by strict social taboos (kapu). Women were prohibited from eating certain foods, dining with men, and entering a chief’s house. Numerous gods were honored at ceremonial rituals, which included human and other sacrifices. Sexual activity had important religious, kinship, and political implications.
The New Zealand Landfall and the Development of Maori Culture. During the 8th century C.E., migrants from the Society Islands region first came to the two islands of New Zealand. They found few edible plants or large mammals, but fishing and agricultural development sustained their population. By the 18th century, their population was as high as 200,000. The climate and soils of the northern island made it the most populated and organized territory.

Maori Culture and Society. Maori tribes were divided into subgroups called hapu. They resided in villages where extended families lived in households. Land was owned by the hapu and allotted among families by a communal council. All communities included slaves. Each hapu was led by a skilled, hereditary, warrior chief. Their power was limited by councils of free hapu males. Men monopolized power, although women had a strong role within the household. The society did not support occupational specialists, except for priests and craft specialists. The chief, also a priest, presided over communal ceremonies and knew special hapu-protecting prayers. Shamans specialized in healing and served as mediums to reach the many spirits and deities of the Maori world.

A War-Oriented Society. Maori experts built canoes, made ornate wood carvings, and tattooed bodies. The most important experts had war-making skills. Maori society was obsessed with war, and much time and energy went into seasonal hostilities. Loss of life was limited; enemy casualties might be eaten and prisoners became slaves.

On the Threshold of Civilization. The Polynesians created a steady and productive agricultural system. Despite not working metals, their material culture, particularly woodworking and decoration, was impressive. Maori oral tradition preserved a rich collection of myths and legends. Their political organization, although decentralized, worked well within the hapu and tribe. But isolation and limited resources prevented the Maori from achieving the specialization required for true civilization. Maori culture disintegrated before the superior weapons and dangerous diseases of invading Europeans.

GLOBAL CONNECTIONS: The Emerging Cultures. Societies forming on the fringes of major world civilizations shared two important features. By adopting agriculture they formed more structured political units and complex social hierarchies. They also each retained important characteristics from their past. One vital difference separates the societies discussed. Northern and eastern Europe, Japan, and sub-Saharan Africa kept some contact with core civilization centers. Polynesia remained apart, resulting in important technological deficiencies. Further contacts depended upon changes in the classical civilizations.

KEY TERMS

Sahara: desert running across northern Africa; separates the Mediterranean region from the rest of Africa.

Sahel: lands lying between the Sahara to the north and the Sudan to the south; a region of climatic, cultural and economic transition.
**Tsetse fly:** carries sleeping sickness that severely limits pastoralism in western and central Africa.

**Transhumant:** used of societies that move animals seasonally from one area of pasturage to another.

**Nok:** African culture, in northern Nigeria, known for its iron-working and sculpture.

**Yoruba:** African people of modern Togo, Benin and southwest Nigeria.

**Bantu:** a language family that originated in eastern Nigeria; migrated into central, eastern, and southern Africa; an agricultural people.

**Pygmies:** several different groups in forested regions of central Africa; one of the few peoples to continue a hunting way of life.

**Axum:** a state in the Ethiopian highlands; received influences from the Arabian peninsula; converted to Christianity.

**Ghana:** sub-Saharan state of the Soninke people; by the 9th century C.E. a major source of gold for the Mediterranean world.

**Kumbi Saleh:** capital of Ghana; divided into two adjoining cities - one for the ruler, court, and people, the other for foreign merchants, scholars, and religious leaders.

**Almoravids:** Islamic people of the Sahara; conquered Ghana in 1076.

**Mali:** the kingdom that succeeded to Ghana in the Sudan.

**Pastoral nomads:** any of the many peoples, from the steppes of Asia that herded animals; transhumant migrants.

**Celts:** early migrants into western Europe; organized into small regional kingdoms; had mixed agricultural and hunting economies.

**Germans:** peoples from beyond the northern borders of the Roman Empire; had mixed agricultural and pastoral economies; moved into the Roman Empire in the 4th and 5th centuries C.E.

**Slavs:** Indo-European peoples who ultimately dominated much of eastern Europe; formed regional kingdoms by the 5th century C.E.

**Jomon culture:** created by migrants to Japan after 3000 B.C.E.; a hunting-and-gathering people; produced distinctive pottery.
Yayoi epoch: flourished in Japan during the last centuries B.C.E.; introduced wet-rice cultivation and iron working; produced wheel-turned pottery and sophisticated bronzeware.

Shinto: religion of the early Japanese court; included the worship of numerous gods and spirits associated with the natural world. Amaterasu, the sun goddess, was a central figure.

Yamato: Japanese clan that gained increasing dominance during the 4th and 5th centuries C.E.; created an imperial cult around Shinto beliefs; brought most of the lowland plains of the southern islands under its control.

Austronesian: family of related languages found in the Philippines, Indonesia, and southeast Asia; peoples of this group migrated throughout the Pacific.

Polynesia: islands contained in a rough triangle with its points at Hawaii, New Zealand, and Easter Island.

Pahi: double canoes used for long-distance voyaging; carried a platform between canoes for passengers and cargo.

Kamehameha I: Hawaiian monarch who united the Hawaiian islands under his rule in 1810.

Mana: the sacred power, derived from their ancestry, that was gave authority to Hawaiian chiefs.

Ali`i: high chiefs of Hawaiian society who claimed descent from the gods; rested their claims on the ability to recite their lineage in great detail.

Kapu: complex set of social regulations in Hawaii which forbade certain activities and regulated social discourse.

Maoris: indigenous people of New Zealand; their ancestors migrated from the Society Islands region as early as the 8th century C.E.

Hapu: important societal subgroups among the Maori.

LECTURE SUGGESTIONS

1. Compare and contrast the developing societies of Africa, northern Europe, Japan, and Polynesia to the classical cultures of the core civilizations. The core civilizations influenced the others through the importation of agriculture (grains, domesticated animals in Africa, wet rice in Japan). The imports increased the complexity of social and political organization. Egyptian customs may have influenced some African societies. Religious influence came from the core through Christianity passing to Axum, Islam to African regions, and Buddhism to Japan. Iron metallurgy spread to Africa and Japan. The developing societies, particularly in northern Europe and Polynesia, lacked the political centralization found in classical
civilizations; they instead had tribal chiefdoms. They also lacked urbanization and writing systems.

2. Discuss whether the developing societies were dependent on the core civilizations for important social and political developments. The issue can be debated. Egypt may have influenced parts of Africa. In Japan and some African cases the influence was critical. This is less demonstrable for northern Europe and especially for Polynesia. All the developing societies retained vital aspects of their indigenous culture: Shinto religion in Japan, tribal organization in northern Europe, Polynesia, and Africa. In Polynesia, sophisticated woodworking operated in place of metallurgy.

CLASS DISCUSSION QUESTIONS

1. How did the diffusion of agriculture and iron metallurgy in Africa demonstrate relationships to core civilizations?

2. What was the scope and nature of the migrations of the Bantu-speaking peoples?

3. How did the western African state of Ghana rise to prominence?

4. What were the similarities between the Celtic, Germanic, and Slavic cultures of Europe?

5. What was the nature of the indigenous culture of Japan prior to the 5th century C.E.?

6. How did Japanese society change during the 5th and 6th centuries C.E.?

7. Discuss the similarities and differences in the cultures of Hawaii and New Zealand.

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CHAPTER 10
The End of the Classical Era: World History in Transition, 200-700 C.E.

I. Upheavals in Eastern and Southern Asia

A. Decline and Fall in Han China
   Han recover in 1st century C.E.

   Yellow Turbans
   184 C.E., revolution
   Han falls in 220

   Three kingdoms emerge

   Buddhism attractive
   attacked by Daoists
   spreads through China by 400
   modified by Chinese
   influences Daoism
   Confucianism declines

   Late 6th century
   Sui dynasty reunites China

   Tang
   succeed, 618

B. The End of the Guptas: Decline in India
   Chandragupta II
   height of Gupta dynasty
   successors maintain stability

   Huns
   invade in fifth century
   control northwest by 500
   Gupta dynasty loses power, 550

   Harsha
   later Gupta
   rules smaller state briefly

   Rajput
   follow Harsha's rule
   Buddhism displaced by Hinduism
   Devi - mother god
   Caste system stronger
Economy benefits from new links

Muslim invaders
- 7th century
- control Indian Ocean by 700

II. The Decline and Fall of the Roman Empire

A. The Causes of Roman Decline
   Decline from late 2nd century C.E.
   Challenges
   - population declining
   - army recruitment difficult
   - conquest ceases
   - source of slavery ended
   - tax revenues less
   - constitutional crises
   - plagues
   - former ruling class devoted to leisure

   Germanic peoples recruited

B. The Process of Roman Decline
   Great estates grow
   decline of small farmers

   Diocletian (284-305)
   - reorganization
   - economic control
   - increased administration

   Constantine (312-337)
   - capital at Constantinople
   - converts to Christianity

   Romulus Augustulus
   - last western Roman emperor
   - deposed, 476

C. Results of the Fall of Rome
   Mediterranean unity ended
   - three zones created

   Byzantine Empire
   - greatest continuity
North Africa, southern Mediterranean
substantial disruption
regional kingdoms
Muslim and Christian

Europe
Germanic kingdoms emerge
civilization declines
Christian unity

III. The Development and Spread of World Religions

A. Christianity and Buddhism Compared
Commonalities:
focus on spiritual
monastic movements
afterlife
Mahayana
savior of Chinese Buddhism
bodhisattvas and priests

Differences:
Christianity
hierarchy, church
missionizing
exclusive truth

B. Early Christianity
Jewish reform movement

Tenets
one loving god
Christ's sacrifice won afterlife

Paul of Tarsus
instrumental in forming Christian religion

C. Christianity Gains Ground
c. 10% of empire by 300

Constantine converts
legalizes Christianity
West
   bishops important
   church inherits secular structure

Doctrinal disputes
   Council of Nicaea, 325

Leo I
   first powerful pope

Augustine
   philosopher
   important in forming Christian theology

Monasticism
   important in preservation of learning
   Benedict of Nursia
      Benedictine Rule, 6th century
   Basil
      organizes Orthodox monasticism

D. The New Religious Map

E. In the Wake of Decline and Fall
   China
      political cohesion
   India
      culturally unified
   Roman Empire
      most affected
      least continuity

The Collapse of Classical Civilizations. The Indian Ocean carried trade between the three
great classical civilizations: Rome, India and China. It is hard to determine how much cultural
exchange was carried this way. Some cultural similarities may be no more, mere coincidences,
while others are clear borrowings.

Attila the Hun. Attila led nomadic Huns and organized a loose state reaching from China to
Germany. Attila’s kingdom did not survive his death, but its initial success demonstrated a new
decisive feature in warfare: cavalry.

Chapter Summary. Between 200 and 600 C.E., the three great classical civilizations of Rome,
Han China, and Gupta India collapsed or declined. All three suffered from invasions by nomads
who took advantage of internal imperial weaknesses. At the same time, new great religions
spread. The general collapse forms a significant break in world history. Many components of the classical achievement survived the period of decline, and new forms appeared as civilizations altered to meet changing conditions.

**Upheavals in Eastern and Southern Asia.** A major transition point for Asian civilizations occurred with the decline of the Han and Gupta, and with the nomadic invasions that followed.

**Decline and Fall in Han China.** The Han dynasty appeared to recover vitality during the 1st century C.E., but poor rulers and popular unrest fueled by landlord exploitation culminated in revolution. Daoist leaders, the Yellow Turbans, in 184 C.E. began an unstable period ending with the fall of the Han in 220. The land-owning class escaped government control. China split into three unstable kingdoms with nomadic invaders adding to the disorder. No stable dynasty emerged for 350 years. Buddhism’s spiritual solace and cultural cohesion was increasingly attractive in this unstable period. Brought from India by merchants and missionaries, Buddhism overcame Daoist attacks to spread throughout China by the 5th century C.E., a rare instance of the Chinese borrowing a major idea. In the process, Chinese cultural values, including subordination of women, were incorporated into Buddhism. Its growing influence stimulated thought among Daoists; they formalized their religion and adopted beliefs about achieving immortality through good works. Confucianism lost ground. Political revival occurred at the end of the 6th century when the Sui dynasty reunited China. The Tang dynasty succeeded the Sui in 618. During these troubled years, old values survived and China retained greater homogeneity than other civilizations.

**The End of the Guptas: Decline in India.** Chandragupta II brought the Gupta dynasty to the high point of its rule in the early 5th century C.E. For a time, his successors made India one of the most stable and peaceful world regions. Fifth-century Hun invasions reduced the decentralized empire’s cohesion. By 500, they controlled northwestern India. Gupta rule collapsed in 550. One final effort to revive the dynasty occurred when a Gupta descendant, Harsha, briefly built a loose state in the North during the first half of the 7th century. India then divided into regional dynasties ruled by princes called Rajput. Buddhism steadily declined before Hinduism. Worship of the mother goddess Devi spread widely. The caste system strengthened, assimilating invaders, and extending to southern India. The economy flourished, with new trade links opening to southern India and southeast Asia. An important threat to Indian cultural continuity came from the 7th-century expansion of Islam, as Muslim invaders entered northwest India and won converts. By the 8th century, Arab traders gained control of Indian Ocean commerce.

**The Decline and Fall of the Roman Empire.** The decline of the Roman Empire was more disruptive than that of the Han or Gupta.

**The Causes of Roman Decline.** The Roman Empire, for many reasons, was in decline from the late 2nd century C.E. A shrinking population hindered army recruiting. Disputes concerning the role of the emperor and succession were complicated by recurrent intervention of the army in political life. Tax revenues shrank. Expansion of the empire ended after 180, thus closing the sources of slave labor. Although labor policies were restructured to cope with the shift, the
economic system lost vitality. Environmental deterioration in north Africa diminished grain supplies and tax revenues. Recurring plagues further decimated the population and disrupted economic life. Germanic soldiers were increasingly recruited to defend frontiers. In the midst of these problems, Rome’s upper classes turned from political service to pleasure-seeking lives. Cultural activity, except for works by Christian writers, decayed.

**The Process of Roman Decline.** As central authority declined, farmers seeking protection clustered around large landlords. The political decentralization was most pronounced in the western empire. Political power passed to landlords and the economy contracted. Tax revenues fell, trade declined, and cities shrank in size. Some emperors tried to restore central authority. Diocletian (284–305) improved administration and tax collecting, and increased controls on the economy. Constantine (312–337) established a second capital at Constantinople and accepted Christianity. The measures did not restore vitality to the empire as a whole. The eastern half flourished, but the western did not. Attempts to regulate the economy curbed initiative and lowered production. Many overburdened peasants welcomed the changes brought by the Germanic invasions of the 5th century. The last western Roman emperor was removed in 476.

**Results of the Fall of Rome.** Rome’s collapse ended Mediterranean unity. Three zones emerged, each later producing distinct civilizations. The northeastern part of the empire continued as the vibrant, artistically creative, and commercially active Byzantine Empire, which incorporated Hellenistic and Roman patterns. A second zone, in north Africa and along the Mediterranean’s southeastern shores, suffered serious disruption. Temporary regional kingdoms emerged. Although Christianity spread, it fractured into different sects. North Africa eventually fell to Islam. In the third zone, modern Europe, the level of civilization declined. Regional Germanic kingdoms appeared. The only vital force was Christianity, but it was not able to prevent the decline of civilization.

**In Depth: The Problem of Decline and Fall.** Historians have long sought the causes of the decline or fall of great civilizations. Moral failure has often been awarded importance for Rome’s collapse, but the explanation is often stimulated by anxieties of analysts worrying about the course of their own civilization. More realistically, it appears that civilizations naturally rise and fall as part of an inevitable process influenced by the changes occurring in their societies. Moreover, decline does not mean a dead end; civilizations are often resuscitated, sometimes revitalized.

**The Development and Spread of World Religions.** The decline of the classical civilizations contributed to the growth of the three great world religions. Buddhism, Christianity, and Islam became the only religions spreading far beyond a single region. Hinduism and Daoism remained regional religions, but gained new followers.

**Christianity and Buddhism Compared.** Both religions stressed otherworldliness, produced important monastic movements, and offered the possibility of an afterlife. Chinese Buddhism, called Mahayana, emphasized Buddha as a savior god similar to Christ. Each religion accepted a role for holy men—among Buddhists called bodhisattvas—aiding believers to gain holiness. There were differences. Christianity, the heir to the legacy of Mediterranean religions and
Roman traditions, emphasized church organization, gave more value to missionary activity, and claimed possession of exclusive truth.

Early Christianity. Christianity began as a Jewish reform movement, only gradually turning to missionary activity. The Christians believed that there was a single god who loved humanity, that virtuous life should be devoted to his worship, and that Christ’s sacrifice permitted attainment of an afterlife. The message, its travels facilitated by Roman unity, satisfied unfilled spiritual needs present in the deteriorating empire. Under Paul of Tarsus, Christianity became a separate religion open to all and was more formally organized.

Christianity Gains Ground. Despite competition from Eastern mystery religions and government persecution, by the 4th century, Christianity had won over about 10 percent of the Roman Empire’s population. Emperor Constantine converted to Christianity and made it an accepted faith. Rulers intervened in church affairs, particularly in the eastern empire where government remained strong. In the disorganized West, bishops created a centralized church organization that endured when the western empire collapsed. Doctrinal controversies abounded. The Council of Nicaea (325) demonstrated the importance of unified doctrine to Christianity. Strong leaders assisted the consolidation of Christianity. Leo I clearly established the Roman papacy as the supreme religious authority in western Europe. Augustine made major contributions in formulating a theology that incorporated elements of classical philosophy. Mystics flourished, a tendency disciplined by the institution of monasticism. Benedict of Nursia created the Benedictine Rule for monks in 6th century Italy; Basil organized monasticism in the eastern empire in the 4th century. Christianity continued to appeal to all classes, especially to the poor and women. It promoted a new culture differing from that of the classical world in its beliefs in spiritual equality and otherworldly emphasis. The state was accepted, but made second to religion, where the brotherhood of all Christians prevailed. Classical values endured, including philosophical themes, architectural styles, and the Latin language in the West and Greek in the East. Monastic libraries preserved classical literature.

The New Religious Map. The rise and spread of Christianity, Buddhism, and Islam over many centuries incorporated most of the inhabitants of the civilized world. Numerous peoples in different societies left old beliefs and turned to concentration on a single divine force and a hope for an afterlife. The world religions, a new force in world history, provided beliefs that transcended political entities and facilitated international trade.

In the Wake of Decline and Fall. By 600 C.E. the major civilizations had altered in permanent ways. China maintained political cohesion; along with India it preserved much cultural cohesion. In contrast, the Roman Empire disintegrated, and successor civilizations did not restore geographical unity or a unified classical culture.

GLOBAL CONNECTIONS: The Late Classical Period and the World. Classical civilizations influenced other regions. When they started declining, contacts both accelerated and became more difficult. Commerce across Eurasia became dangerous, but ocean connections rose, especially in the Indian Ocean. Porous borders were penetrated by traders, missionaries, and nomadic invaders. Thus the end of the period experienced important cultural exchanges across regions.
KEY TERMS

Yellow Turbans: Chinese Daoists who launched a revolt in 184 C.E, promising a golden age to be brought about by divine magic.

Sui: dynasty succeeding the Han; grew from strong rulers in northern China; reunited China.

Tang: dynasty succeeding the Sui in 618 C.E.

Harsha Vardharna: descendant of the Guptas; briefly built a loose state in northern India between 616 and 657 C.E.

Rajput: regional military princes in India following the collapse of the Gupta Empire.

Devi: mother goddess within Hinduism; devotion to her spread widely after the collapse of the Gupta and encouraged new emotionalism in religious ritual.

Diocletian: Roman emperor (284-305 C.E); restored later empire by improved administration and tax collection.

Constantine: Roman emperor (321-337 C.E); established his capital at Constantinople; used Christianity to unify the empire.

Byzantine Empire: eastern half of the Roman Empire; survived until 1453; retained Mediterranean, especially Hellenistic, culture.

Mahayana: version of Buddhism popular in China; emphasized Buddha’s role as a savior.

Bodhisattvas: Buddhist holy men who refused advance toward nirvana to receive prayers of the living to help them reach holiness.

Saints: holy men and women in Christianity; their merit could be tapped by ordinary Christians.

Pope: Bishop of Rome; head of the Catholic church in western Europe.

Council of Nicaea: Christian council that met in 325 to determine the question of the trinity; demonstrated the importance of unified church doctrine.

Leo I: Roman pope (d. 461); established the papacy as the supreme religious authority in western Europe.

Augustine: North African Christian theologian; made major contributions in incorporating elements of classical philosophy into Christianity.
**Benedict of Nursia:** founder of monasticism in the former western half of the Roman Empire; established the Benedictine rule in the 6th century.

**St. Basil:** founder of monasticism in the eastern part of the Roman Empire in the 4th century.

**LECTURE SUGGESTIONS**

1. **Discuss the different reactions in the classical civilizations of China, India, and the Mediterranean to the disruptions they faced between 200 and 700 C.E.** China’s disruption was less severe; centralized rule suffered after the fall of the Han, but was recovered under the Sui and Tang. The tradition of political unity remained an essential part of Chinese political ideology. India’s disruption was more severe and permanent. Indian culture, however, was less dependent on political unification; continuity depended on a social system based on castes that were part of Hinduism. The castes absorbed invaders who became part of the Indian social system. Mediterranean civilization suffered permanent disruption. In the East, the Byzantine Empire, where Hellenistic traditions prevailed, endured until the 15th century. In north Africa, the former Roman provinces became part of the Islamic world during the 7th century. Germanic kingdoms formed in northern and western Europe; there was less cultural continuity there than elsewhere.

2. **Discuss the functions of the great religions in creating a new cultural map of the world.** Great religions grew during the period of disruption accompanying the fall of the classical civilizations. Islam, Christianity, and Buddhism extended their spheres of influence. Islam, a religion founded during the close of the classical period, spread throughout the Middle East, Africa, and India. Christianity spread through the Roman Empire and into Africa and northern Europe. Buddhism spread from India into China, Korea, and Japan. Other religions, such as Shintoism, Hinduism, and Daoism responded to the growth of the great religions by producing a greater definition of their theology and by appealing to popular emotionalism. Hinduism spread into southeast Asia.

**CLASS DISCUSSION QUESTIONS**

1. What changes do the authors think necessary for identifying a new period in world history?

2. How did political instability affect China and India?

3. What are the causes for the fall of the western Roman Empire?

4. What were the results of the fall of the western Roman Empire?

5. Compare and contrast the doctrines of Buddhism and Christianity.

6. How did the map of civilization alter as a result of cultural diffusion after the disruption of the classical empires?
7. What was the fate of the nomadic invaders who contributed to the downfall of the classical empires?

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PART II RETROSPECTIVE

The Classical Period, 1000 B.C.E. - 500 C.E.: Uniting Large Regions

Contacts and Their Limits. Unlike the period of the river valley civilizations, the classical period that followed saw the development of regular contacts from China to the Mediterranean. Both sea and land routes were commonly used. A find from Taxila, Pakistan at the Roman city of Pompeii confirmed trade between the Roman Empire and India. Aside from trade, two other influential connections existed. In the first, following Alexander the Great's conquests, important cultural exchange resulted. Greek art and Greek science influenced Indian work. Indian missionaries appear to have influenced early Christianity. Moreover, as Rome took over Alexander's empire, it also fell heir to Hellenistic contacts with the East. In the second development, China became deeply influenced by Indian Buddhism. This is particularly noteworthy as the only example of significant outside influence on China until modern times. Finally, it is important, when assessing the contacts between these civilizations, to measure the lasting effects they had. In most cases in this period, developments within civilizations far outweighed the effects of outside influence.
PART III
THE POSTCLASSICAL PERIOD, 500-1450: NEW FAITH AND NEW COMMERCE

The World Map Changes
Two developments stand out in the postclassical period: the further spread of major religions and flourishing trade networks connecting Africa, Asia and Europe. While two of the major religions were established in the previous period, they expanded greatly now. The third, Islam, was new, and spread extremely quickly. These religious developments are especially interesting because they set patterns that essentially dominate today. In the world of international commerce, the old Silk Road proved insufficient for new demands. Instead, the Indian Ocean and the Mediterranean Sea carried the increased traffic. The east-west trade now expanded to include Japan, west Africa and northwestern Europe.

Triggers for Change. Developments in the postclassical period were largely effected by the decline or end of the great empires. Religion became overwhelmingly important in an era when social, economic and political dislocation prevailed. Moreover, regions between the empires took on new roles as borders disappeared. Contacts between world areas increased as a result. Finally, expanding trade itself became a cause of change, as the tools of trade - the compass, maps and more - developed and commercial practices became more sophisticated.

The Big Changes. Contact between conflicting religions brought both intolerance and tolerance. Muslim Spain was the foremost example of the latter. Religion was itself an issue in the postclassical period. Resources were increasingly diverted to fund religious institutions. At the same time, trade networks expanded and became more systematic. Commerce in both raw and finished goods thrived. Less tangible goods also moved along the trade networks. Paper and printing made their way to the west from China. Indian mathematics also began to move west, via the Middle East.

Continuity. As always, focus on change should be balanced with due regard for continuity. Survival of traditions, and looking backward to the classical era, ensured that elements of earlier culture would survive. In the Middle East, although Islam brought changes, links with the Hellenistic past also remained vital. Also, fusion took place, for instance in the ways Buddhism absorbed traditions concerning the family in China. The postclassical period saw no major developments in social or political structures. The merchant class loomed larger, but did not affect the role of the landowner in most of the cultures studied. As a final point, many areas were not affected by international trade. In the Americas and Oceania, developments took place regionally, in relative isolation.

Impact on Daily Life: Women
The place of women in much of Afro-Asia underwent conflicting changes in this period. The religious transformations brought with them new attitudes towards women, and especially the role of women in religious life. At the same time, expanding commerce and the concomitant
urbanized world, brought with them a more ornamental role, especially for elite women. Such practices as footbinding in China and sati in India arose in this period. In many areas, patterns were established that last to this day.

**Trends and Societies in The Early Modern Period**

In Chapters 11 and 12, Islam is the focus, as it spread from the Arabian peninsula to neighboring areas. Chapter 13 moves to sub-Saharan Africa, and developments there in trade and civilization. In Europe, two regions developed, both affected by the expansion of Islam and by long-distance trade. In Chapter 14, Eastern Europe and the Byzantine Empire are the focus, while western Europe is the subject of Chapter 15. Chapters 16 and 17 describe developments in the Americas and China, and Chapter 18 focuses on Chinese influence on Japan, Korea and Vietnam. The final chapters of this section deal with the last two centuries of the postclassical period. The spread of the Mongols is the subject of Chapter 19, and Chapter 20 describes the following transitional period.
CHAPTER 11
*The First Global Civilization: The Rise and Spread of Islam*

I. Desert and Town: The Pre-Islamic Arabian World

   Bedouins
e   camel herding
   agriculture

   A. Clan Identity, Clan Rivalries and the Cycle of Vengeance
   Clans
e   grouped into tribes
   shayks
   free warriors
   rivalry

   B. Towns and Long-Distance Trade
   Entrepots
   Mecca
   Umayyad clan, Quraysh tribe
   Ka’ba

   Medina

   C. Marriage and Family in Pre-Islamic Arabia
   Women have important roles
   Polygyny, polyandry

   D. Poet and Neglected Gods
   Animism, polytheism
   Including Allah
II. The Life of Muhammad and the Genesis of Islam
Banu Hasim clan
Orphaned
Mecca
Khadijah
Revelations, 610
via Gabriel

A. Persecution, Flight and Victory
Ka’ba gods threatened
Invited to Medina, 622
*hijra*
Return to Mecca, 629

B. Arabs and Islam
*umma*

C. Universal Elements in Islam
5 Pillars
Acceptance of Islam
Prayer
Fasting during Ramadan
Payment of *zakat*
*Hajj*

II. The Arab Empire of the Umayyads
Death, 632
Succession struggle

A. Consolidation and Division in the Islamic Community
Abu Bakr

Ridda Wars

B. Motives for Arab Conquest
Conversions
Booty

C. Weaknesses of the Adversary Empires
Sasanian Empire
Zoroastrianism
Dynasty ended, 651

Byzantium
D. The Problem of Succession and the Sunni-Shi’a Split

Uthman
3rd caliph
murdered

Ali
rejected by Umayyads
Siffin, 657
loses support
assassinated, 661
son, Hasan, renounces caliphate
son, Husayn
killed, Karbala, 680

Sunni – Umayyads
Shi’a – Ali’s descendants

Mu’awiyah
Caliph, 660

E. The Umayyad Imperium

Push west
stopped at Poitier, 732
retain Iberia

F. Converts and “People of the Book”
malawí, converts

Dhimmi, people of the book
Jews, Christians
later Zoroastrians and Hindus

G. Family and Gender Roles in the Umayyad Age
Islamic ideas prevail at first

H. Umayyad Decline and Fall
Revolts
Merv
Abassid revolt

750, Umayyads defeated by Abassids
III. From Arab to Islamic Empire: The Early Abassid Era

Sunni rule
repress Shi’a

Baghdad
New capital

A. Islamic Conversion and Mawali Acceptance

B. Town and Country: Commercial Boom and Agrarian Expansion
Urban expansion
Ayan

C. The First Flowering of Islamic Learning
Building
Mosques, palaces

The Spread of Islam. The spread of Islam out of the Arabian peninsula is one of the most remarkable stories in history. Within two decades, the Muslim Arabs had taken territory from the Byzantine and Sasanian empires, advancing into Africa. Significantly, they tended to respect, rather than destroy, the cultures they encountered. Moreover, they absorbed and built upon the traditions and knowledge of the peoples they conquered. From the 7th to the 17th centuries, Islam was the conveyor of goods and ideas between the Mediterranean and the Eastern Hemisphere. This role, shared by other peoples of the Middle East, became central to Euro-Asian culture and commerce.

Chapter Summary. In the 7th century C.E., the Arab followers of Muhammad surged from the Arabian peninsula to create the first global civilization. They quickly conquered an empire, incorporating elements of the classical civilizations of Greece, Egypt, and Persia. Islamic merchants, mystics, and warriors continued its expansion in Europe, Asia, and Africa. The process provided links for exchange among civilized centers and forged a truly global civilization. Muslim scientific and philosophical works written in Arabic made it an international language.

Desert and Town: The Pre-Islamic Arabian World. The inhospitable Arabian peninsula was inhabited by bedouin societies. Some desert-dwellers herded camels and goats. Others practiced agriculture in oasis towns. Important agricultural and commercial centers flourished in southern coastal regions. The towns were extensions of bedouin society, sharing its culture, and ruled by its clans.

Clan Identity, Clan Rivalries, and the Cycle of Vengeance. Mobile kin-related clans were the basis of social organization. The clans clustered into larger tribal units that functioned only during crises. In the harsh environment, individual survival depended upon clan loyalty. Wealth and status varied within clans. Leaders, or shaykhs, although elected by councils, were usually wealthy men. Free warriors enforced their decisions. Slave families served the leaders
or the clan as a whole. Clan cohesion was reinforced by interclan rivalry and by conflicts over water and pasturage. The resulting enmity might inaugurate feuds enduring for centuries. The strife divided bedouin society, making it vulnerable to rivals.

**Towns and Long-Distance Trade.** Cities had developed as entrepots in the trading system linking the Mediterranean to east Asia. The most important, Mecca, in western Arabia, had been founded by the Umayyad clan of the Quraysh tribe. The city was the site of the Ka’ba, an important religious shrine, that attracted pilgrims and visitors, during an obligatory annual truce in interclan feuds. A second important town, Medina, an agricultural oasis and commercial center, lay to the northeast. Quarrels among Medina’s two bedouin and three Jewish clans hampered its development and later opened a place for Muhammad.

**Marriage and Family in Pre-Islamic Arabia.** Women may have enjoyed more freedom than in the Byzantine and Sasanian empires. They had key economic roles in clan life. Descent was traced through the female line, and males paid a bride-price to the wife’s family. Women did not wear veils and were not secluded. Both sexes had multiple marriage partners. Still, males, carrying on the honored warrior tradition, remained superior. Traditional practices of property control, inheritance, and divorce favored men. Women commonly did drudge labor. Female status was even more restricted in urban centers.

**Poets and Neglected Gods.** Arab material culture, because of isolation and the environment, was not highly developed. The main focus of creativity was in orally transmitted poetry. Bedouin religion was a blend of animism and polytheism. Some tribes recognized a supreme deity, Allah, but focused instead on spirits associated with nature. Religion and ethics were not connected. In all, the bedouin did not take their religion seriously.

**The Life of Muhammad and the Genesis of Islam.** In the 6th century C.E., camel nomads dominated Arabia. Cities were dependent upon alliances with surrounding tribes. Pressures for change came from the Byzantine and Sasanian empires, and from the presence of Judaism and Christianity. Muhammad, a member of the Banu Hasim clan of the Quraysh, was born about 570 C.E. Left an orphan, he was raised by his father’s family and became a merchant. Muhammad resided in Mecca, where he married a wealthy widow, Khadijah. Merchant travels allowed Muhammad to observe the forces undermining clan unity and to encounter monotheistic ideas. Muhammad became dissatisfied with a life focused on material gain and went to meditate in the hills. In 610 he began receiving revelations transmitted from god via the angel Gabriel. Later, written in Arabic and collected in the Qur’an, they formed the basis for Islam.

**Persecution, Flight, and Victory.** As Muhammad’s initially very small following grew, he was seen as a threat by Mecca’s rulers. The new faith endangered the gods of the Ka’ba. With his life in danger, Muhammad was invited to come to Medina to mediate its clan quarrels. In 622 Muhammad left Mecca for Medina; the flight, the hijra, became the first year of the Islamic calendar. In Medina, his skilled leadership brought new followers. Hostilities between Mecca and Medina ended with Muhammad’s triumph. A treaty of 628 with the Quraysh allowed his followers the permission to visit the Ka’ba. Muhammad returned to Mecca in 629 and converted most of its inhabitants to Islam.
Arabs and Islam. The new religion initially was adopted by town dwellers and bedouins in the region where Muhammad lived. But Islam offered opportunities for uniting Arabs by providing a distinct indigenous monotheism supplanting clan divisions and allowing an end to clan feuding. The umma, the community of the faithful, transcended old tribal boundaries. Islam also offered an ethical system capable of healing social rifts within Arabian society. All believers were equal before Allah; the strong and wealthy were responsible for the care of the weak and poor. The prophet’s teachings and the Qur’an became the basis for laws regulating the Muslim faithful. All faced a last judgment by a stern but compassionate god.

Universal Elements in Islam. Islam by nature contained beliefs appealing to individuals in many cultures: monotheism, legal codes, egalitarianism, and strong sense of community. Islam, while regarding Muhammad’s message as the culmination of divine revelation, accepted the validity of similar components previously incorporated in Judaism and Christianity. Islam’s five pillars provide a basis for underlying unity: (1) acceptance of Islam; (2) prayer five times daily; (3) fasting during the month of Ramadan; (4) payment of a tithe (zakat) for charity; and (5) the hajj, or pilgrimage to Mecca.

The Arab Empire of the Umayyads. Muhammad’s defeat of Mecca had won the allegiance of many bedouin tribes, but the unity was threatened when he died in 632. Tribes broke away and his followers quarreled about the succession. The community managed to select new leaders who reunited Islam by 633, and then began campaigns beyond Arabia. Arab religious zeal and the weaknesses of opponents resulted in victories in Mesopotamia, north Africa, and Persia. The new empire was governed by a warrior elite under the Umayyads and other clans; they had little interest in conversion.

Consolidation and Division in the Islamic Community. Muhammad was the last of the prophets. No successor could claim his attributes, nor had he established a procedure for selecting a new leader. After a troubled process, Abu Bakr was chosen as caliph, the leader of the Islamic community. Break-away tribes and rival prophets were defeated during the Ridda wars to restore Islamic unity. Arab armies invaded the weak Byzantine and Persian empires, where they were joined by bedouins who had migrated earlier.

Motives for Arab Conquest. Islam provided the Arabs with a sense of common cause and a way of releasing martial energies against neighboring opponents. The rich booty and tribute gained often was more of a motivation than spreading Islam since converts were exempt from taxes and shared the spoils of victory.

Weaknesses of the Adversary Empires. The weak Sasanian Empire was ruled by an emperor manipulated by a landed, aristocratic class that exploited the agricultural masses. Official Zoroastrianism lacked popular roots and the more popular creed of Mazdak had been brutally suppressed. The Arabs defeated the poorly-prepared Sasanian military and ended the dynasty in 651. The Byzantines were more resilient adversaries. The empire had been weakened by the defection of frontier Arabs and persecuted Christian sects, and by long wars with the Sasanians. The Arabs quickly seized western Iraq, Syria, Palestine, and Egypt. From the 640s, Arabs had gained naval supremacy in the eastern Mediterranean and extended conquests westward into
north Africa and southern Europe. The weakened Byzantines held off attacks in their core Asia Minor and Balkan territories.

**The Problem of Succession and the Sunni-Shi’a Split.** Arab victories for a time covered old tribal internal divisions. The murder of Uthman, the third caliph, caused a succession struggle. Muhammad’s earliest followers supported Ali, but he was rejected by the Umayyads. In the ensuing hostilities, Ali won the advantage, until at Siffin in 657, he accepted a plea for mediation. Ali then lost the support of his most radical adherents, and the Umayyads won the renewed hostilities. The Umayyad leader, Mu’awiya, was proclaimed caliph in 660. Ali was assassinated in 661 and his son, Hasan, renounced claims to the caliphate. Ali’s second son, Husayn, was killed at Karbala in 680. The dispute left permanent divisions within Islam. The Sunnis backed the Umayyads, while the Shi’a upheld the rights of Ali’s descendants to be caliphs.

**The Umayyad Imperium.** With internal disputes resolved, Muslims during the 7th and 8th centuries pushed forward into central Asia, northwest India, north Africa, and southwestern Europe. The Franks checked the advance north into Europe at Poitiers in 732, but Muslims retained Iberia for centuries. By the 9th century, they dominated the Mediterranean. The Umayyad political capital was at Damascus. The caliphs built an imperial administration with both bureaucracy and military dominated by a Muslim-Arab elite. The warriors remained concentrated in garrison towns to prevent assimilation by the conquered.

**Converts and “People of the Book.”** Umayyad policy did not prevent interaction—intermarriage and conversion—between Arabs and their subjects. Muslim converts, malawi, still paid taxes and did not receive a share of booty; they were blocked from important positions in the army or bureaucracy. Most of the conquered peoples were dhimmis, or “people of the book.” The first were Jews and Christians; later the term also included Zoroastrians and Hindus. The dhimmis had to pay taxes, but were allowed to retain their own religious and social organization.

**Family and Gender Roles in the Umayyad Age.** Gender relationships altered as the Muslim community expanded. Initially, the more favorable status of women among the Arabs prevailed over the seclusion and male domination common in the Middle East. Muhammad and the Qur’an stressed the moral and ethical dimensions of marriage. The adultery of both partners was denounced; female infanticide was forbidden. Although women could have only one husband, men were allowed four wives, but all had to be treated equally. Muhammad strengthened women’s legal rights in inheritance and divorce. Both sexes were equal before Allah.

**Umayyad Decline and Fall.** The spoils of victory brought luxurious living styles and decline of military talents to the Umayyads. Many Muslims considered such conduct a retreat from Islamic virtues, and revolts occurred throughout the empire. The most important occurred in the mid-8th century among frontier warriors settled near the Iranian borderland town of Merv. Many men had married locally and developed regional loyalties. Angry at not receiving adequate shares of booty, they revolted when new troops were introduced. The rebels were led
by the Abbasid clan. Allied with Shi’a and mawali, Abu al-Abbas defeated the Umayyads in 750, later assassinating most of their clan leaders.

**In Depth: Civilization and Gender Relationships.** The strong position women had gained eroded within a century after Muhammad’s death. The beliefs and practices of the conquered Middle East increasingly influenced Islam. As in other regions, civilizations strengthened male dominance. Upper-class women in particular suffered. Although female slaves and servants were at the mercy of their masters, their lives were not as restricted as the upper class. Islamic law nonetheless was more favorable to women than the systems of India and China.

**From Arab to Islamic Empire: The Early Abbasid Era.** The triumph of the new dynasty reflected a series of fundamental changes within the Islamic world. The increased size of Muslim civilization brought growing regional identities and made it difficult to hold the empire together. The Abbasid victory led to increased bureaucratic expansion, absolutism, and luxurious living. The Abbasids championed conversion and transformed the character of the previous Arab-dominated Islamic community. Once in power, the Abbasids turned against the Shi’a and other allies to support a less tolerant Sunni Islam. At their new capital, Baghdad, the rulers accepted Persian ruling concepts, elevating themselves to a different status than the earlier Muslim leaders. A growing bureaucracy worked under the direction of the wazir, or chief administrator. The great extent of the empire hindered efficiency, but the regime worked well for more than a century. The constant presence of the royal executioner symbolized the absolute power of the rulers over their subjects.

**Islamic Conversion and Mawali Acceptance.** Under the Abbasids, new converts, both Arabs and others, were fully integrated into the Muslim community. The old distinction between mawali and older believers disappeared. Most conversions occurred peacefully. Many individuals sincerely accepted appealing ethical Islamic beliefs. Others perhaps reacted to the advantages of avoiding special taxes, and to the opportunities for advancement open to believers in education, administration, and commerce. Persians, for example, soon became the real source of power in the imperial system.

**Town and Country: Commercial Boom and Agrarian Expansion.** The rise of the mawali was accompanied by the growth in wealth and status of merchant and landlord classes. Urban expansion was linked to a revival of an Afro-Eurasian trading network in decline since the fall of the Han and Roman empires. Muslim merchants moved goods from the western Mediterranean to the South China Sea. The resulting profits stimulated urban development. Mosques, schools, baths, rest houses, and hospitals served the public. Handicraft production increased in both government and private workshops. The most skilled artisans formed guild-like organizations to negotiate wages and working conditions, and to provide support services. Slaves performed unskilled labor and served caliphs and high officials. Some slaves held powerful positions and gained freedom, but unskilled slaves, many of them Africans, frequently worked under terrible conditions. A rural, landed elite, the ayan, emerged. The majority of peasants occupied land as tenants and had to give most of their harvest to the owners.
The First Flowering of Islamic Learning. The Arabs before Islam were without writing and knew little of the outside world. They were very receptive to the accomplishments of the many civilizations falling to Muslim armies. Under the Abbasids, Islamic creativity first appeared in mosque and palace construction. Islamic learning flourished in religious, legal, and philosophical discourse, with special focus on the sciences and mathematics. Scholars recovered and preserved the works of earlier civilizations. Greek writings were saved and later passed on to the Christian world. Muslims also introduced Indian numbers into the Mediterranean world.

GLOBAL CONNECTIONS: Early Islam and the World. The quick flourishing of Islamic civilization was without precedent in world history. The nomadic Arabs had created one of the great empires of the preindustrial era. They established a basis for the first global civilization, blending an unprecedented mix of linguistic and ethnic groups into one culture. Islam, incorporating Jewish and Christian precedents, became one of the great universal religions. Arab and Muslim commercial enterprise joined Asia, Europe, and Africa. At first relying on Greek and Mesopotamian achievements, Muslims later fashioned their own innovative thinking, which influenced other societies. Muhammad and his successors introduced an age of unparalleled nomadic intervention into world history.

KEY TERMS

Bedouin: nomadic pastoralists of the Arabian peninsula with a culture based on herding camels and goats.

Shaykhs: leaders of tribes and clans within bedouin society; usually possessed large herds, several wives, and many children.

Mecca: Arabian commercial center; dominated by the Quraysh; the home of Muhammad and the future center of Islam.

Medina: town northeast of Mecca; asked Muhammad to resolve its intergroup differences; Muhammad’s flight to Medina, the hijra, in 622 began the Muslim calendar.

Umayyad: clan of the Quraysh that dominated Mecca; later an Islamic dynasty.

Muhammad: (570-632); prophet of Allah; originally a merchant of the Quraysh.

Khadijah: the wife of Muhammad.

Ka’ba: revered pre-Islamic shrine in Mecca; incorporated into Muslim worship.
**Qur’an:** the word of god as revealed through Muhammad; made into the holy book of Islam.

**Umma:** community of the faithful within Islam.

**Zakat:** tax for charity obligatory for all Muslims.

**Five pillars:** the obligatory religious duties for all Muslims: confession of faith, prayer, fasting during Ramadan, zakat, and *hajj* (pilgrimage to Mecca).

**Caliph:** the successor to Muhammad as head of the Islamic community.

**Ali:** cousin and son-in-law of Muhammad; one of the orthodox caliphs; focus for the development of shi’ism.

**Abu Bakr:** succeeded Muhammad as the first caliph.

**Ridda:** wars following Muhammad’s death; the defeat of rival prophets and opponents restored the unity of Islam.

**Jihad:** Islamic holy war.

**Uthman:** third caliph; his assassination set off a civil war within Islam between the Umayyads and Ali.

**Siffin:** battle fought in 657 between Ali and the Umayyads; led to negotiations that fragmented Ali’s party.

**Mu’awiya:** first Umayyad caliph; his capital was Damascus.

**Copts, Nestorians:** Christian sects of Syria and Egypt; gave their support to the Arabic Muslims.

**Sunnis:** followers of the majority interpretation within Islam; included the Umayyads.

**Shi’a:** followers of Ali’s interpretation of Islam.

**Karbala:** site of the defeat and death of Husayn, the son of Ali.

**Mawali:** non-Arab converts to Islam.

**Jizya:** head tax paid by all non-Muslims in Islamic lands.
Dhimmis: “the people of the book,” Jews, Christians; later extended to Zoroastrians and Hindus.

Abbasids: dynasty that succeeded the Umayyads in 750; their capital was at Baghdad.

Hadiths: "traditions" of the prophet Muhammad; added to the Qur'an, form the essential writings of Islam.

Battle of the River Zab: 750; Abbasid victory over the Umayyads, near the Tigris. Led to Abbasid ascendancy.

Baghdad: Abbasid capital, close to the old Persian capital of Ctesiphon.

Wazir: chief administrative official under the Abbasids.

Dhows: Arab sailing vessels; equipped with lateen sails; used by Arab merchants.

Ayan: the wealthy landed elite that emerged under the Abbasids.

LECTURE SUGGESTIONS

1. Discuss how a nomadic pastoral society produced a religion capable of achieving global dominance. Arabia before Islam was the home of a typical pastoral nomadic society; the region lacked true urbanization, occupational specialization, and the degree of social stratification usually found in civilizations that allowed the maintenance of specialized bureaucracies. Also missing were industries associated with civilization, a rich material culture, and a writing system. Islam allowed the bedouin to overcome the problems of tribalism and to unify into a religio-political system that transcended clan and tribal limits. Islamic warriors then were able to overcome their civilized, but weak, neighbors. After conquest, the Muslims incorporated influences from civilizations: bureaucracies, urbanization, social stratification, occupational specialization. Unity came from religious beliefs, a single law code, and an evolving distinctive Islamic culture.

2. Discuss why the disputes over authority after the death of Muhammad served to hinder future Muslim unity. Muhammad did not leave a principle for succession within Islam; he was the final prophet. Successors to lead the Muslim community first were elected by the umma. Ali contested the system by advocating descent from Muhammad; this became the focal point of Shi’ism. Ali’s opposition caused civil war, and Umayyad success led to their founding of a dynasty. The Shi’a never accepted defeat; descendants of Muhammad were always present to contest rule over Muslims. A fundamental division remained between the Sunni and Shi’a divisions of Islam.
CLASS DISCUSSION QUESTIONS

1. What was the nature of bedouin society before Muhammad received his revelations?

2. How did Islam address the fundamental problems in Arabian society?

3. How was the succession dispute over the office of caliph finally settled?

4. What was the nature and extent of the Umayyad Empire?

5. What events led to the fall of the Umayyads?

6. How did the Abbasid Empire differ from the Umayyad Empire?

7. What were the achievements of the Arab phase of Islamic development ending in 750?

8. Did women in the Islamic world have more or less freedom than women in other contemporary societies?

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CHAPTER 12
_Abbasid Decline and the Spread of Islamic Civilization to South and Southeast Asia_

I. The Islamic Heartlands in the Middle and Late Abbasid Eras
   Abbasid empire weakened, 9th-13th centuries
   peasant revolts

   Al-Mahdi (775-785)
   Shi'a unreconciled
   succession not secure

   A. Imperial Extravagance and Succession Disputes
      Harun al-Rashid
      son of al-Mahdi
      _The Thousand and One Nights_
      Barmicides
      Persian advisors
      death followed by civil war

      al-Ma'mun

   B. Imperial Breakdown and Agrarian Disorder
      Civil unrest
      Caliphs build lavishly
      tax burden increases
      agriculture suffers

   C. The Declining Position of Women in the Family and Society
      Seclusion, veil
      Polygyny

   D. Nomadic Incursions and the Eclipse of Caliphal Power
      Former provinces threaten Abbasids
      Buyids, Persia
      take Baghdad, 945
      Sultans

      Seljuk Turks
      1055, defeat Buyids
      Sunnis
      Shi'a purges
      defeat Byzantines, Egypt

   E. The Impact of the Christian Crusades
      1096, Western European Christian knights
small kingdoms established

Saladin retakes lands
last in 1291

II. An Age of Learning and Artistic Refinements
Urban growth
Merchants thrive

A. The Full Flowering of Persian Literature
Persian the court language
administration, literature
Arabic in religion, law, sciences

Calligraphy

Firdawsi
\textit{Shah-Nama}
epic poem

Sa'di

Omar Kayyan
\textit{Rubaiyat}

B. Achievements in the Sciences
Math
build on Greek work

Chemistry
experiments

Al-Razi

Al-Biruni
specific weights

Medicine
hospitals
courses of study

C. Religious Trends and the New Push for Expansion
Sufis
mysticism

\textit{Ulama}
conservative
against outside influence
Greek philosophy rejected
Qur'an sufficient

Al-Ghazali
synthesis of Greek, Qur'anic ideas
opposed by orthodoxy

D. New Waves of Nomadic Invasions and the End of the Caliphate
Mongols
Chinggis Khan

Hulegu
1258, Baghdad falls
last Abbasid killed

III. The Coming of Islam to South Asia
By 1200, Muslims rule much of north, central
Conflict between two different systems
Hindu religion v. Muslim monotheism
Muslim egalitarianism v. Indian caste system

A. Political Divisions and the First Muslim Invasions
First Muslims as traders, 8th century
attacks lead to invasion

Muhammad ibn Qasim
Umayyad general
takes Sind, Indus valleys
Indians treated as dhimmi

B. Indian Influences on Islamic Civilization
Science, math, medicine, music, astronomy
India influences Arab

C. From Booty to Empire: The Second Wave of Muslim Invasions
10th century, Turkish dynasty established in Afghanistan
Mahmud of Ghazni
begins invasion of India
Muhammad of Ghur
Persian
state in Indus valley
thence to Bengal
his lieutenant, Qutb-ud-Din Aibak
forms state at Delhi
Delhi sultanate rules for 300 years

D. Patterns of Conversion
Converts especially among Buddhists, lower castes, untouchables
also conversion to escape taxes

Muslims fleeing Mongols, 13th, 14th centuries

E. Patterns of Accommodation
High-caste Hindus remain apart
Muslims also often fail to integrate

F. Islamic Challenge and Hindu Revival
*Bhakti*
devotional cults
emotional approach
caste distinctions dissolved
Shiva, Vishnu, Kali especially

Mira Bai, Kabir,
songs in regional languages

G. Stand-off: The Muslim Presence in India at the End of the Sultanate Period
Brahmins v. ulama
> separate communities

IV. The Spread of Islam to Southeast Asia
Shrivijaya

A. Trading Contacts and Conversion
Trading leads to peaceful conversion
Sufis important
starting with Sumatran ports

Malacca
thence to Malaya, Sumatra, Demak (Java)

Coastal cities especially receptive
Buddhist elites, but population converts to Islam
Dhows and Islam. The dhows that sailed the Red Sea and Persian Gulf were key to the spread of Islam in the millennium following the death of Muhammad. These sailing vessels, with one or two masts and wooden hulls, were simple in design. Their lateen sails allowed them to sail against the wind, although seasonal changes in wind direction were used most often. They carried not only merchandise, but also Muslim holy men. This additional freight goes a long way to explaining the spread of Islam as far as the Philippines. The expansion of Islam and the growth of Muslim empires were affected in two ways. While Islam was spread through Sufis, via sea routes or land caravans into Asia and the Sahara, the empires grew through conquest. The former resulted in a broader impact, including changes in language, technology, law, and art. The role of the dhows was finally curtailed in the 15th century, with the advent of expansionist Christian states.

Chapter Summary. By the mid-9th century, the Abbasids were losing control over their vast Muslim empire. Despite the political decline, Islamic civilization reached new cultural heights, and Islam expanded widely in the Afro-Asian world through conquest and peaceful conversion. The extensive Islamic world stimulated the exchange of ideas and commodities among its peoples and neighbors.

The Islamic Heartlands in the Middle and Late Abbasid Eras. The Abbasid Empire disintegrated between the 9th and 13th centuries. Peasant revolts and slavery increased, and the position of women eroded. Signs of decline were present during the reign of Caliph al-Mahdi (775-785). He failed to reconcile moderate Shi’a to Abbasid rule. Moreover, Al-Mahdi abandoned the frugal ways of his predecessor and surrounded his court with luxury. He failed to establish a succession system resolving disputes among his many sons, leaving a lasting problem for future rulers.

Imperial Extravagance and Succession Disputes. One son, Harun al-Rashid, became one of the most famous Abbasid caliphs. The luxury and intrigues of his court were immortalized in The Thousand and One Nights. The young ruler became dependent on Persian advisors, a trend followed during later reigns as rulers became pawns in factional court struggles. Al-Rashid’s death led to the first of many civil wars over the succession. The sons of the winner, al-Ma’mun, built personal retainer armies, some including Turkic-speaking nomads, to safeguard their futures. The armies became power centers, removing and selecting caliphs; their uncontrolled excesses developed into a general focus for societal unrest.

Imperial Breakdown and Agrarian Disorder. The continual civil violence drained the imperial treasury and alienated subjects. Caliphs increased the strain by constructing costly new imperial centers. Imposing tax burdens, often collected by oppressive tax farmers, were forced upon peasants. Agricultural villages were abandoned and irrigation works fell into disrepair. Bandits and vagabonds were everywhere; they participated in peasant rebellions often instigated by dissident religious groups.

The Declining Position of Women in the Family and Society. The freedom and influence possessed during the 1st centuries of Islam severely declined. Male-dominated Abbasid society imagined that women possessed incurable lust, and therefore needed to be segregated. The harem and the veil symbolized subjugation to males. The seclusion of elite women, wives and
concubines, continued, and the practice of veiling spread to all. Abbasid wealth generated large
demand for concubines and male slaves. Most came from non-Muslim neighboring lands. Poor
women remained economically active, but the rich were kept at home. They married at puberty
and spent their lives in domestic management and childbearing. At higher political levels,
women intrigued to advance their sons’ careers.

**Nomadic Incursions and the Eclipse of Caliphal Power.** By the mid-10th century,
breakaway former provinces began to challenge Abbasid rule. The Buyids of Persia captured
Baghdad in 945. The caliphs henceforth became powerless puppets controlled by sultans, the
actual rulers. The Seljuk Turks defeated the Buyids in 1055 and ruled the remnants of the
Abbasid Empire for two centuries. The Seljuks were staunch Sunnis who purged the Shi’a. For
a time, Seljuk military power restored the diminished caliphate. Egyptians and Byzantines were
defeated, the latter success opening Anatolia, the nucleus of the later Ottoman Empire, to
settlement by Turkic nomads.

**The Impact of the Christian Crusades.** West European Christian knights in 1096 invaded
Muslim territory to capture the biblical Holy Land. They established small, rival kingdoms that
were not a threat to the more powerful surrounding Muslim leaders. Most were recaptured near
the close of the 12th century by Muslims reunited under Saladin. The last fell in 1291. The
Crusades had an important impact upon the Christian world through intensifying the existing
European borrowing from the more sophisticated technology, architecture, medicine,
mathematics, science, and general culture of Muslim civilization. Europeans recovered much
Greek learning lost after the fall of Rome. Italian merchants remained in Islamic centers after
the crusader defeat and were far more important carriers of Islamic advanced knowledge than
the Christian warriors. Muslim peoples were less interested in aspects of European civilization.

**An Age of Learning and Artistic Refinements.** The political and social turmoil of
late Abbasid times did not prevent Muslim thinkers and craftsmen, in states from Spain to
Persia, from producing one of the great ages of human creativity. Rapid urban growth and its
associated prosperity persisted until late in the Abbasid era. Employment opportunities for
skilled individuals remained abundant. Merchants amassed large fortunes through supplying
urban needs and from long-distance trade to India, southeast Asia, China, north Africa, and
Europe. Artists and artisans created mosques, palaces, tapestries, rugs, bronzes, and ceramics.

**The Full Flowering of Persian Literature.** Persian replaced Arabic as the primary written
language of the Abbasid court. Arabic was the language of religion, law, and the natural
sciences; Persian became the language of “high culture,” used for literary expression,
administration, and scholarship. The development of a beautiful calligraphy made literature a
visual art form. Perhaps the greatest work was Firdawsi’s epic poem, *Shah-Nama*, a history of
Persia from creation to Islamic conquest. Other writers, such as the great poet Sa’di and Omar
Khayyam in the *Rubaiyat*, blended mystical and commonplace themes in their work.

**Achievements in the Sciences.** Muslim society, for several centuries, surpassed all others in
scientific and technological discoveries. In mathematics, thinkers made major corrections in the
theories learned from the ancient Greeks. In chemistry, they created the objective experiment.
Al-Razi classified all material substances into three categories: animal, vegetable, and mineral.
Al-Biruni calculated the exact specific weight of 18 major minerals. Sophisticated, improved, astronomical instruments were used for mapping the heavens. Much of the Muslim achievement had practical application. In medicine, improved hospitals and formal courses of studies accompanied important experimental work. Traders and craftsmen introduced machines and techniques originating in China for papermaking, silk weaving, and ceramic firing. Scholars made some of the world’s best maps.

**Religious Trends and the New Push for Expansion.** The conflicting social and political trends showed in divergent patterns of religious development. Sufis developed vibrant mysticism, but ulama (religious scholars) became more conservative and suspicious of non-Muslim influences and scientific thought. They were suspicious of Greek rationalism and insisted that the Qur’an was the all-embracing source of knowledge. The great theologian al-Ghazali struggled to fuse Greek and Qur’anic traditions, but often was opposed by orthodox scholars. The Sufis created the most innovative religious movement. They reacted against the arid teachings of the ulama and sought personal union with Allah through asceticism, meditation, songs, dancing, or drugs. Many Sufis gained reputations as healers and miracle workers; others made the movement a central factor in the continuing expansion of Islam.

**New Waves of Nomadic Invasions and the End of the Caliphate.** In the early 13th century, central Asian nomadic invaders, the Mongols, threatened Islamic lands. Chinggis Khan destroyed the Turkic-Persian kingdoms east of Baghdad. His grandson, Hulegu, continued the assault. The last Abbasid ruler was killed when Baghdad fell in 1258. The once-great Abbasid capital became an unimportant backwater in the Muslim world.

**The Coming of Islam to South Asia.** Muslim invasions from the 7th century added to the complexity of Indian civilization; by the 13th century Muslim dynasties ruled much of north and central India. Formerly, previous nomadic invaders had blended over time into India’s sophisticated civilization. Muslims, possessors of an equally sophisticated, but very different culture, were different. The open, tolerant, and inclusive Hindu religion was based in a social system dominated by castes; Islam was doctrinaire, monotheistic, evangelical, and egalitarian. Conflict predominated in the earlier period of contact, but as time passed, although tensions persisted, peaceful commercial and religious exchange occurred in a society where Muslim rulers governed Hindu subjects.

**Political Divisions and the First Muslim Invasions.** Muslims first came to India during the early 8th century as peaceful traders. Attacks on the merchants caused Umayyad general Muhammad ibn Qasim to conquer and annex Sind and the Indus valley. Many Indians, treated as “people of the book,” welcomed the new rulers because they offered religious tolerance and lighter taxes. Most indigenous officials retained their positions, while brahmin castes were respected. Only a few Arabs resided in cities or garrison towns, and minimal conversion efforts did not change existing religious beliefs.

**Indian Influences on Islamic Civilization.** Although Islam’s impact in India was minimal, Islamic civilization was enriched by Indian culture. Indian achievements in science, mathematics, medicine, music, and astronomy passed to the Arabs. Indian numerals were accepted, later to pass to Europe as “Arabic” numerals. Colonies of Arabs settled among
Indians, adopted local customs, and provided staging points for later Islamic expansion to island and mainland southeast India.

**From Booty to Empire: The Second Wave of Muslim Invasions.** After the initial Muslim conquests, internal divisions weakened Muslim rule and allowed limited Hindu reconquest. In the 10th century, a Turkish dynasty gained power in Afghanistan. Its third ruler, Mahmud of Ghazni, began two centuries of incursions into northern India. In the 12th century, the Persian Muhammad of Ghur created an extensive state in the Indus valley and north-central India. Later campaigns extended it along the plains of the Ganges to Bengal. A lieutenant to Muhammad, Qutb-ud-Din Aibak, later formed a new state, with its capital at Delhi on the Ganges plain. The succeeding dynasties, the sultans of Delhi, ruled much of north-central India for the next 300 years.

**Patterns of Conversion.** Although Muslims came as conquerors, early interaction with Indians was dominated by peaceful exchanges. The main carriers of Islam were traders and Sufi mystics, the latter drawing followers because of similarities to Indian holy men. Their mosques and schools became centers of regional political power, providing protection to local populations. Buddhists, low-caste and untouchable Hindus, and animist peoples were the most numerous converts. Muslim raids on Buddhist temples and a spiritual decline that had debased Buddhist practices turned interest to the vigorous new religion of Islam. Others converted to escape taxes or through intermarriage. Muslim migrants fleeing 13th- and 14th-century Mongol incursions also increased the Islamic community.

**Patterns of Accommodation.** In most regions, Islam initially had little impact on the general Hindu community. High-caste Hindus did not accept the invaders as their equals. Although serving as administrators or soldiers, they remained socially aloof, living in separate quarters and not intermarrying. Hindus thought the Muslims would be absorbed by Hindu society, as had earlier invaders. Muslim communities did adopt many Indian ways; they accepted Hindu social hierarchies, foods, and attitudes toward women.

**Islamic Challenge and Hindu Revival.** Muslims, despite Indian influences, held to the tenets of Islam. The Hindu response led to an increased emphasis on devotional cults of gods and goddesses (*bhakti*). The cults, open to men, women, and castes, stressed the importance of strong emotional bonds to the gods. Mira Bai, a low-caste woman, and Kabir, a Muslim weaver, composed songs and poems in regional languages accessible to common people. Reaching a state of ecstatic unity brought removal of all past sins and rendered caste distinctions meaningless. Shiva, Vishnu, and the goddess Kali were the most revered gods. The movement helped to stem conversion to Islam, especially among low-caste groups.

**Stand-off: The Muslim Presence in India at the End of the Sultanate Period.** Similarities in style and message between Sufis and bhaktic devotees led to attempts to bridge the gaps between Islam and Hinduism. The orthodoxy of each faith repudiated such thought. Brahmins denounced Muslims as temple destroyers, and worked for reconversion to Hinduism. Muslim ulama stressed the incompatibility of Islam’s principles with Hindu beliefs. By the close of the sultanate period, there were two distinct religious communities. The great majority of the
population remained Hindu. South Asia remained the least converted and integrated of all areas receiving the message of Islam.

**The Spread of Islam to Southeast Asia.** Southeast Asia had been a middle ground where the Chinese part of the Eurasian trading complex met the Indian Ocean zone. By the 7th and 8th centuries, southeast Asian sailors and ships, especially from Malaya and Sumatra, were active in trade. When Muslims gained control of Indian commerce in the 8th century, Islamic culture reached Southeast Asia. The 13th century collapse of the trading empire of Shrivijaya, ruled by devout Buddhists, made possible large-scale, peaceful, Muslim entry.

**Trading Contacts and Conversion.** Peaceful contacts and voluntary conversion were more important to the spread of Islam than conquest and force. Trading contacts prepared the way for conversion, with the process carried forward by Sufis. The first conversions occurred in small northern Sumatran ports. On the mainland, the key to the spread of Islam was the city of Malacca, the smaller successor to Shrivijaya. From Malacca, Islam went to Malaya, Sumatra, and the state of Demak on Java’s north coast. Islam spread into Java and moved on to the Celebes and to Mindanao in the Philippines. Coastal cities were the most receptive to Islam. Their conversion linked them to a Muslim system linked to the principal Indian Ocean ports. Buddhist dynasties were present in many regions, but since Buddhist conversions were limited to the elite, the mass of the population was open to the message of Sufis. The island of Bali, where Hinduism had become firmly based, and mainland southeast Asia, where Buddhism had gained popular support, remained impervious to Islam.

**In Depth: Conversion and Accommodation in the Spread of World Religions.** Great civilizations and world religions have been closely associated throughout world history. World religions, belief structures that flourish in many differing cultures, have to possess a spiritual core rich enough to appeal to potential converts. They have to possess beliefs that allow adherents to maintain a sense of common identity, but also must be flexible enough to allow retention of important aspects of local culture. The capacity for accommodation allowed Islam, and later Christianity, to spread successfully into many differing communities.

**Sufi Mystics and the Nature of Southeast Asian Islam.** The mystical quality of Islam in southeast Asia was due to Sufi determination. Sufis often tolerated indigenous peoples’ animist, Buddhist, and Hindu beliefs. Converts retained pre-Islamic practices, especially for regulating social interaction, while Islamic law ruled legal transactions. Women held a stronger familial and societal position than they had in the Middle East or India. They dominated local markets, while in some regions, matrilineal descent persisted. Many pre-Muslim beliefs were incorporated into Islamic ceremonies.

**GLOBAL CONNECTIONS: Islam – A Bridge Between Worlds.** Despite the political instability of the Abbasid era, Islam’s central position in global history was solidified. The expanding Muslim world linked ancient civilizations through conquest and commercial networks. Islam was the civilizer of nomadic peoples in central Asia and northern Africa. Its cultural contributions diffused widely from great cities and universities. There were, however, tendencies that placed Muslims at a disadvantage in relation to rival civilizations, particularly to their European rivals. Political divisions caused exploitable weaknesses in many regions. Most
importantly, the increasing intellectual rigidity of the ulama caused Muslims to become less receptive to outside influences at a time when the European world transformed its culture and power.

KEY TERMS

Al-Mahdi: 3rd Abbasid caliph (775-785); failed to reconcile Shi’a moderates to his dynasty and to resolve the succession problem.

Harun al-Rashid: most famous of the Abbasid caliphs (786-809); renowned for sumptuous and costly living recounted in *The Thousand and One Nights*.

Buyids: Persian invaders of the 10th century; captured Baghdad; and as sultans, through Abbasid figureheads.

Seljuk Turks: nomadic invaders from central Asia; staunch Sunnis; ruled from the 11th century in the name of the Abbasids.

Crusades: invasions of western Christians into Muslim lands, especially Palestine; captured Jerusalem and established Christian kingdoms enduring until 1291.

Salah-ud-Din: (1137-1193); Muslim ruler of Egypt and Syria; reconquered most of the crusader kingdoms.

Ibn Khaldun: Great Muslim historian; author of *The Muqaddimah*; sought to uncover persisting patterns in Muslim dynastic history.

Rubiyat: epic of Omar Khayyam; seeks to find meaning in life and a path to union with the divine.

Shah-Nama: epic poem written by Firdawsi in the late 10th and early 11th centuries; recounts the history of Persia to the era of Islamic conquests.

Sa’di: a great poet of the Abbasid era.

Al-Razi: classified all matter as animal, vegetable, and mineral.

Al-Biruni: 11th-century scientist; calculated the specific weight of major minerals.

Ulama: Islamic religious scholars; pressed for a more conservative and restrictive theology; opposed to non-Islamic thinking.

Al-Ghazali: brilliant Islamic theologian; attempted to fuse Greek and Qur’anic traditions.

Sufis: Islamic mystics; spread Islam to many Afro-Asian regions.
**Mongols**: central Asian nomadic peoples; captured Baghdad in 1258 and killed the last Abbasid caliph.

**Chinggis Khan**: (1162-1227); Mongol ruler; defeated the Turkish Persian kingdoms.

**Hulegu**: grandson of Chinggis Khan; continued his work, taking Baghdad in 1258.

**Mamluks**: Rulers of Egypt, descended from Turkish slaves.

**Muhammad ibn Qasim**: Arab general who conquered Sind and made it part of the Umayyad Empire.

**Arabic numerals**: Indian numerical notation brought by the Arabs to the West.

**Mahmud of Ghazni**: ruler of an Afghan dynasty; invaded northern India during the 11th century.

**Muhammad of Ghur**: Persian ruler of a small Afghan kingdom; invaded and conquered much of northern India.

**Qutb-ud-din Aibak**: lieutenant of Muhammad of Ghur; established kingdom in India with the capital at Delhi.

**Sati**: Hindu ritual for burning widows with their deceased husbands.

**Bhaktic cults**: Hindu religious groups who stressed the importance of strong emotional bonds between devotees and the gods or goddesses—especially Shiva, Vishnu, and Kali.

**Mir Bai**: low-caste woman poet and song-writer in bhaktic cults.

**Kabir**: 15th-century Muslim mystic who played down the differences between Hinduism and Islam.

**Shrivijaya**: trading empire based on the Malacca straits; its Buddhist government resisted Muslim missionaries; when it fell, southeastern Asia was opened to Islam.

**Malacca**: flourishing trading city in Malaya; established a trading empire after the fall of Shrivijaya.

**Demak**: most powerful of the trading states on the north Java coast; converted to Islam and served as a dissemination point to other regions.
LECTURE SUGGESTIONS

1. **Compare and contrast the initial spread of Islam throughout the Mediterranean and the Middle East with the Islamic incursions into India and Southeast Asia.** Most of the first expansion in the Mediterranean region and the Middle East was by Arabian tribesmen. The government under the Umayyads retained the initial concept of rule by a small Arab elite; full citizenship for mawali was denied. The Abbasids gave full citizenship to non-Arabs. The second stage of Islamic expansion was led by non-Arabs. The presence of Sufi missionaries made for a more peaceful expansion and to less restrictive forms of Islam. Converts, as in the Delhi sultanate, retained many of their previous Hindu beliefs and social systems.

2. **Discuss the political, cultural, and economic characteristics of the Abbasid Empire.** In political organization, the Abbasids suffered from a loss of central authority and a growth of regional dynasties. There were many revolts by Shi’a, mercenary armies, and peasants. The dynasty crumbled from the invasions of Buyids, Seljuk Turks, and Mongols. The Abbasid economy depended on agriculture and trade. Agriculture required irrigation, and this failed under the later dynasty. Cities grew and prospered; long-distance trade reached into India and southeast Asia. In culture, the Abbasids were the zenith of Islamic civilization, with advances in science, literature, mathematics, and philosophy.

**CLASS DISCUSSION QUESTIONS**

1. What were the causes for the weaknesses of the later Abbasid Empire?

2. What was the position of women in the Abbasid Empire?

3. Describe the economy of the later Abbasid Empire.

4. Discuss theological developments within Islam during the Abbasid Empire.

5. Discuss the stages of Islamic incursion into India.

6. To what extent were Muslims successful in converting Indians to Islam?

7. Discuss the spread of Islam into southeast Asia.

**THE INSTRUCTOR’S TOOL KIT**

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CHAPTER 13
African Civilizations and the Spread of Islam

I. African Societies: Diversity and Similarities
   Political forms vary
   Different religions

A. Stateless Societies
   Kinship fundamental
   Secret societies

B. Common Elements in African Societies
   Bantu migration
   one language base
   
   Animism
   cosmology
   ethical code
   lineage important in relation with god

C. The Arrival of Islam in North Africa
   Part of Mediterranean

   Arrival of Islam
   Spain, by 711
   Berber Almoravids
   western Sahara
   assist conversion

   Almohads
   succeed Berbers, 12th century

D. The Christian Kingdoms: Nubia and Ethiopia
   Copts
   Egyptian Christians
   welcome Muslims
   spread to Nubia (Kush)

   Ethiopia
   heirs to Axum
   King Lalibela
II. Kingdoms of the Grasslands

Caravans across Sahara

Sahel (grasslands)
transfer point

A. Sudanic States
Rulers sacred
Islam
from 900s
supports state

B. The Empire of Mali and Sundiata, the “Lion Prince”
Malinke peoples from Ghana
Agriculture, gold trade
Sundiata (d.1260)
manṣa (ruler)
expanded state

Mansa Kankan Musa
pilgrimage to Mecca
brings back Ishal al-Sahili
architect from Muslim Spain
beaten clay architecture

C. City Dwellers and Villagers
Jenne, Timbuktu
thrive with expansion of Mali, Songhay

Mandinka juula
merchants

Farmers the majority

D. The Songhay Kingdom
Middle Niger valley

Independent by 700
Muslim by 1010

Capital at Gao

Sunni Ali (1464-1492)
expanded territory
successors: askia
Defeated by Morocco, 1591

Hausa states, northern Nigeria
Kano becomes Muslim center

E. Political and Social Life in the Sudanic States
Fusion of Muslim, indigenous traditions

III. The Swahili Coast of East Africa
Trading ports
Muslim influence strong

Rest of population remains traditional

A. The Coastal Trading Ports
Mogadishu, Mombasa, Malindi, Kilwa, Pate, Zanzibar

Madagascar
southeast Asian immigrants
bring bananas, coconuts

Blended culture
Bantu, Islamic
Swahili
spreads along coast
trade with Asia

B. The Mixture of Cultures on the Swahili Coast
Islam unifies
along with Swahili

IV. Peoples of the Forest and Plains

A. Artists and Kings: Yoruba and Benin
Nok culture, 500 B.C.E. and 200 C.E.
Nigerian forests
agriculture, iron tools

Hiatus, 200-1000 C.E.

Yoruba
urbanized agriculturalists
small city-states
divine kings
Ile-Ife
   holy
   notable portrait heads

Edo
   Benin, 14th century
   Ewuare

B. Central African Kingdoms
   Bantu close to Cape Horn by 1200
      form states

Katanga
   Luba peoples
   divine kingship
   hereditary bureaucracy

C. The Kingdoms of the Kongo and Mwene Mutapa
   Kongo
      along lower Congo
      by late 15th century
      agricultural
      pronounced gender division of labor
      women farm, run household
      men clear forest, hunt, trade
   Mbanza Kongo
      capital
      federation of 8 states

Shona language group
   *Zimbabwe* (stone courts)
      by 9th century
   Great Zimbabwe
   Mwene Mutapa
   control of gold sources

**Mansa Musa.** In 1324, Mansa Musa, emperor of Mali, passed through Cairo on his way to Mecca. Writing a decade later, the chronicler al-Omari wrote that stories were still told of the emperor’s passage through the city. In particular, Mansa Musa’s lavish distribution of African gold had made an impression. Mali held a fascination for Muslims of north Africa. It owed its prominent position to control of caravan routes and access to gold, extending control from the Niger to Senegal rivers. The Muslim traveler Ibn Batuta recorded his impressions of Mali as possessing both similarities and shocking differences with the Muslim heartland. Mali’s contacts
with areas outside of Africa were typical, in being intermittent and challenging. These contacts became more regular between 800 and 1500. Islam was crucial in linking Africa with other world areas, particularly through trade.

**Chapter Summary.** Africa below the Sahara for long periods had only limited contact with the civilizations of the Mediterranean and Asia. Between 800 and 1500 C.E. the frequency and intensity of exchanges increased, with Islam proving the major external contact. The spread of Islam in Africa linked its regions to the outside world through trade, religion, and politics. Social, religious, and technological changes influenced African life. State building in Africa was influenced both by indigenous and Islamic inspiration. States like Mali and Songhay built upon military power and dynastic alliances. City-states in western and eastern Africa were tied to larger trading networks. African civilizations built less clearly on prior precedent than other postclassical societies. Older themes, such as Bantu migration, persisted. Parts of Africa south of the Sahara entered into the expanding world network; many others remained isolated.

**African Societies: Diversity and Similarities.** Although Africans shared aspects of language and belief, their large continent’s vast size and cultural diversity made diversity inevitable. Political forms varied from hierarchical states to stateless societies organized on kinship principles and lacking concentration of power and authority. Christianity and Islam sometimes influenced political and cultural development.

**Stateless Societies.** Stateless peoples were controlled by kinship institutions. They lacked concentrated authority structures, but at times incorporated more peoples than their more organized neighbors. In the west African forest, secret societies were important in social life and could limit rulers’ authority. The main weakness of stateless societies was their delayed ability to respond to outside pressures, mobilize for war, undertake large building projects, or create stability for long-distance trade.

**Common Elements in African Societies.** There were many similarities among African cultures. The migration of Bantu speakers produced a widespread common linguistic base. Animistic religion, a belief in natural forces personified as gods, was common, with well-developed concepts of good and evil. Priests guided religious practices for community benefit. African religions provided a cosmology and a guide to ethical behavior. Many Africans believed in a creator deity whose power was expressed through lesser spirits and ancestors. Families, lineages, and clans had an important role in dealing with gods. Deceased ancestors were a link to the spiritual world; they retained importance after world religions appeared. African economies were extremely diversified. North Africa was integrated into the world economy, but sub-Saharan regions had varying structures. Settled agriculture and iron-working were present in many areas before postclassical times, with specialization encouraging regional trade and urbanization. International trade increased in some regions, mainly toward the Islamic world. Both women and men were important in market life. Little is known of the size of Africa’s population; by 1500 it may have totaled 30 to 60 million.

**The Arrival of Islam in North Africa.** Northern Africa was an integral part of classical Mediterranean civilization. From the mid-7th century, Muslim armies pushed westward from
Suez across the regions called Ifriqiya (Tunisia) by the Romans and the Maghrib (the west) by the Arabs. By 711 they crossed from Morocco into Spain. Conversion was rapid, but initial unity eventually declined and divided north Africa into competing Muslim states and groups. The indigenous Berbers were an integral part of the process. In the 11th century, reforming Muslim Berbers, the Almoravids of the western Sahara, controlled lands extending between the southern savanna and into Spain. In the 12th century another group, the Almohads, succeeded them. Islam, with its principle of the equality of believers, won African followers. The unity of the political and religious worlds appealed to many rulers. Social disparities continued between ethnicities and men and women, the former stimulating later reform movements.

The Christian Kingdoms: Nubia and Ethiopia. Christian states were present in northern Africa and Ethiopia before the arrival of Islam. Egyptian Christians, Copts, had a rich and independent tradition. Oppression by Byzantine Christians caused them to welcome Muslim invaders. Coptic influence spread into Nubia (Kush). The Nubians resisted Muslim incursions until the 13th century. The Ethiopian successors to Christian Axum formed their state during the 13th and 14th centuries. King Lalibela in the 13th century built great rock churches. Ethiopia remained Christian, despite increasing pressure from Muslim neighbors.

Kingdoms of the Grasslands. Islam spread peacefully into sub-Saharan Africa. Merchants followed caravan routes across the Sahara to the regions where Sudanic states, such as Ghana, had flourished by the 8th century. Camels were unable to carry goods into humid forest zones and the sahel, an extensive grassland belt bordering the southern edge of the Sahara, became a major exchange point. By the 13th century, new states were emerging as successors to Ghana.

Sudanic States. The states often were led by a patriarch or council of elders from a family or lineage. They were based upon an ethnic core and conquered neighboring peoples. The rulers were sacred individuals separated from their subjects by rituals. Even though most of their population did not convert, the arrival of Islam after the 10th century reinforced ruling power. Two of the most important states were Mali and Songhay.

The Empire of Mali and Sundiata, the “Lion Prince.” Mali, between the Senegal and Niger rivers, formed among Malinke peoples who broke away from Ghana in the 13th century. Rulers’ authority was strengthened by Islam. Agriculture, combined with the gold trade, was the economic base of the state. The ruler (mansa) Sundiata (d. 1260) receives credit for Malinke expansion and for a governing system based upon clan structure. Sundiata’s successors in this wealthy state extended Mali’s control through most of the Niger valley to near the Atlantic coast. Mansa Kankan Musa’s pilgrimage to Mecca during the 14th century became legendary because of the wealth distributed along the way. He returned with an architect, Ishak al-Sahili from Muslim Spain, who created a distinctive Sudanic architecture utilizing beaten clay.

City Dwellers and Villagers. Distinctive regional towns, such as Jenne and Timbuktu, whose residents included scholars, craft specialists, and foreign merchants, developed in the western Sudan. Timbuktu was famous for its library and university. The military expansion of Mali and Songhay contributed to their prosperity. Mandinka jiula traders ranged across the Sudan. Most of Mali’s population lived in villages and were agriculturists. Despite poor soils, primitive
technology, droughts, insect pests, and storage problems, the farmers, working small family holdings, supported themselves and their imperial states.

The Songhay Kingdom. The Songhay people dominated the middle reaches of the Niger valley. Songhay became an independent state during the 7th century. By 1010 the rulers were Muslims and had a capital at Gao. Songhay won freedom from Mali by the 1370s and prospered as a trading state. An empire was formed under Sunni Ali (1464-1492), a great military leader, who extended rule over the entire middle Niger valley. He developed a system of provincial administration to secure the conquests. Sunni Ali’s successors were Muslim rulers with the title of askia; by the mid-16th century their state dominated the central Sudan. Daily life followed patterns common in savanna states; Islamic and indigenous traditions combined, men and unveiled women mixing freely. Songhay remained dominant until defeated by Moroccans in 1591. Other states that combined Muslim and pagan ways rose among the Hausa of northern Nigeria. In the 14th century the first Muslim ruler of Kano made the Hausa city a center of Muslim learning. Along with other Hausa cities, Kano followed the Islamic-indigenous amalgam present in the earlier grasslands empires. Traders and other Muslims widely spread influences even in regions without Islamic states.

Political and Social Life in the Sudanic States. When larger Sudanic states emerged, their rulers represented a particular group or family. Indigenous social groups within the states continued to organize many aspects of life. Islam provided a universalistic faith and a fixed law that served common interests. Rulers reinforced authority through Muslim officials and ideology, but existing traditions continued to be vital since many of their subjects were not Muslims. The fusion of traditions shows in the status of women. Many Sudanic societies were matrilineal and did not seclude women. Slavery, and the slave trade to the Islamic world, lasting over 700 years, had a major impact upon women and children. All individuals might become slaves, but the demand for concubines and eunuchs increased demand for women and children.

The Swahili Coast of East Africa. A series of trading ports, part of the Indian Ocean network, developed along the coast and islands between the Horn of Africa and Mozambique. Town residents were influenced by Islam, but most of the general population remained tied to traditional ways.

The Coastal Trading Ports. Bantu-speaking migrants had reached and mixed with indigenous Africans early in the 1st millennium C.E. Immigrants from southeast Asia had migrated to Madagascar from the 2nd century B.C.E.; they introduced bananas and coconuts. With the rise of Islam, individuals from Oman and the Persian Gulf settled in coastal villages. By the 13th century, a mixed Bantu and Islamic culture, speaking the Bantu Swahili language, emerged in a string of urbanized trading ports. They exported raw materials in return for Indian, Islamic, and Chinese luxuries. As many as 30 towns flourished, their number including Mogadishu, Mombasa, Malindi, Kilwa, Pate, and Zanzibar. From the 13th to the 15th century, Kilwa was the most important. All were tied together by coastal commerce and by an inland caravan trade.

The Mixture of Cultures on the Swahili Coast. The expansion of Islamic influence in the Indian Ocean facilitated commerce. It built a common bond between rulers and trading families, and allowed them to operate through a common culture. Apart from rulers and merchants, most
of the population, even in the towns, retained African beliefs. A dynamic culture developed, using Swahili as its language, and incorporating African and Islamic practices. Lineage passed through both maternal and paternal lines. Islam did significantly penetrate into the interior.

In Depth: Two Transitions in the History of World Population. Even though determining the size and structure of historical populations is very difficult, their study has become a valued tool for better understanding the past. Demographic research presents an opportunity for uncovering aspects of the politics and economy of past societies. Regular census-taking only became common in some societies during the 18th century. Until then, human population grew slowly, increasing as agriculture and other discoveries opened new resources. By 1750 C.E. the Earth had about 500 million inhabitants. Pre-modern economies maintained a rough equality between births and deaths, with most individuals not reaching the age of 35. Since 1750, with the onset of the Industrial Revolution and other developments, a demographic transition began in Europe that sent world population to over five billion at the end of the 20th century.

Peoples of the Forest and Plains. Apart from the peoples of the savanna and eastern coast, by 1000 C.E. most Africans were following their own lines of development. Agriculture, herding, and the use of iron implements were widespread. Some large and complex states formed; most were preliterate and transmitted knowledge by oral methods.

Artists and Kings: Yoruba and Benin. In the central Nigerian forests the Nok culture flourished between 500 B.C.E. and 200 C.E. Its members developed a realistic art style; they practiced agriculture and used iron tools. After Nok disappeared there was a long hiatus before the reappearance of regional artistic traditions after 1000 C.E. The Yoruba-speaking peoples were highly urbanized agriculturists organized into small city-states, each controlling a radius of about 50 miles. The city-states were under the authority of regional divine kings presiding over elaborate courts. The king’s power was limited by other societal forces. At Oyo, for example, local lineages controlled provinces while paying tribute to the ruler. In the capital, a council of state and a secret society advised the ruler. Ile-Ife was the holiest Yoruba city; its subjects after 1200 created terra-cotta and bronze portrait heads that rank among the greatest achievements of African art. Similar organizational patterns are found among the Edo peoples to the east. They formed the city-state of Benin in the 14th century under the ruler Ewuare. It ruled from the Niger River to the coast near Lagos. Benin’s artists are renowned for their work in ivory and cast bronze.

Central African Kingdoms. By the 13th century C.E., Bantu speakers were approaching the southern tip of Africa. By around 1000 they were forming states where kinship patterns were replaced by political authority based on kingship. The Luba peoples, in Katanga, created a form of divine kingship where the ruler had powers ensuring fertility of people and crops. A hereditary bureaucracy formed to administer the state, thus allowing the integrating of many people into one political unit.

The Kingdoms of the Kongo and Mwene Mutapa. The kingdom of the Kongo flourished along the lower Congo River by the late 15th century. It was an agricultural society whose people were skilled in weaving, pottery-making, blacksmithing, and carving. There was a sharp gender division of labor: women dominated crop cultivation and domestic tasks, men cleared the
forest, hunted, and traded. The population resided in small, family-based villages; the area around the capital, Mbanza Kongo, by the 16th century included up to 100,000 people. A hereditary central kingship ruled over local nonhereditary chiefs. The Kongo was a federation of states grouped into eight major provinces. To the east, in central Africa, Shona-speaking peoples in the region between the Zambezi and Limpopo rivers by the 9th century began building royal stone courts (*zimbabwe*). The largest, Great Zimbabwe, was the center of a state flourishing by the 11th century. Massive stone buildings and walls were constructed. Its ruler, the Mwene Mutapa, controlled a large territory reaching to the Indian Ocean. Zimbabwe dominated gold sources and trade with coastal ports of the Indian Ocean network. Internal divisions split Zimbabwe during the 16th century.

**GLOBAL CONNECTIONS: Internal Development and Global Contacts.** The spread of Islam had brought large areas of Africa into the global community. The most pronounced contacts south of the Sahara were in the Sudanic states and east Africa where a fusion of Islamic and African cultures created an important synthesis. In spite of the importance of the advent of Islam. Most of Africa evolved in regions free of Islamic contact. In Benin, the Yoruba states, Great Zimbabwe, and the Kongo, Africans developed their own concepts of kingship and the state. Many other Africans organized their lives in stateless societies. When the Europeans arrived in the 15th century, they found advanced states, already in contact with other world areas. However, their arrival undoubtedly increased the pace of exchange.

**KEY TERMS.**

**Stateless societies:** societies of varying sizes organized through kinship and lacking the concentration of power found in centralized states.

**Ifriqiya:** Roman name for present-day Tunisia.

**Maghrib:** Arabic term for western north Africa.

**Almoravids:** a puritanical Islamic reform movement among the Berbers of northwest Africa; built an empire reaching from the African savanna into Spain.

**Almohadis:** a later puritanical Islamic reform movement among the Berbers of northwest Africa; also built an empire reaching from the African savanna into Spain.

**Ethiopia:** a Christian kingdom in the highlands of eastern Africa.

**Lalibela:** 13th-century Ethiopian ruler; built great rock churches.

**Sahel:** the extensive grassland belt at the southern edge of the Sahara; an exchange region between the forests to the south and north Africa.

**Sudanic states:** states trading to north Africa and mixing Islamic and indigenous ways.

**Mali:** state of the Malinke people centered between the Senegal and Niger rivers.
Juula: Malinke merchants who traded throughout the Mali Empire and west Africa.

Mansa: title of the ruler of Mali.

Ibn Batuta: Arab traveler throughout the Muslim world.

Kankan Musa: (c.1312-1337); made a pilgrimage to Mecca during the 14th century that became legendary because of the wealth distributed along the way.

Ishak al-Sahili: architect from Muslim Spain who returned with Kankan Musa to Mali; created a distinctive Sudanic architecture utilizing beaten clay.

Sundiata: created a unified state that became the Mali empire; died in 1260.

Timbuktu: Niger River port city of Mali; had a famous Muslim university.

Songhay: successor state to Mali; dominated middle reaches of the Niger valley; capital at Gao.

Askia Muhammad: extended the boundaries of Songhay in the mid-16th century.

Hausa states: states, such as Kano, among the Hausa of northern Nigeria; combined Islamic and indigenous beliefs.

East African trading ports: urbanized commercial centers mixing African and Arab cultures; included Mogadishu, Mombasa, Malindi, Kilwa, Pate, and Zanzibar.

Demographic transition: the change from slow to rapid population growth; often associated with industrialization; occurred first in Europe and is more characteristic of the “developed world.”

Nok: central Nigerian culture with a highly developed art style flourishing between 500 B.C.E. and 200 C.E.

Yoruba: highly urbanized Nigerian agriculturists organized into small city-states, as Oyo, under the authority of regional divine kings presiding over elaborate courts.

Ile-Ife: the holiest Yoruba city; created terra-cotta and bronze portrait heads that rank among the greatest achievements of African art.

Benin: Nigerian city-state formed by the Edo people during the 14th century; famous for its bronze art work.

Luba: peoples, in Katanga; created a form of divine kingship where the ruler had powers ensuring fertility of people and crops.
Kongo Kingdom: large agricultural state on the lower Congo River; capital at Mbanza Congo.


Great Zimbabwe: with massive stone buildings and walls, incorporates the greatest early buildings in sub-Saharan Africa.

Mwene Mutapa: ruler of Great Zimbabwe; controlled a large territory reaching to the Indian Ocean.

LECTURE SUGGESTIONS

1. Discuss the spread of Islam into Africa and its cultural impact. Islam naturally spread into regions that had contacts with Islamic societies: the savanna south of the Sahara and the Indian Ocean coastline. The cultures with the heaviest initial impact were the Sudanic kingdoms and the east African city-states. Islam brought to the various African peoples a universalistic religion and legal system. Its adoption strengthened the power of local rulers and provided contact with the wider commercial world of Islam. Trade went to the Mediterranean and the Middle East through the Sahara, and across the Indian Ocean to Arabia, Persia, and India. Africa exported raw materials in return for imported manufactures.

2. Compare and contrast the Islamic impact on India and Southeast Asia with that on sub-Saharan Africa. There were great similarities. Muslims arrived as traders and began a peaceful conversion process. Political systems remained under the control of indigenous rulers. The process made possible an accommodation between Islam and indigenous religions that made long-term conversion to Islam easier. Islam spread from cities to the countryside. The arrival of Muslims brought Africa into the Islamic world network; Southeast Asia and India expanded earlier contacts.

CLASS DISCUSSION QUESTIONS

1. What do the authors describe as the “common elements” in African societies?

2. How did Islam originally enter Africa?

3. What were the Sudanic states and how were they organized?

4. How did Islam and the beliefs of indigenous societies fuse among African peoples?

5. What was the connection between east Africa and Islam?

6. Where did cultures in Africa develop that were not impacted by Islam? What was the nature of their organization?

7. Why do the authors spend more time talking about cultures introduced into Africa than indigenous African cultures?
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CHAPTER 14
Civilization in Eastern Europe: Byzantium and Orthodox Europe

I. The Byzantine Empire

A. The Origins of the Empire
   Emperor Constantine
   4th century C.E., Constantinople
   empire divided
   capitals at Rome and Constantinople

   Greek language
   official language from 6th century

B. Justinian's Achievements
   Justinian
   attempts reconquest of Italy
   Slavs, Persians attack from east
   building projects
   Hagia Sophia
   legal codification

C. Arab Pressure and the Empire's Defenses
   Center of empire shifts to east
   Constant external threats
   Arab Muslims
   Bulgars
   defeated by Basil II, 11th century

D. Byzantine Society and Politics
   Emperors resemble Chinese rulers
   court ritual
   head of church and state
   Sophisticated bureaucracy
   open to all classes
   Provincial governors

   Economic control
   regulation of food prices, trade
   silk production

   Trade network
   Asia, Russia, Scandinavia, Europe, Africa
E. The Split Between Eastern and Western Christianity
Separate paths

Patriarch Michael
1054, attacks Catholic practice
mutual excommunication, pope and patriarch

F. The Empire's Decline
Period of decline from 11th century

Seljuk Turks
take most of Asian provinces
1071, Manzikert
Byzantine defeat

Slavic states emerge

Appeal to west brings crusaders
1204, Venetian crusaders sack Constantinopel

1453, Constantinople taken by Ottoman Turks
1461, empire gone

II. The Spread of Civilization in Eastern Europe
Influence through conquest, conversion, trade

Cyril, Methodius, to Slavs
Cyrillic script

A. The East Central Borderlands
Competition from Catholics and Orthodox Greeks

Catholics
Czechs, Hungary, Poland
regional monarchies prevail

Jews from Western Europe

B. The Emergence of Kievan Rus'
Slavs from Asia
iron working, extend agriculture
mix with earlier populations
family tribes, villages
kingdoms
animistic

6th, 7th centuries
Scandinavian merchants
trade between Byzantines and the north

c. 855, monarchy under Rurik
center at Kiev

Vladimir I (980-1015)
converts to Orthodoxy
controls church

C. Institutions and Culture in Kievan Rus'
Influenced by Byzantine patterns

Orthodox influence
ornate churches
icons
monasticism

Art, literature dominated by religion, royalty

Free farmers predominant

Boyars, landlords
less powerful than in the west

D. Kievan Decline
Decline from 12th century
rival governments
succession struggles

Asian conquerors

Mongols (Tartars)
13th century, take territory
Traditional culture survives

E. The End of an Era in Eastern Europe
Mongol invasions usher in new period
East and West further separated
Chapter Summary. In addition to the great civilizations of Asia and Africa forming during the postclassical period, two related, major civilizations formed in Europe. The Byzantine Empire, with its capital in the great city of Constantinople, was based in western Asia and southeastern Europe, and expanded into eastern Europe. The other was defined by the influence of Catholicism in western and central Europe. The Byzantine Empire, with territory in the Balkans, the Middle East, and the eastern Mediterranean, maintained very high levels of political, economic, and cultural life between 500 and 1450 C.E. The empire continued many Roman patterns and spread its Orthodox Christian civilization through most of eastern Europe, Belarus, Ukraine, and Russia. Catholic Christianity, without an imperial center, spread in western Europe. Two separate civilizations emerged from the differing Christian influences.

Vladimir and Russian Orthodoxy. A choice confronted the Russian king Vladimir in the late 10th century: to maintain the traditional religion, or adopt either Catholicism or Byzantine Orthodoxy. His decision to adopt the religion of the Byzantine Empire was probably easy, attaching the early Russian kingdom to the sphere of the successful Greek empire. Much more than religion was involved. Alliance with Constantinople meant being part of a larger commercial world, a gateway to international trade, and an influx of cultural influences. It also solidified the division between Greek, Orthodox Byzantium, and Latin, Catholic Western Europe. The Byzantine Empire retained more continuity with the Roman Empire than did Europe, and a higher level of urban civilization in the postclassical period. Constantinople far outstripped any European city in this period in size and sophistication. Byzantine influence stretched to the Balkans, and north into Russia. Significant commonalities existed in the two halves of the former Roman Empire: spread of Christianity, northern regions coming belatedly into contact with international trade, and both looking back to a common Roman past. However, the two spheres also remained separate, developing distinctively, with surprisingly little contact.

The Byzantine Empire. The Byzantine Empire, once part of the greater Roman empire, continued to flourish in the an eastern Mediterranean base after Roman decline. Although it inherited and continued some of Rome’s heritage, the Byzantine state developed its own form of civilization.

The Origins of the Empire. In the 4th century C.E., the Emperor Constantine established a capital at Constantinople. Rule of the vast empire was split between two emperors, one ruling from Rome, one from Constantinople. Although Latin served for a time as the court language, from the 6th century Greek became the official tongue. The empire benefited from the high level of civilization in the former Hellenistic world and from the region's prosperous commerce. It held off barbarian invaders and developed a trained civilian bureaucracy.

Justinian's Achievements. In the 6th century Justinian, with a secure base in the east, attempted to reconquer western territory, without lasting success. These campaigns weakened the empire as Slavs and Persians attacked the frontiers, and also created serious financial pressures. Justinian rebuilt Constantinople in classical style; among the architectural achievements was the huge church of Hagia Sophia. His codification of Roman law reduced legal confusion in the empire. The code later spread Roman legal concepts throughout Europe.
Arab Pressure and the Empire's Defenses. Justinian's successors concentrated upon the
defense of their eastern territories. The empire henceforth centered in the Balkans, and western
and central Turkey, a location blending a rich Hellenistic culture with Christianity. The revived
empire withstood the 7th-century advance of Arab Muslims, although important regions were
lost along the eastern Mediterranean and the northern Middle Eastern heartland. The wars and
the permanent Muslim threat had significant cultural and commercial influences. The free rural
population, the provider of military recruits and taxes, was weakened. Aristocratic estates grew
larger, and aristocratic generals became stronger. The empire's fortunes fluctuated as it resisted
pressures from the Arabs and Slavic kingdoms. Bulgaria was a strong rival, but Basil II defeated
and conquered it in the 11th century. At the close of the 10th century, the Byzantine emperor
was probably the strongest ruler of the time.

Byzantine Society and Politics. Byzantine political patterns resembled the earlier Chinese
system. An emperor, ordained by god and surrounded by elaborate court ritual, headed both
church and state. Women occasionally held the throne. An elaborate bureaucracy supported the
imperial authority. The officials, trained in Hellenistic knowledge in a secular school system,
could be recruited from all social classes, although, as in China, aristocrats predominated.
Provincial governors were appointed from the center, and a spy system helped to preserve
loyalty. A careful military organization defended the empire. Troops were recruited locally and
given land in return for service. Outsiders, especially Slavs and Armenians, accepted similar
terms. Over time, hereditary military leaders developed regional power and displaced better-
educated aristocrats. Socially and economically, the empire depended upon Constantinople's
control of the countryside. The bureaucracy regulated trade and food prices. Peasants supplied
the food and provided most tax revenues. The large urban population was kept satisfied by low
food prices. A widespread commercial network extended into Asia, Russia, Scandinavia,
western Europe, and Africa. Silk production techniques brought from China added a valuable
product to the luxury items exported. Despite the busy trade, the large merchant class never
developed political power. Cultural life centered upon Hellenistic secular traditions and
Orthodox Christianity. Little artistic creativity resulted, except in art and architecture. Domed
buildings, colored mosaics, and painted icons revealed strong links to religion.

The Split Between Eastern and Western Christianity. Byzantine culture, political
organization, and economic orientation help to explain the rift between the eastern and western
versions of Christianity. Different rituals grew from Greek and Latin versions of the Bible.
Emperors resisted papal attempts to interfere in religious issues. In 1054, the Patriarch Michael
attacked Catholic practices more strenuously, raising contentious issues that separated the
churches. The conflict resulted in mutual excommunication by the Patriarch and the Roman
pope. Even though the two churches remained separate, they continued to share a common
classical heritage, and informal contact persisted.

The Empire's Decline. A long period of decline began in the 11th century. Muslim Turkish
invaders, the Seljuks, seized almost all of the empire's Asian provinces, removing the most
important sources of taxes and food. The empire never recovered from the loss of its army at
Manzikert in 1071. Independent Slavic states appeared in the Balkans. An appeal for western
European assistance did not help the Byzantines, and indeed, crusaders led by Venetian
merchants sacked Constantinople in 1204. Italian cities, secured special trading privileges. The
greatly reduced empire struggled to survive for another two centuries against western Europeans, Muslims, and Slavic kingdoms. In 1453, the Ottoman Turks conquered Constantinople and by 1461 the empire had disappeared.

The Spread of Civilization in Eastern Europe. The Byzantine Empire’s influence spread among the people of the Balkans and southern Russia through conquest, commerce, and Christianity. In the 9th century, the missionaries Cyril and Methodius devised the Cyrillic script for the Slavic language, providing a base for literacy in eastern Europe. Unlike western Christians, the Byzantines allowed the use of local languages in church services.

The East Central Borderlands. Both eastern and western Christian missionaries competed in eastern Europe. Roman Catholics, and their Latin alphabet, prevailed in the Czech region, Hungary, and Poland. Competition in this area between western and eastern influences was long-standing. A series of regional monarchies with powerful, landowning aristocracies developed in Poland, Bohemia, and Lithuania. Eastern Europe also received an influx of Jews from the Middle East and western Europe. They were often barred from agriculture, but participated in local commerce. They maintained their own traditions, and emphasized education for males.

The Emergence of Kievan Rus'. Slavic peoples from Asia migrated into Russia and eastern Europe during the period of the Roman Empire. They mixed with and incorporated earlier populations and later invaders. The Slavs worked iron and extended the amount of land under cultivation in Ukraine and western Russia. Political organization centered in family tribes and villages, organized ultimately into regional kingdoms. The Slavs followed an animist religion, and had rich traditions of music and oral literature. Scandinavian traders during the 6th and 7th centuries moved into the region along its great rivers and established a rich trade between their homeland and Constantinople. Some won political control. A monarchy emerged at Kiev around 855 under the legendary Danish merchant, Rurik. The loosely organized state flourished until the 12th century. Kiev became a prosperous commercial center. Contacts with the Byzantines resulted in the conversion of Vladimir I (980-1015) to Orthodox Christianity. The ruler, on the Byzantine pattern, controlled church appointments. Kiev's rulers issued a formal law code. They ruled the largest single European state.

Institutions and Culture in Kievan Rus'. Cultural, social, and economic patterns developed differently from the western European experience. Kiev borrowed much from Byzantium, but it was unable to duplicate its bureaucracy or education system. Rulers favored Byzantine ceremonials and the concept of a strong central ruler. Orthodox Christian practices entered Russian culture: devotion to divine power and to saints, ornate churches, icons, and monasticism. Polygamy yielded to Christian monogamy. Almsgiving emphasized the obligation of the wealthy toward the poor. Literature, using the Cyrillic alphabet, focused on religious and royal events, while art was dominated by icon painting and illuminated religious manuscripts. Church architecture adapted Byzantine themes to local conditions. Peasants were free farmers, and aristocratic landlords (boyars) had less political power than similar westerners.

Kievan Decline. Kievan decline began in the 12th century. Rival princes established competing governments while the royal family quarreled over the succession. Asian invaders seized
territory as trade diminished due to Byzantine decay. The Mongol invasions of the 13th century incorporated Russian lands into their territories. Mongol (Tartar) dominance further separated Russia from western European developments. Commercial contacts lapsed. Russian Orthodoxy survived because the tolerant Mongols did not interfere with Russian religious beliefs or daily life as long as tribute was paid. Thus when Mongol control ended in the 15th century, a Russian cultural and political tradition incorporating the Byzantine inheritance reemerged. The Russians claimed to be the successors to the Roman and Byzantine states, the "third, new Rome."

**In Depth: Eastern and Western Europe: The Problem of Boundaries.** Determining where individual civilizations begin and end is a difficult exercise. The presence of many rival units and internal cultural differences complicates the question. If mainstream culture is used for definition, the Orthodox and Roman Catholic religions, each with its own alphabet, can be used to distinguish east from west. Political organization is harder to use because of the presence of loosely organized regional kingdoms. Commercial patterns and Mongol and Russian expansion also influenced cultural identities.

**The End of an Era in Eastern Europe.** With the Mongol invasions, the decline of Russia, and the collapse of Byzantium, eastern European civilization entered into a difficult period. Much of Kievan social structure disappeared, but Christianity and other socio-political and artistic patterns survived. Western and Eastern Europe evolved separately, with the former pushing ahead in power and cross-cultural sophistication.

**GLOBAL CONNECTIONS: Eastern Europe and the World.** During the postclassical era, the Byzantine Empire was an active link between the Mediterranean and northern Europe. Russia's location opened it to influences from both western Asia and Europe. Because Russia's main contact with the wider world was through Byzantium, that empire's decline, and the Mongol conquest, brought isolation.

**KEY TERMS**

**Justinian:** 6th-century Byzantine emperor; failed to reconquer the western portions of the empire; rebuilt Constantinople; codified Roman law.

**Hagia Sophia:** great domed church constructed during reign of Justinian.

**Body of Civil Law:** Justinian's codification of Roman law; reconciled Roman edicts and decisions; made Roman law coherent basis for political and economic life.

**Belisarius:** (c.505-565); one of Justinian's most important military commanders during the attempted reconquest of western Europe.

**Greek Fire:** Byzantine weapon consisting of mixture of chemicals that ignited when exposed to water; used to drive back the Arab fleets attacking Constantinople.

**Bulgaria:** Slavic kingdom in Balkans; constant pressure on Byzantine Empire; defeated by Basil II in 1014.

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Icons: images of religious figures venerated by Byzantine Christians.

Iconoclasm: the breaking of images; religious controversy of the 8th century; Byzantine emperor attempted, but failed, to suppress icon veneration.

Manzikert: Seljuk Turk victory in 1071 over Byzantium; resulted in loss of the empire’s rich Anatolian territory.

Cyril and Methodius: Byzantine missionaries sent to convert eastern Europe and Balkans; responsible for creation of Slavic written script called Cyrillic.

Kiev: commercial city in Ukraine established by Scandinavians in 9th century; became the center for a kingdom that flourished until the 12th century.

Rurik: legendary Scandinavian, regarded as founder of Kievan Rus in 855.

Vladimir I: ruler of Kiev (980-1015); converted kingdom to Orthodox Christianity.

Russian Orthodoxy: Russian form of Christianity brought from Byzantine Empire.

Yaroslav: (975-1054); Last great Kievan monarch; responsible for codification of laws, based on Byzantine codes.

Boyars: Russian land-holding aristocrats; possessed less political power than their western European counterparts.

Tatars: Mongols who conquered Russian cities during the 13th century; left Russian church and aristocracy intact.

LECTURE SUGGESTIONS

1. Discuss the nature of Byzantine political organization and culture and how they affected the development of Eastern Europe. Byzantine political organization was based on a centralized monarchy supported by a trained bureaucracy educated in classical traditions. Local administrators were appointed by the central administration. Political ideology focused on the principle of a divinely authorized monarchy supported by elaborate court ritual. The Byzantines continued the use of Roman patterns of government as typified by the use of legal codes to organize society. The military were recruited from the imperial population in return for grants of heritable land leading eventually to regional control by military commanders. There was a close relationship between the Orthodox Church and the state, with the emperor as head of church organization. Byzantine culture expressed itself in religious artifacts (churches, icons, liturgical music). The expansion of Byzantine culture northward was through the conversion of Kiev to Orthodox Christianity. The Russians also adopted the concepts of a divinely inspired monarchy with close relations to a state-controlled church. Church-related art forms came along with Orthodoxy. The Russians, however, were unable to adopt the Byzantine trained bureaucracy.
2. Compare and contrast the impact of Byzantium on Eastern Europe with the impact of the Islamic core on Africa and southern Asia. For Byzantine culture, see above. Both civilizations first spread their influence through missionaries; both civilizations passed on influences that produced centralized governments supported by the religious organization of the core cultures. Islam had a much greater impact than did Byzantium. The latter was limited to Eastern Europe while Islam spread into much of Asia and Africa. Byzantium's influence was more tenuous since there was less direct continuity over time because it did not survive the postclassical period. In Russia, Byzantine influence was interrupted by the Mongol conquest. Islam has endured in all regions until the present.

CLASS DISCUSSION QUESTIONS

1. What is the significance of the Byzantine Empire to the civilization of Europe?

2. Compare and contrast the development of civilization in eastern and western Europe.

3. How does Orthodox Christianity differ from Roman Catholicism?

4. Discuss the similarities in Byzantine and Chinese political organization.

5. What are the reasons for the decline of the Byzantine Empire?

6. How did the Byzantine Empire influence the development of Russia?

7. How did Eastern Europe fall behind Western Europe in terms of political development?

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CHAPTER 15
A New Civilization Emerges in Western Europe

I. Stages of Postclassical Development
   6th to 10th centuries
   fragmentation prevails

   Catholic Church strong

   Iberia
   Arab Muslims

   Core: France, Low Countries, Germany
   later, England

   Scandinavian Vikings
   raids from 8th to 10th centuries

   Literacy declines
   except among churchmen

A. The Manorial System: Obligations and Allegiances
   Local, personal political organization

   Manorialism
   agricultural economy
   reciprocal obligations
   in-kind labor for produce
   serfdom

   800s
   agricultural innovation
   moldboard
   crop rotation

B. The Church: Political and Spiritual Power
   Popes follow Roman organization
   appoint bishops
   sponsor missionaries

   Monasticism
   Benedict of Nursia
   Benedictine rule
spiritual functions
  holiness
  network
  pilgrimage centers

secular functions
  education
  large estates
  shelter travelers

C. Charlemagne and His Successors
   Frankish Carolingian dynasty
   Charles Martel
   732, Tours

   Charles the Great (Charlemagne)
   800, crowned emperor
   copied Roman central administration
   814, death
   empire fragments

   843, Treaty of Verdun
   three kingdoms

   Holy Roman Emperors
   ruling Germany, Italy

D. New Economic and Urban Vigor
   Agricultural improvements
   increased production
   surplus, wealth, population growth

   Towns grow
   literacy expands

   Education
   cathedral schools, from 11th century
   universities, from 13th century

E. Feudal Monarchies and Political Advances
   Personal relationship
   military service for land

   Some lords emerge more powerful
   e.g. Capetian kings of France
   develop bureaucracies, states
William the Conqueror
1066, Norman conquest of England
centralized government
sheriffs, courts

F. Limited Government
Political fragmentation continues
monarchs limited by church, nobles, towns

1215, Magna Carta
King John recognizes supremacy of written law

Representative bodies
Catalonia, from 1000
England, from 1265

Monarchs continue to increase in power
large conflicts
e.g. Hundred Years War

G. The West's Expansionist Impulse
Germanic knights
from 11th century, into eastern Germany, Poland

Iberia
northern Christian states begin *reconquista*

Vikings
cross Atlantic

Crusades
called by Urban II, 1095
initial success
new contact with Islam

H. Religious Reform and Evolution
Gregorian reform, 11th century
based in monasteries
Gregory VII
separation of secular and religious spheres

Mendicants, 13th century
St. France, St. Clare, St. Dominic
I. The High Middle Ages

A. Theology: Assimilating Faith and Reason
   Exploration of Greek philosophy

   Peter Abelard, 12th century
   rational examination of doctrine

   Bernard of Clairvaux
   opposed to Abelard's approach
   mysticism

   Debate in universities

   Thomas Aquinas
   *Summas*
   faith primary, reason leads to understanding
   scholasticism

   Roger Bacon

B. Popular Religion
   Survival of pagan practice

C. Religious Themes in Art and Literature
   Romanesque architecture
   especially monastic buildings

   Gothic
   from 11th century

   12th century
   vernacular, secular literature
   e.g. *Song of Roland*
   Geoffrey Chaucer, *Canterbury Tales*
   *troubadours*

III. Changing Economic and Social Forms in the Postclassical Centuries

A. New Strains in Rural Life
   Peasants v. landlords
   peasants slowly gain

B. Growth of Trade and Banking
   Commerce expands
   Mediterranean zone joined with North Sea, Baltic
Money replaces barter

Banking, insurance merge

Hanseatic Leage
    northern Germany, southern Scandinavia
cities join to encourage trade

Merchants relatively free
    but relatively low status

Guilds
    craft associations
    protect markets
    ensure standards
    social role

C. Limited Sphere for Women
    Women generally lose ground

Some opportunities as nuns

IV. The Decline of the Medieval Synthesis
    Widespread warfare from 1300 to 1500
        100 Years' War
        weakens feudal order

    Population outstrips agriculture
        famines

    Bubonic Plague (Black Death)
        from 1348

A. Signs of Strain
    Aristocracy lose military purpose
        foot soldiers more important
        increasingly decorative

    Church increasingly rigid

B. The Postclassical West and Its Heritage
    Formative period
        dynamic change
Chapter Summary. The postclassical period in western Europe, known as the Middle Ages, stretches between the fall of the Roman Empire and the 15th century. Typical postclassical themes prevailed. Civilization spread gradually beyond the Mediterranean zone. Christian missionaries converted Europeans from polytheistic faiths. Medieval Europe participated in the emerging international community. New tools and crops expanded agricultural output; advanced technologies improved manufacturing. Mathematics, science, and philosophy were stimulated by new concepts.

St. Godric. The life of the Englishman Godric—ultimately canonized as St. Godric—incorporates many aspects of medieval Europe. The son of a farmer, Godric became a merchant, expanding his business to the continent. However, he became dissatisfied with this life devoted to acquiring wealth, feeling it was at odds with the dictates of Christianity. He began to visit holy places, and eventually made the pilgrimage to Rome. Finally, he rejected the material life altogether, and became a hermit. His life reflects the conflicting values in postclassical Europe, which became more apparent as commerce developed. Several themes can be seen in Europe following the collapse of the Roman Empire. Roman, Christian culture spread north, beyond the limits of the former Roman civilization. Christianity was expanded by the newly-converted, both in territorial and cultural terms. Europe was increasingly brought into communication with other world areas, resulting in an influx of new technologies and new crops. Contact with the Byzantine and Arab worlds was particularly influential.

Two Images. Viewed by outsiders and by insiders, Europe presented divergent images. According to a Muslim writing in the 1100s, the Crusaders were backwards and uncouth. By comparison, our view of the scholar Thomas Aquinas in his own context is of a brilliant thinker, skillfully bringing the learning of the classical world into harmony with Christian doctrine. How can these two images be reconciled?

Stages of Postclassical Development. Between the 6th and 10th centuries C.E., disorder prevailed in western Europe. Although the Catholic church remained strong, Rome's fall left Italy in economic, political, and intellectual decline. Muslim-controlled Spain maintained a vibrant intellectual and economic life, but only later influenced European development. The postclassical west was centered in France, the Low Countries, and southern and western Germany. England later joined the core. Continual raids by Scandinavian Vikings hindered political and economic development. Intellectual activity sharply diminished; most literate individuals were Catholic monks and priests.

The Manorial System: Obligations and Allegiances. Until the 10th century, most political organization was local. Manorialism was a system of reciprocal economic and political obligations between landlords and peasants. Most individuals were serfs living on self-sufficient agricultural estates (manors). In return for protection, serfs gave lords part of their crops and provided labor services. Inferior technology limited agricultural output until the 9th century-introduction of the moldboard plow and the three-field cultivation system increased yields. Serfs bore many burdens, but they were not slaves. They had heritable ownership of houses and land as long as they met obligations.
The Church: Political and Spiritual Power. The Catholic church in the 1st centuries after 500 was the single major example of firm organization. The popes headed a hierarchy based upon the Roman imperial model; they appointed some bishops, regulated doctrine, and sponsored missionary activity. The conversion of Germanic kings, such as the Frankish Clovis around 496, demonstrated the spiritual and political power of the church. It also developed the monastic movement. In the 6th century, the Italian Benedict of Nursia created the most important set of monastic rules. Monasteries had both spiritual and secular functions. They promoted Christian unity, served as examples of holy life, improved cultivation techniques, stressed productive work, and preserved the heritage of Greco-Roman culture.

Charlemagne and His Successors. The Carolingian dynasty of the Franks ruling in France, Belgium, and Germany grew stronger during the 8th century. Charles Martel defeated Muslim invaders at Tours in 732. Charlemagne built a substantial empire by 800. He helped to restore church-based education and revived traditions of Roman imperial government. His empire fragmented soon after Charlemagne's death in 814. By 843, his grandsons had divided his territory, and their lines proved unable to revive his imperial achievements. Subsequent political history was marked by regional monarchies existing within a civilization with overarching cultural unity initially centered on Catholic Christianity. French, German, English, and other separate languages emerged, forming embryonic national identities. The rulers of Germany and northern Italy initially were the strongest; they called themselves holy Roman emperors, but they failed to create a solid monarchy. Local lords and city-states went their own way in these areas.

New Economic and Urban Vigor. During the 9th and 10th centuries new agricultural techniques—the moldboard plow, the three-field system, and the horse collar—significantly increased production. The use of stirrups confirmed the dominance of those wealthy enough to own horses. Viking incursions diminished as the raiders seized territorial control or regional governments became stronger in response. Both factors allowed population growth and encouraged economic innovation. Expanding towns emerged as regional trade centers with a merchant class and craft production. The need for more food led to exploitation of new lands. The demand for labor resulted in less harsh conditions for serfs. The growing urban centers increased the spread of literacy, revitalized popular culture, and stimulated religious life. By the 11th century, cathedral schools were evolving, to become universities in the 13th century. Students studied medicine and law; later theology and philosophy became important disciplines. Art and architecture reached new peaks.

Feudal Monarchies and Political Advances. From the 6th century, feudalism, a system of political and military relationships, evolved in western Europe. Military elites of the landlord class could afford horses and iron weapons. The greater lords provided protection to lesser lords (vassals) who in return supplied military and other service. Feudal relationships first served local needs, but they later were extended to cover larger regions. Charlemagne is an example of this phenomenon. Later rulers, notably the Capetian kings of France from the 10th century, used feudalism to evolve from regional lords to rulers controlling a larger territory. From local, personal rule they expanded, using bureaucratic administration and specialized officials. William the Conqueror invaded England in 1066 and merged feudal techniques with a more centralized government. English royal officials, sheriffs, supervised local justice. The growth of feudal monarchies independently duplicated developments found in other centralizing societies.
Limited Government. Western Europe remained politically divided. The lands of the Holy Roman Empire in Germany and Italy were controlled by dukes and city-states respectively. The pope ruled in central Italy. Regional units prevailed in the Low Countries. In strong feudal monarchies, power was limited by the church, aristocratic military strength, and developing urban centers. King John of England in 1215 was forced to recognize feudal rights in the Magna Carta. Parliaments, bodies representing privileged groups, emerged in Catalonia in 1000. In England a parliament, operating from 1265, gained the right to rule on taxation and related policy matters. Most members of societies were not represented in European parliaments, but the creation of representative bodies was the beginning of a distinctive political process not present in other civilizations. Despite the checks, European rulers made limited progress in advancing central authority. Their weakness was demonstrated by local wars turning into larger conflicts, such as the Hundred Years War of the 14th century between the French and English.

The West's Expansionist Impulse. The ongoing political and economic changes spurred European expansion beyond its initial postclassical borders. From the 11th century, Germanic knights and agricultural settlers changed the population and environmental balance in eastern Germany and Poland. In Spain and Portugal, small Christian states in the 10th century began the reconquest of the Iberian peninsula from Muslim Arab rulers. Viking voyagers crossed the Atlantic to Iceland, Greenland, and Canada. The most dramatic expansion occurred during the Crusades against Muslims in the Holy Land, first called by Pope Urban II in 1095. Christian warriors seeking salvation and spoils established kingdoms in the Holy Land enduring into the 13th century. Their presence helped to expose Europeans to cultural and economic influences from Byzantium and Islam.

Religious Reform and Evolution. The Catholic church went through several periods of decline and renewal. The church’s wealth and power often led its officials to become preoccupied with secular matters. Monastic orders and popes from the 11th century worked to reform the church. Leaders, as Sts. Francis and Clare of Assisi, purified monastic orders and gave new spiritual vigor to the church. Pope Gregory VII attempted to free the church from secular interference by stipulating that priests remain unmarried and prohibiting secular appointment of bishops. Independent church courts developed to rule on religious concerns.

In Depth: Western Civilization. Western civilization is difficult to define. Postclassical western Europe incorporated only some elements of the classical heritage. A lack of political unity prevented the development of common structures. The first definition of the civilization was primarily religious, although individual cultures varied. There was no linguistic unity, but elements of cultural unity and social structure were present. By comparison, the unfolding civilization did not match the coherence of the Chinese system. A common European civilization emerged, one ready to benefit from the advances made in other world societies.

The High Middle Ages. Postclassical western civilization reached its high point during the 12th and 13th centuries. Creative tensions between feudal political forms, emerging monarchies, and the authority of the church produced major changes in political, religious, intellectual, social, and economic life.
Western Culture in the Postclassical Era. Christianity was the clearest unifying cultural element in Western Europe.

Theology: Assimilating Faith and Reason. Before 1000 C.E., a few church members had attempted to preserve and interpret the ideas of earlier thinkers, especially Aristotle and Augustine. The efforts gradually produced a fuller understanding of the past, particularly in philosophy, rhetoric, and logic. After 1000 the process rose to new levels. Absolute faith in god's word was stressed, but it was held that human reason contributed to the understanding of religion and the natural order. In 12th-century Paris, Peter Abelard utilized logic to demonstrate contradictions in doctrine. Many church leaders opposed such endeavors and emphasized the role of faith for understanding religious mysteries. Bernard of Clairvaux successfully challenged Abelard and stressed the importance of mystical union with god. The debates matched similar tensions within Islam concerning philosophical and scientific traditions. In Europe there were increasing efforts to bridge this gap. By the 12th century, the debate flourished in universities, opening intellectual avenues not present in other civilizations. In China, for example, a single path was followed. The European universities produced men for clerical and state bureaucracies, but they also motivated a thirst for knowledge from other past and present civilizations. By the 13th century, western thinkers had created a synthesis of medieval learning. Thomas Aquinas of Paris in his *Summas* held that faith came first, but that human reason allowed a greater understanding of natural order, moral law, and the nature of god. Although scholasticism deteriorated after Thomas, new paths for human understanding had opened. Medieval philosophy did not encourage scientific endeavor, but a few scholars, as Roger Bacon, did important experimental work in optics and other fields.

Popular Religion. Although we do not know much about popular beliefs, Christian devotion ran deep within individuals. The rise of cities encouraged the formation of lay groups. The cults of the Virgin Mary and sundry saints demonstrated a need for more humble intermediaries between people and god. Pagan practices endured and blended into Christianity.

Religious Themes in Art and Literature. Christian art and architecture reflected both popular and formal themes. Religious ideas dominated painting, with the early stiff and stylized figures changing by the 14th and 15th centuries to more realistic portrayals that included secular scenes. Architecture initially followed Roman models. In the Romanesque style, rectangular buildings were surmounted by domes, with relatively small windows using rounded arches. During the 11th century, the Gothic style appeared, producing soaring spires and arched windows requiring great technical skills. Literature and music equally reflected religious interest. Latin writings dealt with philosophy, law, and politics. Vernacular literature developed, incorporating themes from the past, such as the English *Beowulf* and the French *Song of Roland*. Contemporary secular themes were represented in Chaucer's *Canterbury Tales*. Courtly poets (troubadours) in 14th-century southern France wrote of courtly love.

Changing Economic and Social Forms in the Postclassical Centuries. Apart from the cultural cement framed by the Catholic church, Western society had other common features in economic activity and social structure. The postclassical West demonstrated great powers of innovation. When trade revived in the 10th century the West became a kind of
common commercial zone as merchants moved commodities from one region to another. Urban merchants won increased power.

**New Strains in Rural Life.** Agricultural improvements after 800 C.E. allowed some peasants to shake off the most severe manorial constraints. Noble landlords continued their military functions, but utilized trade to improve their living styles. The more complex economy increased landlord-peasant tensions. From then until the 19th century there were recurring struggles between the two groups. Peasants wanted more freedom and control of land, while landlords wanted higher revenues. In general, peasant conditions improved and landlord controls weakened. Although agriculture remained technologically backward when compared to other societies, it had surpassed previous levels.

**Growth of Trade and Banking.** Urban growth promoted more specialized manufacturing and commerce. Banking was introduced by Italian businessmen. The use of money spread rapidly. Large trading and banking operations clearly were capitalistic. Europeans traded with other world regions, particularly via Italian Mediterranean merchants, for luxury goods and spices. Within Europe, raw materials and manufactured items were exchanged. Cities in northern Germany and southern Scandinavia formed the Hanseatic League to encourage commerce. European traders, although entering into many economic pursuits, as demonstrated in the 15th-century career of Jacques Coeur, still generally remained less venturesome and wealthy than their Islamic counterparts. On the other hand, the weakness of Western governments allowed merchants a freer hand than in many civilizations. Many cities were ruled by commercial leagues, and rulers allied with them against the aristocracy. Apart from taxation and borrowing, governments left merchants alone, allowing them to gain an independent role in society. Most peasants and landlords were not part of a market system. In cities, the characteristic institution was the merchant or artisan guild. Guilds grouped people in similar occupations, regulated apprenticeships, maintained good workmanship, and discouraged innovations. They played an important political and social role in cities. Manufacturing and commercial methods in Europe improved, but they did not attain Asian levels in ironmaking and textile production. Only in a few areas, such as clockmaking, did they take the lead. By the late Middle Ages the western medieval economy contained contradictory elements. Commercial and capitalistic trends jostled the slower rural economy and urban guild protectionism.

**Limited Sphere for Women.** As elsewhere, increasing complexity of social and economic life limited women's roles. Women's work remained vital to families. Christian emphasis on spiritual equality remained important, while female monastic groups offered an alternative to marriage. Veneration of the Virgin Mary and other female religious figures gave positive role models for women. Still, even though women were less restricted than females within Islam, they lost ground. They were increasingly hemmed in by male-dominated organizations. By the close of the Middle Ages, patriarchal structures were firmly established.

**The Decline of the Medieval Synthesis.** After 1300 postclassical Western civilization declined. A series of wars embroiled France and England during the 14th and 15th centuries. The sporadic fighting spread economic distress and demonstrated the weaknesses of the feudal order. At the same time, key sources of Western vitality degenerated. Agriculture could not keep up with population growth. Famines followed. Beginning in 1348, the Black Death
brought massive mortality. Tensions intensified between landlord and peasants, and artisans and
their employees.

**Signs of Strain.** There were increasing challenges to medieval institutions. The landowning
aristocracy, the ruling class, lost its military role as professional armies and new weapons
transformed warfare. Aristocrats retreated into a ceremonial style of life emphasizing chivalry.
The balance of power between church and state shifted in favor of the state. As the church
leaders struggled to retain secular authority, they lost touch with individual believers who turned
to popular currents emphasizing direct experience of god. Intellectual and artistic synthesis also
decreased. Church officials became less tolerant of intellectual daring and retreated from
Aquinas’s blend of rationalism and religion. In art, styles became more realistic.

**The Postclassical West and Its Heritage.** The Middle Ages has been regarded as a backward
period between the era of Greece and Rome and the emergence of modern Europe. But the
period was at the same time an age of dynamic growth. Significant changes occurred in the
relations between Europe and surrounding regions. Europeans benefited from their readiness to
incorporate advances made in other civilizations.

**GLOBAL CONNECTIONS: Medieval Europe and the World.** During the earlier centuries
Europeans were subject to invasions from Vikings and nomadic peoples. They recognized the
superior power of the Islamic world. The Europeans reacted by absorbing influences from other
civilizations. As other civilizations weakened, Europeans became more active beyond their
home region.

**KEY TERMS**

**Middle Ages:** the period in western European history between the fall of the Roman Empire and
the 15th century.

**Gothic:** an architectural style developed during the 13th and 14th centuries in western Europe;
featured pointed arches and flying buttresses as external support on main walls.

**Vikings:** sea-going Scandinavian raiders who disrupted coastal areas of Europe from the 8th to
11th centuries; pushed across the Atlantic to Iceland, Greenland, and North America. Formed
permanent territories in Normandy and Sicily.

**Manorialism:** rural system of reciprocal relations between landlords and their peasant laborers
during the Middle Ages; peasants exchanged labor for use of land and protection.

**Serfs:** peasant agricultural laborers within the manorial system.

**Moldboard:** adjunct to the plow introduced in northern Europe during the Middle Ages;
permitted deeper cultivation of heavier soils.

**Three-field system:** practice of dividing land into thirds, rotating between two different crops
and pasturage. An improvement making use of manure.
**Clovis:** King of the Franks; converted to Christianity circa 496.

**Carolingians:** royal house of Franks from 8th to 10th century.

**Charles Martel:** First Carolingian king of the Franks; defeated Muslims at Tours in 732.

**Charlemagne:** Carolingian monarch who established large empire in France and Germany circa 800.

**Holy Roman emperors:** political heirs to Charlemagne's empire in northern Italy and Germany; claimed title of emperor but failed to develop centralized monarchy.

**Feudalism:** personal relationship during the Middle Ages by which greater lords provided land to lesser lords in return for military service.

**Vassals:** members of the military elite who received land or a benefice from a lord in return for military service and loyalty.

**Capetians:** French dynasty ruling from the 10th century; developed a strong centralized monarchy.

**William the Conqueror:** invaded England from Normandy in 1066; established tight feudal system and centralized monarchy in England.

**Magna Carta:** Great charter issued by King John of England in 1215; represented principle of mutual limits and obligations between rulers and feudal aristocracy, and the supremacy of law.

**Parliaments:** bodies representing privileged groups; institutionalized the principle that kings ruled with the advice and consent of their subjects.

**Hundred Years War:** conflict between England and France (1337-1453).

**Pope Urban II:** called first Crusade in 1095; appealed to Christians to free the Holy Land from Muslim control.

**Investiture:** the practice of appointment of bishops; Pope Gregory attempted to stop lay investiture, leading to a conflict with the Holy Roman Emperor Henry IV.

**St. Clare of Assisi:** 13th-century founder of a woman’s monastic order; represented a new spirit of purity and dedication to the Catholic church.

**Gregory VII:** 11th-century pope who attempted to free church from secular control; quarreled with Holy Roman Emperor Henry IV over practice of lay investiture of bishops.
Peter Abelard: Author of *Yes and No*; university scholar who applied logic to problems of theology; demonstrated logical contradictions within established doctrine.

St. Bernard of Clairvaux: emphasized role of faith in preference to logic; stressed importance of mystical union with god; successfully challenged Abelard and had him driven from the universities.

Thomas Aquinas: creator of one of the great syntheses of medieval learning; taught at University of Paris; author of *Summas*; believed that through reason it was possible to know much about natural order, moral law, and nature of god.

Scholasticism: dominant medieval philosophical approach; so-called because of its base in the schools or universities; based on use of logic to resolve theological problems.

Troubadours: poets in 14th-century southern France; gave a new value to the emotion of love in Western tradition.

Hanseatic League: an organization of north German and Scandinavian cities for the purpose of establishing a commercial alliance.

Jacques Coeur: 15th-century French merchant; his career as banker to the French monarchy demonstrates new course of medieval commerce.

Guilds: associations of workers in the same occupation in a single city; stressed security and mutual control; limited membership, regulated apprenticeship, guaranteed good workmanship; held a privileged place in cities.

Black Death: plague that struck Europe in the 14th century; significantly reduced Europe's population; affected social structure.

LECTURE SUGGESTIONS

1. Discuss the ways in which the Middle Ages carried on the culture of ancient Mediterranean civilization and also added its own innovations. In its intellectual heritage, the Middle Ages incorporated classical rationalism (especially in universities) and the use of Latin as a common language. Manorialism had its origins in the great farming estates of the ancient world. In religion, the Middle Ages, although carrying forward elements of indigenous northern European beliefs, widely adopted Christianity. The church in turn was one of the most conservative forces, incorporating classical forms of organization. The political outlook was different because of the lack of an empire and the corresponding development of a local and regional political focus. There was much more vitality in the economy and commercial structure (population growth was a strong influence here) than in the ancient world. The use of credit, banking, accounting procedures, the creation of a wealthy class, and the end of slavery also differentiate the medieval from the modern. Important innovations in culture included the creation of vernacular literary forms and of Gothic architecture.
2. Compare and contrast the Medieval West from 1000 to 1500 with Islamic civilization during the same period. The medieval West was flourishing while the Islamic core was fragmenting. Both civilizations developed active commercial systems with a merchant class. The Islamic commercial empire was much more extensive and stable than that of the West. Both utilized religion as a means of carrying civilization to new territories. Islam expanded into Africa, India, and southeastern Asia, and the actual territory under Islam was much more extensive than that of the West. Islamic civilization was more technologically sophisticated than the West. Both societies showed similar tensions between religion and the adaptation of classical rationalism to theology, although both developed syntheses largely based on Aristotle's works. Finally, while the West moved to separate the secular from the religious, in the Islamic world, as in the Byzantine, the two remained firmly united.

CLASS DISCUSSION QUESTIONS

1. What defines the postclassical period in Western Europe?

2. What were the signs of vitality in Western Europe?

3. Define manorialism and feudalism.

4. What developments in ninth and tenth-century Western Europe pointed the way to political and economic recovery?

5. Describe the various political units of Western Europe between 1000 and 1400.

6. How was theology linked to classical rationalism during the Middle Ages?

7. What were the signs of economic prosperity after 1000?

8. What were the political values of the Middle Ages?

9. What were the crises of the later Middle Ages?

10. Compare the status of women in the European Middle Ages with that of women in contemporary world civilizations.

THE INSTRUCTOR'S TOOL KIT

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CHAPTER 16
The Americas on the Eve of Invasion

I. Postclassic Mesoamerica, 1000-1500 C.E.

Teotihuacan
  collapses, 700s

Toltecs
  empire in central Mexico
  capital at Tula, c. 968

A. The Toltec Heritage
  Rule extended to Yucatan, Maya lands, c. 1000
  Commercial influence to American southwest
    possibly Mississippi, Ohio valleys

B. The Aztec Rise to Power
  Toltec collapse, c. 1150
  caused by northern nomads?

  Center moves to Mexico valley
    lakes used for fishing, farming, transportation
    many centers

  Aztecs in, early 14th
    begin as mercenaries, allies
    1325, found Tenochtitlan
    dominate by 1434

C. The Aztec Social Contract
  Transformation to hierarchical society

  Service of gods pre-eminent
    sacrifice increased
    source of political power

  Moctezuma II
    head of state and religion

D. Religion and the Ideology of Conquest
  Spiritual and natural world seamless
    hundreds of deities
    three groups
      fertility, agriculture, water
      creator gods
      warfare, sacrifice

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e.g. Huitzilopochtli
Aztec tribal god
identified with sun god

Sacrifice
motivated by religion or terror?

Cyclical view of history

E. Feeding the People: The Economy of the Empire
Agriculture
chinampas, man-made floating islands
high yield
farming organized by clans

Markets
daily market at Tlatelolco
controlled by pochteca, merchant class
regulated by state

II. Aztec Society in Transition
Society increasingly hierarchical

A. Widening Social Gulf
Calpulli
transformed from clans to groupings by residence
distribute land, labor
maintain temples, schools
basis of military organization

Noble class develops from some calpulli
military virtues give them status
serf-like workers on their lands

Social gaps widen
imperial family at head of pipiltin

Calpulli of merchants

B. Overcoming Technological Constraints
Women have various roles
can own property
no public roles

Elite polygamy
most monogamous
C. A Tribute Empire
Speaker
one rules each city-state

Great Speaker
rules Tenochtitlan
Prime Minister powerful

Subjugated states could remain autonomous
owe tribute, laor

III. Twantinsuyu: World of the Incas
Tihuanaco, Huari (c.550-1000 C.E.)
after 1000, smaller regional states

Chimor (900-1465)
north coast of Peru

A. The Inca Rise to Power
Struggle for control

Cuzco area
Quechua-speaking clans (ayllus)
Huari
control regions by 1438, under Pachacuti

Topac Yupanqui
son of Pachacuti
conquered Chimor
rule extended to Ecuador, Chile

Huayna Capac
further conquests of Topac Yupanqui
1527, death
Twantinsuyu (empire)
from Colombia to Chile
to Bolivia, Argentina

B. Conquest and Religion
"Split inheritance"
power to successor
wealth, land to male descendants
result is continual conquest
Religion
- sun god supreme
  - represented by ruler (Inca)
  - Temple of the Sun at Cuzco

  local gods survive
  - huacas

C. The Techniques of Inca Imperial Rule
Inca
  - rules from Cuzco
  - governors of four provinces
  - bureaucracy
  - local rulers (curacas)

Unification
- Quechua
- forced transfers

Military
- system of roads, way stations (tambos), storehouses

State
- redistributive economy
- building, irrigation projects

Gender cooperation
- ideology of complementarity of sexes
- also seen in cosmology
  - Inca's senior wife links state to moon

D. Inca Cultural Achievements
- metallurgy
- knotted strings (quipu)
  - accounting

  monumental architecture

E. Comparing Incas and Aztecs
Similarities
  - built on earlier empires
  - excellent organizers
  - intensive agriculture under state control
  - redistributive economy
  - kinship transformed to hierarchy
  - ethnic groups allowed to survive
Differences
Aztecs have better developed trade, markets

IV. The Other Peoples of the Americas
Great variety elsewhere
not all in the Neolithic pattern
some use irrigation for agriculture, but formed no states

A. How Many Peoples?
Larger densities in Mesoamerica, Andes

B. Differing Cultural Patterns
Caribbean islands
some similar to Polynesian societies

c.1500
200 languages in North America
Missipian mounds abandoned
Anasazi descendants along Rio Grande
most groups kin-based
women subordinate

C. American Indian Diversity in World Context
Two great imperial systems by 1500
Mesoamerica and the Andes
weakened
technologically behind Europeans

Chapter Summary. By 1500, American societies incorporated both densely populated and lesser-inhabited regions, both long-established in the New World. Columbus called the inhabitants Indians, but the American societies did not possess a common identity. The great diversity of cultures requires concentration upon a few major civilizations, the great imperial states of Mesoamerica (central Mexico) and the Andes, plus a few other independently developing peoples.

Tenochtitlan. The Aztec city of Tenochtitlan was capped by a great pyramid, that allowed a view of the massive urban complex. Built on Lake Texcoco, a network of canals spread over the city, used for transportation, and for specially-adapted cultivation. Tenochtitlan was at the heart of a large urban complex, covering about five square miles. Their first view of this magnificent development astonished European explorers, when they arrived in the 16th century. Bernal Diaz del Castillo's description of the city records both important details about the city, and the reaction of Europeans. Tenochtitlan was only one of dozens of similar city-states in Mexico, building on centuries of civilization in the Americas. The term "indian", applied to the indigenous peoples of the Americas, is misleading in implying homogeneity. The two continents were in fact covered
with a wide variety of cultures. This great diversity allows a close study of only a few major civilizations, the great imperial states of Mesoamerica (central Mexico) and the Andes, plus a few other independently developing peoples.

Postclassic Mesoamerica, 1000-1500 C.E. The collapse of Teotihuacan and the abandonment of Mayan cities in the 8th century C.E. was followed by significant political and cultural changes. The nomadic Toltecs built a large empire centered in central Mexico. They established a capital at Tula about 968 and adopted many cultural features from sedentary peoples. The Aztecs organized an equally impressive successor state.

The Toltec Heritage. The Toltecs created a large empire reaching beyond central Mexico. Around 1000 they extended their rule to Yucatan and the former Maya regions. Toltec commercial influence extended northward as far as the American southwest, and perhaps to the Hopewell peoples of the Mississippi and Ohio valleys, who share many cultural features with the Toltecs.

The Aztec Rise to Power. Northern nomadic invasions probably caused the collapse of the Toltec empire around 1150. The center of population and political power shifted to the valley of Mexico and its large chain of lakes. A dense population used the water for agriculture, fishing, and transportation. The region became the cultural heartland of postclassical Mexico. It was divided politically into many small and competing units. The militant Aztecs (or Mexica) migrated to the region during the early 14th century and initially served the indigenous inhabitants as allies or mercenaries. Around 1325 they founded Tenochtitlan on lake islands. By 1434, the Aztecs had become the dominant regional power.

The Aztec Social Contract. The Aztecs were transformed by the process of expansion and conquest from an association of clans to a stratified society under a powerful ruler. The Aztecs developed a self-image as a people chosen to serve the gods. The long-present religious practice of human sacrifice was greatly expanded. The military class had a central role as suppliers of war captives for sacrifice. The rulers used sacrifice as an effective means of political terror. By the time of Moctezuma II, the ruler dominated the state, wielding both secular and religious power.

Religion and the Ideology of Conquest. In the Aztec religion, little distinction was made between the world of the gods and the natural order. Hundreds of male and female gods representing rain, fire, etc., were worshipped. They can be arranged into three major divisions. The first included gods of fertility, the agricultural cycle, maize, and water. The second group centered on creator deities. The third division was composed of the gods of warfare and sacrifice, among them Huitzilopochtli, the tribal patron. He became the paramount deity and was identified with the old sun god; he drew strength from the sacrifice of human lives. The Aztecs considerably expanded the existing Mesoamerican practice of human sacrifice. Symbolism and ritual, including ritual cannibalism, accompanied the sacrifices. The balance between sacrifice motivated by religion or terror is still under debate. The Aztecs had other religious concerns besides sacrifice. They had a complex mythology that explained the birth and history of the gods and their relation to humans. Religious symbolism infused all aspects of
life. The Aztecs had a cyclical, fatalistic, view of history; they believed the world had been destroyed before and would be again, in spite of attempts at propitiation.

**Feeding the People: The Economy of the Empire.** Feeding the Aztec confederation depended both upon traditional agricultural forms and innovations. Conquered peoples lost land and gave food as tribute. In and around the lake, the Aztecs developed a system of irrigated agriculture. They built *chinampas*, artificial floating islands, which permitted the harvesting of high-yield multiple yearly crops. Aztec peasant production and tribute supplied the basic foods. Clans in each community apportioned land between people, nobles, and temples. There were periodic markets for exchange. The great daily market at Tlatelolco was controlled by a merchant class (*pochteca*), which specialized in long-distance luxury item trade. The Aztecs had a state-controlled mixed economy: tribute, markets, consumption, and distribution were highly regulated.

**Aztec Society in Transition.** The society of the expanding Aztec empire became increasingly hierarchical. Calpulli organization survived, but different social classes appeared. Tribute from subject peoples was not enough to maintain the large Aztec population.

**Widening Social Gulf.** By the 16th century, the seven original calpulli had expanded from kinship groups to become residential groupings including neighbors, allies, and dependents. The calpulli performed vital local functions in distributing land and labor and maintaining temples and schools. During wars they organized military units. Calpulli were governed by councils of family heads, but all families were not equal. During Aztec expansion, a class of nobility had emerged from privileged families in the most distinguished calpulli. The nobles controlled the military and priesthood. Military virtues infused all society and were linked to the cult of sacrifice; they justified the nobility's predominance. Death in battle assured eternal life, rewarded also to women dying in childbirth. The social gulf separating nobles from commoners widened. Social distinctions were formalized by giving the nobility special clothes and symbols of rank. The imperial family was the most distinguished of the pipiltin. A new class of workers resembling serfs was created to serve on the nobility's private lands. They held a status above slaves. Other groups, scribes, artisans, and healers constituted an intermediate social group in the larger cities. Long-distance merchants had their own calpulli, but restrictions blocked their entry into the nobility.

**Overcoming Technological Constraints.** Aztec women had a variety of roles. Peasant women helped in the fields, but their primary work was in the household; skill in weaving was highly esteemed. Elder women trained young girls. Marriages were arranged between lineages, and female virginity was important. Polygamy existed among the nobility; peasants were monogamous. Women inherited and passed on property, but in political and social life they were subordinate to men. New World technology limited social development, especially for women, when compared to other cultures. In the absence of milling technology, women spent many hours daily in grinding maize by hand for household needs. The total Aztec population may have reached over 20 million.

**A Tribute Empire.** Each of the Aztec city-states was ruled by a speaker chosen from the nobility. The ruler of Tenochtitlan, the Great Speaker, surpassed all others in wealth and power.
He presided over an elaborate court. His prime minister, usually a close relative of the ruler, wielded tremendous power. There was a governing council, but it lacked real power. During the first 100 years of Aztec expansion, a powerful nobility and emperor had taken over authority formerly held by calpulli. Military virtues became supreme as the state religion, and the desire for more tribute and captives for sacrifice drove the Aztecs to further conquests. The empire was not integrated; defeated local rulers often remained in place as subordinate officials. They were left alone if tribute and labor obligations were met. Revolts against the exactions were ruthlessly suppressed. The Aztec system was successful because it aimed at political domination and not direct control. In the long run, the growing social stresses created by the rise of the nobles, and the terror and tribute imposed on subjects contributed to the empire's collapse.

In Depth: The "Troubling" Civilizations of the Americas. European concepts of civilization did not match with the practices of American Indians. Judging a civilization different from one's own always is a complex proceeding. While some condemn Aztec sacrifice, others romanticize the Indian past. Arguments over the possible existence of Inca socialism or about the nature of Aztec religion exemplify these two attitudes. Moral judgment is probably inevitable, but students of history must strive to understand a people's practices in the context of its own time and culture.

Twantinsuyu: World of the Incas. During the period following the disintegration of the states of Tihuanaco and Huari (c.550-1000 C.E.), smaller regional states exercised power in the Andes. Some of them were centers of agricultural activity and population density. The considerable warfare among the states resembled the post-Toltec period in Mesoamerica. The state of Chimor (900-1465) emerged as most powerful, controlling most of the north coast of Peru. After 1300 the Inca developed a new civilization.

The Inca Rise to Power. In the southern Andean highlands many groups fought for supremacy. Quechua-speaking clans (ayllus) around Cuzco won control of territory formerly under Huari. By 1438, under Pachacuti, they began campaigns ending with their control of the region. Pachacuti's son, Topac Yupanqui, conquered Chimor and extended Inca rule into Ecuador and Chile. Huayna Capac consolidated the conquests; by his death in 1527 the Inca empire–Twantinsuyu–stretched from Colombia to Chile, and eastward to Bolivia and Argentina. From 9 to 13 million people were under Inca rule.

Conquest and Religion. The Inca had other reasons for expansion besides the desire for economic gain and political power. They adopted from Chimor the practice of "split inheritance": all of a ruler's political power went to the successor, while all wealth and land passed to male descendants for the eternal support of the cult of the dead rulers who served as intermediaries with the gods. The system created a justification for endless expansion. Inca political and social life was infused with religious meaning. The sun was the highest deity; the ruler (Inca) was the god's representative on earth. The Temple of the Sun at Cuzco was the center of state religion. The sun cult spread throughout the empire, but the worship of local gods continued. Popular belief was based upon a profound animism that endowed natural phenomena with spiritual power. Prayers and sacrifices were offered at holy shrines (huacas), which were organized into groupings under the authority of ayllus. The temples were served by
priests and women dedicated to preparing the sacrifices and managing important festivals and celebrations.

**The Techniques of Inca Imperial Rule.** The Inca, considered virtually a god, ruled the empire from Cuzco, also the site of the major temple. The empire was divided into four provinces, each under a governor. The Incas had a bureaucracy in which most of the nobility served. Local rulers (*curacas*) continued in office in return for loyalty. They were exempt from tribute and received labor or produce from their subjects. Their hostage sons were educated in Cuzco. The Quechua language, the use of colonists, and the forced transfer of peoples were important techniques for integrating the empire. A complex system of roads, bridges, and causeways, with way stations (*tambos*) and storehouses, helped military movement. Conquered peoples supplied land and labor. They served in the military and received rewards from new conquests. The Inca state organized building and irrigation projects beyond the capabilities of subject peoples. In return, tribute and loyalty were required. All local resources were taken and redistributed: there were lands for the people, the state, and religion. Labor on state and religious land was demanded rather than tribute in kind. Women had to weave cloth for the court and religious use. Some women were taken as concubines for the Inca or as temple servants. Each community was controlled by the ayllus and aimed at self-sufficiency. Most males were peasants and herders. Women worked in the household, wove cloth, and aided in agriculture. Since Andean people recognized parallel descent, property passed in both lines. Even though an ideology of complementarity of the sexes was strong, the emphasis on military virtue made men dominant. The idea of gender cooperation was reflected in cosmology. Gods and goddesses were venerated by both sexes, though women had a special feeling for the moon and the fertility goddesses of the earth and corn. The ruler's senior wife was a link to the moon. Still, male power within the empire showed in the selection of women for state and temple purposes. The integration of imperial policy with regional diversity was a political achievement. Reciprocity between the state and local community allowed the empire to function efficiently. Within the system the Inca nobility had many privileges and were distinguished by dress and custom. There was no distinct merchant class because of the emphasis on self-sufficiency and state management of the economy. The state remained strong until it lost control of its subject peoples and government mechanisms. Royal multiple marriages used to forge alliances eventually created rival claimants for power and civil war.

**Inca Cultural Achievements.** The Inca produced beautiful pottery and cloth. Their metallurgy was among the most advanced of the Americas. They lacked the wheel and a writing system, instead using knotted strings (*quipu*) for accounts and enumeration. The peaks of Inca genius were in statecraft and architecture; they constructed great stone buildings, agricultural terraces, irrigation projects, and road systems.

**Comparing Incas and Aztecs.** Both empires were based upon the long development of civilizations that preceded them. They excelled in imperial and military organization. The two were based upon intensive agriculture organized by the state, which also redistributed goods. The Aztecs and Incas transformed an older kinship system into a hierarchical one where the nobility predominated. In both, the nobility provided the state with personnel. Although the Incas tried to integrate their empire as a unit, both empires recognized local ethnic groups and political leaders in return for loyalty. The Aztecs and Incas found their military power less
effective against nomadic frontier people; their empires were based on conquest and exploitation of sedentary peoples. There were considerable differences between Incas and Aztecs, many of them the result of climate and geography. Trade and markets were more developed among the Aztecs. Other differences were present in metallurgy, writing systems, and social definition and hierarchy. In the context of world civilizations, both can be viewed as variations of similar patterns, with sedentary agriculture as the most important factor.

**The Other Peoples of the Americas.** Mesoamerican and Andean civilizations were high points of Indian cultural development. The rest of the American continents were occupied by many peoples living in different ways. They can be grouped according to gradations based upon material culture and social complexity. The Incas shared many cultural traits with tribal peoples of the Amazon, including clan divisions. The diversity of ancient America forces a reconsideration of patterns of human development derived from other civilizations. Social complexity based upon agriculture was not necessary for fishing and hunting-gathering societies of the northwest United States and British Columbia, that developed hierarchical societies. In Colorado and South America, Indians practiced irrigated agriculture but did not develop states.

**How Many Peoples?** Arguments about the population of the Americas are longstanding. Most scholars now agree that Mesoamerica and the Andes had the largest populations (see table 16.1). If we accept a total of 67 million, in a world population of about 500 million in 1500 (see table 16.2), Americans clearly were a major segment of humanity.

**Differing Cultural Patterns.** The major cultural patterns in the Americas outside of the main civilization areas shared features with both the Andes and Mesoamerica, perhaps serving at times as points of cultural and material change between the two regions. Sedentary agriculture-based chiefdoms on some Caribbean islands shared many resemblances with Polynesian societies. For other islanders, chiefs ruled over dense populations subsisting on manioc. By 1500, agriculture was widely diffused throughout the Americas. Some societies combined it with hunting and fishing. Slash-and-burn farming caused frequent movement in societies often not possessing large numbers, strong class divisions, or craft specialization. There were few nomadic herders, but there were hunting-and-gathering kin-based groups. In 1500 about 200 languages were spoken in North America. By then the towns of the Mississippi mound-builders had been abandoned and only a few peoples maintained their patterns. In the southwest, the Anasazi descendants and other cliff dwellers had moved to pueblos along the Rio Grande and practiced irrigated agriculture. Most other North American Indians were hunters and gatherers, sometimes also cultivating crops. In rich environments, complex social organization might develop without agriculture. There were sharp differences with contemporary European and Asian societies. Most Indian societies were kin-based, with communal ownership of resources. Material wealth was not important for social rank. Women were subordinate to men, but in many societies held important political and social roles. They had a central role in crop production. Indians, unlike Europeans and Asians, viewed themselves as part of the ecological system, not in control of it.

**American Indian Diversity in World Context.** Two great imperial systems were created in Mesoamerica and the Andes. By the close of the 15th century, these militaristic states were fragile, weakened by internal strains and technological inferiority. American societies ranged
from the Aztec-Inca great civilizations to small bands of hunters. The continued evolution of all Indian societies was disastrously disrupted by European invasions beginning in 1492.

GLOBAL CONNECTIONS: The Americas and the World. Isolation from other world civilizations was a major factor in the development of American civilizations. Key technologies, domesticated animals, disease immunity, and world religions were absent. The early Americans did make impressive economic, political, and cultural achievements, but their isolation left them at a disadvantage when encountering other world civilizations.

KEY TERMS

Indian: misnomer created by Columbus when referring to indigenous New World peoples; still used to describe Native Americans.

Toltecs: nomadic peoples from beyond the northern frontier of sedentary agriculture in Mesoamerica; established capital at Tula following migration into central Mesoamerican plateau; strongly militaristic ethic, including cult of human sacrifice.

Aztecs: the Mexica; one of the nomadic tribes that penetrated into the sedentary zone of the Mesoamerican plateau after the fall of the Toltecs; established empire after 1325 around shores of Lake Texcoco.

Tenochtitlan: founded circa 1325 on a marshy island in Lake Texcoco; became center of Aztec power.

Huitcilopochtli: Aztec tribal patron god; central figure of human sacrifice and warfare; identified with old sun god.

Calpulli: clans in Aztec society; evolved into residential groupings that distributed land and provided labor and warriors.

Chinampas: beds of aquatic weeds, mud, and earth placed in frames made of cane and rooted in lakes to create "floating islands"; system of irrigated agriculture used by Aztecs.

Pochteca: merchant class in Aztec society; specialized in long-distance trade in luxury items.

Inca socialism: an interpretation describing Inca society as a type of utopia; image of the Inca empire as a carefully organized system in which every community collectively contributed to the whole.

Twantinsuyu: Inca word for their empire; region from Colombia to Chile and eastward into Bolivia and Argentina.

Inca: group of clans (ayllu) centered at Cuzco; created an empire in the Andes during the 15th century; also title of the ruler.
Pachacuti: Inca ruler (1438-1471); began the military campaigns that marked the creation of an Inca empire.

Topac Yupanqui: Inca ruler (1471-1493); extended his father’s conquests; seized the northern coastal kingdom of Chimor and pushed into Equador.

Huayna Capac: Inca ruler (1493-1527); brought the empire to its greatest extent.

Split inheritance: Inca practice of ruler descent; all titles and political power went to successor, but wealth and land remained in hands of male descendants for support of dead Inca's mummy.

Temple of the Sun: Inca religious center at Cuzco; center of state religion; held mummies of past Incas.

Curacas: local rulers who the Inca left in office in return for loyalty.

Tambos: waystations used by Incas as inns and storehouses; supply centers for Inca armies; relay points for system of runners used to carry messages.

Quipu: system of knotted strings utilized by the Incas in place of a writing system; could contain numerical and other types of information for censuses and financial records.

LECTURE SUGGESTIONS

1. Compare and contrast the imperial civilizations of the Andes and Mesoamerica. Both were based on the long development of preceding civilizations. They represented the success of imperial and military organization, and of extensive agricultural systems controlled by the state. Older kinship groups had been transformed into a hierarchical system and the nobility became state personnel. Both recognized local ethnic groups and-political leaders in return for recognition of sovereignty. There were similarities in belief systems and cosmology. Each power had limited success against nomadic people on their frontiers. Differences came from climate and geography: the Andes region was more mountainous and isolated. Trade, markets, and a merchant class were present in each, although they were more developed among the Aztecs. The Incas lacked a writing system, but had greater metallurgical skills. The Aztecs made extensive use of human sacrifice.

2. Discuss the similarities and differences between the civilizations of the Americas and Polynesia. Among the similarities were a strong emphasis on clan-based societies, a division of resources according to clans, and lack of writing systems (at least among the Inca), strongly animistic religions, emphasis on militaries (at least among the Maori), lack of technological sophistication, absence of large mammals, lack of pastoral nomadism, and the practice of human sacrifice and ritual cannibalism. Among the differences, the Polynesians lacked the following elements present in the Americas: imperial systems and monumental architecture. In the Americas, the civilizations were much larger and had a higher population density.
CLASS DISCUSSION QUESTIONS

1. What was the relationship of the Aztecs to the Toltecs?

2. What was the political and economic organization of the Aztec empire?

3. What was the social organization of the Aztec empire?

4. What was the political and economic organization of the Inca empire?

5. What was the social organization of the Inca empire?

6. How did the other Indian groups of the Americas differ from the imperial cultures?

7. How were American societies different from European, Asian, and African societies?

THE INSTRUCTOR'S TOOL KIT

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CHAPTER 17
Reunification and Renaissance in Chinese Civilization: The Era of the Tang and Song Dynasties

I. Rebuilding the Imperial Edifice in the Sui-Tang Eras
   Wendi
   nobleman
   leads nomadic leaders to control northern China
   589, defeat of Chen kingdom
   established Sui dynasty

   A. Sui Excesses and Collapse
   Yangdi
   son of Wendi
   legal reform
   reorganized Confucian education
   scholar-gentry again part of administration
   Loyang
   new capital
   building projects
   canals built across empire
   attacked Korea
   defeated by Turks, 615
   assassinated, 618

   B. The Emergence of the Tang and the Restoration of the Empire
   Li Yuan, Duke of Tang
   uses armies to unite China
   extends borders to Afghanistan
   use of Turks in army

   Empire into Tibet, Vietnam, Manchuria, Korea
   Great Wall repaired

   C. Rebuilding the Bureaucracy
   Unity
   aristocracy weakened
   Confucian ideology revised
   scholar-gentry elite reestablished
   bureaucracy
   Bureau of Censors

   D. The Growing Importance of the Examination System
   Ministry of Rites
   oversees examination system
   highest offices based on Confucian classics, Chinese literature
Birth, connections important for office

E. State and Religion in the Tang and Song Eras
Conucianism and Buddhism potential rivals
Buddhism had been central
*Mahayana* Buddhism popular in era of turmoil
*Chan* (Zen) Buddhism common among elite

Early Tang support Buddhism
Empress Wu (690-705)
endows monasteries
tried to make Buddhism the state religion
50,000 monasteries by c. 850

F. The Anti-Buddhist Backlash
Confucians in administration
support taxation of Buddhist monasteries

Persecution under Emperor Wuzong (841-847)
monasteries destroyed
lands redistributed

Confucian emerges the central ideology

II. Tang Decline and the Rise of the Song
Emperor Xuanzong (713-756)
height of Tang power
mistress, Yang Guifei
powerful
relatives gain power in government

755, revolt
but leaders ineffectual
frontier peoples, governors benefit

A. The Founding of the Song Dynasty
907, last Tang emperor resigns

Zhao Kuangyin (Taizu)
960, founds Song dynasty
Liao dynasty, Manchura
Khitan nomads
unconquered by Taizu
Song unable to defeat northern nomads
Song pay tribute to Liao

B. Song Politics: Settling for Partial Restoration.
Scholar-gentry patronized
given power over military

C. The Revival of Confucian Thought
Libraries established
old texts recovered

Neo-confucians
stress on personal morality
Zhū Xī
importance of philosophy in everyday life
hostility to foreign ideas
gender, class, age distinctions reinforced

D. Roots of Decline: Attempts at Reform
Khitan independence encourages others

Tangut, Tibet
Xi Xia
Song pay tribute

Wang Anshi
Confucian scholar, chief minister
reforms
supported agricultural expansion
landlords, scholar-gentry taxed

E. Reaction and Disaster: The Flight to the South
1085, emperor supporting Wang Anshi dies
reforms reversed

Jurchens defeat Liao
1115, found Jin kingdom
invade China
Song flee south
new capital at Hangzhou
Southern Song Dynasty (1127-1279)
III. Tang and Song Prosperity: The Basis of a Golden Age

Canal system
  built to accommodate population shift
  Yangdi's Grand Canal
    links north to south

A. A New Phase of Commercial Expansion
  Silk routes reopened
    greater contact with Buddhist, Islamic regions

  Sea trade
    developed by late Tang, Song
      junk

  Commerce expands
    credit
    deposit shops
      early banks
    flying money
      credit vouchers

  Urban growth
    Changan
      Tang capital
        2 million

B. Expanding Agrarian Production and Life in the Country
  New areas cultivated
    canals help transport produce

  Aristocratic estates
    divided among peasants
    scholar-gentry replace aristocracy

C. Family and Society in the Tang-Song Era
  Great continuity
  Marriage brokers
  Elite women have broader opportunities
    Empresses Wu, Wei
    Yang Guifei
  Divorce widely available
D. The Neo-Confucian Assertion of Male Dominance  
Neo-Confucians reduce role of women  
- confinement  
- men allowed great freedom  
- men favored in inheritance, divorce  
- women not educated  
- foot binding

E. A Glorious Age: Invention and Artistic Creativity  
- Influence over neighbors  
- Economy stimulated by advances in farming, finance  
- Explosives  
  - used by Song for armaments  
- Compasses, abacus  
- Bi Sheng  
  - printing with moveable type

F. Scholarly Refinement and Artistic Accomplishment  
- Scholar-gentry key  
  - change from Buddhist artists  
  - secular scenes more common  
- Li Bo  
  - poet  
  - Nature a common them in poetry, art

The Song Capital, Hangzhou. Under the Tang and the Song dynasties, the cities of China embodied the achievements of the age. Among them, Hangzhou, the capital of the Song, was unsurpassed. Positioned on the Yangtze delta, Hangzhou was ideally placed for trade, both internal and external, and supported a population of more than one and a half million. The city abounded in amenities, including restaurants, tea houses, parks and public entertainment.

Chapter Summary. Basic themes of Chinese civilization underwent vital consolidation during the postclassical period. Although less fundamental innovation occurred than in the Middle East, the Americas, and Europe, important developments took place in technology. Political turmoil followed the fall of the Han, and the empire's bureaucratic apparatus collapsed. The scholar-gentry class lost ground to landed families. Non-Chinese nomads ruled much of China and a foreign religion, Buddhism, replaced Confucianism as a primary force in cultural and political life. There was economic, technological, intellectual, and urban decline. New dynasties, the Sui and Tang, from the end of the 6th century brought a restoration of Chinese civilization.
Rebuilding the Imperial Edifice in the Sui-Tang Eras. A noble, Wendi, with the support of nomadic military leaders, won control of northern China. In 589 he defeated the Chen kingdom which ruled much of the south and established the Sui dynasty as rulers of the traditional Chinese core. Wendi won popularity by lowering taxes and establishing granaries to ensure a stable, cheap food supply.

Sui Excesses and Collapse. Wendi's son Yangdi continued strengthening the state by further conquests and victories over nomads. He reformed the legal code and the Confucian educational system. The scholar-gentry were brought back into the imperial administration. Yangdi undertook extensive and expensive construction projects in the new capital, Loyang, and built a series of canals to link the empire. He attempted unsuccessfully to conquer Korea and was defeated by Turkic nomads in central Asia in 615. Widespread revolts followed. Imperial rule crumbled and Yangdi was assassinated in 618.

The Emergence of the Tang and the Restoration of the Empire. Imperial unity was saved when Li Yuan, Duke of Tang and a former supporter of the Sui, won control of China and began the Tang dynasty. Tang armies extended the empire's reach to the borders of Afghanistan and thus dominated the nomads of the frontier borderlands. The Tang utilized Turkic nomads in their military, and tried to assimilate them into Chinese culture. The Great Wall was repaired. The extensive Tang empire stretched into Tibet, Vietnam, Manchuria, and Korea.

Rebuilding the Bureaucracy. A restored scholar-gentry elite and reworked Confucian ideology helped the Tang to maintain imperial unity. The power of the aristocracy was reduced, and political authority henceforth was shared by imperial families and scholar-gentry bureaucrats. The bureaucracy, subject to strict controls, reached from the imperial court to district levels of administration. A Bureau of Censors supervised all officials.

The Growing Importance of the Examination System. Under the Tang and Song, the numbers of scholar-gentry rose far above Han levels. They greatly extended the examination system, and civil service advancement routes were regularized. Specialized exams were administered by the Ministry of Rites. The highest offices went only to individuals able to pass exams based on the Confucian classics and Chinese literature. Additional exams determined their ranking in the pool of those eligible for office and accompanying special social status. Birth and family connections remained important for gaining high office. Intelligent commoners might rise to high positions, but the central administration was dominated by a small number of prominent families.

State and Religion in the Tang and Song Eras. The Confucian revival threatened Buddhism’s place in Chinese life. Many previous rulers had been strong Buddhist supporters. Chinese monks gave the foreign religion Chinese qualities. Salvationist Mahayana Buddhism won wide mass acceptance during the era of war and turmoil. Elite Chinese accepted Chan Buddhism, or Zen, which stressed meditation and appreciation of natural and artistic beauty. The early Tang rulers continued to patronize Buddhism, especially Empress Wu (690-705). She endowed
monasteries, commissioned colossal statues of Buddha, and sought to make Buddhism the state religion. There were about 50,000 monasteries by the mid-9th century.

The Anti-Buddhist Backlash. Confucians and Daoists opposed Buddhist growth, castigating it as an alien faith. Daoists stressed their powers of magical and prediction. Confucian scholar-administrators worked to convince the Tang that untaxed Buddhist monasteries posed an economic threat to the empire. Measures to limit land and resources granted to Buddhists gave way to open persecution under Emperor Wuzong (841-847). Thousands of monasteries and shrines were destroyed; hundreds of thousands of monks and nuns had to return to secular life. Buddhist lands were taxed or redistributed to taxpaying nobles and peasants. Buddhism survived the persecutions, but in a much reduced condition. Confucianism emerged as the enduring central ideology of Chinese civilization.

Tang Decline and the Rise of the Song. The reign of Emperor Xuanzong (713-756) marked the zenith of Tang power. He initially advanced political and economic reform; later he turned to patronizing the arts and the pleasures of the imperial city. Xuanzong became infatuated with an imperial harem woman, Yang Guifei. She filled upper levels of government with her relatives and gained authority in court politics. Rival cliques stimulated unrest, while lack of royal direction caused economic distress and military weakness. A serious revolt occurred in 755. The rebels were defeated, and Yang Guifei was killed, but Xuanzong and succeeding rulers were ineffectual rulers. Nomadic frontier peoples and regional governors used the disorder to gain virtual independence. Worsening economic conditions in the 9th century caused many revolts, some of them popular movements led by peasants.

The Founding of the Song Dynasty. The last Tang emperor resigned in 907, but, after a period of turmoil, a military commander reunited China. Zhao Kuangyin, renamed Taizu, in 960 unity under the Song dynasty. His failure to defeat the Liao dynasty of Manchuria, founded by Khitan nomads in 907, established a lasting precedent for Song weakness in dealing with northern nomadic peoples. Ensuing military victories by the Khitans led to the paying of heavy tribute to the Liao who became very much influenced by Chinese culture.

Song Politics: Settling for Partial Restoration. The Song never matched the Tang in political or military strength. To prevent a return of the conditions ending Tang rule, the military was subordinated to scholar-gentry civilians. Song rulers strongly promoted the interests of the Confucian scholar-gentry class over aristocratic and Buddhist rivals. Salaries were increased, civil service exams were regularized, and successful candidates had a better chance for employment.

The Revival of Confucian Thought. Confucian ideas and values dominated intellectual life. Long-neglected texts were recovered; new academies for the study of the classics and impressive libraries were founded. Many thinkers labored to produce differing interpretations of Confucian and Daoism, and to prove the superiority of indigenous thought. One prominent neo-Confucianist, Zhu Xi, emphasized the importance of applying philosophical principles to everyday life. Neo-Confucians believed that the cultivation of personal morality was the highest human goal. Confucian learning, they argued, produced superior men to govern and teach others. Neo-Confucian thinking had a lasting impact on intellectual life. Hostility to foreign
thought prevented the entry of innovations from other societies, while the stress on tradition stifled critical thinking within China. Neo-Confucian emphasis on rank, obligation, deference, and performance of rituals reinforced class, gender, and age distinctions. The authority of the patriarchal family head was strengthened. Neo-Confucianists claimed that social harmony and prosperity was maintained when men and women performed the tasks appropriate to their status.

**Roots of Decline: Attempts at Reform.** Song weakness before the Khitan encouraged other nomads to carve out kingdoms on the northern borders. The Tangut from Tibet established the kingdom of Xi Xia southwest of Liao. The Song paid them and other peoples tribute, and maintained a large army to protect against invasion, thus draining state resources and burdening the peasantry. The dynasty's emphasis on scholar-gentry concerns contributed to military decline. The Confucian scholar and chief minister Wang Anshi attempted sweeping reforms in the late 11th century. He used Legalist principles, and encouraged agricultural expansion through cheap loans and government-assisted irrigation projects. The landlord and scholar-gentry were taxed and the revenues went for military reform. Wang Anshi even attempted to revitalize the educational system by giving preference to analytical skills.

**Reaction and Disaster: The Flight to the South.** When the emperor supporting Wang Anshi died in 1085, his successor favored conservatives opposing reform. Neo-Confucianists gained power and reversed Wang's policies. Economic conditions deteriorated and the military was unable to defend the northern borders. The nomadic Jurchens overthrew Liao, and in 1115 established the Jin kingdom. They invaded China and annexed most of the Yellow River basin. The Song fled south and established a capital at Hangzhou in the Yangtze River basin. The small Southern Song dynasty ruled from 1127 to 1279.

**Tang and Song Prosperity: The Basis of a Golden Age.** The Sui and Tang had built canals because of a major shift in Chinese population balance. Yangdi’s Grand Canal, eventually over 1200 miles long, linked the original civilization centers of the north with the Yangtze River basin. The rice-growing regions of the south became the major food producers of the empire. By early Song times, the south was the leader in crop production and population. The canal system made possible government of the south by northern capitals. Food from the south could be distributed to the north, while the south was opened to migration and commercial development.

**A New Phase of Commercial Expansion.** Tang conquests and the canal system promoted commercial expansion. Expansion into central Asia reopened the silk routes to the west and intensified international contacts with the Buddhist and Islamic worlds. China exported manufactured goods in return for luxury items. By late Tang and Song times, Chinese merchants and sailors went directly to foreign ports; Chinese junks were among the best ships in the world and allowed the Chinese to be the dominant force in the seas east of the Malayan peninsula. The increased role of commerce and a money economy showed in the numerous and enlarged market quarters in Chinese urban centers. The expansion accompanied growing sophistication in commercial organization and forms of credit. Deposit shops, an early form of banks, and the first paper money appeared. Credit vouchers, called flying money, assisted transactions in distant markets.
Urban growth surged during the Tang and Song eras. The 2 million inhabitants of the Tang capital of Changan made it the world’s largest city. China's estimated urban population—10 percent of the total population—surpassed all others.

**Expanding Agrarian Production and Life in the Country.** Tang and Song rulers pushed agricultural expansion. Peasants were encouraged to migrate to new areas where the state supported military garrisons and provided irrigation and embankment systems. The canals enabled their produce to move through the empire. New crops and technology increased yields. Sui and Tang rulers adopted policies designed to break up aristocratic estates for more equitable distribution among free peasants, the class Confucian scholars held to be essential for a stable and prosperous social order. The scholar-gentry gradually supplanted the aristocracy in rural society.

**Family and Society in the Tang-Song Era.** Family organization resembled that of earlier eras. The status of women was improving under the Tang and early Song, but steadily declined during the late Song. Extended-family households were preferred, although only the upper classes could afford them. The Confucianist male-dominated hierarchy was common in all classes. An elaborate process of making marriage alliances was handled by professional female go-betweens. Partners, in contrast to India, were of the same age. Urban classes consummated marriage later than peasants. Upper-class women had increased opportunities for personal expression and career possibilities under the Tang and early Song. The empresses Wu and Wei, and the royal concubine Yang Guifei, exercised considerable power. The legal code had provisions supporting women's rights in divorce arrangements. The practice of allowing wealthy urban women to have lovers is an example of female independence.

**The Neo-Confucian Assertion of Male Dominance.** The independence and legal rights of the elite minority of women worsened under the influence of Neo-Confucian thinkers. They stressed the roles of homemaker and mother, advocated physical confinement of women, emphasized the importance of bridal virginity, wifely fidelity, and widow chastity. Men were permitted free sexual behavior and remarriage. The decline of the opportunities once open in Buddhism also contributed to the decline in women's status. New laws favored males in inheritance and divorce, and females were excluded from the educational system. The painful, mobility-restricting practice of foot binding exemplifies the lowly position imposed upon women in late Song times.

**A Glorious Age: Invention and Artistic Creativity.** The Tang and Song periods are most remembered for their accomplishments in science, technology, literature, and the fine arts. Technological and scientific discoveries—new tools, production methods, weapons—passed to other civilizations and altered the course of human development. The arts and literature passed to neighboring regions—central Asia, Japan, and Vietnam. Engineering feats—the Grand Canal, dikes and dams, irrigation systems, bridges—were especially noteworthy. New agricultural implements and innovations—banks and paper money—stimulated prosperity. Explosive powder was invented under the Tang; it was used for fireworks until the Song adapted it to military use. Song armies and navies also used naphtha flame-throwers, poisonous gasses, and rocket launchers. On the domestic side, chairs, tea drinking, the use of coal for fuel, and kites were introduced. Compasses were applied to ocean navigation, and the abacus helped numerical
figuring. In the 11th century the artisan Bi Sheng devised printing with movable type. Combined with the Chinese invention of paper, printing allowed a literacy level higher than any other preindustrial civilization.

**In Depth: Artistic Expression and Social Values.** Examining artistic creativity is an effective approach for studying the values of a civilization. In preliterate societies, art and architecture provide evidence otherwise lacking. When civilizations have written records we can learn about social structure by discovering who produced art, for whom it was created, by the technologies and materials utilized, and through the messages it was meant to convey. In India and European societies artistic creations were the work of skilled craftsmen, a role played in China by the scholar-gentry class. In another difference, Indian, Muslim, and European artisans made anonymous creations for a mass audience. In China, identifiable individuals produced art for the pleasures of the elite.

**Scholarly Refinement and Artistic Accomplishment.** The reinvigorated scholar-gentry class was responsible for artistic and literary creativity. Well-educated men were supposed to be generalists capable of both official and artistic achievement. As the scholar-gentry replaced Buddhists as artists and writers of note, they turned to portraying daily life and the delights of nature. Literature focused upon the doings and beliefs of common people. Poets like Li Bo celebrated the natural world. Under the Song, interest in nature reached artistic fruition in symbolic landscape paintings, many accompanied by poems, which sought to teach moral lessons or explore philosophic ideas.

**GLOBAL CONNECTIONS: China's World Role.** The Song dynasty fell to the Mongol invasions inaugurated by Chinggis Khan. Kubilai Khan completed the conquest and founded the Yuan dynasty. The Tang and Song dynasties had a great impact upon both Chinese and world history. Centralized administration and the bureaucratic apparatus were restored and strengthened. The scholar-gentry elite triumphed over Buddhist, aristocratic, and nomadic rivals. They defined Chinese civilization for the next 650 years. The area subject to Chinese civilization expanded dramatically, as the south was integrated to the north. The Chinese economy, until the 18th century, was a world leader in market orientation, overseas trade volume, productivity per acre, sophistication of tools, and techniques of craft production. Chinese inventions altered development all over the world.

**KEY TERMS**

**Period of the Six Dynasties:** era of continuous warfare (220-589) among the many kingdoms that followed the fall of the Han.

**Wendi:** member of prominent northern Chinese family during the Period of Six Dynasties; established Sui dynasty in 589, with support from northern nomadic peoples.

**Yangdi:** 2nd Sui ruler; restored Confucian examination system; constructed canal system; assassinated in 618.
Li Yuan: Duke of Tang; minister for Yangdi; took over empire after assassination of Yangdi; 1st Tang ruler.

Ministry of Public Rites: administered the examinations for state office during the Tang dynasty.

Jinshi: title given students who passed the most difficult examinations; became eligible for high office.

Chan Buddhism: called Zen in Japan; stressed meditation and appreciation of natural and artistic beauty; popular among the elite.

Mahayana (Pure Land) Buddhism: emphasized salvationist aspects of Chinese Buddhism; popular among the masses.

Wuzong: Tang emperor (841-847); persecuted Buddhist monasteries and reduced influence of Buddhism in favor of Confucianism.

Yang Guifei: royal concubine of Tang emperor Xuanzong; introduction of relatives into administration led to revolt.

Khitan nomads: founded Liao dynasty of Manchuria in 907; remained a threat to Song; very much influenced by Chinese culture.

Zhao Kuangyin: general who founded Song dynasty; took royal name of Taizu.

Zhu Xi: most prominent Neo-Confucian scholar during the Song dynasty; stressed importance of applying philosophical principles to everyday life.

Wang Anshi: Confucian scholar and chief minister of a Song ruler in 1070s; introduced sweeping reforms based on Legalism; advocated greater state intervention in society.

Southern Song: smaller surviving dynasty (1127-1279); presided over one of the greatest cultural reigns in world history.

Jurchens: founders of Jin kingdom that succeeded the Liao in northern China; annexed most of Yellow River basin and forced Song to flee south.

Grand Canal: great canal system begun by Yangdi; joined Yellow River region to the Yangtze basin.

Junks: Chinese ships equipped with watertight bulkheads, stern-post rudders, compasses, and bamboo fenders; dominant force in Asian seas east of the Malayan peninsula.

Flying money: Chinese credit instrument that provided vouchers to merchants to be redeemed at the end of a venture; reduced danger of robbery; an early form of currency.
**Changan:** capital of Tang dynasty; population of 2 million larger than any contemporary world city.

**Hangzhou:** capital of later Song; location near East China Sea permitted international commerce; population over 1.5 million.

**Footbinding:** male imposed practice to mutilate women's feet in order to reduce size; produced pain and restricted movement; helped to confine women to the household.

**Bi Sheng:** 11th-century artisan; devised technique of printing with movable type; made it possible for China to be the most contemporary literate civilization.

**Li Bo:** most famous poet of the Tang era; blended images of the mundane world with philosophical musings.

**LECTURE SUGGESTIONS**

1. Discuss the positive and negative effects of the renaissance of Confucianism during the Tang-Song era. The Confucian renaissance permitted the restoration of imperial government, particularly the establishment of a centralized bureaucracy that was necessary for the maintenance of the examination and education system, the development of public works, and the administration of all levels of local government. But the development of Neo-Confucianism occurred at the cost of an effective military: China became increasingly vulnerable to outside attack. Its development also placed an increasing emphasis on traditional Chinese philosophy at the expense of outside influence and innovation. The attack on Buddhism, for one, diminished Chinese willingness to accept foreign ideas. The renaissance had a negative influence on the status of women and also diminished Chinese innovation in commerce with the outside world.

2. Discuss the proposition that the Tang-Song era was at the same time both innovative and conservative. The Chinese followed tradition by restoring the emphasis on an imperial, centralized government that relied on a trained scholar-gentry class. Similarly the restoration of Confucianism as the central ideology of the state was accompanied by the persecution of Buddhism. There also was a heavy emphasis on a social structure of the interlocking hierarchies associated with Confucianism. Among aspects stressed were the role of the scholar-gentry, agricultural reform benefiting the peasantry, male-dominated households (where the position of women deteriorated), lack of status for merchants, and the development of art forms heavily dependent on nature and Confucian themes of harmony. Innovation showed in the integration of southern China with northern regions, the development of agricultural productivity in the south, the increasing sophistication in market organization and commercial practices (paper money, credit), and technological sophistication (military use of gunpowder, the compass, movable type, the abacus, new engineering and agricultural advances).
CLASS DISCUSSION QUESTIONS

1. How did the Sui rise to power and why did they collapse?
2. In what way was the rise of the Tang associated with the Confucian renaissance?
3. What accounts for the decline of the Tang dynasty?
4. In what way was the Song empire weaker than the Tang?
5. What were the aspects of economic prosperity during the Tang-Song era?
6. Discuss the status of women during the Tang-Song era.
7. What was the overall impact of the Tang-Song era on Chinese history?
8. What innovations were made during the Tang-Song era?

THE INSTRUCTOR’S TOOL KIT

Map References

Danzer, Discovering World History through Maps and Views

Video/Film

*The Silk Road*. 6 video tapes. Filmic Archives
CHAPTER 18
The Spread of Chinese Civilization: Japan, Korea, and Vietnam

I. Japan: The Imperial Age
Taika, Nara, and Heian 7th to the 9th centuries)
  borrowing from China at height

A. Crisis at Nara and the Shift to Heian (Kyoto)
  Taika reforms
    copy Chinese style of rule
    bureaucracy
    opposed by aristocracy, Buddhist monks
  Capital to Heian (Kyoto)
    abandons Taika reforms
    aristocracy restored to power

B. Ultracivilized: Court Life in the Heian Era
  Court culture
    codes of behavior
    aesthetic enjoyment
    poetry
    women and men take part
      Lady Murasaki, Tale of Genji

C. The Decline of Imperial Power
  Fujiwara family
    dominate government
    cooperate with Buddhists
    elite cult

D. The Rise of the Provincial Warrior Elite
  Regional lords (busi)
    fortress bases
    semi-independent
    collect taxes
    personal armies
      samurai
Warrior class emerges
martial arts esteemed
special code
family honor
death rather than defeat
seppuku or hari-kiri
peasants lose status, freedom
Salvationist Buddhism

II. The Era of Warrior Dominance
By the 11th and 12th centuries
family rivalries dominate
Taira, Minamoto

A. The Declining Influence of China
838, Japanese embassies to China stopped

Gempei Wars
1185, Minamoto victorious
bakufu, military government
Kamakura, capital

B. The Breakdown of Bakufu Dominance and the Age of the Warlords
Yoritomo
Minamoto leader
assassinates relatives
death brings succession struggle

Hojo family
Minamoto, emperor figureheads

Ashikaga Takuaji
Minamoto
14th century, overthrows Kamakura rule
Ashikaga Shogunate established
emperor driven from Kyoto
struggle weakens all authority

1467-1477, civil war among Ashikaga factions
300 states
ruled by warlords (daimyo)

C. Toward Barbarism? Military Division and Social Change
Warfare becomes more brutal

Daimyo support commerce
D. Artistic Solace for a Troubled Age
Zen Buddhism
important among elite
point of contact with China

III. Korea: Between China and Japan
Separate, but greatly influence

A. Ancestors from Siberia, Manchuria
by 4th century B.C.E., farming, metal-working

109 B.C.E., Choson kingdom conquered by Han
Silla, Paekche

Koguryo people
resist Chinese dominance

Sinification increases after fall of the Han
Buddhism an important vehicle

B. Sinification: The Tributary Link
Silla, Koryo dynasties (668-1392)
peak of Chinese influence
but political independence

C. The Sinification of Korean Elite Culture
Silla capital, Kumsong
copied Tang cities

Buddhism favored

D. Civilization for the Few
Aristocracy most influenced by Chinese culture
all others serve them

E. Koryo Collapse, Dynastic Renewal
Revolts
caused by labor, tax burdens
weaken Silla, Koryo governments

1231, Mongol invasion
followed by turmoil

1392, Yi dynasty founded
lasts until 1910
IV. Between China and Southeast Asia: The Making of Vietnam

Chinese push south
to Red River valley

Viets
retain distinctiveness

Qin
raid into Vietnam, 220s B.C.E.
commerce increased
Viets conquer Red River lords

Merge with Mon-Khmer, Tai

Culture distinct from China
women generally have higher status

A. Conquest and Sinification
Han
expand, Vietnam becomes a tributary
from 111 B.C.E., direct control
Chinese culture systematically introduced

B. Roots of Resistance
Resistance from aristocracy, peasants
women participate

39 C.E., Revolt of Trung sisters

C. Winning Independence and Continuing Chinese Influences
Distance from China helps resistance

Independence by 939
until 19th century

Le Dynasty (980-1009)
using Chinese-style bureaucracy

D. The Vietnamese Drive to the South
Indianized Khmer, Chams
defeated, Viets expand into Mekong delta region
E. Expansion and Division

Hanoi
far from frontiers
cultural divisions develop following intermarriage with Chams, Khmers

Nguyen dynasty
capital at Hue, by late 1500s
challenge Trinh in north
rivalry until 18th century

Chapter Summary. The peoples on China's borders naturally emulated their great neighbor. Japan borrowed heavily from China during the 5th and 6th centuries when it began forming its own civilization. To the north and west of China, nomadic peoples and Tibet also received influence. Vietnam and Korea were part of the Chinese sphere by the last centuries B.C.E. The agrarian societies of Japan, Korea, and Vietnam blended Chinese influences with their indigenous cultures to produce distinctive patterns of civilized development. In all three regions, Buddhism was a key force in transmitting Chinese civilization.

Emulation and Cultural Independence. The Vietnamese official Ly Van Phúc wrote his treatise "On Distinguishing Barbarians" during his embassy to Beijing. Having discovered that the residence accorded to his party was labeled "The Vietnamese Barbarians' Hostel", he had the sign destroyed and wrote his bitter response. He sought to reprimand the Chinese by reminding them that the Vietnamese had long embraced Chinese culture. The incident illustrates the tensions that typified relationships between China and its neighbors. China was inevitably influential, by its size and achievements, but it could also cause distrust. Peoples such as the Vietnamese, the Koreans and the Japanese both emulated China, and sought to retain their distinctive cultures.

Japan: The Imperial Age. During the Taika, Nara, and Heian periods, from the 7th to the 9th centuries, Japanese borrowing from China peaked, although Shinto views on the natural and supernatural world remained central. The Taika reforms of 646 aimed at revamping the administration along Chinese lines. Intellectuals and aristocrats absorbed Chinese influences. The common people looked to Buddhist monks for spiritual and secular assistance, and meshed Buddhist beliefs with traditional religion.

Crisis at Nara and the Shift to Heian (Kyoto). The Taika effort to remake the Japanese ruler into a Chinese-style absolutist monarch, supported by a professional bureaucracy and a peasant conscript army, was frustrated by resistance from aristocratic families and Buddhist monks. During the next century the Buddhists grew so powerful at court that one monk attempted to marry Empress Koken and claim the throne. The emperor fled and established a new capital at Heian (Kyoto). He abandoned the Taika reforms and restored the power of aristocratic families. The Japanese departed from Chinese practices in determining aristocratic rank by birth, thus blocking social mobility. The aristocrats dominated the central government and restored their position as landholders. The emperor gave up plans for creating a peasant conscript army and ordered local leaders to form rural militias.
**Ultracivilized: Court Life in the Heian Era.** Although the imperial court lost power, court culture flourished at Heian. Aristocratic males and females lived according to strict behavioral codes. They lived in a complex of palaces and gardens; the basis of life was the pursuit of aesthetic enjoyment and the avoidance of common, distasteful elements of life. Poetry was a valued art form, and the Japanese simplified the script taken from the Chinese to facilitate expression. An outpouring of distinctively Japanese poetic and literary works followed. At the court, women were expected to be as cultured as men; they were involved in palace intrigues and power struggles. Lady Murasaki's *The Tale of Genji*, the first novel in any language, vividly depicts courtly life.

**The Decline of Imperial Power.** The pleasure-loving emperors lost control of policy to aristocratic court families. By the 9th century, the Fujiwara dominated the administration and married into the imperial family. Aristocratic families used their wealth and influence to buy large estates. Together with Buddhist monasteries, also estate owners, they whittled down imperial authority. Large numbers of peasants and artisans fell under their control. Cooperation between aristocrats and Buddhists was helped by secret texts and ceremonies of esoteric Buddhism, techniques to gain salvation through prayer and meditation. Both groups failed to reckon with the rising power of local lords.

**The Rise of the Provincial Warrior Elite.** The provincial elite also had gained estates. Some carved out regional states ruled from small fortresses housing the lord and his retainers. The warrior leaders (*bushi*) governed and taxed for themselves, not the court. The bushi created their own mounted and armed forces (*samurai*). Imperial control kept declining; by the 11th and 12th centuries, violence was so prevalent that monasteries, the court, and high officials all hired samurai for protection. The disorder resulted in the emergence of a warrior class. The bushi and samurai, supported by peasant dependents, devoted their lives to martial activity. Their combats became duels between champions. The warriors developed a code that stressed family honor and death rather than defeat. Disgraced warriors committed ritual suicide (*seppuku*, or *hari-kiri*). The rise of the samurai blocked the development of a free peasantry; instead, peasants became serfs bound to the land and treated as the lord's property. Rigid class barriers separated them from the warrior elite. To counter their degradation, peasants and artisans turned to salvationist Buddhism.

**The Era of Warrior Dominance.** By the 11th and 12th centuries, provincial families dominated the declining imperial court. The Taira and Minamoto fought for dominance.

**The Declining Influence of China.** Chinese influence waned along with imperial power. Principles of centralized government and a scholar-gentry bureaucracy had little place in a system where local military leaders predominated. Chinese Buddhism also was transformed into a distinctly Japanese religion. The political uncertainty accompanying the decline of the Tang made the Chinese model even less relevant, and the Japanese court discontinued its embassies to the Tang by 838. The Gempei wars caused great suffering among the peasantry. The Minamoto, victorious in 1185, established a military government (*bakufu*) centered at Kamakura. The emperor and court were preserved, but all power rested with the Minamoto and their samurai. The transition to feudalism was underway in Japan.
The Breakdown of Bakufu Dominance and the Age of the Warlords. The leader of the Minamoto, Yoritomo, weakened his regime by assassinating or exiling suspected relatives, because of fears of being overthrown by family members. His death was followed by a struggle among bushi military leaders (shoguns) for regional power. The Hojo family soon dominated the Kamakura regime. The Minamoto and the emperor at Kyoto remained as powerless, formal rulers. In the 14th century, a Minamoto leader, Ashikaga Takuaji, overthrew the Kamakura regime and established the Ashikaga Shogunate. When the emperor refused to recognize the new regime, he was driven from Kyoto; with the support of warlords he and his heirs fought against the Ashikaga and their puppet emperors. The Ashikaga finally won the struggle, but the contest had undermined imperial and shogunate authority. Japan was divided into regional territories governed by competing warlords. From 1467 to 1477 a civil war between Ashikaga factions contributed to the collapse of central authority. Japan became divided into 300 small states ruled by warlords (daimyo).

In Depth: Comparing Feudalisms. Fully developed feudal systems developed during the postclassical age in Japan and western Europe. They did so when it was not possible to sustain more centralized political forms. Many other societies had similar problems, but they did not develop feudalism. The Japanese and western European feudal systems were set in political values that joined together most of the system’s participants. They included the concept of mutual ties and obligations and embraced elite militaristic values. There were differences between the two approaches to feudalism. Western Europeans stressed contractual ideas while the Japanese relied on group and individual bonds. In each case, the feudal past may have assisted their successful industrial development and shaped their capacity for running capitalist economies. It may also contribute to their tendencies for imperialist expansion, frequent resort to war, and the rise of right-wing militarist regimes.

Toward Barbarism? Military Division and Social Change. The chivalrous qualities of the bushi era deteriorated during the 15th and 16th centuries. Warfare became more scientific, while the presence of large numbers of armed peasants in daimyo armies added to the misery of the common people. Despite the suffering, the warlord period saw economic and cultural growth. Daimyos attempted to administer their domains through regular tax collection and support for public works. Incentives were offered to settle unoccupied areas, and new crops, tools, and techniques contributed to local well-being. Daimyos competed to attract merchants to their castle towns. A new and wealthy commercial class emerged, and guilds were formed by artisans and merchants. A minority of women found opportunities in commerce and handicraft industries, but the women of the warrior class lost status as primogeniture excluded them from inheritance. Women became appendages of warrior fathers and husbands. As part of this general trend, women lost ritual roles in religion and were replaced in theaters by males.

Artistic Solace for a Troubled Age. Zen Buddhism had a major role in maintaining the arts among the warrior elite. Zen monasteries were key locations for renewed contacts with China. Notable achievements were made in painting, architecture, gardens, and the tea ceremony.
Korea: Between China and Japan.  Korea, because of its proximity to China, was more profoundly influenced over a longer period than any other state.  But, despite its powerful neighbor, Korea developed its own separate cultural and political identity.  Koreans descended from hunting and gathering peoples of Siberia and Manchuria.  By the 4th century B.C.E., they were acquiring sedentary farming and metal-working techniques from China.  In 109 B.C.E., the earliest Korean kingdom, Choson, was conquered by the Han and parts of the peninsula were colonized by Chinese.  Korean resistance to the Chinese led to the founding in the north of an independent state by the Koguryo people; it soon battled the southern states of Silla and Paekche.  After the fall of the Han an extensive adoption of Chinese culture—Sinification—occurred.  Buddhism was a key element in the transfer.  Chinese writing was adopted, but the Koguryo ruler did not form a Chinese-style state.

Tang Alliances and the Conquest of Korea.  Continuing political disunity in Korea allowed the Tang, through alliance with Silla, to defeat Paekche and Koguryo.  Silla became a vassal state in 668; the Chinese received tribute and left Silla to govern Korea.  The Koreans maintained independence until the early 20th century.

Sinification: The Tributary Link.  Under the Silla and Koryo dynasties (668-1392) Chinese influences peaked and Korean culture achieved its first full flowering.  The Silla copied Tang ways, and through frequent missions, imported Chinese learning, art, and manufactured items.  The Chinese were content with receiving tribute, allowing the Koreans to run their own affairs.

The Sinification of Korean Elite Culture.  The Silla constructed their capital, Kumsong, on the model of Tang cities.  There were markets, parks, lakes, and a separate district for the imperial family.  The aristocracy built residences around the imperial palace.  Some of them studied in Chinese schools and sat for Confucian exams introduced by the rulers.  Most government positions, however, were determined by birth and family connections.  The elite favored Buddhism, in Chinese forms, over Confucianism.  Korean cultural creativity went into the decoration of the many Buddhist monasteries and temples.  Koreans refined techniques of porcelain manufacture, first learned from the Chinese, to produce masterworks.

Civilization for the Few.  Apart from Buddhist sects that appealed to the common people, Chinese influences were intended for a tiny elite, the aristocratic families who dominated Korea's political, economic, and social life.  Trade with China and Japan was intended to serve their desires.  Aristocrats controlled manufacturing and commerce, thus hampering the development of artisan and trading classes.  All groups beneath the aristocracy in the social scale served them.  They included government officials, commoners (mainly peasants), and the "low born," who worked as virtual slaves in a wide range of occupations.

Koryo Collapse, Dynastic Renewal.  The burdens imposed by the aristocracy upon commoners and the "low born" caused periodic revolts.  Most were local affairs and easily suppressed, but, along with aristocratic quarrels and foreign invasions, they helped weaken the Silla and Koryo regimes.  Over a century of conflict followed the Mongol invasion of 1231, until the Yi dynasty was established in 1392.  The Yi restored aristocratic dominance and tributary links to China.  The dynasty lasted until 1910.
Between China and Southeast Asia: The Making of Vietnam. The Chinese move southward brought them to the fertile, rice-growing region of the Red River valley. But the indigenous Viets did not suffer the same fate as others known to the Chinese as "southern barbarians." Their homeland was far from the main Chinese centers and the Viets had already formed their own distinct culture. They were prepared to receive the benefits of Chinese civilization, but not to lose their identity. The Qin raided into Vietnam in the 220s B.C.E. The contact stimulated an already existing commerce. The Viet rulers during this era conquered the Red River feudal lords and incorporated the territory into their kingdom. Viets intermarried with the Mon-Khmer and Tai-speaking inhabitants to form a distinct ethnic group. The Viets were part of Southeast Asian culture. They had strong village autonomy, and favored the nuclear family. Vietnamese women had more freedom and influence than Chinese females. General customs and cultural forms were very different than those of China, and their spoken language was not related to Chinese.

Conquest and Sinification. The expanding Han empire first secured tribute from Vietnam; later, after 111 B.C.E. the Han conquered and governed directly. Chinese administrators presided over the introduction of Chinese culture. Viets attended Chinese schools where they learned Chinese script and studied Confucian classics. They took exams for administrative posts. The incorporation of Chinese techniques made Vietnamese agriculture the most productive in Southeast Asia and led to higher population density. The use of Chinese political and military organization gave the Viets a decisive advantage over the Indianized peoples to the west and south.

Roots of Resistance. Chinese expectations for absorption of the Viets were frustrated by sporadic aristocratic revolts and the failure of Chinese culture to win the peasantry. Vietnamese women participated in the revolts against the Chinese. The rising led by the Trung sisters in 39 C.E. demonstrates the differing position of Viet and Chinese women. The former were hostile to the male-dominated Confucian codes and family system.

Winning Independence and Continuing Chinese Influences. The continuing revolutions were aided by Vietnam's great distance from China. When political weakness occurred in China, the Viet took advantage of the limited Chinese presence. By 939 Vietnam was independent; it remained so until the 19th century. A succession of dynasties, beginning with the Le (980-1009), ruled Vietnam through a bureaucracy modeled upon the Chinese system. But the local scholar-gentry never gained the power held by that class in China. Local Viet officials identified with village rulers and the peasantry instead of the ruling dynasty. Buddhist monks also had stronger links with common people, especially women, than the Confucian scholars.

The Vietnamese Drive to the South. The Chinese legacy helped the Viets in their struggles with local rivals. Their main adversaries were the Indianized Khmer and Chams peoples of the southern lowlands. A series of successful wars with these groups, from the 11th to the 18th centuries extended Viet territory into the Mekong delta region.

Expansion and Division. The dynasties centered at the northern capital city of Hanoi were unable to control distant frontier areas. Differences in culture developed as the invaders intermarried with the Chams and Khmers. Regional military commanders sought independence.
By the end of the 16th century a rival dynasty, the Nguyen, with a capital at Hue, challenged the northern ruling Trinh family. The dynasties fought for control of Vietnam for the next two centuries.

GLOBAL CONNECTIONS: In the Orbit of China: The East Asian Corner of the Global System. During the 1st millennium C.E., Chinese civilization influenced the formation of three distinct satellite civilizations in Japan, Korea, and Vietnam. Unlike China's nomadic neighbors, each contained areas suitable for sedentary agriculture—wet rice cultivation—and the development of civilization. Common elements of Chinese culture—writing, bureaucratic organization, religion, art—passed to each new civilization. All the imports, except Buddhism, were monopolized by courts and elites. The civilizations differed because of variations in the process of mixing Chinese and indigenous patterns. China's nearness to Korea forced symbolic political submission and long-term cultural dependence. In Vietnam, Chinese conquest and control stretched over a thousand years. Although the Viets eventually obtained independence, Chinese culture helped form their civilization and allowed the Viets to counterbalance Indian influences among their Southeast Asian rivals. The Japanese escaped direct Chinese rule; Chinese culture was first cultivated by the elite of the imperial court, but rival provincial, militaristic, clans opposed Chinese influences. Japanese political patterns became very different from the centralized system of China. The preoccupation with interaction within the East Asian sphere left the region's inhabitants with limited awareness of larger world currents when compared with other major civilizations.

KEY TERMS

Taika reforms: attempt to remake Japanese monarch into an absolutist Chinese-style emperor; included attempts to create professional bureaucracy and peasant conscript army.

Heian: Japanese city later called Kyoto; built to escape influence of Buddhist monks.

Tale of Genji: written by Lady Murasaki; first novel in any language; evidence for mannered style of Japanese society.

Fujiwara: mid-9th-century Japanese aristocratic family; exercised exceptional influence over imperial affairs; aided in decline of imperial power.

Bushi: regional warrior leaders in Japan; ruled small kingdoms from fortresses; administered the law, supervised public works projects, and collected revenues; built up private armies.

Samurai: mounted troops of the bushi; loyal to local lords, not the emperor.

Seppuku: ritual suicide in Japan; also known as hari-kiri; demonstrated courage and was a means to restore family honor.

Gumpei wars: waged for five years from 1180 on Honshu between the Taira and Minamoto families; ended in destruction of Taira.
**Bakufu:** military government established by the Minamoto following Guppei wars; centered at Kamakura; retained emperor, but real power resided in military government and samurai.

**Shoguns:** military leaders of the bakufu.

**Hojo:** a warrior family closely allied with the Minamoto; dominated Kamakura regime and manipulated Minamoto rulers; ruled in name of emperor.

**Ashikaga Takuaji:** member of Minamoto family; overthrew Kamakura regime and established Ashikaga shogunate (1336-1573); drove emperor from Kyoto to Yoshino.

**Daimyos:** warlord rulers of small states following Onin war and disruption of Ashikaga shogunate; holdings consolidated into unified and bounded mini-states.

**Choson:** earliest Korean kingdom; conquered by Han in 109 B.C.E.

**Koguryo:** tribal people of northern Korea; established an independent kingdom in the northern half of the peninsula; adopted cultural Sinification.

**Sinification:** extensive adaptation of Chinese culture in other regions.

**Silla:** Korean kingdom in southeast; became a vassal of the Tang and paid tribute; ruled Korea from 668.

**Yi:** dynasty (1392-1910); succeeded Koryo dynasty after Mongol invasions; restored aristocratic dominance and Chinese influence.

**Trung sisters:** leaders of a rebellion in Vietnam against Chinese rule in 39 C.E.; demonstrates importance of women in Vietnamese society.

**Khmers and Chams:** Indianized Vietnamese peoples defeated by northern government at Hanoi.

**Nguyen:** southern Vietnamese dynasty with capital at Hue that challenged northern Trinh dynasty with center at Hanoi.

**LECTURE SUGGESTIONS**

1. Discuss the impact of the shifting dynastic fortunes in China on the relationships of China to Japan, Korea, and Vietnam. Which of the three states was the least affected by Chinese political developments? Why? Periods of cultural exchange were strongest during the expansive phase of Chinese dynasties. Satellite civilizations were able to win independence and reject Chinese models during the eras of civil disruption between dynastic governments. The conquests of Vietnam and Korea first occurred during Han times. Korea gained independence in the early Tang period after the collapse of the Sui; Vietnam won independence after the fall of the Tang. Of the three regions Japan was the least affected by internal Chinese
developments; it never was part of the Chinese empire and was able to accept or reject Chinese influences. The growing authority of regional warlords in Japan led to a reduction in Chinese cultural influence since it was linked to the central government and Confucian bureaucracy.

2. Compare and contrast the degree of Sinification in Korea, Japan, and Vietnam. Korea was the most sinified, although Chinese influence was limited to the aristocratic elite. The Koreans into the 20th century had to accept Chinese political dominance and pay a tribute; they were heavily influenced by Chinese art, writing, Confucian bureaucracy, and commercial practices and goods. Vietnam was in the middle. It was under Chinese rule from Han times to the 10th century. A Confucian bureaucracy was established that was dominated by the aristocracy; Chinese agricultural and military organization were followed. The impact of Chinese culture separated the Vietnamese from the more Indianized indigenous peoples of Southeast Asia. After the 10th century, Chinese influence declined. The scholar-gentry lost influence to local village leaders and Buddhist monks. Japan was the least affected. Many Chinese influences came early—Confucian ideas and bureaucracy, script, art, Buddhism—but because of their political independence the Japanese were able to select among elements of Chinese culture. Chinese influence declined after the Taika reform failures and the rise of the aristocracy. An end to centralized bureaucracy and a decline in Confucian influence went along with a revival of indigenous culture combining Buddhism with Shintoism.

CLASS DISCUSSION QUESTIONS

1. What led to the failure of the Taika reforms and what was the political result?

2. Describe the nature of Japanese government after the Gumpei wars.

3. What was the nature of Japanese society and economy during the period of the daimyos?

4. How was Sinification imposed on Korea and how did it affect the social development of the country?

5. What accounts for the cultural differences between Vietnamese and Chinese?

6. What was the nature of Vietnamese government following the expulsion of the Chinese?

7. What were the common elements of Chinese culture passed to all three of the satellite civilizations?

8. How was East Asian civilization different from other postclassical civilizations?
THE INSTRUCTORS TOOL KIT

Map References

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Documents

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CHAPTER 19
The Last Great Nomadic Challenges: From Chinggis Khan to Timur

I. The Mongol Empire of Chinggis Khan
   Mongol Culture
   nomadic pastoralists
goats, sheep
   tribe
divided into clans
temporary confederations
leaders elected

A. The Making of a Great Warrior: The Early Career of Chinggis Khan
   Earlier kingdoms in north China, 4th, 10th centuries C.E.

   Kabul Khan
   1100s, defeats Qin forces
   grandson, Temujin

   Chinggis Khan
   born Temujin
   develops alliances among Mongols
   1206, elected khagan (supreme ruler)

B. Building the Mongol War Machine
   Mounted warriors
   Tumens, 10,000 troops
   Messenger force
   Adopted gunpowder, cannons

C. Conquest: The Mongol Empire under Chinggis Khan
   1207, expedition
   China
   Xi-Xia, Tangut king defeated

D. First Assault on the Islamic World: Conquest in China
   Kara Khitai defeated
   Mongolian

   Khwarazm, Muhammad Shah II defeated

   Return to China
   Xi-Xia kingdom and Qin empire destroyed
1227, death of Chinggis Khan
empire from Persia to North China Sea

E. Life Under the Mongol Imperium
Harsh, tolerant
Chinggis Khan
capital at karakorum
shamanistic
tolerated other religions
new administration
Commerce thrives

F. The Death of Chinggis Khan and the Division of the Empire
1227, division of empire
three sons, one grandson
Ogedei, third son
elected great khan

II. The Mongol Drive to the West
Golden Horde
khan’s tent

Russia in the 1200s
many kingdoms
Mongols (Tartars) invade

Batu, grandson of Chinggis Khan
1236, begins conquest of Russia
1240, Kiev taken and sacked
Novgorod spared

A. Russia in Bondage
Russians in vassalage to Golden Horde
Commerce benefits

Moscow thrives
metropolitan head of Orthodox church
leads Russian resistance to Mongols

Kulikova, 1380
Golden Horde defeated

B. Mongol Incursions and the Retreat from Europe
Hungary, 1240
Death of Ogedei
Batu retreats
C. The Mongol Assault on the Islamic Heartlands
   Hulegu
      grandson of Chinggis Khan
   Ilkhan
      west to Mesopotamia, north Africa
      1258, Baghdad sacked
      1260, stopped by Baibars
      Egyptian Mamluks

III. The Mongol Interlude in Chinese History
   Ogedei renews attack on China

   Kubilai Khan
      grandson of Chinggis Khan
      attacks Song
      1271, transformation to Yuan dynasty
      capital at Tatu (Beijing)

A. Gender Roles and the Convergence of Mongol and Chinese Culture
   Mongol women retain liberties
   Chabi, wife of Kubilai, influential

B. Mongol Tolerance and Foreign Cultural Influence
   Mongol patronage
      attracts scholars, artists

      Religious toleration
      Buddhists, Nestorians, Latin Christians, Daoists, Muslims

   Marco Polo
      visits court

C. Social Policies and Scholar-Gentry Resistance
   Ethnic Chinese resist
      especially scholar-gentry

   Kubilai
      protects peasant lands
      famine relief
      tax, labor burden lessened

D. The Fall of the House of Yuan
   Death of Kubilai
      dynasty already weakened
      Song revolt
Chapter Summary: The nomads of central Asia during the 13th and 14th centuries returned to center stage in world history. The Mongols ended or interrupted the great postclassical empires while extending the world network of that era. Led by Chinggis Khan and his successors, they brought central Asia, China, Persia, Tibet, Iraq, Asia Minor, and southern Russia under their control. The states formed dominated most of Asia for one and a half centuries. The Mongol success was the most formidable nomadic challenge to the global dominance of the sedentary, civilized core civilizations since the 1st centuries C.E. The Mongols often are portrayed as barbarian, destructive conquerors, but their victories brought much more than death and destruction. In their vast possessions peoples lived in peace, and enjoyed religious toleration and a unified law code. The Mongol conquests expanded the world network in formation since the classical age.

The Role of the Mongols in History. Chinggis Khan's first approach to Muhammad Shah, ruler of Khwarazm, was pacific. However, the caravan that was sent to foster relations was attacked in 1218. The Khan demanded a settlement, but this also was ignored. The Mongol retribution came swiftly, and quickly took the cities of Khwarazm. Bukhara and Smarkand were taken in 1220, and subsequently the capital, Gurganj, fell. These rapid, destructive attacks became synonymous with the Mongols. Christians, Muslims and Buddhists alike depicted them as brutal barbarians. Only recently has that image been modified, by a better understanding of their role in cultural exchange. In fact, the Mongols were often quite careful in preserving crucial elements of the cultures they conquered. Their empire was both extensive and inclusive, forming in fact a foundation for international exchange.
The Mongol Empire of Chinggis Khan. The Mongols were nomadic herders of goats and sheep who lived off, and traded the products of their animals. Boys and girls learned to ride as soon as they could walk. The basic unit of social organization, the tribe, was divided into kin-related clans. Great confederations were organized temporarily for defensive and offensive operations. Males held dominant leadership positions; women held considerable influence within the family. Leaders were elected by free males. They gained their positions through courage and diplomatic skills and maintained authority as long as they were successful.

The Making of a Great Warrior: The Early Career of Chinggis Khan. Mongolian peoples had held power in central Asia for brief periods of time. They established kingdoms in north China in the 4th and 10th centuries C.E. Kabul Khan in the 12th century defeated a Qin army, but Mongol organization declined after his death. His grandson, Chinggis Khan, originally named Temujin, was a member of one of the clans disputing Mongol leadership at the end of the 12th century. After surviving defeat and capture, Temujin gained strength among the Mongols through alliances with more powerful groups. After defeating his rivals he was elected supreme ruler (khagan) of all Mongol tribes in 1206.

Building the Mongol War Machine. Mongol males were trained from youth to ride, hunt, and fight. Their skillfully-used short bows, fired from horseback, were devastating weapons. The speed and mobility of Mongol armies, when joined to the discipline brought by Chinggis Khan, made them the world's best military. The armies, divided into 10,000-strong fighting units (tumens), included both heavy and light cavalry. Harsh discipline, enforced through a formal code, brought punishments and rewards for meritorious conduct. A separate messenger force made possible effective communication between units. Another unit, employing spies, secured accurate information for campaigns. New weapons, including gunpowder and cannons, were used.

Conquest: The Mongol Empire under Chinggis Khan. In 1207, Chinggis Khan set forth to conquer the known world. The Mongols defeated and forced the northwestern China Tangut kingdom of Xi-Xia to become a vassal. They next attacked the Qin empire established by the Jurchens. In these first campaigns, the Mongols developed new tactics for capturing fortified urban centers. Cities that resisted were sacked; their inhabitants were killed or made slaves. Submission would avert this fate; tribute brought deliverance.

First Assault on the Islamic World: Conquest in China. After success against the Chinese, the Mongols moved westward, first defeating the Mongolian-speaking Kara Khitai state, and then the empire of the Turkic Muhammad Shah II, ruler of Khwarazm. The victory over Khwarazm brought many Turkic horsemen into Chinggis Khan's army. The Mongol leader spent the rest of his life fighting in China. The Xi-Xia kingdom and the Qin empire were destroyed. At the death of Chinggis Khan in 1227, the Mongols ruled an empire stretching from Persia to the North China Sea.

Life Under the Mongol Imperium. The Mongols were both fearsome warriors and astute, tolerant rulers. Chinggis Khan, although illiterate, was open to new ideas and wanted to create a peaceful empire. He established a new capital in the steppes at Karakorum to which he drew talented individuals from all conquered regions. Chinggis followed shamanistic Mongol
beliefs, but tolerated all religions. He used the knowledge of Muslim and Chinese bureaucrats to build an administrative structure for the empire. A script was devised for the Mongolian language, and a legal code enforced by special police helped to end old quarrels. The Mongol conquests brought peace to much of Asia. In urban centers, artisans and scholars freely worked. Commerce flourished along secure trade routes.

The Death of Chinggis Khan and the Division of the Empire. Chinggis died in 1227 while extending Mongol rule in China. The vast territories of the Mongols were divided among three sons and a grandson. His third son, Ogedei, a talented diplomat, was chosen as grand khan. He presided over further Mongol conquests for nearly a decade.

The Mongol Drive to the West. The armies of the Golden Horde, named after the tent of the khans, were ready to move westward. By the 13th century, Kiev was in decline and Russia was divided into many petty kingdoms. They were unable to unite before the Mongols, which they called Tartars. Batu, Chinggis Khan's grandson, invaded in 1236, and defeated Russian armies one by one. Resisting cities were razed. Kiev was taken and ravaged in 1240, but Novgorod was spared when its ruler submitted peacefully.

Russia in Bondage. The Russians became vassals of the khan of the Golden Horde, for two and one-half centuries. Russian princes paid tribute. Peasants had to meet demands from both their own princes and the Mongols. Many sought protection by becoming serfs. The decision inaugurated a major change in rural social structure: serfdom endured until the mid-19th century. Some cities, especially Moscow, benefited from the increased commercial possibilities brought by Mongol rule. It grew at the expense of nearby towns and profited as tribute collector for the khans. The metropolitan of Moscow was made the head of the Russian Orthodox church. When the power of the Golden Horde declined, Moscow led Russian resistance to the Mongols. The Golden Horde was defeated at Kulikova in 1380. Later attacks by Timur on the Golden Horde finished breaking the Mongol hold on Russia. The Mongol occupation was formative, influencing Russia's military and political organization. Most significantly, the Mongols isolated Russia from developments in western European civilization.

Mongol Incursions and the Retreat from Europe. Christian western Europe initially had been pleased by Mongol successes against Islam. The attitude changed when the Mongols moved westward; they invaded Hungary in 1240 and raided widely in central and southeastern Europe. Europe escaped more serious invasion when the death of Ogedei, plus the resulting succession struggle, forced Batu to withdraw. Probably satisfied with their rich conquests in Asia and the Middle East, the Mongols did not return to Europe.

The Mongol Assault on the Islamic Heartlands. Hulegu, a grandson of Chinggis Khan and ruler of the Ilkhan division of the Mongol empire, moved westward against Mesopotamia and north Africa. With the fall of the Abbasid dynasty, Islam had lost its central authority. Baghdad was seized and destroyed in 1258, along with the devastation of many other major cities. The Mongol advance was halted in 1260 by the Mamluks of Egypt, led by Baibars. Hulegu, faced with other threats to his rule, including the conversion of the khan of the Golden Horde to Islam, did not resume the campaign.
The Mongol Interlude in Chinese History. The Mongol advance into China resumed after Ogedei's election. Kubilai Khan, another grandson of Chinggis Khan, during the mid-13th century led the Mongols against the Song. In 1271, Kubilai's dynasty became the Yuan. As his conquests continued, Kubilai attempted to preserve the distinction between Mongols and Chinese. Chinese were forbidden from learning the Mongol script and intermarriage was prohibited. Mongol religious ceremonies and customs were retained. Kubilai refused to reestablish exams for the civil service. Despite the measures protecting Mongol culture, Kubilai was fascinated by Chinese civilization. He introduced much from their culture into his court; the capital at Tatu (Beijing) was in Chinese style. A new social structure emerged in China. The Mongols were at the top; their nomadic and Islamic allies were directly below them. Both groups dominated the highest levels of the administration. Beneath them came first the north Chinese, and then ethnic Chinese and peoples of the south.

Gender Roles and the Convergence of Mongol and Chinese Culture. Mongol women remained aloof from Confucian Chinese culture. They refused to adopt foot binding, and retained rights to property and control in the household, and freedom of movement. Some Mongol women hunted and went to war. Chabi, wife of Kubilai, was an especially influential woman.

Mongol Tolerance and Foreign Cultural Influence. The openness of Mongol rulers to outside ideas, and their patronage, drew scholars, artists, artisans, and office-seekers from many regions. Muslim lands provided some of the most favored arrivals; they were included in the social order just below the Mongols. They brought much new knowledge into the Chinese world. Kubilai was interested in all religions; Buddhists, Nestorian and Latin Christians, Daoists, and Muslims were all present at court. He welcomed foreign visitors. The most famous was the Venetian Marco Polo.

Social Policies and Scholar-Gentry Resistance. The ethnic Chinese, the vast majority of Kubilai's subjects, were never reconciled to Mongol rule. The scholar-gentry regarded Mongols as uncouth barbarians with policies endangering Chinese traditions. The refusal to reinstate the examination system was especially resented. The Mongols also bolstered the position of artisans and merchants who previously not had received high status. Both prospered as the Mongols improved transportation and expanded the supply of paper money. The Mongols developed a substantial navy that helped conquest and increased commerce. Urban life flourished. Mongol patronage stimulated popular entertainments, especially musical drama, and awarded higher status to formerly despised actors and actresses. Kubilai’s policies initially favored the peasantry. Their land was protected from Mongol cavalrymen turning it into pasture, and famine relief measures were introduced. Tax and labor burdens were reduced. A revolutionary change was formulated— but not enacted—for establishing elementary education at the village level.

The Fall of the House of Yuan. By the time of Kubilai's death, the Yuan dynasty was weakening. Song loyalists in the south revolted. Mongol expeditions of 1274 and 1280 against Japan failed. Other Mongol forces were defeated in Vietnam and Java. Kubilai’s successors lacked talent and the Yuan administration became corrupt. The suffering peasantry were called upon by the scholar-gentry to drive out the "barbarians." By the 1350s the dynasty was too
weak to control all of China. Famines stimulated local risings. Secret societies dedicated to the overthrow of the dynasty formed. Rival rebels fought each other. Many Mongols returned to central Asia. Finally, a peasant leader, Ju Yuanzhang, triumphed and founded the Ming dynasty.

**In Depth: The Eclipse of the Nomadic War Machine.** The incursions of small numbers of militarily-skilled nomads into the civilized cores have had a major impact on world history. Nomads destroyed entire civilizations, stimulated great population movements, caused social upheavals, and facilitated cultural and economic exchanges. The Mongol and Timurid invasions were the high-point of nomadic success. During the 14th century, the impact of the Black Death upon nomads gave sedentary peoples numerical superiority. Sedentary civilizations became better able to centralize political power and to mobilize resources for developing superior military organization. With the Industrial Revolution, sedentary dominance became permanent.

**Aftershock: The Brief Ride of Timur.** When the peoples of Eurasia began to recover from the effects of Mongol expansion, a new leader, the Turk Timur-i Lang, known to the west as Tamerlane, brought new expansion. Timur, a highly cultured individual from a noble, landowning clan, in the 1360s moved from his base at Samarkand to conquests in Persia, the Fertile Crescent, India, and southern Russia. Timur is remembered for the barbaric destruction of conquered lands. His rule did not increase commercial expansion, cross-cultural exchanges, or internal peace, as earlier Mongol empires had. After his 1405 death, Timur's empire fell apart. The last great challenge of the steppe nomads to Eurasian civilizations had ended.

**GLOBAL CONNECTIONS: The Mongol Linkages.** Despite their destructive tendencies, the Mongols brought often beneficial lasting changes. They taught new war-making techniques, and facilitated exchanges of all kinds between civilizations. The Mongols had a great unintended impact. Their conquests helped transmit the fleas carrying the bubonic plague, one of the most fatal epidemics in world history, which decimated populations from China to Europe. Once the Mongols declined, land-based travel became so dangerous that attention turned to sea routes.

**KEY TERMS**

**Chinggis Khan:** born in 1170s; elected supreme Mongol ruler (khagan) in 1206; began the Mongols rise to world power; died 1227.

**Tumens:** basic fighting units of Mongol forces; made up of 10,000 cavalrymen divided into smaller units.

**Tangut:** rulers of Xi-Xia kingdom of northwest China; during the southern Song period; conquered by Mongols in 1226.

**Muhammad Shah II:** Turkic ruler of Muslim Khwarazm; conquered by Mongols in 1220.

**Karakorum:** capital of Mongol empire under Chinggis Khan.
Shamanistic religion: Mongol beliefs focused on nature spirits.

Batu: grandson of Chinggis Khan and ruler of Golden Horde; invaded Russia in 1236.

Ogedei: third son of Chinggis Khan; succeeded him as Mongol khagan.

Golden Horde: one of four regional subdivisions of the Mongol empire after the death of Chinggis Khan; conquered and ruled Russia during the 13th and 14th centuries.

Prester John: a mythical Christian monarch whose kingdom supposedly had been cut off from Europe by the Muslim conquests; some thought he was Chinggis Khan.

Ilkhan khanate: one of four regional subdivisions of the Mongol empire after the death of Chinggis Khan; eventually included much of Abbasid empire.

Hulegu: grandson of Chinggis Khan and ruler of Ilkhan khanate; captured and destroyed Abbasid Baghdad.

Mamluks: Muslim slave warriors; established dynasty in Egypt; led by Baibars defeated Mongols in 1260.

Kubilai Khan: grandson of Chinggis Khan; conquered China; established Yuan dynasty in 1271.

Tatu: Mongol capital of Yuan dynasty; present-day Beijing.

Chabi: influential wife of Kubilai Khan; demonstrated refusal of Mongol women to adopt restrictive social conventions of Confucian China.

Nestorians: Asian Christian sect; cut off from Europe by Muslim invasions.

Romance of the West Chamber: famous Chinese dramatic work written during the Yuan period.

White Lotus Society: secret religious society dedicated to overthrow of Yuan dynasty.

Ju Yuanzhang: Chinese peasant who led successful revolt against Yuan; founded Ming dynasty.

Timur-i Lang: last major nomad leader; 14th, known to the west as Tamerlane; century Turkic ruler of Samarkand; launched attacks in Persia, Fertile Crescent, India, southern Russia; empire disintegrated after his death in 1405.
LECTURE SUGGESTIONS

1. Discuss how the Mongol conquests can be said to have brought an end to the postclassical civilizations in Eastern Europe, Western Europe, and Islam. In Eastern Europe the conquests marked the end of Kievan dominance; the political balance shifted to Moscow as it took up chief resistance to Mongol rule. The religious center also moved to Moscow. The moves marked the beginning of Russian political centralization. For Byzantium, the Mongol conquests meant the opening of Ottoman dominance in Asia Minor and the eventual loss of Constantinople. The Mongol influence in Western Europe had a limited direct impact as the conquest was quickly halted. An important indirect impact was the facilitating of the transmission of the Black Death to Western Europe. The conquests marked the end of the Western European postclassical period: the opening of trade with the East marked the beginning of the aggressive Western commerce typical of the early modern period. For Islam, the conquests ended Abbasid and other minor dynastic rule; they opened the path for the political division of the Islamic heartland between the Ottomans and Mamluks.

2. Discuss the proposition that the Mongol era was simply an extension of the incursions of nomadic peoples into the affairs of sedentary civilizations. In what sense was it a civilization in its own right? Mongol khanates remained dependent on tribal organization and herding. They attempted to maintain their separateness as a people with nomadic cultural patterns. Even in China under the Yuan dynasty, strict efforts were made to uphold cultural differences. Their control of trade was typical of nomadic incursions; so was the limited period of Yuan rule and use of cities. Chinggis Khan did establish a uniquely Mongol administration for an empire based on such Islamic and Chinese precedents as a universal legal code, adoption of a Mongol script, maintenance of empire-wide peace, and promotion of commerce and travel.

CLASS DISCUSSION QUESTIONS

1. What was the nature of the military organization established by Chinggis Khan?

2. What was the nature of the administration of the Mongol empire under Chinggis Khan?

3. What was the impact of the Mongol conquest of Russia and of the Islamic heartlands?

4. What was the impact of the Mongol conquest on Chinese society and political structure?

5. What were the positive aspects of the Mongol conquests?

6. How did the conquests of Timur-i Lang contrast with those of the Mongols?
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Map References

Danzer, Discovering World History through Maps and Views

Video/Film

In Search of Genghis Khan. Films for the Humanities and Sciences SQ4295
China and Japan: 1279-1600. Insight Media #WN144
The Silk Road. 6 video tapes. Filmic Archives
CHAPTER 20
The West and the Changing World Balance

I. Japan: The Imperial Age
   Taika, Nara, and Heian 7th to the 9th centuries)
   borrowing from China at height

A. Crisis at Nara and the Shift to Heian (Kyoto)
   Taika reforms
   copy Chinese style of rule
   bureaucracy
   opposed by aristocracy, Buddhist monks

   Capital to Heian (Kyoto)
   abandons Taika reforms
   aristocracy restored to power

B. Ultracivilized: Court Life in the Heian Era
   Court culture
   codes of behavior
   aesthetic enjoyment
   poetry
   women and men take part
   Lady Murasaki, Tale of Genji

C. The Decline of Imperial Power
   Fujiwara family
   dominate government
   cooperate with Buddhists
   elite cult

D. The Rise of the Provincial Warrior Elite
   Regional lords (bushi)
   fortress bases
   semi-independent
   collect taxes
   personal armies
   samurai
Warrior class emerges
   martial arts esteemed
   special code
   family honor
   death rather than defeat
   seppuku or hari-kiri
peasants lose status, freedom
   Salvationist Buddhism

II. The Era of Warrior Dominance
   By the 11th and 12th centuries
   family rivalries dominate
   Taira, Minamoto

A. The Declining Influence of China
   838, Japanese embassies to China stopped

   Gempei Wars
      1185, Minamoto victorious
         bakufu, military government
         Kamakura, capital

B. The Breakdown of Bakufu Dominance and the Age of the Warlords
   Yoritomo
      Minamoto leader
      assassimates relatives
      death brings succession struggle

   Hojo family
      Minamoto, emperor figureheads

   Ashikaga Takuaji
      Minamoto
      14th century, overthrows Kamakura rule
      Ashikaga Shogunate established
      emperor driven from Kyoto
      struggle weakens all authority

      1467-1477, civil war among Ashikaga factions
      > 300 states
      ruled by warlords (daimyo)

C. Toward Barbarism? Military Division and Social Change
   Warfare becomes more brutal

   Daimyo support commerce
D. Artistic Solace for a Troubled Age
   Zen Buddhism
   important among elite
   point of contact with China

III. Korea: Between China and Japan
   Separate, but greatly influence

   Ancestors from Siberia, Manchuria
   by 4th century B.C.E., farming, metal-working

   109 B.C.E., Choson kingdom conquered by Han
   Silla, Paekche

   Koguryo people
   resist Chinese dominance

   Sinification increases after fall of the Han
   Buddhism an important vehicle

B. Sinification: The Tributary Link
   Silla, Koryo dynasties (668-1392)
   peak of Chinese influence
   but political independence

C. The Sinification of Korean Elite Culture
   Silla capital, Kumsong
   copied Tang cities

   Buddhism favored

D. Civilization for the Few
   Aristocracy most influenced by Chinese culture
   all others serve them

E. Koryo Collapse, Dynastic Renewal
   Revolts
   caused by labor, tax burdens
   weaken Silla, Koryo governments

   1231, Mongol invasion
   followed by turmoil

   1392, Yi dynasty founded
   lasts until 1910
IV. Between China and Southeast Asia: The Making of Vietnam

Chinese push south
to Red River valley

Viets
retain distinctiveness

Qin
raid into Vietnam, 220s B.C.E.
commerce increased
Viets conquer Red River lords

Merge with Mon-Khmer, Tai

Culture distinct from China
women generally have higher status

A. Conquest and Sinification
Han
expand, Vietnam becomes a tributary
from 111 B.C.E., direct control
Chinese culture systematically introduced

B. Roots of Resistance
Resistance from aristocracy, peasants
women participate

39 C.E., Revolt of Trung sisters

C. Winning Independence and Continuing Chinese Influences
Distance from China helps resistance

Independence by 939
until 19th century

Le Dynasty (980-1009)
using Chinese-style bureaucracy

D. The Vietnamese Drive to the South
Indianized Khmer, Chams
defeated, Viets expand into Mekong delta region
E. Expansion and Division

Hanoi
far from frontiers
cultural divisions develop following intermarriage with Chams, Khmers

Nguyen dynasty
capital at Hue, by late 1500s
challenge Trinh in north
rivalry until 18th century

Chapter Summary. By 1400 there was a shifting balance between world civilizations. The international role of the Islamic world, with the fall of the Abbasids and other Mongol disruptions, was in decline. The Ming dynasty of China attempted for a time to expand into the vacuum. The most dynamic contender was western Europe. The West was not a major power, but important changes were occurring within its civilization. Italy, Spain, and Portugal took new leadership roles. The civilizations outside the international network, the Americas and Polynesia, also experienced important changes.

The Compass. The Chinese were responsible for the invention of the compass. Using natural magnets, they may have been used as early as the Tang dynasty. By 1100, the use of the compass enabled the Chinese to go further a field to pursue the sources of spices and teas. Arab merchants in the Indian Ocean soon followed, and the first use by the Europeans is dated to 1187. The compass fundamentally changed the nature of ocean voyages, notably that of Columbus. It also brought deep-seated changes in international relations, as Europeans took to the sea. The concurrent Mongol movements into Asia and Europe and the decline in Arab dominance added to the shift in power. In this period, global interactions underwent long-lasting reorientation.

The Decline of the Old Order. In the Middle East and north Africa, the once powerful civilizations of Byzantium and the Abbasids had crumbled. The Abbasid caliphate had been destroyed by the Mongols in the 13th century. The Byzantine Empire was pressed by Ottoman Turks, and finally fell with Constantinople in 1453.

Social and Cultural Change in the Middle East. By the beginning of the 14th century, Islamic religious leaders had won preeminence over poets, philosophers, and scientists. The Arab rationalist philosopher Ibn-Rushd (Averröes) in Iberia was more influential in Europe than among Muslims. Islamic scholarship focused upon religion and legal traditions, although Sufis continued to emphasize mystical contacts with god. Changes occurred in economic and social life as landlords seized power over the peasantry. From 1100 they became serfs on large estates. As a result, agricultural productivity fell. Tax revenues decreased and Middle Eastern merchants lost ground to European competitors. However, the Islamic decline was gradual and incomplete. Muslim merchants remained active in the Indian Ocean, and the Ottoman Turks were beginning to build one of the world's most powerful empires.
A Power Vacuum in International Leadership. The rise of the Ottomans did not restore Islam's international vigor. The Mongols had temporarily created an alternative global framework in their vast dominions, uniting European, Asian, and Middle Eastern regions in Asia, but their decline diminished international contacts and commerce. Seaborne trade became increasingly attractive as passage over land routes was threatened.

Chinese Thrust and Withdrawal. The Ming dynasty (1368-1644) replaced the Yuan and pushed to regain former Chinese borders. It established influence in Mongolia, Korea, Vietnam, and Tibet. In a new policy, the Ming mounted state-sponsored trading expeditions to India, the Middle East, and eastern Africa. Fleets, led by the Chinese Muslim admiral Zhenghe and others, were technological world leaders. Yet Ming rulers halted the expeditions in 1433 because of their high costs and opposition from Confucian bureaucrats. Chinese merchants remained active in southeast Asian waters, establishing permanent settlements in the Philippines, Malaysia, and Indonesia, but China had lost a chance to become a dominant world trading power. The Chinese, from their own viewpoint, had ended an unusual experiment, returning to their accustomed inward-looking policies. Since internal economic development flourished, there was little need for foreign products. The withdrawal opened opportunities for European expansion.

The Rise of the West. The small states of the West were still a backward region during the 14th and 15th centuries. The staples of medieval culture, including the Catholic church, were under attack. Philosophy had passed a highly creative phase. Warrior aristocrats lost their useful role and indulged in courtly rituals. The economic activities of ordinary Europeans were in disarray. Growing population outstripped food supplies, and famines were a recurrent threat after 1300. The arrival of the deadly Black Death (bubonic plague) during the 14th century cost Europe one-third of its population.

Sources of Dynamism: Medieval Vitality. The West, despite the reverses, remained a dynamic society. Strengthened monarchs provided effective government, ruling increasingly-centralized states. The Hundred Years’ War stimulated military innovation. In Spain and Portugal, regional rulers drove back the Muslim Arabs. Urban economic growth continued to spur commerce, and the church accepted key capitalistic principles. Technology, especially in ironworking and timekeeping, continued to progress.

Imitation and International Problems. New opportunities for imitation occurred when the rise of the large and stable Mongol empire provided access to Asian knowledge and technology. Western elites sought Asian luxury products, paying for them by exporting raw materials. The ensuing unfavorable trade balance had to be made up in gold. By 1400, a gold shortage threatened the economy with collapse. The rise of the Ottoman empire and other Muslim successes further threatened Europe’s balance of trade with Asia. The reaction included the expansion in the Adriatic of the city-state of Venice and the beginning of explorations to bypass Muslim-dominated routes to Asia.

Secular Directions in the Italian Renaissance. A final ingredient of the West's surge was internal change. The Renaissance, a cultural and political movement grounded in urban vitality and expanding commerce, began in Italy during the 14th century. The earlier phases involved
literary and artistic themes more friendly to the secular world than the previous religiously oriented outlook. Artists and writers became more concerned with personal reputation and glory. In commerce, merchants sought out new markets. City-state governments, eager for increased revenue, supported their expansion.

Human Values and Renaissance Culture. The Renaissance above all was a cultural movement, inspired by the Humanist's passion for the Roman past. It began in Florence and focused on literature and the arts. The movement developed a code of behavior for urban gentlemen. There was innovation in music and the visual arts. Painters realistically portrayed nature and individuals in religious and secular themes and introduced perspective. The early Renaissance did not represent a full break from medieval tendencies. It had little impact outside of Italy, and in Italy it focused on high culture and was little concerned with science. Still, the Renaissance marked the beginning of important changes in Western development. The developing scope of Italian commerce and shipping, ambitious, revenue-seeking city-states, and seamen seeking the renaissance goal for personal glory, set the stage for future expansion. Moreover, the Renaissance brought a passion for innovation, and a mood of confidence that remained hallmarks of the west.

The Iberian Spirit of Religious Mission. The Iberian peninsula also was a key center for change. Spanish and Portuguese Christian military leaders had for centuries been pushing back the borders of Islam. Castile and Aragon established regional monarchies after 1400; they united through royal marriage in 1469. Iberian rulers developed a religious and military agenda; they believed they had a mission to convert or expel Muslims and Jews and to maintain doctrinal purity. Close links formed between church and state. The changes stimulated the West’s surge into wider world contacts.

Western Expansion: The Experimental Phase. European efforts to explore the Atlantic began in the late 13th century. After early discoveries, a rapid move was made to a colonial system.

Early Explorations. The Genoese Vivaldi brothers in 1291 vanished after passing the Straits of Gibraltar in search of a route to the "Indies." Other Genoese explorers reached the Canary Islands, the Madeiras, and perhaps the Azores during the 14th century. Vessels from Spain sailed southward along the West African coast as far as Sierra Leone. Technological barriers hindered further exploration until 1430. Europeans solved problems by building better ships and learning from the Arabs the use of the Chinese compass and astrolabe. European mapmaking also steadily improved.

Colonial Patterns. The Portuguese and Spanish began to exploit the island territories of the Azores, Madeiras, and Canaries. Prince Henry of Portugal, motivated by a combination of intellectual curiosity, religious fervor, and financial interest, reflected many of the key factors then stimulating European expansion. Land grants were given to colonists who brought with them western plants, animals, and diseases. They had inaugurated a laboratory for later European imperialism. Large estates produced cash crops—sugar, cotton, tobacco—for Western markets. Slaves were introduced for crop cultivation. The initial developments were modest, but their patterns established precedents for the future.
Outside the World Network. The international framework developing during the postclassical period left out many regions and peoples. The Americas and Polynesia were not part of the new international exchange. Some of their societies experienced new problems that placed them at a disadvantage when experiencing outsider intervention.

Political Issues in the Americas. Both the Aztec and Inca empires encountered difficulties after 1400. Aztec exploitation of their subject peoples roused resentment and created opportunities for outside intervention. The Inca system created tensions between central and local leadership, stresses exacerbated by imperial overextension. The complications stemming from European invasion thoroughly changed the developing dynamics of the peoples of the Americas.

Expansion, Migration, and Conquest in Polynesia. Between the 7th century and 1400, Polynesian culture experienced spurts of migration and conquest that spread peoples far beyond the initial base in the Society Islands. One migration channel brought Polynesians to the Hawaiian islands. After 1400 Hawaiian society was cut off from Polynesia. In Hawaii the newcomers, living from agriculture and fishing, spread widely across the islands; pigs were introduced from the Society Islands. Warlike regional kingdoms were formed. In them a complex society emerged where priests and nobles enjoyed special privileges over commoners. Rich oral traditions preserved their cultural values.

In Depth: The Problem of Ethnocentrism. The presence of ethnocentric outlooks in most cultures creates problems of interpretation in world history. The practices of foreign peoples often are regarded as inferior. Although many civilizations looked down on others, the present power of Western standards makes ethnocentrism a real issue. It is necessary to remain open-minded when thinking about other cultures, and to consider how their patterns are the result of their particular historical development.

Isolated Achievements by the Maoris. A second channel of migration brought settlers to New Zealand perhaps as early as the 8th century. The Polynesians, called the Maori, adapted to the different environment, producing an expanding population and developing the most elaborate Polynesian art. Tribal military leaders and priests dominated a society that possessed many slaves gained in warfare. As in Hawaii, all the accomplishments were achieved in isolation from the rest of the world.

Adding Up the Changes. The era around 1400 clearly was a time of transition in world history. Influential technological exchanges occurred between different civilizations. Individual initiatives took place within more general trends, such as Europe's international commercial difficulties. The changes affected societies where existing patterns endured. Although sub-Saharan Africa continued along independent paths of evolution long after 1400, the altering world patterns reduced Africa's contacts with Muslim civilizations. African relationships with western Europe were altering.
GLOBAL CONNECTIONS: 1450 and the World. Continuity and change in contacts between world civilizations marked the closing of the postclassical era. Muslim individuals remained active in many regions, but the Mongol successes brought fundamental alterations in contact patterns. Mongols drew knowledge from many cultures; their decline stimulated seaborne activity. Despite the vitality of Chinese civilization, the question of global leadership by 1450 was in flux.

KEY TERMS

Ottoman Empire: Turkish empire established in Asia Minor and eventually extending through the Middle East and the Balkans; conquered Constantinople in 1453 and ended Byzantine Empire.

Ibn-Rushd (Averröes): Iberian Muslim philosopher; studied Greek rationalism; ignored among Muslims but influential in Europe.

Ming Dynasty: replaced Mongol Yuan dynasty in China in 1368; lasted until 1644; initially mounted large trade expeditions to southern Asia and Africa; later concentrated on internal development within China.

Zhenghe: Muslim Chinese seaman; commanded expeditions throughout the India Ocean.

Black Death: 14th-century bubonic plague epidemic; decimated populations in Asia and Europe.

Renaissance: cultural and political elite movement beginning in Italy circa 1400; rested on urban vitality and expanding commerce; produced literature and art with distinctly more secular priorities than those of the European Middle Ages.

Portugal, Castile, and Aragon: regional Iberian kingdoms; participated in reconquest of peninsula from Muslims; developed a vigorous military and religious agenda.

Francesco Petrarch: Italian author and humanist; a major literary figure of the Renaissance.

Vivaldi brothers: Genoese explorers who attempted to find a western route to the "Indies"; precursors of European thrust into southern Atlantic.

Henry the Navigator: Portuguese prince; sponsored Atlantic voyages; reflected the forces present in late postclassical Europe.

Ethnocentrism: judging foreigners by the standards of one’s own group; leads to problems in interpreting world history.
LECTURE SUGGESTIONS

1. Respond to the statement that the relative rise of the West after the 14th century was not so much the result of Western innovation as the decline of civilizations in the Middle East and Asia. The statement is justified with respect to the changes occurring in the Middle East and China, but only so far as it is recognized that change rather than absolute decline took place in those regions. In the Middle East, the end of the Abbasids, the rise of the Seljuk Turks, and the disruption of the Mongol empires did not cause total decline. The Ottomans began building their future major empire. The Muslim trade empire disintegrated since the Ottomans were less interested in commerce than their predecessors. This opened the door for Western trade expansion. In China there was no political disruption of traditional centralization under the Ming; there was a brief effort to expand Chinese trade throughout Asia. The Chinese withdrawal in 1433 left opportunities for the West. It can be argued that Western advances were the result of perceived weaknesses: an unfavorable balance of trade with other civilizations, a fear of Ottoman expansion led to exploration and new trade routes.

2. Discuss the differences between the world of 1500 and that of 1250. The demise of the Mongol empires led to the disruption of the links connecting the civilizations of the Eastern Hemisphere. There was relative decline in the Middle East as the great trade empire fragmented. The rise of the Ottoman Empire with its political center in Asia Minor and southeast Europe was a major political factor. In Eastern Europe, Russian independence from the Mongols created a new civilization. In China under the Ming traditionalism was reasserted after the expulsion of the Mongols. In the Americas the Aztec and Inca empires were disintegrating from internal weaknesses. Polynesian groups remained culturally isolated and technologically primitive. In the West, the cultural forms of the Renaissance challenged medieval culture, and Westerners were beginning exploration and attempts to gain control of worldwide trade. The steps marked the beginning of change in international leadership and dynamism.

CLASS DISCUSSION QUESTIONS

1. What were the signs of decline in the Middle East and in China?
2. What accounts for the relative rise of the West?
3. Describe the nature of the Italian Renaissance. In what way was it a strictly Italian experience?
4. What was the nature of early Western exploration and colonial patterns?
5. What accounts for the relative decline of civilizations outside the world network?
6. Summarize the transitions taking place in world history circa 1400.
THE INSTRUCTOR'S TOOL KIT

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PART 3 RETROSPECTIVE
A Look Back at the Postclassical Period

Contacts and Their Limits. The postclassical period saw many new contacts forming. The years around 1000 C.E. were a watershed. In the previous period the major world areas followed their own paths. After 1000, contacts became common in Afro-Asia. Imitation was common: with Japan copying China, and western Europe mimicking the Byzantines. Although contact increased in this period, they were far from being widespread or of profound effect. Several travelers made epic journeys in the postclassical period. As contacts increased, tolerance was put to the test. As travelers wondered at the marvels they saw, they were just as much struck by the differences between their own culture and the ones they visited.
PART IV

The Early Modern Period, 1450-1750: The World Shrinks

The World Map Changes. Two maps illustrate major changes in world history between 1450 and 1750. The first is the formation of new empires. Several of these were European, but the Ottoman Turks, Mughal India and Russia also expanded. The other big change came in trade routes, which shifted from land routes and seaways via the Indian Ocean and the Mediterranean to the Pacific and Atlantic oceans.

Triggers for Change. The early modern period was distinguished by renewed empire building. The Ottoman Empire is a notable example, taking over the former Byzantine Empire, and its capital at Constantinople. European exploration of the margins of the Atlantic also separated this period from earlier eras. A third development is encompassed by the term gunpowder empires, characterized by their use of new military technology. However, other technologies also made their mark, including the compass, and improved sailing techniques.

The Big Changes. Reactions to the changing world affected all parts of the world, but differently. The three major changes are discussed below.

A New Global Economy. International trade increased in volume, and now the Americas were part global commerce. Changes after 1450 brought the regions of the world into much closer contact.

Biological Exchange. All manner of living things now moved or were moved around the world. Population often followed the introduction of new foodstuffs. At the same time, disease was often transmitted. The Atlantic slave trade had enormous consequences on both sides of the ocean.

New Empires. The new empires formed in this period often represented significant shifts in power. The power of Europe in particular increased, although it was not alone. These shifts in some cases translated into serious imbalances.

Continuity. Pre-existing trade routes continued to be important. Culturally as well, a great deal of continuity prevailed. Although world religions spread, many major areas also maintained their religious traditions. In gender relations too, little systematic change occurred. In the area of technology, this area was relatively stagnant until after 1750. Earlier developments, such as the use of gunpowder, continued to spread. In the face of pressure from other regions, some cultures such as the Chinese embraced their cultures more firmly than ever.

Impact on Daily Life: Work. Diseases, introduced to those with no immunities, were devastating in many areas of the world. Many Chinese found themselves reduced to poverty when unable to pay taxes in silver, now the common currency of the wealthy. Millions of Africans died on the trip to the Americas or became slaves. The most widespread change was in
the nature of work. Working conditions were more crowded, and the workload was often increased to keep pace with competitors. Child labor increased in many areas. The term for the period—early modern—reflects the fact that the period shared many features with the modern world, while still bearing a resemblance to the past.

**Trends and Societies.** The chapters of this section examine in more detail the changes highlighted above. Chapter 21 provides an overview of changing international trading patterns. Internal changes affecting western Europe is the focus of Chapter 22. The case of Russia, one of the gunpowder empires is the subject of Chapter 23. Chapters 24 and 25 turn to the Atlantic world. The Americas saw the formation of a new society as indigenous peoples were conquered by Europeans, with African slaves adding to the mix. Chapter 26 focuses on the Muslim world. In Chapter 27, the Asian world presents the example of an area of the world that was more affected by internal developments in this period, than by global changes.
CHAPTER 21
The World Economy

I. The West's First Outreach: Maritime Power
   Increasing contact from 12th century
      from Crusades, Reconquista
      familiarity with imports

   Changes
      Mongol fall
      Ottomans intervene

   European efforts to expand

A. New Technology: A Key to Power
   Deep-draught ships
      better on ocean voyages

   Armaments better

   Compasses, mapmaking help navigation

B. Portugal and Spain Lead the Pack
   Prince Henry the Navigator
      expeditions along African coast
      1488, pass Cape of Good Hope
      1498, Vasco da Gama reaches India
      1514, Portuguese to Indonesia, China

   Columbus
      to Americas, 1492

   Ferdinand Magellan
      1519, begins circumnavigation of the world

C. Northern European Expeditions
   England, Holland, France take the initiative

   1588, British defeat Spanish Armada

   1534, French cross the Atlantic
      settle Canada

   1497, British sail to North America
   1600s, begin colonization
II. Toward a World Economy

A. The Columbian Exchange of Disease and Food
   Native Americans, Polynesians lack immunities to European disease

   Slaves imported

   New World plants:
   - corn, sweet potato, potato

   Old World animals:
   - horse, cattle

B. West's Commercial Outreach
   Continuity
   - Asian shipping in Chinese, Japanese waters
   - Muslim traders along east African coast
   - Turks in eastern Mediterranean

   Europeans
   - remain on coast in Africa, Asia

C. Balances in World Trade
   Spain and Portugal lack financial systems

   England, France, Holland
   - more lasting economic presence

   Mercantilism
   - exports, home production protected
   - dependent areas supply raw materials

D. A System of International Inequality
   Permanent state of dependence
   - but peasants mostly unaffected
   - forced labor becomes widespread to meet demand
E. How Much World in the World Economy?
Not all areas affected
   East Asia self-sufficient

China uninterested in world economy
   keeps Europeans out

Japan
   more open initially
   closes doors, 17th to 19th centuries

F. The Expansionist Trend
Mughal Empire in decline
   British, French move in

   Eastern Europe
   exports grain to the West

III. Colonial Expansion

A. The Americas: Loosely Controlled Colonies
   Spain
      West Indies
      1509, Panama
      Aztec, Incas conquered
         Loosely supervised conquistadors
      Search for gold
         take tribute rather than conquer
      Administration develops
         along with missionary activity

   North America
      from 17th century
      French: Canada, Mississippi
      Dutch, English, Atlantic seaboard
      West Indies, colonized by all three

B. British and French North America: Backwater Colonies
   Different pattern from Latin America
      religious refugees
      land grants
Canada
   French establish estates
   controlled by state
   Catholic church influential
   1763, French relinquish Canada, Mississippi

Little merging of natives and immigrants

Enlightenment ideas popular

C. North America and Western Civilization
   European-style family
   European economic, political ideas

D. Africa and Asia: Coastal Trading Stations
   Barriers: climate, disease, geography
   Europeans stop at coast
   except in Angola, South Africa

   Angola
   Portuguese slaving expeditions

   South Africa
   1652, Dutch found Cape Town
   way station
   Settlers move into interior
   conflicts with natives

   Asia
   Spain into Philippines
   conversion

   Indonesia
   Dutch East India Company
   also Taiwan briefly

   French and British fight for control of India
   1744, war begins
   British win out

E. Impact on western Europe
   Hostilities between countries exacerbated

   Seven Years' War
   first global war
F. The Impact of a New World Order

Slave trade affects Africa

Latin America, eastern Europe
affected by slavery, serfdom

Populations grow following introduction of new food crops

Silver Currency. Silver became a commonly traded commodity after 1450, as new sources increased its availability. Silver mines in Mexico and Bolivia were worked by Spaniards, using the Inca mita system. Silver flowed through Spain, into the hands of European merchants, and thence to Asia. Indian spices and Chinese finished goods were eagerly sought by Europeans. Thus a preponderance of the silver ended up in these two world areas. China experienced economic growth, and an improved standard of living. These benefits were not without consequences, as some Chinese became concerned with economic polarization, and Europeans worried about the flow of silver through the continent.

Chapter Summary. The rise of the West between the 15th and 18th centuries involved distant explorations and conquests resulting in a heightening and redefining of relationships among world societies. During the classical era, larger regional economies and culture zones had developed, as in the Chinese Middle Kingdom and the Mediterranean basin, but international exchanges were not of fundamental importance to the societies involved. During the postclassical period, contacts increased and were more significant. Missionary religions—Buddhism and Islam—and trade influenced important changes. The new world relationships after 1450 spelled a new period of world history. The Americas and other world areas were joined to the world network, while older regions had increased contacts. Trade became so significant that new relationships emerged among societies and prompted reconsideration of existing political and cultural traditions.

The West's First Outreach: Maritime Power. Europeans had become more aware of the outside world since the 12th century. Knowledge gained during the Crusades and from contacts with the great Mongol Empire spurred interest. European upper classes became used to imports, especially spices, brought from India and southeast Asia to the Middle East by Arab vessels, and then carried to Europe by traders from Italian city-states. The fall of the Mongol dynasty in China, the strength of the Ottoman Empire, plus lack of gold to pay for imports and poor naval technology, hindered efforts for change. Europeans launched more consistent attempts for expansion from the late 13th century.

New Technology: A Key to Power. Technological improvements during the 15th century changed the equation. Deep-draught, round-hulled ships were able to sail Atlantic waters. Improved metalwork techniques allowed the vessels to carry armament far superior to the weapons aboard ships of other societies. The compass and better mapmaking improved navigational skills.
Portugal and Spain Lead the Pack. The initiative for Atlantic exploration came from Portugal. Prince Henry the Navigator directed explorations motivated by Christian missionary zeal, the excitement of discovery, and a thirst for wealth. From 1434, Portuguese vessels, searching for a route to India, traveled ever farther southward along the African coast. In 1488 they passed the Cape of Good Hope. Vasco da Gama reached India in 1498. Many voyages followed. One, blown off course, reached Brazil. By 1514 the Portuguese had reached Indonesia and China. In 1542 they arrived in Japan and began Catholic missionary activity. Fortresses were established in African and Asian ports. The Spanish quickly followed the Portuguese example. Columbus reached the Americas in 1492, mistakenly calling their inhabitants Indians. Spain gained papal approval for its claims over most of Latin America; a later decision gave Brazil to Portugal. Sixteenth-century expeditions brought the Spanish as far north as the southwestern United States. Ferdinand Magellan began a Spanish voyage in 1519 that circumnavigated the globe. As a result, Spain claimed the Philippines.

Northern European Expeditions. In the 16th century, the exploratory initiative passed from the Portuguese and Spanish to strong northern European states—England, Holland, France. They had improved oceanic vessel design while Portugal and Spain were busy digesting their colonial gains. British naval victory over Spain in 1588 left general ocean dominance to northern nations. The French first crossed the Atlantic in 1534 and soon established settlements in Canada. The British turned to North America in 1497, beginning colonization of its east coast during the 17th century. The Dutch also had holdings in the Americas. They won control of Indonesia from the Portuguese by the early 17th century, and in mid-century established a relay settlement on the southern tip of Africa. French, Dutch, and British traders received government-awarded monopolies of trade in the newly reached regions, but the chartered companies acted without much official supervision. They gained great profits and acted like independent political entities.

In Depth: Causation and the West's Expansion. Historians desiring to understand social change have to study causation. The many factors involved in any one case make precise answers impossible, but when sufficient data is available, high probability can be attained. Scholars looking for single-factor determinants use cultural, technological, economic, or “great man” theory explanations. All of the approaches raise as many questions as answers. The best understanding is reached through debate based on all efforts chosen as explanations.

Toward a World Economy. Europe's new maritime activity had three major consequences for world history: creation of a new international pool for exchanges of food, diseases, and manufactured products; formation of a more inclusive world economy; and opening some parts of the world to Western colonization.

The West's Commercial Outreach. Westerners, because of their superior military might, dominated international trade, but they did not displace all rivals. Asian shipping continued in Chinese and Japanese coastal waters, Muslim traders predominated along the east African littoral, and the Turks were active in the eastern Mediterranean. Little inland territory was conquered in Africa or Asia; the Europeans sought secure harbors and built fortifications to protect their commerce and serve as contact places for inland traders. When effective indigenous states opposed such bases, Europeans gained protected trading enclaves within their cities.

Imbalances in World Trade. Spain and Portugal briefly held leadership the New World economy, but their economies and banking systems could not meet the new demands. New core nations, England, France, and Holland, established more durable economic dominance. They expanded manufacturing operations to meet new market conditions. The doctrines of mercantilism protected home markets and supported exports; tariff policies discouraged competition from colonies and foreign rivals. Beyond Europe areas became dependent participants in the world economy as producers and suppliers of low-cost raw materials; in return they received European manufactured items. Sub-Saharan Africa entered the world network mainly as a slave supplier. The Europeans controlled commercial and shipping services.

A System of International Inequality. The rise of core and dependent economic zones became an enduring factor in world economic relationships. Some participants in the dependent regions had an opportunity for profit. African slave traders and rulers taxing the trade could become rich. Indigenous merchants in Latin America satisfied regional food requirements. Many peasants in all regions remained untouched by international markets. Still, indigenous merchants and landlords did not control their terms of trade; the wealth gained was expended on European imports and did not stimulate local manufacturing or general economic advance. Dependence in the world economy helped form a coercive labor system. The necessity for cheap products produced in the Americas exploitation of indigenous populations or use of slaves. In the Dutch East Indies and British India, peasants were forced into labor systems.

How Much World in the World Economy? Huge world areas remained outside the world economy. They were not affected politically or economically by its structure, and until the 18th century did not greatly suffer from the missed opportunities for profit or technological advance. East Asian civilizations did not need European products; they concentrated upon consumption or regional commerce. China was uninterested in international trading involvement and remained mainly outside the world economy until the end of the 18th century. It was powerful enough to keep Europeans in check. Some limited trade was permitted in Portuguese Macao, and European desire for Chinese manufactured items made China the leading recipient of American silver. In Japan early openness to Europeans, in missionary activity and interest in military technology, quickly ended. Most contacts were prohibited from the 17th to the 19th century. Mughal India, the Ottomans, and Safavid Persia all allowed minimal trade with Europeans, but concentrated upon their own internal development. Russia and African regions not participating in the slave trade lay outside the international economic orbit.
The Expansionist Trend. European dominance spread to new areas during the 17th and 18th centuries. British and French merchants strengthened their positions as the Mughal Empire began falling apart. Britain passed legislation designed to turn its holdings into dependent regions. Tariffs blocked cottons from competing with British production. India’s complex economy survived, but with a weakened international status. Eastern Europe joined world economic activity by exporting grain, mainly produced by serfs working on large estates, from Prussia, Poland, and Russia to the West.

Colonial Expansion. Western colonial dominance over many peoples accompanied the New World economic network. Two types of American colonies emerged, in Latin America and the Caribbean, and in North America. Colonialism also spread to Africa and Asia.

The Americas: Loosely Controlled Colonies. Spain quickly colonized West Indian islands; in 1509 settlement began on the mainland in Panama. Military expeditions conquered the Aztecs and Incas. The early colonies were formed by small bands of adventurers loosely controlled by European administrations. The settlers ruthlessly sought gold; when there were substantial Indian populations they exacted tribute without imposing much administration. As agricultural settlements were established, Spanish and Portuguese officials created more formal administration. Missionary activity added another layer of administration. Northern Europeans began colonial activity during the early 17th century. The French settled in Canada and explored the Mississippi River basin. The Dutch and English occupied coastal Atlantic territories. All three nations colonized West Indian islands and built slave-based economies.

British and French North America: Backwater Colonies. North American colonial patterns differed from those in Latin America and the Caribbean. Religious refugees came to English territories. Land grants to major proprietors stimulated the recruitment of settlers. The French in Canada planned the establishment of manorial estates under the direction of great lords controlled by the state. French peasants emigrated in small numbers, but increased settlement through a high birth rate. The Catholic church held a strong position. France in 1763 through the Treaty of Paris surrendered Canada and the Mississippi basin. The French inhabitants remained unhappy with British rule, but many American loyalists arrived after the 1776 revolution. The North American colonies were less esteemed by their rulers than Asian or West Indian possessions since the value of the exports and imports of their small populations was insignificant. Continuing settler arrival occurred as Indian populations declined through disease and warfare. Indians and Europeans did not form new cultural groups as they did in Latin America; Indians instead moved westward where they developed a culture based upon the imported European horse. North American colonial societies developed following European patterns. British colonies formed assemblies based upon broad male participation. The colonists also avidly consumed Enlightenment political ideas. Trade and manufacturing developed widely, and a strong merchant class appeared. The colonists retained vigorous cultural ties with Europe; an unusual percentage of the settlers were literate. The importation of African slaves and slavery separated the North America experience from European patterns.

North America and Western Civilization. Western habits had been transplanted into a new setting. Americans married earlier, had more children, and displayed an unusual concern for children, but they still reproduced the European-style family. When British colonists revolted
against their rulers, they did so under Western-inspired political and economic ideology. Once successful, they were the first to implement some of the principle concepts of that ideology.

**Africa and Asia: Coastal Trading Stations.** In Africa most Europeans were confined, because of climate, disease, geographical barriers, and African strength, to coastal trading forts. The exceptions were in Angola and South Africa. The Portuguese sent disruptive slaving expeditions into Angola from established coastal centers. In South Africa, the Dutch founded Cape Town in 1652 as a settlement for supplying ships on the way to Asia. The settlers expanded into nearby regions where they met and fought indigenous hunters and herding peoples. Later they began continuing wars with the Bantu. European settlements in Asia also were minimal. Spain moved into the Philippines and began Christianizing activities; the Dutch East India Company administered parts of Indonesia and briefly had a presence in Taiwan. Asian colonization began a new phase when France and Britain, with forts along both coasts, began to compete for control in India as Mughal authority declined. Outright war began in 1744, with each side allying with Indian princes. French defeat destroyed their power in India. Unlike colonial rule in the Americas, European administration remained limited in India, as in most African and Asian territories. Officials were satisfied to conclude agreements with indigenous rulers. European cultural impact was slight, and few settlers, apart from the Dutch in South Africa, took up residence. Only in the Philippines were many indigenous peoples drawn to Christianity.

**Impact on Western Europe.** Colonial development affected western Europe economically and diplomatically. Colonial rivalries added to the persisting hostilities between nations. The Seven Years’ War, fought in Europe, Asia, and America, was the first world-wide war. The colonies brought new wealth to Europe, profiting merchants and manufacturers. New products changed lifestyles: once-costly sugar became available to ordinary people.

**The Impact of a New World Order.** The development of a world economy and European colonialism had major impacts. African populations were disrupted by the slave trade. Latin America and eastern Europe were deeply affected by slavery and serfdom. Despite the hardships imposed upon many societies, some benefits resulted. New food crops and increased trade allowed population growth. Individual landowners and merchants prospered. Out of a search for profits, or by necessity, increasing numbers of peoples became part of the world economy.

**GLOBAL CONNECTIONS: The World Economy—and the World.** Western European economic and military power rapidly increased during the early modern period. Dramatic internal European changes also occurred. The relations of other civilizations to the new era varied. Some remained isolated. Others retained vibrant political and economic systems. Whatever the response, none were passive. If new ideas entered a civilization, they blended in with existing cultures.
KEY TERMS

Vasco da Gama: Portuguese mariner; first European to reach India by sea in 1498.

Christopher Columbus: Italian navigator in the service of Aragon and Castile; sailed west to find a route to India and instead discovered the Americas in 1492.

Ferdinand Magellan: Portuguese captain in Spanish service; began the first circumnavigation of the globe in 1519; died during voyage; allowed Spain to claim possession of the Philippines.

East India Companies: British, French, and Dutch trading companies that obtained government monopolies of trade to India and Asia; acted independently in their regions.

World economy: created by Europeans during the late 16th century; based on control of the seas; established an international exchange of foods, diseases, and manufactured products.

Columbian Exchange: interaction between Europe and the Americas; millions of native Americans died from the entry of new diseases; New World crops spread to other world regions; European and Asian animals came to the Americas.

Lepanto: naval battle between Spain and the Ottoman Empire resulting in Spanish victory in 1571; demonstrated European naval superiority over Muslims.

Core nations: nations, usually European, that profited from the world economy; controlled international banking and commercial services; exported manufactured goods and imported raw materials.

Mercantilism: the colonial economic policy, by which a colonizing nation must import only from its own colonies, but sell exports as widely as possible.

Dependent economic zones: regions within the world economy that produced raw materials; dependent upon European markets and shipping; tendency to build systems based on forced and cheap labor.

Mestizos: people of mixed European and Native American heritage.

Vasco de Balboa: (1475?-1517), Spanish adventurer; explored Central America.
Francisco Pizarro (1478-1541); Spanish explorer; arrived in the Americas in 1502; joined Balboa in Panama, then successfully attacked the Inca Empire.

New France: French colonies in Canada and elsewhere; extended along St. Lawrence River and Great Lakes and down Mississippi River valley system.

Atlantic colonies: British colonies in North America along Atlantic coast from New England to Georgia.
**Treaty of Paris:** concluded in 1763 following the Seven Years' War; Britain gained New France and ended France’s importance in India.

**Cape Colony:** Dutch colony established at Cape of Good Hope in 1652 to provide a coastal station for Dutch ships traveling to and from Asia; settlers expanded and fought with Bantu and other Africans.

**Boers:** Dutch and other European settlers in Cape Colony before 19th-century British occupation; later called Afrikaners.

**Calcutta:** British East India Company headquarters in Bengal; captured in 1756 by Indians; later became administrative center for populous Bengal.

**Seven Years’ War:** fought in Europe, Africa, and Asia between 1756 and 1763; the first worldwide war.

**LECTURE SUGGESTIONS**

1. **Discuss the ways that the creation of a global economy in the 16th and 17th centuries differed from the previous trade networks that had existed between civilizations.** The global economy of the 16th and 17th centuries was dominated by the West; previous global networks had been dominated by Asian or Islamic regions. New areas were added in the 17th century: Africa became more fully incorporated and the Americas were added for the first time. The increase in international trade led to the creation of core regions and dependent zones. The latter were exploited by Western core regions; they were typified by the production of raw materials, bullion, and agricultural crops (often produced on plantations). Many had coercive labor systems (usually slavery) and were dependent on manufactured goods from core regions. The global network was enforced by the West's military technology, particularly naval gunnery and superiority on the seas.

2. **Discuss the reasons allowing the West to establish its dominance in the global trade network of the 17th century.** The withdrawal of possible rivals helped the West, in particular that of China and the Islamic world. The Ottomans were not as dedicated to commerce as were previous dynasties and they were not as fully in control of regions obviously critical to the Islamic trade network. China made the decision to be self-sufficient and withdrew from the world trade network. Japan made a similar decision and isolated itself. The West had an advantage through its relative population growth in comparison to the others and through its technological innovations directly related to seafaring and military power on the seas, especially cannons. The West defeated the Ottomans at Lepanto in the 16th century; China and Japan did not challenge the West.
CLASS DISCUSSION QUESTIONS

1. What technological innovations made the global domination of the West possible?

2. Describe the early exploration of the world by the West.

3. What was the Colombian Exchange?

4. Define the terms "core area" and "dependent zone."

5. What areas remained outside the new global economy prior to 1600? What areas were added in the 17th century?

6. How did British and French North America differ from other European colonies?

7. What were the results of the creation of a world economy?

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CHAPTER 22
The Transformation of the West, 1450-1750

I. The First Big Changes: Culture and Commerce
A. A New Spirit
   Francesco Petrarch (1304-1374)
       secular writing

B. The Italian Renaissance
   Begins 14th, 15th centuries
       in northern Italy

   Italy
       urbanized
       merchant class
       political rivalry

   Petrarch, Boccaccio
       use Italian
       secular topics

   Painting
       use of perspective
       shadow, distance
       focus on humans

   Michelangelo Buonarotti

   Leondardo da Vinci

   Nicolo Machiavelli

   Humanism
       looking back to classical past
       study of texts, especially ancient

C. The Renaissance Moves Northward
   by 1500, impetus moves north

   Northern Renaissance
       France, Low Countries, England, Germany
       thence to Eastern Europe
       More concerned with religious matters
       William Shakespeare
       Miguel de Cervantes
D. Changes in Technology and Family

Technology
printing

Family
later marriage age common
nuclear family common

D. The Protestant and Catholic Reformations

1517, Martin Luther's challenge
attacks church institutions
Bible the only authority
vernacular translations

Protestant protest used for political gain
German opposition to the papacy
Rulers seize church lands

Henry VIII
establishes Anglican church

Jean Calvin
Calvinism
predestination

Catholic Reformation
renewal
Jesuits
missionaries
education

E. The End of Christian Unity in the West

Religious Wars
France
Calvinists v. Catholics
1598, Edict of Nantes
promises Protestants toleration

30 Years' War (1618-1648)
devastating to Germany
Netherlands independent

Literacy increases
F. The Commercial Revolution
   Inflation, 16th century
       Gold, silver from New World
defense outstrips supply

G. Social Protest
   Proletariat develops

       Attitudes towards poor change

       Protests

       Witchcraft hysteria

II. Science and Politics: The Next Phase of Change

A. Did Copernicus Copy?
   Nicolai Copernicus
       Polish monk
       knowledge of work of al-Urdi, al-Tusi?
       earlier Arab scientists

B. Science: The New Authority
   New instruments add to data-collection

       Galileo Galilei
           uses Copernicus' work

       Kepler’s observations confirm earlier work

       William Harvey
           circulatory system

Methods

       Francis Bacon
           empirical research

       René Descartes
           skepticism

       Isaac Newton
           system of natural laws

Deism

       god does not intervene with nature

John Locke

       use of reason
C. Absolute and Parliamentary Monarchies

17th century, medieval balance disrupted

France dominates
- centralized monarchy
- bureaucracy
- "absolute monarchy"
- Louis XIV the best example
- nobles kept at court

Other absolute monarchs
- Spain, Prussia, Austria-Hungary
- territorial expansion

England
- difference
- Civil War
  - ends with dominance of parliament
  - theory of people as source of power

D. The Nation-State

Definition
- common language, culture
  - national literature, songs, foods
- territorial aspect
- common allegiance

III. The West by 1750

A. Political Patterns

Great change in central Europe

Frederick the Great of Prussia
- religious freedom
- state regulates economy
- overseas commercial networks

Continual warfare
- France v. Britain
  - rivalry over overseas territory
- Prussia v. Austria
  - territorial conflicts
B. Enlightenment Thought and Popular Culture
Scientific Revolution leads to Enlightenment
scientific methods applied to other fields

General principles
people are good
reason the answer
belief in progress

Political science
Adam Smith
laissez-faire

Criminology

Society
women's rights
protection of children
attack inequities

C. Ongoing Change in Commerce and Manufacturing
Mass consumerism

Agriculture
nitrogen-fixing crops
stockbreeding
swamp drainage
potatoes, etc. introduced

Domestic system
households produce finished goods

D. Innovation and Instability
Change becomes the norm

Childhood in the Early Modern Era. The French historian Philippe Ariès, brought out his *Centuries in Childhood* in 1960, contending that differences in attitudes and treatment of children differentiated the premodern from the modern world. Essentially, Ariès claimed that childhood was not viewed as a distinct phase before the modern era. His work, largely based on artworks, has been the subject of debate, often of sharp criticism. Critiques of his findings are predominantly based on his use of a medium that reflects only the mores of the upper classes. Nevertheless, most historians would agree that the modern and premodern worlds differed substantially in many areas of society, economy, and culture.

Chapter Summary. The core areas of Western civilization changed dramatically between 1450 and 1750. While remaining an agricultural society, the West became unusually commercially
active and developed a strong manufacturing sector. Governments increased their powers. In intellectual life, science became the centerpiece for the first time in the history of any society. Ideas of the family and personality also altered. The changes were stimulated by overseas expansion and growing international commercial dominance. The internal changes, as the Renaissance and Enlightenment, were marked by considerable conflict, with focal points centered on the state, culture, and commerce, with support from technology.

**The First Big Changes: Culture and Commerce.** During the 15th century, Europe took on a new role in world trade. At the same time, the developments of the Renaissance continued, to be followed in the 16th century by the Protestant and Catholic reformations. A new commercial and social structure grew.

**A New Spirit.** Francesco Petrarch (1304-1374) in many ways typified the new spirit of the Renaissance. He was conscious of the secular nature of his work, in comparison with the more devout Middle Ages.

**The Italian Renaissance.** The Renaissance began in Italy during the 14th and 15th centuries as individuals challenged medieval intellectual values and styles. Italy's urban, commercial economy and competitive state politics stimulated the new movement. Petrarch and Boccaccio challenged established literary canons, writing in Italian instead of Latin. They emphasized secular topics such as love and pride. New realism appeared in painting, and religion declined as a central focus. During the 15th and 16th centuries the Renaissance blossomed further. In a great age of artistic accomplishment, da Vinci and Michelangelo changed styles in art and sculpture. In political theory, Machiavelli advocated pragmatic politics. All used examples drawn from Greece and Rome. Humanism, a focus on humanity as the center of endeavor, was a central focus. Renaissance ideas influenced politics and commerce. Merchants and bankers embraced profit-seeking capitalist practices. Rulers of city-states focused on glorifying their cities, and on the welfare of citizens. New attention went to war-making and diplomacy.

**The Renaissance Moves Northward.** By the 16th century, Italy declined as the center of the Renaissance. French and Spanish invasion cut political independence, while new Atlantic trade routes hurt the Mediterranean economy. The northern Renaissance emerged in France, the Low Countries, Germany, and England, and spread to eastern Europe. Northern Humanists tended to be more concerned with religious matters. Writers such as Shakespeare, Rabelais, and Cervantes mixed classical themes with elements of medieval popular culture and established a new set of classic works. Northern rulers became patrons of the arts, tried to control the church, and sponsored trading companies and colonial ventures. Classical Greece and Rome provided models in architecture, literature, and political forms. A spirit of individual excellence and defiance of tradition was widespread. Renaissance influence can be overstated. Feudal political forms remained strong. Ordinary people were little touched by the new values, and general economic life was not much altered.

**Changes in Technology and Family.** By 1500, fundamental changes were underway in Western society. Contacts with Asia led to improvements in technology. Printing helped to expand religious and technological thinking. A European-style family emerged. Ordinary people married at a later age, and a primary emphasis on the nuclear family developed. The
changes influenced husband-wife relations and intensified links between families and individual property holdings. Later marriage was a form of birth control and helped to control population expansion.

**The Protestant and Catholic Reformations.** The Catholic church faced serious challenges. In 1517, Luther stressed that only faith could win salvation and challenged many Catholic beliefs, including papal authority, monasticism, the roles of priests, and priestly celibacy. He said that the Bible should be translated into vernacular languages, and read by individuals. Luther resisted papal pressure and gained support in Germany where papal authority and taxes were resented. Princes saw an opportunity to secure power at the expense of the Catholic Holy Roman emperor. They seized church lands and became Lutherans. Peasants interpreted Luther's actions as a sanction for rebellion against landlords, although this had not been his intent. Urban people thought Luther's views sanctioned money making and other secular pursuits. Other Protestant groups appeared. In England, Henry VIII established the Anglican church. Frenchman Jean Calvin, based in Geneva, insisted on the principle that individuals were predestined to be saved, and were not capable of winning salvation. Calvinists sought the participation of all believers in church affairs and thus influenced attitudes to government. They also stressed education to enable believers to read the Bible. The Catholic church was unable to restore unity, but much of Europe remained under its authority. The Catholic Reformation worked against Protestant ideas, revived doctrine, and attacked popular beliefs. A new order, the Jesuits, spearheaded educational and missionary activity, including work in Asia and the Americas.

**The End of Christian Unity in the West.** The Protestant and Catholic quarrels caused a series of religious wars during the 16th and 17th centuries. In France, conflict between Calvinists and Catholics raged, until the edict of Nantes in 1598 promised toleration for Protestants. The Thirty Years' War (1618-1648) added religious affiliation as a cause for hostility. German power and prosperity did not recover for a century. The peace settlement allowed rulers and cities to choose an official religion. It also gave the Protestant Netherlands independence from Spain. During the 17th century, religion was an important issue in English civil strife; most Protestants, but not Catholics, gained toleration. The religious wars led to limited religious pluralism. The wars also affected the European power balance and political structure. France gained power; the Netherlands and England developed international trade; and Spain lost dominance. Some rulers benefited from the decline of papal authority, but in some states Protestant theory encouraged parliamentary power. Popular mentalities changed, and God was seen to take less of a part in people's lives. Religion and daily life were regarded as separate. Religious change also gave greater emphasis to family life; love between spouses was encouraged. Unmarried women, however, had fewer alternatives when Protestants abolished convents. Finally, literacy became more widespread.

**The Commercial Revolution.** Western economic structure underwent fundamental redefinition. Greater commercialization was spurred by substantial price inflation during the 16th century. New World gold and silver forced prices up, demand surpassed availability. Great trading companies formed to take advantage of colonial markets; the increasing commerce stimulated manufacturing. Specialized agricultural regions emerged. The prosperity benefited peasants as well as merchants.
Social Protest. Nevertheless, some suffered from the changes. Commercialization created a proletariat. Population growth and increased food prices hit the poor. A lasting unfavorable attitude towards the poor developed. The many changes stimulated important popular protest among urban and rural people from the close of the 16th century. Protestors called for a political voice or suppression of landlords and taxes. Witchcraft hysteria reflected economic and religious uncertainties; women were the most common targets.

Science and Politics: The Next Phase of Change. A revolution in science, peaking in the 17th century, sealed the cultural reorientation of the West. At the same time more decisive forms of government arose, centering upon the many varieties of the nation-state.

Did Copernicus Copy? A key development was the rise of science in intellectual life. The Polish monk Copernicus, through astronomical observation and mathematics, disproved the belief that the Earth was the center of the universe and set other advances in motion. Did Copernicus know of similar findings that had been made earlier by Arab scientists, al-Urdi and al-Tusi? Other societies had already realized the central position of the sun.

Science: The New Authority. In the 16th century, scientific research built on late medieval patterns. The appearance of new instruments allowed advances in biology and astronomy. Galileo publicized Copernicus's findings and Kepler provided more accurate reaffirmation of his work. Galileo’s condemnation by the Catholic church demonstrated the difficulty traditional religion had in dealing with the new scientific attitude. William Harvey explained the circulatory system of animals. The advances were accompanied by improved scientific methodology. Bacon urged the value of empirical research, and Descartes established the importance of a skeptical review of all received wisdom. The capstone to the 17th-century Scientific Revolution came with Newton's argument for a framework of natural laws. He established the principles of motion, defined the forces of gravity, and refined the principles of scientific methodology. The revolution in science spread quickly among the educated. Witchcraft hysteria declined and a belief grew that people could control their environment. New attitudes toward religion resulted. Deism argued that god did not regulate natural laws. Locke stated that people could learn all that was necessary through their senses and reason. Wider assumptions about the possibility of human progress emerged. In all, science had become central to Western intellectual life, distinguishing the West from other civilizations.

Absolute and Parliamentary Monarchies. The medieval balance between monarchs and nobles came undone in the 17th century. Monarchs gained new powers in warfare, administration, and tax collection. France became the West's most important nation. Its rulers centralized authority and formed a professional bureaucracy and military. The system was called absolute monarchy; Louis XIV was its outstanding example. His nobles, kept busy with social functions at court, could not interfere in state affairs. Following the economic theory of mercantilism, Louis XIV supported measures improving internal and international trade, manufacturing, and colonial development. Similar policies occurred in Spain, Prussia, and Austria-Hungary. Absolute monarchs pushed territorial expansion; Louis XIV did so from the 1680s, and Prussia during the 18th century. Britain and the Netherlands formed parliamentary regimes. A final English political settlement occurred in 1688 and 1689, by which parliament
won basic sovereignty over the king. A developing political theory built on this process; it was argued that power came from the people, not from a royal divine right, and that they had the right to revolt against unjust rule.

**In Depth: Elites and Masses.** During the 17th century, the era of witchcraft hysteria ended. One explanation is that elites, no longer believing in demonic disruptions, made new efforts to discipline mass impulses. Ordinary people also altered belief patterns, becoming more open to the scientific thinking. The process, for both elites and the mass of people, raises a host of questions for social historians. The elite certainly were important agents pushing change, but ordinary individuals did not blindly follow their lead. The European-style family, with its many implications for relations between family members, was an innovation by ordinary people.

**The Nation-State.** As nation-states, both absolute monarchies and parliamentary monarchies shared important characteristics. They ruled peoples mostly sharing a common language and culture. Ordinary people did not have a role in government, but they did feel that it should act for their interests. The many competing nation-states kept the West politically divided and at war.

**The West by 1750.** The great currents of change—commercialization, cultural reorientation, the rise of the nation-state—continued after 1750, producing new waves of change, further transforming of the West.

**Political Patterns.** Political changes were the least significant, especially in England and France, where earlier patterns persisted. Developments were livelier in central European states under the rule of enlightened despots. Frederick the Great of Prussia introduced greater religious freedom, expanded state economic functions, encouraged agricultural methods, promoted greater commercial coordination and greater equity, and cut back harsh traditional punishments. The major Western states continually fought each other. France and Britain fought for colonial empire; Prussia and Austria fought over territory.

**Enlightenment Thought and Popular Culture.** The aftermath of the Scientific Revolution was a new movement, the Enlightenment, centered in France. Thinkers continued scientific research and applied scientific methods to the study of human society. They believed that rational laws could describe both physical and social behavior. New schools of thought emerged in criminology and political science. In economics, Adam Smith maintained that governments should stand back and let individual effort and market forces operate for economic advance. More generally, the Enlightenment produced a basic set of principles concerning human affairs: humans are naturally good, reason was the key to truth, intolerant or blind religion was wrong. If people were free, progress was likely. A few Enlightenment thinkers argued for more specific goals, for economic equality and the abolition of private property, and for women's rights. New ideas in all fields spread through reading clubs and coffeehouses. New attitudes toward children favored less harsh discipline, a sign of a general new affection between family members.
Ongoing Change in Commerce and Manufacturing. The general economic changes brought the beginnings of mass consumerism to Western society. Paid, professional entertainment as part of popular leisure reflected the change. In agriculture, medieval methods were supplanted by new methods of swamp drainage, use of nitrogen-fixing crops, improved stockbreeding, and many new cultivation techniques. New World crops, like the potato, increased the food supply. The agricultural advances, along with the growth of internal and international commerce, spurred manufacturing. Capitalism spread from trading ventures to production of commodities and altered relationships between workers and employers. The domestic system of household production gave farmers additional work. Important technological innovations, like the flying shuttle in weaving, improved efficiency. After 1730, the changes in economic activity caused a rapidly growing population. Many landless individuals found jobs in manufacturing. More people lived longer, resulting in earlier marriages.

Innovation and Instability. Western society had become increasingly accustomed to change in commercial, cultural, and political affairs. New currents affected family structure and roused political challenges. A new version of an agricultural civilization had appeared and was ready for more change.

GLOBAL CONNECTIONS: Europe and the World. By the mid-15th century, European Christians thought that their religion made them superior to others, but they recognized the strengths and prosperity of differing civilizations. The attitude that certain societies were backward when compared to the West had a strong, widespread impact on the future.

KEY TERMS

Italian Renaissance: 14th- and 15th-century movement influencing political forms, literature, and the arts; consisted largely of a revival of classical culture.

Niccolo Machiavelli: author of The Prince; emphasized realistic discussions of how to seize and maintain power.

Humanism: a focus on humanity as the center of intellectual and artistic endeavor.

Northern Renaissance: cultural and intellectual movement of northern Europe; influenced by earlier Italian Renaissance; centered in France, Low Countries, England, and Germany; featured greater emphasis on religion than the Italian Renaissance.

Francis I: king of France (r. 1494-1547); one of many monarchs of the Renaissance period that were influential through their patronage of the arts.

Johannes Gutenberg: introduced movable type to western Europe in the 15th century; greatly expanded the availability of printed materials.

European-style family: emerged in the 15th century; involved a later marriage age and a primary emphasis on the nuclear family.
**Martin Luther:** German Catholic monk who initiated the Protestant Reformation; emphasized the primacy of faith for gaining salvation in place of Catholic sacraments; rejected papal authority.

**Protestantism:** general wave of religious dissent against the Catholic church; formally began with Martin Luther in 1517.

**Anglican church:** form of Protestantism in England established by Henry VIII.

**Jean Calvin:** French Protestant who stressed doctrine of predestination; established center of his group in Geneva; in the long run encouraged wider public education and access to government.

**Catholic Reformation:** Catholic response to the Protestant Reformation; reformed and revived Catholic doctrine.

**Jesuits:** Catholic religious order founded during Catholic Reformation; active in politics, education, and missionary work outside of Europe.

**Edict of Nantes:** 1598 grant of tolerance in France to French Protestants after lengthy civil wars between Catholics and Protestants.

**Thirty Years War:** war from 1618 to 1648 between German Protestants and their allies and the Holy Roman emperor and Spain; caused great destruction.

**Treaty of Westphalia:** ended Thirty Years War in 1648; granted right of individual rulers and cities to choose their own religion for their people; Netherlands gained independence.

**English Civil War:** conflict from 1640 to 1660; included religious and constitutional issues concerning the powers of the monarchy; ended with restoration of a limited monarchy.

**Proletariat:** class of people without access to producing property; usually manufacturing workers, paid laborers in agriculture, or urban poor; product of the economic changes of the 16th and 17th centuries.

**Witchcraft persecution:** outburst reflecting uncertainties about religious truth and resentments against the poor, especially women.

**Scientific Revolution:** process culminating in Europe during the 17th century; period of empirical advances associated with the development of wider theoretical generalizations; became a central focus of Western culture.

**Copernicus:** Polish monk and astronomer; disproved Hellenistic belief that the sun was at the center of the universe.
Johannes Kepler: resolved basic issues of planetary motion and accomplished important work in optics.

Galileo: publicized Copernicus's findings; added own discoveries concerning the laws of gravity and planetary motion; condemned by the Catholic church for his work.

William Harvey: English physician who demonstrated the circular movement of blood in animals and the function of the heart as pump.

René Descartes: philosopher who established the importance of the skeptical review of all received wisdom; argued that human wisdom could develop laws that would explain the fundamental workings of nature.

Isaac Newton: English scientist; author of *Principia*; drew the various astronomical and physical observations and wider theories together in a neat framework of natural laws; established principles of motion and defined forces of gravity.

Deism: concept of god during the Scientific Revolution; the role of divinity was limited to setting natural laws in motion.

John Locke: English philosopher who argued that people could learn everything through their senses and reason; argued that the power of government came from the people, not from the divine right of kings; they had the right to overthrow tyrants.

Absolute monarchy: concept of government developed during the rise of the nation-state in western Europe during the 17th century; monarchs held the absolute right to direct their state.

Louis XIV: French king who personified absolute monarchy.

Glorious Revolution: English political settlement of 1688 and 1689 which affirmed that parliament had basic sovereignty over the king.

Frederick the Great: Prussian king who introduced Enlightenment reforms; included freedom of religion and increased state control of the economy.

Enlightenment: intellectual movement centered in France during the 18th century; argued for scientific advance, the application of scientific methods to study human society; believed that rational laws could describe social behavior.

Adam Smith: established new school of economic thought; argued that governments should avoid regulation of economies in favor of the free play of market forces.

Mary Wollstonecraft: Enlightenment English feminist thinker; argued that political rights should be extended to women.
LECTURE SUGGESTIONS

1. Discuss the ways in which the Renaissance, Reformation, and Enlightenment had an impact on the political organization of Europe. All of the movements invoked changes in popular mentality that affected political organization. The Northern Renaissance attacked the authority of the church and allowed the state to control the church, increased interest in pomp and ceremony, and produced greater interest in military conquest and exploration. The Reformation included a concept of shared authority; thus Protestant regions were less likely to develop absolute monarchies and tended to form parliamentary governments. The success of the Reformation allowed Protestant rulers to seize control of possessions of the Catholic church. The Enlightenment implied the ability of the state to intervene to benefit all citizens; it contributed the concept of progress and improvement. In politics it led to enlightened despotism, particularly in eastern Europe where Prussia and Austria-Hungary sponsored state reforms. It also coincided with the development of more centralized governments with more all-encompassing powers.

2. Discuss how economic change between 1450 and 1750 altered the social organization of western Europe. Commercialization and inflation caused significant changes. Individuals who invested gained at the expense of others who simply possessed property. Thus the aristocracy was challenged. At the lower end of the social scale a proletariat emerged: people whose income and wealth was separated from possession of real property. They were associated with the rise of domestic manufacturing and urbanization. The process created new social classes and social tensions. There was a wave of popular protests against poverty and proletarianization up to 1650. Associated with the unrest was hysteria over witchcraft, which demonstrated a distrust of the poor as a potentially revolutionary group.

CLASS DISCUSSION QUESTIONS

1. What is the historical periodization of the major pattern change in Western Europe? What are the major trends?

2. What are the major differences between the Italian Renaissance and the Northern Renaissance?

3. What Protestant churches were established by the Reformation? What was the nature of religious warfare?

4. Do the religious differences between Europeans resemble the arguments between different groups of believers in the other major world religions?

5. Describe the causes and results of the commercial revolution.

6. What was the Scientific Revolution? What were some major discoveries?

7. What are the elements of absolute monarchy? Where did absolute monarchs develop?
8. What was the Enlightenment? How did it expand on the Scientific Revolution?

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CHAPTER 23
The Rise of Russia

I. Russia's Expansionist Politics under the Tsars
   14th Century
      Duchy of Moscow takes lead in expelling Mongols

   Ivan III (the Great)
      nationalism
      Orthodox Christianity
      by 1480, independent state

A. The Need for Revival
   Mongols
      laissez-faire policy

   Period of cultural and economic decline
      literacy decreases

   Ivan III
      restoration of traditional rule
      role overseeing church
      Russia as the "Third Rome"

   Ivan IV (The Terrible)
      attacks boyars (nobles)
      increases central power

B. Patterns of Expansion
   Expansion into central Asia
      into Siberia by 1500

      Cossacks
      peasants recruited to settle new lands

      Land grants to nobles, bureaucrats

      Trade with Asia increased

      Islam tolerated

D. Western Contact and Romanov Policy
   Intentional turn to West

   Ivan III
      embassies to Western states
Ivan IV
British begin trading

Italian artists
work on churches, Kremlin

Ivan IV dies without heir
Time of Troubles
boyars attempt to take power
Sweden, Poland take territory

Boyars choose Michael Romanov as tsar

Michael Romanov
restores order, expels invaders
takes part of Ukraine
border extended to Ottoman region

Alexis Romanov
church purged of Mongol-era innovations
"Old Believers" exiled

II. Russia's First Westernization, 1690-1790

A. Tsarist Autocracy of Peter the Great
Policies
autocratic
reforms by fiat
secret police
conflict with Ottomans continues
Baltic port achieved
capital moved to St. Petersburg

B. What Westernization Meant
Bureaucratic changes
navy created
council of nobles ended
replaced by dependent advisors
provincial governors under central control
town councils under royal authority
laws codified

Economy
metallurgical, mining industries expanded
pressure to use serfs in manufacturing
Culture
   nobles forced to shave beards
   Western dress
   education improved in math

Upper class only affected

C. Consolidation under Catherine the Great
   Peter, dies 1724
   weak rulers follow
   Catherine (1762-1796), widow of Peter III
   Pugachev peasant rebellion
   excuse to expand central power
   Westernization
   Absolutism
   nobles empowered over serfs
   French Revolution causes reaction
   Expansion
   Crimea taken from Turks
   Siberia
   Alaska claimed
   explorers into northern California
   Partition of Poland

III. Themes in Early Modern Russian History

A. Serfdom: The Life of East Europe's Masses
   Enserfment under Mongols
   to placate nobles
   also to increase state control of peasantry

   1649, serfdom hereditary

   Later laws decrease peasants’ rights, mobility
   condition deteriorates in 18th century

B. Trade and Economic Dependence
   95 percent rural
   Small merchant class

C. Social Unrest
   Call for reform by 1800
   peasant unrest
   landlords blamed for difficulties
Pugachev rising, 1770s
height of discontent

D. Russia and Eastern Europe
Variations
Balkans
under Ottomans
influenced by Enlightenment
Several states lose autonomy

Poland
in Catholic sphere
weakness leads to Partition

Chapter Summary. The rise of the Russian Empire, unlike Western colonial empires, although altering power balances through Eurasia involved only limited commercial exchange. After freeing themselves from Mongol domination by 1480, the Russians pushed eastward. Some extension of territory also occurred in eastern Europe. Regional states, many differing from Russia, were present, with Lithuania and Poland rivaling Russia into the 17th century. Russia entered into new contacts with the West without losing its distinct identity.

The Early Tsars. Like many other rulers newly in power, the Russian tsars faced the challenge of legitimating their rule. They used their lineage, association with the long-dead Roman Empire, and a religious mission to validate their position. Descent from Rurik, the legendary founder of Russia, gave their family the exclusive right to rule. Calling Russia the "third Rome," and taking the title of caesar, linked them to the fame of the Roman Empire. Moreover, Ivan IV called himself the "khan of the north," taking to himself the glory of the defeated Muslim Mongols. These claims were not only extremely ambitious, but also embodied contradictions, not least religious inconsistency.

Russia's Expansionist Politics under the Tsars. During the 14th century the Duchy of Moscow took the lead in liberating Russia from the Mongols. Ivan III (the Great) gave his government a military focus, and utilized a blend of nationalism and Orthodox Christianity to create a large, independent state by 1480.

The Need for Revival. The Mongols, content to leave local administration in indigenous hands, had not reshaped basic Russian culture. The occupation reduced the vigor of cultural and economic life. Literacy declined and the economy became purely agricultural and dependent on peasant labor. Ivan III restored the tradition of centralized rule, added a sense of imperial mission, and claimed supervision of all Orthodox churches. Russia, asserted Ivan, had succeeded Byzantium as the "Third Rome." Ivan IV (the Terrible) continued the policy of expansion. He increased the power of the tsar by killing many of the nobility (boyars) on the charge of conspiracy.
Patterns of Expansion. Territorial expansion focused on central Asia. Russians moved across their region's vast plains to the Caspian Sea and the Ural Mountains. By the 16th century, they moved into western Siberia. Peasant adventurers (cossacks) were recruited to occupy the new lands. Loyal nobles and bureaucrats received land grants in the territories. The conquests gave Russia increased agricultural regions and labor sources. Slavery existed into the 18th century. Important trading connections opened with Asian neighbors. The Russian advance, along with that of the Ottomans to the south, eliminated independent central Asia as a source of nomadic invasions. Russia became a multicultural state. The large Muslim population was not forced to assimilate to Russian culture.

Western Contact and Romanov Policy. The tsars, mindful of the cultural and economic lag occurring under Mongol rule, also began a policy of carefully managed contacts with the West. Ivan III dispatched diplomatic missions to leading Western states; under Ivan IV, British merchants established trading contacts. Italian artists brought in by the tsars built churches and the Kremlin, creating a distinct style of architecture. When Ivan IV died without an heir early in the 17th century, the Time of Troubles commenced. The boyars tried to control the government, while Sweden and Poland seized territory. In 1613, the boyars chose a member of the Romanov family, Michael, as tsar. The Time of Troubles ended without placing lasting constraints on the tsar's power. Michael restored internal order, drove out the foreign invaders, and recommenced imperial expansion. Russia secured part of the Ukraine and pushed its southern border to Ottoman lands. Alexis Romanov increased the tsar's authority by abolishing the assemblies of nobles and restoring state control over the church. His desire to cleanse the church of changes occurring during the Mongol era created tensions because conservative believers resisted changes to their established rituals. The government exiled these "Old Believers" to Siberia or southern Russia.

Russia's First Westernization, 1690-1790. By the end of the 17th century, Russia, although remaining more of an agricultural state than most leading civilizations, was a great land empire. Peter I (the Great) continued past policies, but added a new interest in changing the economy and culture through imitation of Western forms. Peter traveled incognito to the West and gained an interest in science and technology. Many Western artisans returned with him to Russia.

Tsarist Autocracy of Peter the Great. Peter was an autocratic ruler; revolts were brutally suppressed. Reforms were initiated through state decrees. Peter increased the power of the state through recruitment of bureaucrats from outside the aristocracy and by forming a Western-type military force. A secret police was created to prevent dissent and to watch over the bureaucracy. Foreign policy followed existing patterns. Hostilities with the Ottomans went on without gain. A successful war with Sweden gave Russia a window on the Baltic Sea, making it a major factor in European diplomatic and military affairs. Peter made St. Petersburg his capital, reflecting the shift of interests.

What Westernization Meant. Peter's reforms influenced politics, economics, and cultural change. The bureaucracy and military were reorganized on Western principles. The first Russian navy was created. The councils of nobles were eliminated and replaced by advisors under his control. Provincial governors were appointed from the center, while elected town
councils were under royal authority. Law codes were systematized and the tax system reformed to increase burdens on the peasantry. In economic affairs, metallurgical and mining industries were expanded. Landlords were rewarded for utilizing serfs in manufacturing operations. The changes ended the need to import for military purposes. Cultural reforms aimed to apply Western patterns to Russian traditional ways. Nobles had to shave their beards and dress in Western style. Peter attempted to provide increased education in mathematics and technical subjects. He succeeded in bringing the elite into the Western cultural zone. The condition of upper-class women improved, but peasant women were not affected. The first effort in Westernization embodied features present in later ventures in other lands. The changes were selective; they did not involve ordinary people. No attempt was made to form an exporting industrial economy. For Peter, Westernization was intended to encourage autocratic rule. Finally, the changes occurring brought resistance from all classes.

Consolidation under Catherine the Great. Several decades of weak rule followed Peter's death in 1724. Significant change resumed during the reign of Prussian-born Catherine (1762-1796), widow of Peter III. She used the Pugachev peasant rebellion as an excuse to extend central government authority. Like Peter, Catherine was a Westernizer and brought Enlightenment ideas to Russia, but centralization and strong royal authority was more important to her than Western reform. She gave new power over serfs to the nobles in return for their service in the bureaucracy and military. Catherine continued patronage of Western art and architecture, but the French Revolution caused her to ban foreign and domestic political writings. Russian expansionist policies continued. Territories, including the Crimea on the Black Sea, were taken from the Ottomans. Catherine pushed colonization in Siberia and claimed Alaska. Russian explorers went down the North American coast into northern California. In Europe, Catherine joined Prussia and Austria to partition Poland and end its independence. By the time of her death, Russia had completed an important transformation. Russia's tsars over three centuries had created a strong central state ruling over the world’s greatest land empire. New elements from the West had entered and altered Russia's economy and culture.

Themes in Early Modern Russian History. Russian society was very different from that of the West. Serfdom and a deep-rooted peasant culture did not mesh with Westernization efforts. The Russian nobility, through state service, maintained a vital position. In both Russia and eastern Europe, a minority of great landholders lived in major cities and provided important cultural patronage. Smaller, incompletely Westernized landowners lived less opulent lives.

Serfdom: The Life of East Europe's Masses. Before the Mongol conquest, Russia’s peasantry had been relatively free. From the 16th century, the government encouraged enserfment as a means of conciliating the nobility and of extending state control over peasants. A 1649 act made serfdom hereditary; other 17th- and 18th-century laws tied serfs to the land and augmented the legal rights of landlords. Serfs were almost slaves; they were bought, sold, and punished by owners. Peasant conditions were similar in eastern Europe. Peasants labored on large estates to produce grain for sale to the West. Western merchants in return brought the serfs’ owners manufactured and luxury items. Peasants did have some rights; village governments regulated many aspects of life. Most peasants remained poor and illiterate; they
paid high taxes and performed extensive labor services in agriculture, mining, and manufacturing. Their condition deteriorated throughout the 18th century.

**Trade and Economic Dependence.** There were few large cities in Russia; 95 percent of the population was rural. Artisans also were few since most manufacturing was rural. Small merchant groups existed, but most trade was handled by Westerners. Peter the Great’s reforms increased trade, yet the nobility managed to prevent the emergence of a strong commercial class. Russia's social and economic system had strengths. It produced adequate revenue for the expanding empire, supported the aristocracy, and allowed significant population growth. Commerce was carried on with independent central Asian regions. There were important economic limitations. Agricultural methods remained traditional and peasants lacked incentives to increase production solely for the benefit of landlords. Manufacturing suffered from similar constraints.

**Social Unrest.** By the end of the 18th century, Russian reformers were criticizing their nation's backwardness and urging the abolition of serfdom. Peasant discontent was more significant. Peasants remained loyal to the tsar, but blamed landlords for the harshness of their lives. Periodic rebellions occurred from the 17th century, peaking with the Pugachev rising of the 1770s. The tsar and nobility triumphed, but peasant discontent remained a problem.

**Russia and Eastern Europe.** Regions west of Russia formed a fluctuating borderland between west and east European interests. In the Ottoman Balkans, trade with the West spread Enlightenment concepts. Poland and the Czech and Slovak areas, on the other hand, were a part of the Western cultural orbit. Copernicus was a major figure in the Scientific Revolution. Some eastern regions were joined in the Protestant Reformation. Many of the smaller states lost political autonomy. Hungary and Czech Bohemia were incorporated into the Habsburg Empire. The largest state, Poland, was linked to the West by shared Roman Catholicism. By 1600 Polish aristocrats weakened the central government and exploited peasants. Urban centers and a merchant class were lacking. The kingdom was partitioned by its powerful neighbors.

**In Depth: Multinational Empires.** During the early modern period, Russia created the longest-lasting multinational empire. The Mughal Empire ended during the 19th century; the empires of the Ottomans and Habsburgs disappeared early in the next century. Special characteristics of the Russian Empire were the presence of a large core of ethnic groups prepared to spread widely and establish new settlements, and Russian ability to adopt Western techniques. During the period of empire creation, the importance of the western European, culturally more cohesive nation-state was confirmed. Such states included minority ethnicities, but developed methods to achieve national unity. Since the 19th century, there have been serious clashes between national loyalties and multinational empires. Most of the latter have collapsed.

**GLOBAL CONNECTIONS: Russia and the World.** The rise of Russia, from a world history viewpoint, was a crucial development of the early modern era. The vast extent of the empire, different in structure from those being formed by Western nations, influenced military and diplomatic matters from central Asia to Europe.
KEY TERMS

Ivan III (the Great): Prince of the Duchy of Moscow; responsible for freeing Russia from the Mongols; took the title of tsar (caesar).

Ivan IV (the Terrible): confirmed power of tsarist autocracy by attacking the authority of the boyars; continued policy of expansion; established contacts with western European commerce and culture.

Cossacks: peasant-adventurers with agricultural and military skills, recruited to conquer and settle in newly seized lands in southern Russia and Siberia.

Time of Troubles: early 17th-century period of boyar efforts to regain power and foreign invasion following the death without an heir of Ivan IV; ended with the selection of Michael Romanov as tsar in 1613.

Romanov dynasty: ruled Russia from 1613 to 1917.

Alexis Romanov: Second Romanov ruler; abolished assemblies of nobles; gained new powers over the Orthodox church.

Old Believers: conservative Russians who refused to accept the ecclesiastical reforms of Alexis Romanov; many were exiled to southern Russia or Siberia.

Peter I (the Great): tsar from 1689 to 1725; continued growth of absolutism and conquest; sought to change selected aspects of the economy and culture through imitation of western European models.

St. Petersburg: Baltic city, made the new capital of Russia by Peter I.

Catherine the Great: German-born Russian tsarina; combined receptivity to selective Enlightenment ideas with strong centralizing policies; converted the nobility to a service aristocracy by granting them new power over the peasantry.

Partition of Poland: three separate divisions of Polish territory between Russia, Prussia, and Austria in 1772, 1793, and 1795; eliminated Poland as an independent state.

Pugachev rebellion: unsuccessful peasant rising led by cossack Emelyan Pugachev during the 1770s; typical of peasant unrest during the 18th century and thereafter.

LECTURE SUGGESTIONS

1. Discuss the similarities and differences between the development of the Russian Empire from 1480 to 1800 and the expansion of the West during the same period. Both expansions were based on military superiority over less technologically advanced peoples. There were economic zones along frontiers, and a colonial system, incorporating ethnic diversity, resulted.
Russian expansion was different because the Russians created a land-based empire; they lacked a mercantile fleet and had only a limited military navy. The Russians failed to achieve economic parity with Western empires, and they did not cause a demographic disaster similar to the European impact on the Americas and Polynesia. The Russians did not establish the same economic dominance over frontiers as did the West. They failed to develop merchant classes and the state, unlike the West, was in charge of capitalizing ventures. Russian retention of an estate agricultural system was more typical of dependent economic zones than of Western core regions. They retained a coercive labor system, depended upon the export of raw materials, and imported manufactures and luxuries.

2. Discuss the impact of Westernization in Russia during the 17th and 18th centuries and whether the process overcame the separation of Russia and the West. Westernization introduced Western art forms; Peter the Great mandated Western dress styles. Western political organization was utilized to establish an effective tsarist autocracy, although grants of local authority to the nobility under Catherine the Great reduced the ability of the central government to control the masses of the people. Even though the economy remained largely agricultural, economic reforms enabled the development of industry essentially devoted to military production (mining and metallurgy). Economic development was based on the increasing exploitation of a peasant labor force. Westernization failed to overcome the separation between Russia and the West because the reforms affected only the nobility and did not make complete changes among them. The masses continued to rely on the Orthodox church to supply primary cultural influence. Social organization remained typical of large estate agricultural systems. Unlike the Western development of a proletariat less tied to the land, Russia maintained a rigid serfdom. Russia actually was drawn into the global trading network as a dependent zone.

CLASS DISCUSSION QUESTIONS

1. How did the Mongol occupation affect Russian civilization?

2. What was the nature of Russian expansion under the Ivans?

3. What was the impact of Westernization under Peter the Great?

4. What was the extent of Westernization under Catherine the Great?

5. What was the nature of Russian serfdom?

6. Why did Russia become economically dependent on the West?

7. What is the basis for the culture of the Russian masses?

8. What characteristics did eastern Europe share with Russia?
THE INSTRUCTOR'S TOOL KIT

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CHAPTER 24

Early Latin America

I. Spaniards and Portuguese: From Reconquest to Conquest

Iberia
- zone of cultural contact
- Arab Muslims invade in 8th century
- long multicultural period
- reconquest
- small Christian states to unification
- 1492, completed
  - Jews expelled

A. Iberian Society and Tradition

Features
- strongly urbanized
- Iberian commoners seek to raise their status
- encomiendas (large estates)
  - patriarchal culture
- slavery
- centralized governments
- close ties to church

B. The Chronology of Conquest

First stage, 1492-1570
- foundations

Second stage, 1570-1700
- new society, institutions take shape

Third stage, 1700s
- reform, reorganization
- discontent, unrest

C. The Caribbean Crucible

The model for later colonization

Native Indians become laborers
- decimated by disease

Cities
- grid
- central plaza
Professional bureaucrats

16th century
   African slaves, Spanish women begin to form a new society

Bartolomé de las Casas
   opposes abuses of Indians

D. The Paths of Conquest
   Not unified

Mexico
   1519, Hernán Cortés into Mexico
   attacks Aztecs
   Tenochtitlan
      Moctezuma II killed
   by 1535, central Mexico under Spain
   Kingdom of New Spain

Inca
   weakened by civil war
   Francisco Pizarro
      1532, begins conquest
   Cuzco falls, 1533
   new capital at Lima

American Southwest
   Francisco Vázquez de Coronado
      exploration in the 1540s

Chile
   Pedro de Valdivia
      conquers central Chile
      1541, founds Santiago

   by 1570, 192 Spanish towns

E. The Conquerors
   Contracts between crown and leaders of expeditions
      followers get booty
F. Conquest and Morality
Conquests questioned
Indians considered sub-human
conversion a duty

Las Casas' work lessens abuses

II. The Destruction and Transformation of American Indian Societies
The example of Mexico
indigenous population from 25 million to fewer than two million

A. Exploitation of the Indians
*Encomiendas*
adds to decline of native populations
modified by crown, fearing threat

*Mita*
native system of forced labor
natives used for state projects

III. Colonial Economies and Governments
80 percent work in agriculture, ranching
Mining crucial

A. The Silver Heart of Empire
Mexico, Peru

Potosí, Bolivia
largest

Zacatecas, Mexico

B. Haciendas and Villages

*Haciendas*
Spanish agricultural estates
produce for domestic use
give rise to aristocracy

C. Industry and Commerce
Sheep raising
textile sweatshops

Silver trade preeminent
only for Spaniards
convoys cross Atlantic
protected by *galleons*

Board of Trade
oversees commerce
*consulado*, merchant guild

D. Ruling an Empire: State and Church
Treaty of Tordesillas, 1494
Spain and Portugal
Portugal gets Brazil
rest to Spain

Spanish Empire
king at top
Council of Indies
viceroyalties
Mexico City, Lima
clergy
religious and secular functions
Inquisition

IV. Brazil: The First Plantation Economy
1500, Pedro Alvares Cabral
only interested in dyewoods

1532, new system developed
spurred by French interest
land grants to increase colonization

1549, governor creates administration
capital at Salvador

A. Sugar and Slavery
Sugar
labor intensive

Society
White plantation-owners dominate
Slaves at bottom
great variety in between

Administration
staffed by lawyers
regional governors
missionaries run ranches, schools
B. Brazil's Age of Gold
   European conflict affects Brazil, 1600s
   Dutch occupy Brazil until 1654

   Dutch, English, French
   sugar plantations in Caribbean
   price of sugar drops, slaves more expensive

   Paulistas
   explorers into interior
   discover gold, Minas Gerais, 1695

   Government controls production
   interior developed

   Rio de Janeiro
   closer to mines

V. Multiracial Societies
   Castas, mixed races

   A. The Society of Castas
      Miscengenation
      sexual exploitation of Indian women
      mestizo population

      Peninsulares v. creoles

VI. The 18th-Century Reforms

   A. The Shifting Balance of Politics and Trade
      Spain weakened in 18th century
      conflict with France, England, Holland
      loss of overseas territories
      silver imports drop
      colonies more self-sufficient

      1701-1713, War of the Spanish Succession
      Bourbons victorious
B. The Bourbon Reforms
Charles III (1759-1788)
reforms
Jesuits expelled from Spain, empire, 1767
French forms introduced

José de Gálvez
reforms
Creoles lose high office

Spain and French allied now
Spain involved in Anglo-French wars

Seven Years' War
English take Havana
reaction
better defenses of New World territory
frontiers extended
California settled
state takes more control of economy
monopoly companies develop new regions

Economy revived, but dissatisfaction among colonials grows

C. Pombal and Brazil
Marquis of Pombal, 1755 to 1776
authoritarian
Jesuits expelled from empire, 1759
reforms
monopoly companies to develop agriculture
Rio de Janeiro the new capital
slavery abolished in Portugal

D. Reforms, Reactions, and Revolts
Mid-18th century
great economic growth
population, production up
traditional leaders threatened by reforms

New Granada
Comunero Revolt, 1781

Peru
Tupac Amaru
Mancio Serra de Leguizamon. The will of Captain Mancio Serra de Leguizamon, drawn up in 1589, reflects the world of the conquistador. A native of Spain, he joined Francisco Pizarro in 1532. He took part in the attack and looting of Cuzco in 1533. He was rewarded with land and native workers. Two marriages and a mistress brought him a large family. Moreover he rose to power, serving for a time as mayor of Cuzco. He appeared to be the quintessential Christian Spaniard, profiting from the successful defeat of the Indians. Yet, on his deathbed, he was consumed by regret and guilt at the destruction of what he described as a peaceful, orderly society. He had earlier willed everything to his workers, feeling it was rightfully theirs. The Iberian conquests brought Latin America into a new cultural and economic world. They also created new political and cultural modes. African slaves contributed as well. The transformation took several centuries, passing from one stage to another, ultimately producing an entirely new culture.

Chapter Summary. The new Latin American empires of Spain and Portugal, created through conquest and settlement, had a tremendous impact on indigenous Americans. Latin America became part of the world economy as a dependent region. The Iberians mixed with native populations and created new political and social forms. The resulting mixture of European, African, and Indian cultures created a distinctive civilization. Indian civilization, although battered and transformed, survived and influenced later societies. Europeans sought economic gain and social mobility; they utilized coerced laborers or slaves to create plantations and mine deposits of precious metals or diamonds.

Spaniards and Portuguese: From Reconquest to Conquest. Iberians had long inhabited a frontier zone where differing cultures interacted. Muslims invaded and conquered in the 8th century; later small Christian states—Portugal, Castile, Aragon—formed and began a long period of reconquest. By the mid-15th century a process of political unification was underway. Castile and Aragon were united through marriage. Their rulers in 1492 conquered Granada, the last Muslim kingdom, expelled their Jewish subjects, and sent Columbus in search of the East Indies.

Iberian Society and Tradition. The distinctive features of Iberian societies became part of their American experience. They were heavily urban; many peasants lived in small centers. Commoners coming to America sought to become nobles holding Indian-worked estates. Strong patriarchal ideas were reflected in the family life based on encomiendas, large estates worked by Indians. The Iberian tradition of slavery came to the New World. So did political patterns. Political centralization in Portugal and Castile depended upon a professional bureaucracy of trained lawyers and judges. Religion and the Catholic church were closely linked to the state. The earlier colonization of the Atlantic islands gave the merchants of Portugal and Spain extensive experience with the slave trade and plantation agriculture.

The Chronology of Conquest. A first conquest period between 1492 and 1570 established the main lines of administration and economy. In the second period, lasting to 1700, colonial institutions and societies took definite form. The third period, during the 18th century, was a time of reform and reorganization that planted seeds of dissatisfaction and revolt. From the late 15th century to about 1600, large regions of two continents and millions of people fell under
European control. They were joined to an emerging Atlantic economy. Many Indian societies were destroyed or transformed in the process, and African slaves were introduced.

**The Caribbean Crucible.** The Spanish used their experience in the Caribbean as a model for their actions in Latin America. Columbus and his successors established colonies. The Indians of the islands were distributed among Spaniards as laborers to form *encomiendas*. European pressures and diseases quickly destroyed indigenous populations and turned the islands into colonial backwaters. The Spaniards had established Iberian-style cities but had to adapt them to New World conditions. They were laid out in a grid plan with a central plaza for state and church buildings. Professional magistrates staffed the administrative structure; laws incorporated Spanish and American experience. The church joined in the process, building cathedrals and universities. During the early 16th century, Spanish women and African slaves joined the earlier arrivals, marking the shift from conquest to settlement. Ranches and sugar plantations replaced gold searching. By this time, most of the Indians had died or been killed. Some clerics and administrators attempted to end abuses. Notably, Bartolomé de las Casas began the struggle for justice for Indians. By the 1530s, the elements of the Latin American colonial system were in place.

**The Paths of Conquest.** The conquest of Latin America was not a unified movement. Instead, a series of individual initiatives operated with government approval. One prong of conquest was directed toward Mexico, the second to South America. In 1519, Hernán Cortés led an expedition into Mexico. He fought the Aztecs with the assistance of Indian allies. At Tenochtitlan, Moctezuma II was captured and killed. By 1535 most of central Mexico was under Spanish control as the Kingdom of New Spain. Francisco Pizarro in 1532 began the conquest of the Inca Empire, weakened by civil war. Cuzco fell in 1533. The Spanish built their capital at Lima, and by 1540 most of Peru was under their control. Other Spanish expeditions expanded colonial borders. Francisco Vázquez de Coronado explored the American Southwest in the 1540s; Pedro de Valdivia conquered central Chile and founded Santiago in 1541. By 1570 there were 192 Spanish urban settlements in the Americas.

**The Conquerors.** The conquest process was regulated by agreements concluded between leaders and their government. Leaders received authority in return for promises of sharing treasure with the crown. The men joining expeditions received shares of the spoils. Most of the conquerors were not professional soldiers. They were individuals from all walks of life out to gain personal fortune and Christian glory. They saw themselves as a new nobility entitled to domination over an Indian peasantry. The conquerors triumphed because of their horses, better weapons, and ruthless leadership. The effect of endemic European diseases and Indian disunity eased their efforts. By 1570 the age of conquest was closing.

**Conquest and Morality.** The Spanish conquest and treatment of Indians raised significant philosophical and moral issues. Were conquest, exploitation, and conversion justified? Many answered that Indians were not fully human, and were destined to serve Europeans. Converting Indians to Christianity was a necessary duty. In 1550 the Spanish ruler convoked a commission to rule on such issues. Father Bartolomé de Las Casas defended the Indians, recognized them as humans, and argued that conversion had to be accomplished peacefully. The result was a moderation of the worst abuses, but the decision came too late to help most Indians.
The Destruction and Transformation of American Indian Societies. All indigenous peoples suffered from the European conquest. There was a demographic catastrophe of incredible proportions as disease, war, and mistreatment caused the loss of many millions of individuals. In one example, the population of central Mexico during the 16th century fell from 25 million to less than two million. The Spanish reacted by concentrating Indians in towns and seizing their lands. An entirely different type of society emerged.

Exploitation of the Indians. The Spanish maintained Indian institutions that served their goals. In Mexico and Peru the traditional nobility, under Spanish authority, presided over taxation and labor demands. Enslavement of Indians, except in warfare, was prohibited by the mid-16th century. In place of slavery, the government awarded encomiendas (land grants) to conquerors who used their Indians as a source of labor and taxes. The harshness of encomiendas contributed to Indian population decline. From the 1540s the crown, not wanting a new American nobility to develop, began to modify the system. Most encomiendas disappeared by the 1620s. Colonists henceforth sought grants of land, not labor. The state continued to extract labor and taxes from Indians. Forced labor (mita) sent them to work in mines and other state projects. Many Indians, to escape forced labor, fled their villages to work for wages from landowners or urban employers. Despite the disruptions, Indian culture remained resilient and modified Spanish forms to Indian ways.

In Depth: The Great Exchange. The Spanish and Portuguese arrival ended the isolation of the New World from other societies. After 1500, millions of Europeans and Africans settled in the Americas. Biological and ecological transfer—called the Columbian Exchange—changed the character of both new and old societies. Old World diseases decimated New World populations. Old World animals quickly multiplied in their new environments and transformed the structures of Indian societies. Both Old and New Worlds exchanged crops and weeds. The spread of American plants—especially maize, manioc, and the potato—had a major effect, allowing population expansion in many world regions.

Colonial Economies and Governments. Over 80 percent of Spanish America's population was engaged in agriculture and ranching, but mining was the essential activity. The exploitation of precious metals, especially silver, first brought Latin America into the world economy.

The Silver Heart of Empire. Major silver mines opened in Mexico and Peru during the mid-16th century. Potosí in Bolivia, the largest mine, and Zacatecas in Mexico resulted in the creation of wealthy urban centers. Mines were worked by Indians, at first through forced methods and later for wages. Mining techniques were European. The discovery of extensive mercury deposits was vital for silver extraction. The crown owned all subsoil rights; private individuals worked the mines at their expense in return for giving the crown one-fifth of production. The government had a monopoly on the mercury used. The industry, dependent upon a supply of food and other materials for workers, was a stimulus for the general economy.
Haciendas and Villages. Spanish America remained an agricultural economy. Large sedentary Indian populations continued traditional patterns. When population dwindled, Spanish rural estates (haciendas) emerged. Utilizing Indian and mixed-ancestry workers, they produced grains, grapes, and livestock primarily for consumers in the Americas. The haciendas became the basis of wealth and power for a local aristocracy. In some regions there was competition between haciendas and Indian farmers.

Industry and Commerce. There was some industry. Sheep raising led to the formation of small textile sweatshops worked by Indian women. Latin America became self-sufficient in foodstuffs and material goods, requiring from Europe only luxury items. From the point of view of Spain and the world economy, silver ruled the commercial system. All trade was reserved for Spaniards and was funneled through Seville and Cádiz. A Board of Trade controlled commerce; it often worked with a merchant guild (consulado) in Seville that had extensive rights over American trade. To protect their silver fleets from rivals and pirates, the Spanish organized a convoy system made possible by the development of heavily armed galleons. Galleons also transported Chinese products from the Philippines to Mexico. Strongly fortified Caribbean ports provided shelter for the ships. Only one fleet was lost before the system ended in the 1730s. The wealth in silver that went to Spain was used for state expenses and for manufactured goods for the Americas. Much left Spain and contributed to general western European inflation. All through the period, Spain's wealth depended more upon internal taxes than American silver, although the prospect of its continuing import stimulated unwise government spending.

Ruling an Empire: State and Church. Sovereignty over the Spanish Empire rested with the crown, based upon a papal grant awarding the West Indies to Castile. In return, the lands were to be converted to Christianity. The Treaty of Tordesillas (1494) between Spain and Portugal regularized their conflicting claims by drawing a north-south line around the Earth; the eastern regions belonged to Portugal, the western to Spain. All of the Americas, except Brazil, went to Spain. Indians and many Europeans did not accept the decisions. The Spanish Empire became a bureaucratic system built upon a juridical core of lawyers who had both legislative and administrative authority. The king ruled from Spain through the Council of Indies; in the Americas, viceroyalties were based in Mexico City and Lima. The viceroys, high-ranking nobles, represented the king and had extensive legislative, military, and judicial powers. The viceroyalties were divided into 10 divisions run by royal magistrates. At the local level, other magistrates, often accused of corruption, managed tax and labor service regulations. The clergy performed both secular and religious functions. They converted Indians and established Christian villages. Some defended Indian rights and studied their culture. In core areas, the formal institutional structure of the church eventually prevailed; since the state nominated church officials, they tended to support its policies. The church profoundly influenced colonial cultural and intellectual life through architecture, printing, schools, and universities. The Inquisition controlled morality and orthodoxy.

Brazil: The First Plantation Economy. The Portuguese reached Brazil in 1500 as Pedro Alvares Cabral voyaged to India. There was little to interest Europeans apart from dyewood trees; merchants received licenses for their exploitation. When French merchants became interested, a new system was established in 1532. Portuguese nobles were given land
grants (captaincies) to colonize and develop. Towns were founded and sugar plantations were established using Indian, and later, African slave workers. In 1549, a royal governor created an administration with a capital at Salvador. Jesuit missionaries also arrived. Indian resistance was broken by disease, military force, and missionary action. Port cities developed to serve the growing number of sugar plantations increasingly worked by African slaves.

Sugar and Slavery. Brazil became the world's leading sugar producer. The growth and processing of sugar cane required large amounts of capital and labor. Brazil, with a single crop produced by slave labor, was the first great plantation colony. In its social hierarchy white planter families, linked to merchants and officials, dominated colonial life. Slaves, comprising about one-half of the total population at the close of the 17th century, occupied the bottom level. In between was a growing population of mixed origins, poor whites, Indians, and Africans who were artisans, small farmers, herders, and free workers. Portugal created a bureaucratic administrative structure under the direction of a governor general that integrated Brazil into the imperial system. Lawyers formed the core of the bureaucracy. Regional governors often acted independently and, along with the governor general, reported directly to Lisbon. Missionaries had an important role: they ran ranches, mills, schools, and church institutions. During the 17th century Brazil became the predominant Portuguese colony. It remained closely tied to Portugal: there were no universities or printing presses to stimulate independent intellectual life.

Brazil's Age of Gold. Between 1580 and 1640, Portugal and Brazil shared the same monarch, the Habsburg ruler of Spain. During the 17th-century struggles between Spain and Holland, the Dutch occupied part of Brazil until expelled in 1654. Meanwhile, the Dutch, English, and French had established sugar plantation colonies in the Caribbean. The resulting competition lowered sugar prices and raised the cost of slaves. Brazil lost its position as predominant sugar producer, but exploring backwoodsmen (paulistas) discovered gold in the Minas Gerais region in 1695. People rushed to the mines and formed new settlements. Mines were worked by slaves. Government controls followed to tightly manage production, which peaked between 1735 and 1760. Brazil then was the greatest source of gold in the Western world. The gold, and later diamond, discoveries opened the interior to settlement, leading to the devastation of Indian populations and weakening coastal agriculture. The government managed to reinvigorate coastal agriculture and control the slave trade, while the mines stimulated new ventures in farming and ranching. Rio de Janeiro, nearer to the mines, became a major port, then the capital in 1763. A societal hierarchy based on color and slavery remained in force. The gold and diamonds did not contribute much to Portuguese economic development. The resources gained allowed Portugal to import manufactures instead of creating its own industries.

Multiracial Societies. The conquest and settlement of Latin America by Europeans led to large multiethnic societies. Indians, Europeans, and Africans came together in hierarchies of color, status, and occupation. By the 18th century, mixed peoples (castas) were a major population segment.

The Society of Castas. The key to societal development was miscegenation. Indian women suffered sexual exploitation from Europeans and the crown sponsored marriages in a society where there were few European women. The result was a mestizo population possessing higher
status than Indians. A similar process occurred in colonies with large African slave populations. American realities had created new social distinctions based on race and place of birth. Europeans were always at the top; African slaves and Indians occupied the bottom. Mestizos filled the intermediate categories. Restrictions were placed upon mixed-origin people, but social mobility was not halted. Over time, distinctions grew between Spaniards born in Spain (peninsulares) and the New World (creoles). The latter dominated local economies and developed a strong sense of identity that later contributed to independence movements. Society as a whole remained subject to Iberian patriarchal forms. Women were under male authority; upper-class women were confined to household occupations, but many from the lower class participated in the economy.

The 18th-Century Reforms. Spain and Portugal shared in the 18th-century European intellectual ferment, and in the changes forced by new demographic and economic trends. European population growth and 18th-century wars gave the colonies a new importance. Both Spanish and Portuguese empires revived, but with long-term important consequences detrimental to their continuation.

The Shifting Balance of Politics and Trade. Spain's colonial system by the 18th century required serious reform. Spain was weakened by poor rulers, foreign wars, and internal civil and economic problems. France, England, and Holland were dangerous enemies; during the 17th century they seized Spanish Caribbean islands and developed their own plantation societies. As the Spanish mercantile and political system declined, the flow of silver dropped and the colonies became increasingly self-sufficient. Local aristocrats took control over their regions, while corruption was rampant in government. Crisis came in 1701 when disputes over the Spanish royal succession caused international war. The Treaty of Utrecht (1713) ended the fighting and, in exchange for concessions opening the colonies to some foreign trade, recognized the Bourbon family as rulers of Spain.

The Bourbon Reforms. The new dynasty worked to strengthen Spain. Charles III (1759-1788) instituted fiscal, administrative, and military reforms in an effort to create a rational, planned government. The over-powerful Jesuits were expelled from Spain and the empire in 1767, but the church remained an ally of the regime. French bureaucratic models were introduced, taxation was reformed, and ports were opened to less restricted trade by Spanish merchants. In the Americas, new viceroyalties were created in New Granada and Rio de la Plata to provide better defense and administration. Under the authority of José de Gálvez broad general reforms followed. Creoles were removed from upper bureaucratic positions. The intendancy system, borrowed from the French, provided more efficient rule by Spanish officials. As an ally of France, Spain was involved in the 18th-century Anglo-French world wars. In the Seven Years' War, the English seized Florida and occupied Havana. The losses stimulated military reform. More troops went to the New World, and Creole militias were formed. Frontiers were defended and expanded; California was settled. The government took an active role in the economy. State monopolies were founded and monopoly companies opened new regions for development. More liberal trade regulations expanded Caribbean commerce. Cuba became a full plantation colony. Buenos Aires presided over a booming economy based on beef and hides. The more open trade, however, damaged local industries. Mining revived with new discoveries worked by improved technology. The Bourbon changes
had revitalized the empire, but in the process they stimulated growing dissatisfaction among colonial elites.

**Pombal and Brazil.** The Marquis of Pombal directed Portuguese affairs from 1755 to 1776. He labored to strengthen the Portuguese economy and to lessen his country's dependence upon England, especially regarding the flow of Brazilian gold to London. The authoritarian Pombal suppressed opposition to his policies; the Jesuits were expelled from the empire in 1759. Reforming administrators worked in Brazil to end lax or corrupt practices. Monopoly companies were formed to stimulate agriculture. New regions began to flourish, among them the undeveloped Amazon territory. Rio de Janeiro became the capital. Pombal abolished slavery in Portugal, but not in Brazil. To help increase population growth, Indians were removed from missionary control and mixed marriages were encouraged. New immigrants were sent from Portugal. The reforms had minimal societal impact: the colony remained based on slavery. The trade balance first improved, but then suffered when demand for Brazilian products remained low.

**Reforms, Reactions, and Revolts.** By the mid-18th century, the American Iberian colonies shared world growth in population and productive capacity. They were experiencing a boom in the last years of the century. But the many reforms had disrupted old power patterns, at times producing rebellions. In New Granada, the widespread Comunero Revolt occurred in 1781. A more serious outbreak, the rising led by Tupac Amaru, broke out among Peruvian Indians. Brazil escaped serious disturbances. The movements had different social bases, but they demonstrated increased local dissatisfaction with imperial policies. Sharp social divisions among colonial groups hindered effective revolutionary action until Spain and Portugal were weakened by European political and social turmoil.

**GLOBAL CONNECTIONS: Latin American Civilization and the World Context.** The large colonies of Portugal and Spain had provided them with an important place in the expanding world economy. By the 18th century, weakened internal situations allowed European rivals to benefit directly from Iberian colonial trade. Portugal and Spain had transferred their cultures to the Americas, recreating there a version of Iberian life modified by local influence. But great variations were present in the many colonies. Surviving Indian populations adapted to the colonial situation and a distinctive multiethnic and multiracial society emerged that mixed the cultures of all participants. Where slavery prevailed, African cultures played a major role. Latin American civilization was distinct from the West, but related to it. In world markets, Latin American products remained in demand, maintaining a society with its economic life dependent upon outside factors.

**KEY TERMS**

**Ferdinand of Aragon and Isabella of Castile:** monarchs of Christian kingdoms; their marriage created the kingdom of Spain; initiated exploration of New World.

**Encomiendas:** grants of estates Indian laborers made to Spanish conquerors and settlers in Latin America; established a framework for relations based on economic dominance.
**Hispaniola:** First island in Caribbean settled by Spaniards by Columbus on his second voyage.

**Bartolomé de las Casas:** Dominican friar who supported peaceful conversion of Native American population; opposed forced labor and advocated Indian rights.

**Hernán Cortés:** led expedition to Mexico in 1519; defeated Aztec Empire and established Spanish colonial rule.

**Moctezuma II:** last independent Aztec ruler; killed during Cortés's conquest.

**Mexico City:** capital of New Spain built on ruins of Tenochtitlan.

**New Spain:** Spanish colonial possessions in Mesoamerica in territories once part of Aztec imperial system.

**Francisco Vácquez de Coronado:** led Spanish expedition into the southwestern United States in search of gold.

**Pedro de Valdivia:** Spanish conqueror of Araucanian Indians of Chile; established city of Santiago in 1541.

**Mita:** forced labor system replacing Indian slaves and encomienda workers; used to mobilize labor for mines and other projects.

**Colombian Exchange:** biological and ecological exchange that occurred following European arrival in the New World; peoples of Europe and Africa came to the Americas; animals, plants, and diseases moved between Old and New Worlds.

**Potosí:** largest New World silver mine; located in Bolivia.

**Huancavelica:** greatest mercury deposit in South America; used in American silver production.

**Haciendas:** rural agricultural and herding estates; produced for consumers in America; basis for wealth and power of the local aristocracy.

**Consulado:** merchant guild of Seville with a virtual monopoly over goods shipped to Spanish America; handled much of silver shipped in return.

**Galleons:** large, heavily armed ships used to carry silver from New World colonies to Spain; basis of convoy system utilized for transportation of bullion.

**Treaty of Tordesillas:** concluded in 1494 between Castile and Portugal; clarified spheres of influence and rights of possession; in the New World Brazil went to Portugal and the rest to Spain.
Recopilación: body of laws collected in 1681 for Spanish New World possessions; bases of law in the Indies.

Council of the Indies: Spanish government body that issued all laws and advised king on all issues dealing with the New World colonies.

Letrados: university-trained lawyers from Spain; basic personnel of the Spanish colonial bureaucratic system.

Viceroyalties: major divisions of Spanish New World colonies headed by direct representatives of the king; one based in Lima, the other in Mexico City.

Audiencia: royal courts of appeals established in Spanish New World colonies; staffed by professional magistrates who made and applied laws.

Sor Juana Inés de la Cruz: 17th-century author, poet, and musician of New Spain; gave up secular concerns to concentrate on spiritual matters.

Pedro Alvares Cabral: Portuguese leader of an expedition to India; landed Brazil in 1500.

Captaincies: areas along the Brazilian coast granted to Portuguese nobles for colonial development.

Paulistas: backwoodsmen from São Paulo, Brazil; penetrated Brazilian interior in search of precious metals during the 17th century.

Minas Gerais: Brazilian region where gold was discovered in 1695; a gold rush followed.

Rio de Janeiro: Brazilian port used for mines of Minas Gerais; became capital in 1763.

Sociedad de castas: Spanish American social system based on racial origins; Europeans on top, mixed race in middle, Indians and African slaves at the bottom.

Peninsulares: Spanish-born residents of the New World.

Creoles: people of European ancestry born in Spanish New World colonies; dominated local economies; ranked socially below peninsulares.

Amigos del país: clubs and associations dedicated to reform in Spanish colonies; flourished during the 18th century; called for material improvement rather than political reform.

War of the Spanish Succession: (1702-1713); wide-ranging war fought between European nations; resulted in the installation of Philip of Anjou as king of Spain.

Charles III: Spanish enlightened monarch (1759-1788); instituted fiscal, administrative, and military reforms in Spain and its empire.
José de Galvez: Spanish Minister of the Indies and chief architect of colonial reform; moved to eliminate creoles from the upper colonial bureaucracy; created intendants for local government.

Marquis of Pombal: Prime Minister of Portugal (1755-1776); strengthened royal authority in Brazil, expelled the Jesuits, enacted fiscal reforms, and established monopoly companies to stimulate the colonial economy.

Comunero Revolt: a popular revolt against Spanish rule in New Granada in 1781; suppressed due to government concessions and divisions among rebels.

Tupac Amaru: Mestizo leader of Indian revolt in Peru; supported by many in the lower social classes; revolt failed because of creole fears of real social revolution.

LECTURE SUGGESTIONS

1. Discuss why it can be said that the Spanish and Portuguese colonies were extensions of the global network of the West and also discuss their intermediary role. The mixed economies established in Latin America initially were based on estate agriculture systems (sugar) staffed by coerced labor (African slaves or encomienda grants). Mining—silver by the Spanish, gold and diamonds in Brazil—developed later. Ranching developed to supply local demands, as did small industries such as textiles. The result was an economy typical of the dependent economic zone in the global trade network. The Iberian nations served as a conduit of American goods to the core economic region of northwestern Europe. Both nations failed to develop banking systems or industrial capacity. Their negative balance of trade led to the outflow of bullion from the New World to the core economic region.

2. Discuss the difference in social organization between the Americas and Europe, and explain why the differences in social hierarchy contributed to a sense of self-identity in the colonies. The great difference was the significance of color and the existence of miscegenation. Their presence created a social hierarchy based not so much on wealth or the prestige associated with social function that was typical in Europe, but a hierarchy based on color. Whites (divided into peninsulares and creoles) were at the top, mixed races (castas) in the middle, and blacks and Indians at the bottom. The distinct social system gave rise to a sense of self-identity, especially among creoles and castas. It created a sense of difference from Europeans, contributed to 18th-century rebellions, and eventually stimulated independence movements.

CLASS DISCUSSION QUESTIONS

1. What aspects of Iberian society were transferred to the New World?

2. What model for American colonization was established in the Caribbean?

3. What was the nature of the exploitation of Indians in the Americas?

4. Discuss the economy of the American colonies.
5. Discuss the nature of the Spanish system of government in the American colonies.

6. How did the discovery of gold and diamonds change the economic organization of Brazil?

7. Describe the social hierarchy of the American colonies.

8. What was the nature of the 18th-century reforms in Portuguese and Spanish colonies?

THE INSTRUCTOR'S TOOL KIT

Map References

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Audio Cassettes

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In Peter Stearns, op. cit.
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The Incas Remembered. Filmic Archives
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CHAPTER 25
Africa and the Africans in the Age of the Atlantic Slave Trade

I. The Atlantic Slave Trade

Portuguese factories
entrepots for interior trade, especially gold
generally with local consent
El Mina
missionaries followed
especially to Benin, Kongo
King Nzinga Mvemba, Kongo
converts to Christianity
move south
Angola
Luanda, 1570s
Mbundu people
Mozambique
gold trade from Monomotapa
few settlers

Common European pattern
trading stations
slave trade becomes central

A. Trend Toward Expansion
1450-1850
12 million Africans sent across Atlantic
10-11 survive

18th century
height
80 percent of total trade

Muslim areas
trans-Saharan, Red Sea, East Africa
three million slaves traded

B. Demographic Patterns
Saharan trade
mostly women

Atlantic trade
primarily young men for hard labor
C. Organization of the Trade
   Portuguese dominate first to 1630

   Dutch
      seize El Mina, 1630
      rival Portuguese

   English
      slave trade from 1660s

   French
      18th century

Dahomey
   royal monopoly on flow of slaves

Economic importance?
   same profits as other trade
   value tied up with plantation and mining economy
   definitely ties Africa to global economy

II. African Societies, Slavery, and the Slave Trade
   African slave traditions changed
   intensified use of slaves

A. Slaving and African Politics
   West and Central Africa
      small, volatile states
      warfare endemic
      military becomes important
      feeds into slave trade
      European influence
      causes states close to coast but not on the coast to dominate

B. Asante and Dahomey
   Asante Empire
      Akan people
      center at Kumasi
      between the coast and Hause and Mande regions
      1650, Oyoko clan
      firearms
      centralization, expansion
      Osei Tutu
      asantehene
Dutch
trade directly with Asante

Benin
controls trade with Europeans, but not slave trade

Dahomey
Fon peoples
center at Abomey
firearms by 1720s
Agaja (1708-1740)
expansion
takes port of Whydah

Other developments
divine right kingship
akin to European absolutism
some states limit royal power
Oyo, Yoruba peoples
king and council
artistic achievements
especially Benin, the Yoruba

C. East Africa and the Sudan
East coast
Swahili trading towns
ivory, gold slaves to Middle East

Zanzibar
cloves

Interior
Luo dynasties in great lakes area

Bunyoro, Buganda
monarchies

Northern Savanna
new Islamization

Songhay breaks up in 1500s
successor states
Pagan Bambara of Segu
Muslim Hausa states in northern Nigeria
Muslim reform movements, from 1770s
   Usman Dan Fodio, 1804
       religious revolution
   Hausa states

New kingdom of Sokoto

III. White Settlers and Africans in Southern Africa
   Bantu into southern Africa by 1500
       left arid areas to Khoikhoi, San
       agriculture, pastoralism
       iron, copper
       chiefdoms common

   Capetown
       Dutch colony, 1652
       estates worked by slaves
       wars with San, Khoikhoi
       by 1760s, encounter Bantu
       1795, Britain occupies colony
       1815, possession
       after 1834, Afrikaners push beyond boundaries

   A. The Mfecane and the Zulu Rise to Power
       Nguni people
       1818, Shaka creates Zulu chiefdom
       1828, assassinated
       beginning of mfecane

       Mfecane
       period of disruption, wandering
       defeated into new areas
       Swazi, Lesotho

IV. The African Diaspora
   Slave trade in joining Africa to world economy

   A. Slave Lives
       Millions killed
       Families destroyed

   B. Africans in the Americas
       Plantation system
C. American Slave Societies
   Miscegenation

D. The People and Gods in Exile
   Culture survives when Africans from one culture end up together
dynamic, creative
religion adaptive
   Haitian vodun

   Muslim Africans
   1835, Brazil
   Muslim Yoruba and Hausa slaves

   Palmares, Brazil
   1600s, runaway slave state

   Surinam
   fusion culture formed by runaway slaves

E. The End of the Slave Trade and the Abolition of Slavery
   Slave trade ended outside of Africa
   causes?
   probably not economic self-interest
   influence of Enlightenment

Mahommah Gardo Baquaqua. The wide-ranging life of Mahommah Gardo Baquaqua encapsulates the currents and issues of his time. From the town of Djougou, in the modern Benin republic in west Africa, Baquaqua was born in the early 1800s. As a war captive, he was enslaved by neighboring Africans, and eventually sold into slavery abroad around 1845. He was taken to Brazil, but then taken to New York. He gained his freedom, helped by abolitionists, and fled to Boston. He later sailed to Haiti, studied in New York, and moved to Canada. In 1854, he published his autobiography, *An Interesting Narrative: Biography of Mohammah G. Baquaqua*. Among other things, he detailed the horrors of the holds of slave ships. His experiences were shared by millions of Africans who suffered in the Atlantic slave trade. Sub-Saharan Africa had previously been little affected by outside economies and cultures. The 19th century saw a burst of Western influence on the continent. The impact was felt differently in different areas, and was not entirely one-way. The forcible spread of Africans around the world also had an impact. This chapter will focus on Africa's increasing global role, but development throughout Africa continued along earlier lines. Islam and Christianity continued to spread; new states arose, and expanded as before. It is difficult to separate continuing developments from those influenced by the outside world. In the chapter that follows, the impact of the slave trade will be the dominant theme.

Chapter Summary. Much of Africa followed its own lines of development between the beginning of the 15th and 19th centuries. Islam remained influential, but the rise of the West and
the Western-dominated economy became a powerful force altering the course of African history. The slave trade predominated in economic affairs after the mid-17th century. The forced removal of Africans had a major impact in some African regions, and was a primary factor contributing to the nature of New World populations. African culture became one of the important strands in the development of American civilizations. Despite the rise of the West and the slave trade, nearly all of Africa remained politically independent and culturally autonomous. Among important trends, Islam consolidated its position in sub-Saharan and east Africa, while in many parts of Africa, independent states formed and expanded.

The Atlantic Slave Trade. The Portuguese inaugurated the pattern for contacts along the African coast. They established trading forts (factories); the most important, El Mina, received gold from the interior. Most forts were established with the approval of African authorities desiring trade benefits. Some of the forts allowed trade to interior states. Portuguese and Afro-Portuguese traders followed routes to the interior to open new markets. Missionary efforts followed, particularly to the powerful states of Benin and the Kongo. King Nzinga Mvemba of the Kongo accepted Christianity and, with Portuguese assistance, sought to introduce European influences to his state. The ravages of the slave trade were a major reason for the limited success of the policies. Africa, in general, tried to fit the European concepts it found useful into its belief structures. The Europeans regarded Africans as pagan savages who could adopt civilized behavior and convert to Christianity. The Portuguese continued their southward ventures, establishing Luanda on the Angolan coast among the Mbundu in the 1570s. In the Indian Ocean they established bases on Mozambique Island and other towns in an effort to control the gold trade coming from Monomotapa. On both coasts, few Portuguese settled permanently. Other Europeans followed Portuguese patterns by creating trading stations through agreement with Africans. In almost all instances, slavery eventually became the principal focus of relationships. Added impetus came from the development of sugar plantations on Portuguese and Spanish Atlantic islands and their subsequent extension to the Americas.

Trend Toward Expansion. Between 1450 and 1850 about 12 million Africans were shipped across the Atlantic; about 10 or 11 million arrived alive. A number equal to one third of those shipped might have died in the initial raiding or march to the coast. The volume of the trade increased from the 16th to the 18th centuries, with 80 percent of the total coming in the latter century. Brazil, between 1550 and 1850, received about 42 percent of all slaves reaching the Americas. The continued high volume was necessary because of high slave mortality and low fertility. Only in the southern United States did slaves have a positive growth rate. Other slave trades—trans-Saharan, Red Sea, East African—under Muslim control added another three million individuals to the total.

Demographic Patterns. The Saharan slave trade to the Islamic world carried mostly women for sexual and domestic employment. The Atlantic trade concentrated on young men fit for hard labor in the Americas. African societies who sold slaves might keep women and children for their own uses. The Atlantic trade had an important demographic impact on parts of west and central Africa; the population there in 1850 might have been one-half of what it would have been without the trade. The women and children not exported skewed the balance of the sexes
in African enslaving societies. The introduction of American crops—maize and manioc—helped suffering regions to recover from population losses.

**Organization of the Trade.** Control over the slave trade reflected the European political situation. Until 1630, the Portuguese were the principal suppliers. The Dutch became major competitors after they seized El Mina in 1630. By the 1660s the English worked to supply their plantation colonies. The French became major carriers in the 18th century. Each nation established forts for receiving slaves. Tropical diseases meant high mortality rates for both resident Europeans and the crews of slave-carrying ships. The Europeans dealt with local rulers, calculating value in currencies composed of iron bars, brass rings, and cowrie shells. The Spanish had a system in which a healthy male was considered a standard unit called an "Indies piece." Slaves arrived at the coast as a result of warfare, purchase, and movement by indigenous traders. Dahomey had a royal monopoly on slave flow. There have been arguments about the profitability of the slave trade. It has been suggested that its profits were a key element for the rise of commercial capitalism and the Industrial Revolution. Individual voyages certainly did bring profits to merchants and specializing ports. But considerable costs and risks were involved. English profitability in the late 18th century was about five to 10 percent, about equal to other commercial ventures. The full economic importance is difficult to determine because of its direct links to the plantation and mining economies of the Americas. Goods were exchanged between Europe, Africa, and the Americas in complex patterns. The slave trade surely contributed to emerging Atlantic capitalism, while at the same time making African economies dependent on European trade and linked to the world economy.

**African Societies, Slavery, and the Slave Trade.** The Atlantic trade transformed African patterns of slavery. Africans had developed many forms of servitude in their nonegalitarian societies. With land controlled in many societies by the state, slaves were an important way for individuals and lineages to gain wealth and status. Slaves held many occupations. Their treatment ranged from the relatively benign, when they were incorporated into kinship systems, to severe economic and social exploitation when ruling hierarchies exercised power. The Atlantic trade opened new opportunities to slaveholding societies for the expansion and intensification of slavery. Enslavement of women was central to African society. The Sudanic states had introduced Islamic concepts of slavery. The existence of slavery allowed Europeans to mobilize commerce in slaves by tapping existing structures with the assistance of interested African rulers.

**Slaving and African Politics.** Most of the states of west and central Africa were small and volatile. The continuing wars elevated the importance of the military and promoted the slave trade. Increasing centralization and hierarchy developed in the enslaving societies; those attacked reacted by augmenting self-sufficiency and anti-authoritarian ideas. A result of the presence of the Europeans along the western coast was a shift of the locus of African power. Inland states close to the coast, and therefore free from direct European influence, became intermediaries in the trade and expanded their influence, through access to Western firearms and other goods.

**Asante and Dahomey.** Among the important states developing during the slave trade era was the Asante Empire of the Akan people. Centered on Kumasi, Asante was between the coast and
the inland Hausa and Mande trading regions. Under the Oyoko clan, the Asante gained access to firearms after 1650 and began centralizing and expanding. Osei Tutu became the *asantehene*, the supreme civil and military leader, of the Akan clans. By 1700 the Dutch along the coast were dealing directly with the new power. Through control of gold-producing regions and slaves, Asante remained dominant in the Gold Coast until the 1820s. In the Bight of Benin the state of Benin was at the height of its power when Europeans arrived. The ruler for a long period controlled the trade with Europeans; slaves never were a primary commodity. The kingdom of Dahomey among the Fon peoples had a different response to the Europeans. It emerged around Abomey in the 17th century; by the 1720s access to firearms led to the formation of an autocratic regime based on trading slaves. Under Agaja (1708-1740) Dahomey expanded to the coast, seizing the port of Whydah. The state maintained its policies into the 19th century. Too much emphasis on the slave trade obscures creative processes occurring in many African states. The growing divine authority of rulers paralleled the rise of absolutism in Europe. New political forms emerged which limited the power of some monarchs. In the Yoruba state of Oyo a council and king shared authority. Art, crafts, weaving, bronze casting, and woodcarving flourished in many regions. Benin and the Yoruba states created remarkable wood and ivory sculptures.

**East Africa and the Sudan.** On Africa's east coast the Swahili trading towns continued the trade of ivory, gold, and slaves for Middle Eastern markets. A few slaves went to European plantation colonies. On Zanzibar, Arabs, Indians, and Swahili produced cloves with slave labor. In the interior, African peoples had created important states. Migrants from the Upper Nile valley moved into Uganda and Kenya where they mixed with Bantu-speaking inhabitants. The Luo created dynasties in the great lakes region. Strong monarchies developed in Bunyoro and Buganda. In western Africa in the northern savanna, the process of Islamization entered a new phase, linking the area with the external slave trade and the growth of slavery. Songhay broke up in the 16th century and was succeeded by new states. The Bambara of Segu were pagan; the Hausa states of northern Nigeria were ruled by Muslims, although most of the population followed African religions. Beginning in the 1770s, Muslim reform movements swept the western Sudan. In 1804, Usman Dan Fodio, a Fulani Muslim, inspired a religious revolution that won control of most of the Hausa states. A new and powerful kingdom developed at Sokoto. The effects of Islamization were felt widely in the west African interior by the 1840s. Cultural and social change accelerated. Many war captives were dispatched to the coast or across the Sahara for the slave trade. The level of local slave labor also increased in agricultural and manufacturing enterprises.

**White Settlers and Africans in Southern Africa.** By the 16th century, Bantu-speaking peoples occupied the eastern regions of southern Africa. Drier western lands were left to the indigenous Khoikhoi and San. Migration, peaceful contacts, and war characterized the relations between the groups. The Bantu peoples practiced agriculture and herding, worked iron and copper, and traded with neighbors. Chiefdoms of various sizes, where leaders ruled with popular support, were typical. New chiefdoms continually emerged, resulting in competition for land and political instability. In the Dutch colony at Cape Town, established in 1652, the settlers developed large estates worked by slaves. Colonial expansion led to successful wars against the San and Khoikhoi. By the 1760s the Afrikaners crossed the Orange River and met the expanding Bantu, followed by competition and war over land. Britain
occupied the Dutch colony in 1795 and gained formal possession in 1815. British efforts to limit Afrikaner expansion were unsuccessful, and frequent fighting occurred between the Afrikaners and Africans. After 1834 some Afrikaners, seeking to escape British control, migrated beyond colonial boundaries and founded autonomous states.

**The Mfecane and the Zulu Rise to Power.** Among the Nguni people in 1818, a new leader, Shaka, gained authority. He created a formidable military force of regiments organized on lineage and age lines. Shaka's Zulu chiefdom became the center of a new political and military organization that absorbed or destroyed rivals. Shaka was assassinated in 1828, but his successors ruled over a still-growing polity. The rise of the Zulu and other Nguni chiefdoms marked the beginning of the mfecane, a time of wars and wandering. Defeated peoples fled into new regions and used Zulu tactics to create new states, among them the Swazi and Lesotho. The Afrikaners’ superior firepower enabled them to hold their lands. The Zulus remained powerful until defeated during the 1870s by the British. The basic patterns of conflict between Europeans and Africans took form during this era.

**In Depth: Slavery and Human Society.** Slavery has existed in both complex and simpler societies from the earliest times. Coerced labor took different forms: indentured servants, convict laborers, debt-peons, chattel slaves. Seizing control over an individual’s labor was the essential characteristic of slavery systems. It was easier to enslave people outside one’s own society, to exploit differences in culture, language, and color. The attitude of Europeans and non-African Muslims thus contributed to the development of modern racism. The campaign against slavery that grew from Enlightenment ideas was an important turning point in world history. Slavery has persisted in a few societies until the present, but few individuals openly defend the institution. African slavery was important in shaping the modern world. It was one of the early international trades, and it assisted the development of capitalism. Vociferous debate continues about many interpretations of the impact of the trade on African and American societies.

**The African Diaspora.** In the Americas, slaves came in large enough numbers to become an important segment of New World population. African cultures adapted to their new physical and social environments. The slave trade linked Africa and the Americas; it was the principal way in which African societies joined the world economy. Africans participating in the commerce dealt effectively with the new conditions, utilizing the wealth and knowledge they gained to the advantage of their states.

**Slave Lives.** Slavery and the slave trade killed millions of Africans. Family and community relationships were also destroyed during capture. As many as one-third of captives may have died on their way to shipping ports; shipboard mortality reached about 18 percent.

**Africans in the Americas.** African slaves crossed the Atlantic to work in New World plantations and mines. The plantation system, developed on Atlantic islands, was transferred to the Americas. Africans quickly replaced Indians and indentured Europeans as agricultural laborers. Slaves also mined gold and silver and labored in many urban occupations.
**American Slave Societies.** In all American slave societies a rough social hierarchy developed. Whites were at the top, slaves at the bottom. Free people of color were in between. Among the slaves, owners created a hierarchy based on origin and color. Despite the many pressures, slaves retained their own social perceptions: many slave rebellions were organized on ethnic and political lines. Slave-based societies varied in composition. In early 17th-century Lima, Africans outnumbered Europeans. Africans formed the overwhelming majority of the population on 18th-century Caribbean islands; high mortality ensured a large number of African-born individuals. Brazil had a more diverse population. Many slaves were freed and miscegenation was common. Slaves made up 35 percent of the population; free people of color were equal in number. The Southern British North American colonies differed because a positive growth rate among slaves lessened the need for continuing imports. Manumission was uncommon and free people of color were under 10 percent of Afro-American numbers. Thus slavery was less influenced by African ways.

**The People and Gods in Exile.** Africans worked under extremely harsh conditions. The lesser numbers of women brought to the New World limited opportunities for family life. When a family was present, its continuance depended upon the decisions of the owner. Despite the difficulties, most slaves lived in family units. Many aspects of African culture survived, especially when a region had many slaves from one African region. African culture was dynamic and creative, incorporating customs from different African ethnicities or from their masters that assisted survival. Religion demonstrates this theme. African beliefs mixed with Christianity or survived independently. Haitian vodun is a good example of the latter. Muslim Africans tried to hold on to their beliefs; in 1835 a major slave rising in Brazil was organized by Muslim Yoruba and Hausa. Resistance to slavery was a common occurrence. Slaves ran away and formed lasting independent communities; in 17th-century Brazil, Palmares, a runaway slave state under Angolan leadership, had a population of 10,000. In Surinam, runaway slaves formed a still-existing community with a culture fusing west African, Indian, and European elements.

**The End of the Slave Trade and the Abolition of Slavery.** The influences causing the end of the slave trade and slavery were external to Africa. The continued flourishing of slave-based economies in Africa and the Americas makes it difficult to advance economic self-interest as a major reason for ending the slave trade. Africans had commercial alternatives, but they did not affect the supply of slaves. Enlightenment thinkers during the 18th century condemned slavery and the slave trade as immoral and cruel. The abolitionist movement gained strength in England and won abolition of the slave trade for Britons in 1807. The British pressured other nations to follow course, although the final end of New World slavery did not occur until Brazilian abolition in 1888.

**GLOBAL CONNECTIONS: Africa and the African Diaspora in World Context.** Africa entered the world economy in the slave trade era. Its incorporation produced differing effects on African societies, but many societies had to adapt in ways that placed them at a disadvantage that facilitated later loss of independence during the 19th century. The legacy of the slave trade, as European rulers practiced forced labor policies, lingered into the 20th century. The forced movement of millions of Africans created vibrant new cultural forms in the Americas.
KEY TERMS

Factories: trading stations with resident merchants established by the Portuguese and other Europeans.

El Mina: important Portuguese factory on the coast of modern Ghana.

Nzinga Mvemba: ruler of the Kongo kingdom (1507-1543); converted to Christianity; his efforts to integrate Portuguese and African ways foundered because of the slave trade.

Luanda: Portuguese settlement founded in the 1520s; became the core for the colony of Angola.

Royal African Company: chartered in Britain in the 1660s to establish a monopoly over the African trade; supplied slaves to British New World colonies.

Indies piece: a unit in the complex exchange system of the west African trade; based on the value of an adult male slave.

Triangular trade: complex commercial pattern linking Africa, the Americas, and Europe; slaves from Africa went to the New World; American agricultural products went to Europe; European goods went to Africa.

Asante: Akan state among the Akan people of Ghana and centered at Kumasi.

Osei Tutu: important ruler who began centralization and expansion of Asante.

Asantehene: title, created by Osei Tutu, of the civil and religious ruler of Asante.

Benin: African kingdom in the Bight of Benin; at the height of its power when Europeans arrived; famous for its bronze casting techniques.

Dahomey: African state among the Fon peoples; developed in the 17th century centered at Abomey; became a major slave trading state through utilization of Western firearms.

Luo: Nilotic people who migrated from the Upper Nile regions to establish dynasties in the lakes region of central Africa.

Usman Dan Fodio: Muslim Fulani leader who launched a great religious movement among the Hausa.

Great Trek: movement inland during the 1830s of Dutch-ancestry settlers in South Africa seeking to escape their British colonial government.

Shaka: ruler among the Nguni peoples of southeast Africa during the early 19th century; developed military tactics that created the Zulu state.
**Mfecane:** wars among Africans in southern Africa during the early 19th century; caused migrations and alterations in African political organization.

**Swazi and Lesotho:** African states formed by people reacting to the stresses of the Mfecane.

**Middle Passage:** slave voyage from Africa to the Americas; a deadly and traumatic experience.

**Saltwater slaves:** name given to slaves born in Africa; distinguished from American-born descendants, the *creoles*.

**Obeah:** African religious practices in the British American islands.

**Candomble:** African religious practices in Brazil among the Yoruba.

**Vodun:** African religious practices among descendants in Haiti.

**Palmares:** Angolan-led large runaway slave state in 17th-century Brazil.

**Surinam Maroons:** descendants of 18th-century runaway slaves who found permanent refuge in the rainforests of Surinam and French Guiana.

**LECTURE SUGGESTIONS**

1. **Discuss how the political, social, and economic organization of the Americas differed from that of Africa.** African countries remained independent while in the Americas, Europeans governed colonies. Plantation economic organization was more typical of the Americas, although elites in both areas used coerced labor. Because of racial mixture, American society was less homogeneous than African, and the mixture produced a social hierarchy dependent on race and place of birth. Although slavery was present in Africa, the absence of racial mixture left untouched the traditional social relationships based on nobility, land, and priesthood.

2. **Discuss how the West affected the political development of Africa and how slavery was a component in the nature of state formation in sub-Saharan Africa.** It still is argued whether the political development of Africa in the early modern period was the result of Western intervention or of strictly internal African development. Slavery existed in Africa before the European arrival, but Western nations seem to have accelerated the slaving process. The exchange of firearms for slaves tended to unbalance the political situation in favor of slaving rulers trading with the West. In general, slaving states were autocratic and tended to expansion and centralization. New states rose because of the trade; many were in the region south of the savanna that was the home of earlier states (Ghana, Mali, Songhay).
CLASS DISCUSSION QUESTIONS

1. Discuss the stages in the Portuguese exploration and penetration of Africa.

2. Trace the changes in the volume of the Atlantic slave trade between 1450 and 1850.

3. What was the demographic impact of the African slave trade on the sub-Saharan region?

4. Discuss the arguments concerning the profitability of the slave trade.

5. How did the slave trade affect African state formation?

6. What was the Mfecane and how did it affect southern Africa?

7. What was the social structure of American slave-based societies?

8. Why did the slave trade come to an end?

THE INSTRUCTOR'S TOOL KIT

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Documents

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"Europe's First Impact on Africa: Outposts and Slave Trade"
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CHAPTER 26
The Muslim Empires

I. The Ottomans: From Frontier Warriors to Empire Builders

Mid-1200s, Mongols defeat Seljuks
Ottomans emerge dominant

Into Balkans, 14th, 15th centuries
1453, take Constantinople

Expansion
Middle East, north Africa, Europe
dominate Mediterranean

A. A State Geared to Warfare
Military dominant
Turkic horsemen transformed to warrior nobility
Janissary infantry
conscripted youth from conquered peoples

B. The Sultans and their Court
Use factions against each other

Vizier
oversees large bureaucracy

Succession
no clear rules

C. Constantinople Restored and the Flowering of Ottoman Culture

St. Sophia transformed

Suleyman the Magnificent
Suleymaniye mosque, 16th century

Commercial center
government control of trade, crafts
artisan guilds

Turkish prevails
D. The Problem of Ottoman Decline

Strong until late 1600s

Decline
extended
infrastructure insufficient
dependent on conquest
end of conquest brings deficiencies
regional leaders divert revenue
sultans less dynamic

E. Military Reverses and the Ottoman Retreat

Janissaries
conservative
stop military, technological reform

Lepanto, 1571
defeated by Spain, Venice
Turks lose control of eastern Mediterranean

Portuguese outflank Middle East trade
sail around Africa into Indian Ocean
victories over Muslim navies

Inflation
caused by New World bullion
comes at same time as loss of revenue from control of trade

II. The Shi’ā Challenge of the Safavids

Safavid family
Sufi preachers, mystics
Sail al-Din
leads revival
1501, Ismâ’il takes Tabriz
named shah

Chaldiran, 1514
Safavids defeated by Ottomans

A. Politics and War under the Safavid Shahs

Tahmasp I
becomes shah
Abbas I (1587-1629)
height of Ottoman Empire
Persians as bureaucrats

B. State and Religion
Adopt Persian after Chaldiran
also Persian court traditions

Shi‘ism modified
spreads to entire empire

C. Elite Affluence and Artistic Splendor
Abbas I supports international trade, Islamic culture
building projects
mosques in Isfahan

D. Society and Gender Roles: Ottoman and Safavid Comparisons
Commonalities
warrior aristocracies
move to rural estates after conquest
threat to central power
imperial workshops
artisans patronized
international trade encouraged
women lose freedom
subordinate to fathers, husbands

E. The Rapid Demise of the Safavid Empire
Abbas I
removes heirs
weak grandson inherits
decline begins

Internecine conflict, outside threats
1772, Isfahan taken by Afghanis

Nadir Khan Afshar
shah, 1736

III. The Mughals and the Apex of Muslim Civilization in India
Babur
driven from Afghanistan
invades India, 1526
Turkic
Panipat, 1526
   defeats Muslim Lodi dynasty
Khanua, 1527
   defeats Hindu confederation
1530, death
   succeeded by Humayn
   flees to Persia

Mughal rule restored by Humayn by 1556

A. Akbar and the Basis for a Lasting Empire
   Akbar
   Humayn's 13-year-old son
   reconciliation with Hindus
   new religion, Din-i-Illahi
   blend of Islam and Hinduism
   toleration

B. Social Reform and Social Change
   Women
   position improved
   widows encouraged to remarry
   child marriages discouraged
   sati prohibited
   seclusion undermined by women's market days

C. Mughal Splendor and Early European Contacts
   Death of Akbar
   reforms don't survive
   empire strong

   Cotton textiles to Europe
   especially among laboring and middle classes

D. Artistic Achievement in the Mughal Era
   Jahangir and Shah Jahan, 17th century
   continue toleration
   less energetic
   support arts
   Taj Mahal

E. Court Politics and the Position of Elite and Ordinary Women
   Nur Jahan
   wife of Jahangir
   head of powerful faction
Mumtaz Mahal
wife of Shah Jahan
also powerful

Ordinary women
position declines
*Sati* spreads among upper classes
other of Akbar's reforms die out

F. The Beginnings of Imperial Decline
Aurangzeb
succeeds Shah Jahan
programs
rule all India
cleanse Islam of Hindu taint
1707, controls most of India
expensive, distracting
other developments disregarded
revolt
autonomy of local leaders
Hindus excluded from high office
non-Muslims taxed
Marattas and Sikhs challenge rule

**Babur, "The Tiger."** The first Mughal emperor of India, Babur claimed descent from Chinggis Khan and Timur. He had tried several times to win back his kingdom of Ferghana, but had been driven out of Samarkand. By the time of his arrival in India, he had made a small kingdom around Kabul. The rise of the Safavids had ended his hopes of conquering Persia. Babur entered India in 1526, confronted by the Lodi Empire stretching across his path. Near Delhi, Babur made use of his greater firepower to defeat the Lodi army, and subsequently captured Delhi. By 1530, Babur was in control of northern India, and had founded the Mughal Empire. Other Muslim dynasties of the same period shared characteristics with Babur's. The Ottoman, Safavid, and Mughal empires were all led by Turkic-speaking nomads, all benefiting from power vacuums. In addition, all three gained dominance with the help of superior weapons. Babur's conquests differed from those that had earlier brought the Ottoman and Safavid empires into being, in not being motivated by religion. The history of the latter two, born out of religious fervor, was marked by Sunni-Shi'a rivalry, often leading to war. The Middle East in this era experienced great dynamism in art and architecture, spurred by a renewal of the Muslim tradition of cultural exchange and adaptation.

**Chapter Summary.** The Mongol invasions of the 13th and 14th centuries destroyed theoretical Muslim unity. The Abbasid and many regional dynasties were crushed. Three new Muslim dynasties arose to bring a new flowering to Islamic civilization. The greatest, the Ottoman Empire, reached its peak in the 17th century; to the east the Safavids ruled in Iran and Afghanistan, and the Mughals ruled much of India. Together the three empires possessed great
military and political power; they also produced an artistic and cultural renaissance within Islam.

**The Ottomans: From Frontier Warriors to Empire Builders.** Turkic-speaking peoples held important positions in many Islamic regimes. When the Mongols defeated the Seljuks of eastern Anatolia in the mid-13th century, the Ottomans, after a period of turmoil, secured dominance. During the 14th and 15th centuries they moved into the Balkans. In 1453 they captured Constantinople and ended the Byzantine Empire. During the next two centuries they brought their rule to much of the Middle East, north Africa, and southeastern Europe. Their navy dominated the eastern Mediterranean. Even though the Ottomans failed to capture Vienna in 16th and 17th-century sieges, they continued as a serious threat to Christian Europe.

**A State Geared to Warfare.** Military leaders had a dominant role in the Ottoman state, a polity geared to war and expansion. The Turkic horsemen became a warrior aristocracy supported by control of conquered land and peasants. When their power shrank before that of an expanding central bureaucracy, they built up regional power bases. In the mid-15th century, imperial armies were dominated by Janissary infantry divisions composed of conscripted youths from conquered lands. Their control of artillery and firearms gave them great power; by the mid-16th century they intervened in dynastic succession disputes.

**The Sultans and their Court.** Ottoman rulers survived by playing off the competing factions within their state. The groups included Janissaries and religious and legal scholars, and Muslim, Christian, and Jewish merchants. The latter two were "peoples of the book" who often were satisfied with the sound administration of their Muslim rulers. Early rulers participated in administration and warfare, but as the empire grew, the sultans lost contact with their subjects. A large bureaucracy headed by a vizier had great power in the state. Vague principles of imperial succession led to protracted strife and weakened the empire.

**Constantinople Restored and the Flowering of Ottoman Culture.** The imperial capital at Constantinople combined the disparate cultures under Ottoman rule. The new rulers restored the city after 1453; the church of St. Sophia became one of Islam's grandest mosques. Most sultans tried to add to the city's splendor: Suleyman the Magnificent built the great Suleymaniye mosque in the 16th century. Constantinople became the commercial center dealing in products from Asia, Africa, and Europe. Many urban inhabitants belonged to merchant and artisan classes. The government closely regulated both activities. Artisan guilds were very important. By the 17th century, the Turkish language became the preferred vehicle for literature and the government. The Ottomans left a significant artistic legacy in poetry, ceramics, carpet manufacturing, and architecture.

**The Problem of Ottoman Decline.** The empire continued vigorously until the late 17th century. By then, the empire was too extensive to be maintained from its available resource base and transport system. As a conquest state, the Ottomans began to decline once acquisition of new territory, vital for the support of the large military and bureaucracy, ceased. The bureaucracy became corrupt, and regional officials used revenues for their own purposes. Oppressed peasants and laborers fled the land or rebelled. Problems at the center of the state added to the decline. Sultans and their sons were confined to the palace; they became weak and
indolent rulers managed by court factions. Civil strife increased and military efficiency deteriorated.

**Military Reverses and the Ottoman Retreat.** The weakening within the empire occurred when outside challenges increased. The conservative Janissaries blocked needed military reform and allowed their state to lose ground to European rivals. The weakness in technology included the imperial navy. A Spanish-Venetian victory at Lepanto in 1571 ended Turkish control of the eastern Mediterranean. By then Portuguese mariners had outflanked the Muslim world by sailing around Africa into the Indian Ocean. Portuguese naval victories there broke the Muslim dominance over Indian trade. The problems caused by loss of commercial revenues were exacerbated by inflation stimulated by the importation of New World bullion. A few able sultans attempted during the 17th century to counter the empire's decline. The collapse of the Safavids removed an important rival. Still, the major changes occurring within the European world were not matched by the Ottomans. The intense conservatism of the Janissaries and religious leaders blocked Western-inspired innovation.

**The Shi'a Challenge of the Safavids.** The Safavids also profited from the struggles of rival Turkic groups following Mongol invasions. The Safavids were Shi'a Muslims from a family of Sufi preachers and mystics. In the early 14th century under Sail al-Din, they fought to purify Islam and convert the Turkic peoples. After long struggles, Ismâ'il seized Tabriz in 1501, and was proclaimed *shah*. His followers conquered most of Persia and fought against the Ottomans who defeated them at the important battle of Chaldiran in 1514, blocking the westward advance of Shi'ism.

**In Depth: The Gunpowder Empires and the Shifting Balance of Global History.** Each of the three great Muslim dynasties gained power with the support of nomadic warriors, but past conditions had changed. The battle of Chaldiran demonstrated that firearms were a decisive factor in warfare. Global history had entered a new phase. States utilized technology to reorganize their land and naval forces, and the changes influenced both social and political development. Once-dominant warrior aristocracies crumbled before governments able to afford expensive weapons. The Chinese scholar-gentry and Japanese shoguns had some success in limiting their impact. Nomads no longer were able to dominate sedentary peoples; their dynasties similarly declined when confronted by smaller, technologically-superior rivals. The efficient utilization of firearms by European nations was a major factor in their rise to world power.

**Politics and War under the Safavid Shahs.** The defeat at Chaldiran and the succeeding weakening of the dynasty led Turkic chiefs to seek power. Tahmasp I, after a period of turmoil, became shah in 1534 and restored state power. Under Abbas I (1587-1629) the empire reached its zenith. The rulers brought the Turkic warriors under control, assigning them villages and peasant labor for support. Some leaders gained important posts in the state and posed a constant threat to the shahs. Persians were recruited into the imperial bureaucracy as a counterbalance. The Safavids, as the Ottomans, recruited captured slave youths into the army and bureaucracy. During the reign of Abbas I, they became the backbone of his army and held high civil posts. They monopolized firearm use and received training from European advisors.
**State and Religion.** The Safavids originally wrote in Turkish, but after Chaldiran, Persian became the language of the state. They also adopted elaborate Persian traditions of court etiquette. The initial militant Shi'a ideology was modified as the Safavids drew Persian religious scholars into the bureaucracy. Religious teachers received state support, and teaching in mosque schools was supervised by religious officials. The population of the empire gradually converted to Shi'a Islam, which developed into an integral part of Iranian identity.

**Elite Affluence and Artistic Splendor.** Abbas I attempted to make his empire a major center of international trade and Islamic culture. Internal transport conditions were improved and workshops were created for silk textiles and carpets. Iranian merchants were encouraged to trade with other Muslims, Indians, Chinese, and Europeans. Abbas devoted special attention to building projects, especially mosques, in his capital of Isfahan.

**Society and Gender Roles: Ottoman and Safavid Comparisons.** Both dynasties had much in common. They initially were dominated by warrior aristocracies who shared power with the monarch. The warriors gradually left the rulers' courts for residence on rural estates where they exploited the peasantry. When central power weakened, the result was flight from the land and rebellion. Both empires encouraged the growth of handicraft production and trade. Imperial workshops produced numerous products, and public works employed many artisans. Policies encouraging international trade developed, although the Safavids were less market-oriented than the Ottomans. Women endured the social disadvantages common to Islamic regimes. Although many struggled against the restrictions, their earlier independence within nomadic society was lost. Women were subordinate to fathers and husbands and—especially among the elite—had few outlets for expression outside of the household.

**The Rapid Demise of the Safavid Empire.** Abbas I, fearing plots, had removed all suitable heirs. The succession of a weak grandson began a process of dynastic decline. Internal strife and foreign invasions shook the state. In 1772 Isfahan fell to Afghani invaders. An adventurer, Nadir Khan Afshar, emerged from the following turmoil as shah in 1736, but his dynasty and its successors were unable to restore imperial authority.

**The Mughals and the Apex of Muslim Civilization in India.** Turkic invaders, led by Babur, invaded India in 1526 after being driven from Afghanistan. They sought booty, not conquest, and remained only when prevented from returning northward. Babur's forces, using military tactics and technology similar to the Ottomans, crushed the Muslim Lodi dynasty at Panipat in 1526 and in 1527 defeated a Hindu confederation at Khanuva. Within two years Babur held much of the Indus and Ganges plains. The first Mughal ruler, he was a talented warrior also possessing a taste for art and music, but a poor administrator. His sudden death in 1530 brought invasion from surrounding enemies. Babur's successor, Humayn, fled to Persia. He led successful return invasions into India that restored control in the North by 1556, but died soon after.

**Akbar and the Basis for a Lasting Empire.** Humayn's 13-year-old son Akbar succeeded to the throne and immediately had to face pressure from Mughal enemies. The young monarch's forces were victorious, and he became a ruler of outstanding military and administrative talent. Akbar's armies consolidated Mughal conquests in north and central India. He advanced a policy of reconciliation with his Hindu subjects; he encouraged intermarriage, abolished head
taxes, and respected Hindu religious customs. Hindus rose to high ranks in the administration. Akbar invented a new faith, Din-i-Ilahi, incorporating Muslim and Hindu beliefs to unify his subjects. The Hindu and Muslim warrior aristocracy were granted land and labor for their loyalty. Local Hindu notables were left in place if taxes were paid.

**Social Reform and Social Change.** Akbar attempted to introduce social changes that would benefit his subjects. Among them were reforms to regulate the consumption of alcohol. He strove to improve the position of women. Akbar encouraged widow remarriage and discouraged child marriages. He prohibited sati and attempted to break seclusion through creating special market days for women.

**Mughal Splendor and Early European Contacts.** Even though most of his reforms, including the new religion, were not successful, Akbar left a powerful empire at his death in 1605. Not much new territory was added by successors, but the regime reached the peak of its splendor. Most of the population, however, lived in poverty, and India fell behind Europe in invention and the sciences. Still, by the late 17th century the Mughals ruled over a major commercial and manufacturing empire. Indian cotton textiles were world-famous and gained a large market in Europe.

**Artistic Achievement in the Mughal Era.** The 17th-century rulers Jahangir and Shah Jahan continued the policy of tolerance toward Hindus along with most other elements of Akbar's administration. Both preferred the good life over military adventures. They were important patrons of the arts; they expanded painting workshops for miniatures and built great architectural works, including Shah Jahan's Taj Mahal, often blending the best in Persian and Hindu traditions.

**Court Politics and the Position of Elite and Ordinary Women.** Jahangir and Shah Jahan left the details of daily administration to subordinates, thus allowing their wives to win influence. Nur Jahan, Jahangir's wife, dominated the empire for a time through her faction. Mumtaz Mahal, wife of Shah Jahan, also amassed power. While the life of court women improved, the position of women elsewhere in society declined. Child marriage grew more popular, widow remarriage died out, and seclusion for both Muslim and Hindus increased. Sati spread among the upper classes. The lack of opportunity for a productive role and the burden of a dowry meant that the birth of a girl became an inauspicious event.

**The Beginnings of Imperial Decline.** Aurangzeb, Shah Jahan's successor, inherited a declining empire and was not able to reverse the process. He pushed two disastrous ambitions: to control all India and to rid Islam of Hindu influences. By 1707 Aurangzeb had conquered most of India, but the warfare had drained the treasury and weakened the bureaucracy and military. The time spent on warfare diverted the rulers' energies from other vital tasks. Internal revolt and the growing autonomy of local leaders were not dealt with. Aurangzeb's religious policies increased internal weaknesses. Hindus in imperial service were kept from the highest posts, and measures against Hinduism began. The head tax on non-Muslims was restored. By the end of Aurangzeb's regime, his large empire was plagued by internal disruption. The Marattas of western India and the Sikhs in the northwest strained imperial resources. Islamic enemies were ready to strike.
GLOBAL CONNECTIONS: Gunpowder Empires and the Restoration of the Islamic Bridge between Civilizations. Comparison of the three Muslim empires with the Ming and Russian realms highlights similarities and distinctions. Military technology was critical to all. On the other hand, the Ming emperors and Russian tsars were threatened by nomadic peoples, but the Muslim empires were in fact created by nomads. Relations between the latter and other world powers changed slowly. The Muslim empires changed from within, as well as in relation to their competitors. Little effort was made to incorporate European technological advances. The failure to meet the European challenge weakened the economic base of their empires as revenues and profits were drained off by foreigners. The Islamic empires continued to be active in international commerce, but Europeans steadily improved their positions. Military decline opened a path for European intervention.

KEY TERMS

Ottomans: Turkic-speaking people who advanced into Asia Minor during the 14th century; established an empire in the Middle East, north Africa, and eastern Europe that lasted until after Word War I.

Mehmed II: "the Conqueror"; Ottoman sultan; captured Constantinople, 1453, and destroyed the Byzantine Empire.

Janissaries: conscripted youths from conquered regions who were trained as Ottoman infantry divisions; became an important political influence after the 15th century.

Vizier: head of the Ottoman bureaucracy; after the 15th century often more powerful than the sultan.

Suleymaniye mosque: great mosque built in Constantinople during the reign of the 16th-century Ottoman ruler Suleyman the Magnificent.

Safavid dynasty: founded by a Turkic nomad family with Shi'a Islamic beliefs; established a kingdom in Iran and ruled until 1722.

Sail al-Din: Eponymous founder of the Safavids, Sufi mystic; leader of the Read Heads.

Ismā’īl: Safavid leader; conquered the city of Tabriz in 1501 and was proclaimed shah.

Chaldiran: an important battle between the Safavids and Ottomans in 1514; Ottoman victory demonstrated the importance of firearms and checked the western advance of the Safavid Shi’a state.

Abbas I, the Great: Safavid shah (1587-1629); extended the empire to its greatest extent; used Western military technology.

Imams: Shi’a religious leaders who traced their descent to Ali’s successors.
Mullahs: religious leaders under the Safavids; worked to convert all subjects to Shi’ism.

Isfahan: Safavid capital under Abbas the Great; planned city exemplifying Safavid architecture.

Nadir Khan Afshar: emerged following fall of Safavids; proclaims himself shah, 1736.

Mughal dynasty: established by Turkic invaders in 1526; endured until the mid-19th century.

Babur: Turkic leader who founded the Mughal dynasty; died in 1530.

Humayn: son and successor of Babur; expelled from India in 1540 but returned to restore the dynasty in 1556.

Akbar: son and successor of Humayn; built up the military and administrative structure of the dynasty; followed policies of cooperation and toleration with the Hindu majority.

Din-i-Ilahi: religion initiated by Akbar that blended elements of Islam and Hinduism; did not survive his death.

Sati: ritual burning of high-caste Hindu women on their husbands’ funeral pyres.

Taj Mahal: mausoleum for Mumtaz Mahal, built by her husband Shah Jahan; most famous architectural achievement of Mughal India.

Nur Jahan: wife of ruler Jahangir who amassed power at the Mughal court and created a faction ruling the empire during the later years of his reign.

Aurangzeb: son and successor of Shah Jahan; pushed extent of Mughal control in India; reversed previous policies to purify Islam of Hindu influences; incessant warfare depleted the empire's resources; died in 1707.

Marattas: people of western India; challenged Mughal rule under Aurangzeb.

Sikhs: Indian sect, beginning as a synthesis of Hindu and Muslim faiths; pushed to opposition to Muslim and Mughul rule.

LECTURE SUGGESTIONS

1. Discuss the similarities in the causes for decline in all of the Islamic early modern empires and explain how the decline was related to the rise of the West. The social organization of all the empires was dependent on a variety of warrior nobilities, all of whom were granted control over villages and peasants. As imperial central power weakened, the power of the regional aristocracy grew. The result often was land abandonment. The failure of all the empires to take the West seriously as an international challenger meant a failure to adopt
Western military technology and scientific advances. All the empires were vulnerable to Western advances, especially the Ottomans, because of their shared land borders. All suffered from growing Western dominance of the seas, and by the 18th century, they were reduced to economic dependency. The loss of revenues from commerce and the impact of Western bullion contributed to Islamic decline.

2. Discuss the similarities in problems confronting both the early modern Muslim empires and the earlier Umayyad and Abbasid empires. All the empires suffered from the common problem of failing to establish a firm succession process. The difficulty of military domination by warrior aristocracies was apparent in both old and new empires. So were problems with religious minorities; the Mughal problems with the Hindu majority were typical of earlier dynasties. Some problems—most involving the West—were peculiar to the early modern period. The commercial supremacy of the Umayyads and Abbasids was unchallenged by the West: the Abbasid trade network stretched from Africa to Southeast Asia. The West then also did not present an intellectual challenge to the great Muslim empires. The later rise of the West totally revised its relations with the Islamic world. Loss of commercial leadership caused revenue loss as the West broke the Muslim monopoly of relationships with Africa and southeastern Asia. Western military technology allowed the West to threaten Muslim independence.

CLASS DISCUSSION QUESTIONS

1. What were the similarities and differences among the three Muslim empires?

2. What were the causes of Ottoman decline in the 17th century?

3. What were the similarities and differences in the decline of the Abbasid and Ottoman empires?

4. Compare and contrast the social and economic organization of the Ottomans and Safavids.

5. Discuss the reasons for the failure of the Mughal dynasty.

6. What weaknesses were common to all of the Muslim empires?

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CHAPTER 27
Asian Transitions in an Age of Global Exchange

I. The Asian Trading World and the Coming of the Europeans
   European discoveries
   products not wanted in East
   Muslim traders control Indian Ocean, southern Asia
   missionary activity blocked by Islam
   Asian political divisions advantageous

The Asian Sea-Trading Network, circa 1500
   Arab zone
      glass, carpet, tapestries
   Indian zone
      cotton textiles
   Chinese zone
      paper, porcelain, silk goods
   Marginal regions
      Japan, southeast Asia, east Africa
      raw materials
         ivory, spices

Conditions
   followed coastline
   no central control
   no military protection

A. Trading Empire: The Portuguese Response to the Encounter at Calicut
   Portuguese use military force
   Diu, 1509
      defeat Egyptian-Indian fleet
   Forts for defense
   Ormuz, 1507
   Goa, 1510
   Malacca

      Goal: monopolize spice trade, control all shipping

B. Portuguese Vulnerability and the Rise of the Dutch and English Trading Empires
   17th century
      English and Dutch challenge Portuguese control
Dutch
   1620, take Malacca
   fort built at Batavia, 1620
   concentrate on certain spices
   generally use force less
   use traditional system

English
   India

C. Going Ashore: European Tribute Systems in Asia
   Europeans restricted to coastlines
   permission needed to trade inland

Sporadic conflict
   Portuguese, Dutch use force in Sri Lanka
   cinnamon
   Spanish
     Philippines
     take North

D. Spreading the Faith: The Missionary Enterprise in South and Southeast Asia
   Robert Di Nobili
     Italian Jesuit
     1660s, conversion of upper-caste Indians

II. Ming China: A Global Mission Refused
   Ming dynasty (1368-1644)
     founded by Zhu Yuanzhang
     helps expel Mongols
     takes name Hongwu, 1368
     Mongols forced north of Great Wall

A. Another Scholar-Gentry Revival
   Restoration of scholar-gentry
     high offices
     imperial schools restored
     civil service exam re-established

B. Reform: Hongwu's Efforts to Root Out Abuses in Court Politics

   Chief minister
     position abolished
     Hongwu takes powers

   Imperial wives from modest families
C. A Return to Scholar-Gentry Social Dominance
   Agricultural reforms
   to improve peasants' lives
   balanced by encroaching landlord power

   Women
   confined
   bearing male children stressed

D. An Age of Growth: Agriculture, Population, Commerce, and the Arts
   American food crops
   marginal lands faramed

   Chinese manufactured goods in demand
   merchants profit

   Patronage of fine arts

   Innovations in literature
   woodblock printing

E. An Age of Expansion: The Zenghe Expeditions
   Emperor Yunglo
   1405-1423, expeditions
   Indian Ocean
   African coast
   Persia
   Admiral Zenghe

F. Chinese Retreat and the Arrival of the Europeans
   Isolationist policy
   (1390, overseas trade limited)

   Missionaries
   Franciscans, Dominicans
   Jesuits try to convert elite

   Matteo Ricci, Adam Schall
   find place at court
   not much success at conversion
G. Ming Decline and the Chinese Predicament
Weak leaders

Public works
failures leading to starvation, rebellion

Landlords exploitative

1644, dynasty overthrown

III. Fending Off the West: Japan's Reunification and the First Challenge

Nobunaga
daimyo
use of firearms
deposes Ashikaga shogun, 1573
killed, 1582

Toyotomo Hideyoshi
Nobunaga's general
1590, rules Japan
Invades Korea, unsuccessful
dies, 1598
succession struggle

Tokugawa Ieyasu
emerges victorious
1603, appointed shogun
Edo (Tokyo)
direct rule of Honshu
everse, rules through daimyos
restoration of unity

250-year rule by Tokugawas

A. Dealing with the European Challenge
Traders, missionaries to Japan since 1543
firearms, clock, presses for Japanese silver, copper, finished goods

Nobunaga protects Jesuits
to counter Buddhist power
Hideyoshi less tolerant
Buddhists now weak
B. Japan's Self-Imposed Isolation
Foreign influence restricted from 1580s

Christianity
persecutions by 1590s
banned, 1614

Ieyasu
increased isolation
1616, merchants restricted
by 1630, Japanese ships forbidden to sail overseas
by 1640s
Dutch, Chinese visit only at Deshima island

Complete isolation from mid-1600s

Tokugawa
Neo-Confucian revival
replaced by National Learning school

Vasco da Gama Arrives in India. The Portuguese expedition around Africa, led by Vasco da Gama, arrived in India in 1498. Four small ships carried the voyagers around the Cape of Good Hope, to the west coast of Africa. The Portuguese were disappointed to find that Muslim Arabs controlled many of the coastal towns they visited. They were better-received at Malindi, whose inhabitants confirmed their hopes: they had found a sea route to India. Their achievement was impressive, and they rejoiced in it. It not only corroborated Portuguese claims that the circumnavigation of Africa would lead to the Indies, but also proved that Columbus' voyages had not. The sultan of Malindi provided da Gama with a pilot, and the flotilla finally arrived at Calicut, on the Malabar coast. Exultation changed to surprise when they found the goods they had brought to trade had little appeal for the Indians. Instead, da Gama had to use the small store of bullion they had brought. In subsequent voyages, merchants worked out the logistics of the commerce between Europe and India.

Chapter Summary: Vasco da Gama's voyage to India had opened the way to the East for Europeans, but its initial impact was greater for Europe than for Asia. Europeans had little to offer Asians in exchange for their desired products. Asians were not interested in converting to Christianity, and their states were too strong to be conquered. Asian civilizations developed according to their own diverse internal workings and the influences of neighboring states and peoples. Only the islands of southeast Asia were vulnerable to European naval power.

The Asian Trading World and the Coming of the Europeans. The first Portuguese arriving in India discovered that their products, apart from silver bullion, were too primitive for profitable exchange for Asian goods. They saw that Muslim traders dominated the Indian Ocean and southern Asian commerce, and that Islam blocked the spread of Roman Catholicism. The Europeans also noticed that political divisions divided Asians, who did not understand the threat posed by the new intruders. The trading network stretched from the Middle East and Africa to
east Asia and was divided into three main zones. An Arab division in the West offered glass, carpet, and tapestry manufacturing. In the center was India, producing cotton textiles. China, in the East, manufactured paper, porcelain, and silk textiles. Peripheral regions in Japan, southeast Asia, and east Africa supplied raw materials. Among the latter were ivory from Africa and spices from Sri Lanka and Indonesia. In the overall system, profits were gained from commerce in both long-distance luxury items and shorter-distance bulk goods. Most of the trade passed along safer coastal routes, converging in vital intersections at the openings of the Red Sea, Persian Gulf, and the Straits of Malacca. The system had two critical characteristics: no central control and a lack of military forces.

Trading Empire: The Portuguese Response to the Encounter at Calicut. Since they did not have sufficient acceptable commodities for profitable trade to Asia, the Portuguese used force to enter the network. Their superior ships and weaponry were unmatched, except by the Chinese. Taking advantage of the divisions between Asians, the Portuguese won supremacy along the African and Indian coasts. They won an important victory over an Egyptian-Indian fleet at Diu in 1509. To ensure control, forts were constructed along the Asian coast: Ormuz on the Persian Gulf in 1507, Goa in western India in 1510, and Malacca on the Malayan peninsula. The Portuguese aimed to establish a monopoly over the spice trade and, less successfully, to license all vessels trading between Malacca and Ormuz.

Portuguese Vulnerability and the Rise of the Dutch and English Trading Empires. The Portuguese had limited success for some decades, but the small nation lacked the manpower and ships necessary for market control. Many Portuguese ignored their government and traded independently, while rampant corruption among officials and losses of ships further hampered success. Dutch and English rivals challenged the weakened Portuguese in the 17th century. The Dutch captured Malacca and built a fort at Batavia in Java in 1620. They decided to concentrate on monopolizing key spices. The English were forced to fall back to India. The Dutch trading empire resembled the Portuguese, but they had better-armed ships and controlled their monopoly with great efficiency. The Dutch discovered that the greatest long-run profits came from peacefully exploiting the established system. When the spice trade declined, they relied on fees charged for transporting products from one Asian place to another. They also bought Asian products and sold them within the system. The English later adopted Dutch techniques.

Going Ashore: European Tribute Systems in Asia. Europeans were able to control Asian seas, but not inland territories. The vast Asian armies offset European technological and organizational advantages. Thus, Europeans accepted the power of Asian rulers in return for permission to trade. Only in a few regions did war occur. The Portuguese and Dutch conquered coastal areas of Sri Lanka to control cinnamon. In Java the Dutch expanded from their base at Batavia to dominate coffee production. By the mid-18th century, they were the paramount power in Java. The Spanish in the Philippines conquered the northern islands, but failed in the Islamic South. The Europeans established tribute regimes resembling the Spanish system in the New World. Indigenous peoples lived under their own leaders and paid tribute in products produced by coerced labor under the direction of local elites.

Spreading the Faith: The Missionary Enterprise in South and Southeast Asia. The Protestant Dutch and English were less interested in winning converts than were Roman Catholic Portugal and Spain. Success in Asia was minimal. Islam and Hinduism were difficult foes. The
Italian Jesuit Robert Di Nobli during the 1660s unsuccessuflly attempted to win converts among upper-caste members through the study of Sanskrit and Indian culture. General conversion occurred only in isolated regions like the northern Philippines. Once conquered, the government turned indigenous peoples over to missionary orders. Converted Filipino leaders led their peoples into European ways, but traditional beliefs remained strong within the converts' Catholicism.

**Ming China: A Global Mission Refused.** The Ming dynasty (1368-1644) ruled over the Earth's most populous state. China possessed vast internal resources and advanced technology. Its bureaucracy remained the best organized in the world, and its military was formidable. The dynasty emerged when Zhu Yuanzhang, a military commander of peasant origins, joined in the revolts against the Mongols and became the first Ming emperor, with the name of Hongwu, in 1368. Zhou strove to drive out all Mongol influences and drove the remaining nomads beyond the Great Wall.

**Another Scholar-Gentry Revival.** The poorly-educated Zhou was suspicious of the scholar-gentry, but he realized that their cooperation was necessary for reviving Chinese civilization. They were given high government posts, and imperial academies and regional colleges were restored. The civil service exam was reinstated and expanded. The highly competitive examination system became more systematic and complex, allowing talented individuals to become eligible for the highest posts.

**Reform: Hongwu's Efforts to Root Out Abuses in Court Politics.** Hongwu sought to limit the influence of the scholar-gentry and to check other abuses at the court. He abolished the post of chief minister and transferred to himself the considerable powers of the office. Officials failing in their tasks were publicly and harshly beaten. Other reforms included choosing imperial wives from humble families, limiting the number of eunuchs, and exiling all rivals for the throne to provincial estates. Writings displeasing to the ruler were censored. Later rulers of the dynasty let the changes lapse.

**A Return to Scholar-Gentry Social Dominance.** Hongwu sought to improve the lives of the peasantry by public works aiding agriculture, opening new and untaxed lands, lowering forced labor demands, and promoting handicraft industries supplementing household incomes. The beneficial effects of the measures were offset by the growing power of rural landlords allied with the imperial bureaucracy. Peasants were forced to become tenants or landless laborers. The Ming period continued the subordination of women to men, and youths to elders. Draconian laws forced obedience. Opponents, including women, had to go underground to improve their situations. Imperial women continued to be influential, especially with weak emperors. Outside the court, women were confined to the household; their status hinged on bearing male children. Upper-class women might be taught reading and writing by their parents, but they were barred from official positions. Non-elite women worked in many occupations, but the main way to gain independence was to become a courtesan or entertainer.

**An Age of Growth: Agriculture, Population, Commerce, and the Arts.** The early Ming period was one of buoyant economic growth and unprecedented contacts with overseas civilizations. The commercial boom and population increase of late Song times continued. The
arrival of American food crops allowed cultivation in marginal agricultural areas. By 1800 there were over 300 million Chinese. Chinese manufactured goods were in demand throughout Asia and Europe, and Europeans were allowed to come to Macao and Canton to do business. Merchants gained significant profits, a portion of them passing to the state as taxes and bribes. Much of the wealth went into land, the best source of social status. The fine arts found generous patrons. Painters focused on improving established patterns. Major innovation came in literature, assisted by an increase in availability of books through the spread of woodblock printing, with the full development of the novel.

**An Age of Expansion: The Zenghe Expeditions.** Under Emperor Yunglo, the Ming sent a series of expeditions between 1405 and 1423 to southeast Asia, Persia, Arabia, and east Africa under the command of Zenghe. The huge fleets of large ships demonstrated a Chinese potential for global expansion unmatched by other contemporary nations.

**Chinese Retreat and the Arrival of the Europeans.** The Chinese, after the end of the Zenghe expeditions, developed a policy of isolation. In 1390 the first decree limiting overseas commerce appeared and the navy was allowed to decline. Europeans naturally were drawn to the great empire. Missionaries sought access to the court. Franciscans and Dominicans worked to gain converts among the masses; the Jesuits learned from Di Nobili's success in India, trying to win the court elite. Scientific and technical knowledge were the keys to success at the court. Jesuits like Matteo Ricci and Adam Schall displayed such learning, but they won few converts among the hostile scholar-gentry who considered them mere barbarians.

**In Depth: Means and Motives in Overseas Expansion: Europe and China Compared.** Why did the Chinese, unlike Europeans, withdraw from overseas expansion? The small nation-states of Europe, aggressively competing with their neighbors, made more efficient use of their resources. European technological innovations gave them an advantage in animal and machine power that helped to prevail over China's general superiority. One answer to the differing approaches can be seen in the attitudes of the groups in each society favoring expansion. There was wide support in general European society for increasing national and individual wealth through successful expansion. Christian leaders sought new converts. Zenghe’s voyages were the result of an emperor’s curiosity and desire for personal greatness. Merchants, profiting from existing commerce, were little interested. The scholar-gentry opposed the expeditions as a danger to their position and as a waste of national resources.

**Ming Decline and the Chinese Predicament.** By the late 1500s, the dynasty was in decline. Inferior imperial leadership allowed increasing corruption and hastened administrative decay. The failure of public works projects, especially on the Yellow River, caused starvation and rebellion. Exploitation by landlords increased the societal malaise. In 1644, the dynasty fell to Chinese rebels.

**Fending Off the West: Japan's Reunification and the First Challenge.** During the 16th century, an innovative and fierce leader, Nobunaga, one of the first daimyos to make extensive use of firearms, rose to the forefront among the contesting lords. He deposed the last Ashikaga shogun in 1573, but was killed in 1582 before finishing his conquests. Nobunaga's general Toyotomo Hideyoshi continued the struggle and became master of Japan by 1590.
Hideyoshi then launched two unsuccessful invasions of Korea. He died in 1598. Tokugawa Ieyasu won out in the ensuing contest for succession. In 1603, the emperor appointed him shogun. The Tokugawas continued in power for two and a half centuries. Ieyasu, ruling from Edo (Tokyo), directly controlled central Honshu and placed the remaining daimyos under his authority. Gradually, outlying daimyos were also brought under Tokugawa rule. The long period of civil wars had ended; political unity was restored.

**Dealing with the European Challenge.** European traders and missionaries had visited Japan in increasing numbers since 1543. The traders exchanged Asian and European goods—the latter including firearms, clocks, and printing presses—for Japanese silver, copper, and artisan products. The firearms, which the Japanese soon manufactured themselves, revolutionized local warfare. Roman Catholic missionaries arrived during Nobunaga's campaigns. He protected them as a counterforce to his Buddhist opponents. By the 1580s the Jesuits claimed hundreds of thousands of converts. Hideyoshi was less tolerant of Christianity. The Buddhists had been crushed and he feared that converts would give primary loyalty to their religion. Hideyoshi also feared that Europeans might try to conquer Japan.

**Japan's Self-Imposed Isolation.** Official measures to restrict foreign influence were ordered from the late 1580s. Christian missionaries were ordered to leave; persecution of indigenous Christians was underway during the mid-1590s. Christianity was officially banned in 1614. Continued persecution provoked unsuccessful rebellions and drove the few remaining Christians underground. Ieyasu and his successors broadened the campaign to isolate Japan from outside influences. From 1616, merchants were confined to a few cities; by 1630, Japanese ships could not sail overseas. By the 1640s, only Dutch and Chinese ships visited Japan to trade at Deshima island. Western books were banned. The retreat into isolation was almost total by the mid-17th century. The Tokugawa continued expanding their authority. During the 18th century the revival of neo-Confucian philosophy that had flourished under the early Tokugawas gave way to a school of National Learning based upon indigenous culture. Some of the elite, in strong contrast to the Chinese scholar-gentry, continued to follow with avid interest Western developments through the Dutch residents in Deshima.

**GLOBAL CONNECTIONS: An Age of Eurasian Culture.** By 1700, European exploration and commercial expansion only touched most of Asia peripherally. In east Asia, Chinese and Japanese strength blocked European domination of their lands. New commercial routes had opened, and European need for safe bases had led to the growth of trading centers. This period of increased European interest in the East was followed by a period of closure. The Chinese retreated from international trade, leaving Asia open to European dominance. The stage was set for the next phase of East-West relations.

**KEY TERMS**

**Asian sea trading network:** divided, from West to East, into three zones prior to the European arrival; an Arab zone based upon glass, carpets, and tapestries; an Indian with cotton textiles; a Chinese with paper, porcelain, and silks.
Goa: Indian city developed by the Portuguese as a major Indian Ocean base; developed an important Indo-European population.

Ormuz: Portuguese establishment at the southern end of the Persian Gulf; a major trading base.

Malacca: city on the tip of the Malayan peninsula; a center for trade to the southeastern Asian islands; became a major Portuguese trading base.

Batavia: Dutch establishment on Java; created in 1620.

Luzon: northern island of the Philippines; conquered by Spain during the 1560s; site of a major Catholic missionary effort.

Mindanao: southern island of the Philippines; a Muslim area able to successfully resist Spanish conquest.

Francis Xavier: Franciscan missionary who worked in India during the 1540s among outcast and lower-caste groups; later worked in Japan.

Robert Di Nobili: Italian Jesuit active in India during the early 1600s; failed in a policy of converting indigenous elites first.

Hongwu: first Ming emperor (1368-1403); drove out the Mongols and restored the position of the scholar-gentry.

Macao and Canton: the only two ports in Ming China where Europeans were allowed to trade.

The Water Margin, Monkey, and The Golden Lotus: novels written during the Ming period; recognized as classics and established standards for Chinese prose literature.

Zenghe: Chinese admiral who led seven overseas trade expeditions under Ming emperor Yunglo between 1405 and 1423; demonstrated that the Chinese were capable of major ocean exploration.

Matteo Ricci and Adam Schall: Jesuit scholars at the Ming court; also skilled scientists; won few converts to Christianity.

Chongzhen: last emperor of the Ming Dynasty; died, 1644.

Nobunaga: the first Japanese daimyo to make extensive use of firearms; in 1573 deposed the last Ashikaga shogun; unified much of central Honshu; died in 1582.

Toyotomi Hideyoshi: general under Nobunaga; succeeded as a leading military power in central Japan; continued efforts to break power of the daimyos; became military master of Japan in 1590; died in 1598.
**Tokugawa Ieyasu:** vassal of Toyotomi Hideyoshi; succeeded him as the most powerful military figure in Japan; granted title of *shogun* in 1603 and established the Tokugawa shogunate; established political unity in Japan.

**Edo:** Tokugawa capital, modern-day Tokyo; center of Tokugawa shogunate.

**Deshima:** island port in Nagasaki Bay; the only port open to foreigners, the Dutch, after the 1640s.

**School of National Learning:** 18th-century ideology that emphasized Japan's unique historical experience and the revival of indigenous culture at the expense of Confucianism and other Chinese influences.

**LECTURE SUGGESTIONS**

1. **Compare and contrast the European intrusion into the African commercial system with their entry into the Asian trade network.** Among the similarities were limited colonization, use of coastal and island trading forts to enter trade systems, inability to affect political development by conquest, and introduction of firearms that influenced political development (Africa and Japan). The Portuguese initiated the contact in Africa and Asia, and in both, attempted missionary work with limited success. Among differences was the role of slavery; it was a major feature of the African trade; Asian regions produced raw materials, spices, and manufactured goods. Asian civilizations opted for isolation, while many African states concluded commercial alliances with the West.

2. **Discuss the European impact on Asian civilization during the period of early modern Western expansion.** The greatest impact was on the periphery of Asian civilizations, especially in islands (Sri Lanka, Indonesia, Philippines) where European tribute systems were established. Another significant influence was the introduction of firearms to Japan during its period of political centralization. Otherwise, the impact was minimal. Europeans lacked goods desired in the Asian trade network; they basically acted as shipping agents for Asian products. Christianity had minimal success against Hinduism, Islam, or Buddhism. The only exception was the northern Philippines. Some initial influence was felt in Japan, but later rulers suppressed Christianity. China and Japan opted for isolation from the Europeans and their fundamental structures remained unchanged. China allowed a few Christian visitors out of intellectual curiosity.

**CLASS DISCUSSION QUESTIONS**

1. What was the nature of the Asian sea trading network?

2. What did the Portuguese discover when they arrived at Calicut and how did they respond?

3. How were the Dutch able to displace the Portuguese and how did their participation in the Asian trading network differ from the Portuguese?
4. Where did the Europeans establish tribute systems?

5. How successful were European Christian missionary efforts by the early 1660s?

6. How did the Ming restore the traditional Chinese forms of government?

7. Why did the Chinese withdraw from commercial expansion?

8. What steps led to the restoration of the Japanese shogunate?

9. Why did the Japanese resort to isolation as a response to European expansion?

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PART IV RETROSPECTIVE
A Look Back at the Early Modern Period

Contacts and Their Limits. New levels of international contact were the significant change in world history in the early modern period. Europeans went further afield than before, aided by their superior arms. The Columbian Exchange was one product of the increased contact. While great changes occurred in seaborne travel, connections were also forged in land empires such as that of the Russian tsars. In this period, exchange involved goods rather than ideas. European missionaries were not in short supply, but their success was limited. Rulers of China, Japan, and the Ottoman Empire were successful in controlling intellectual exchange. While no such restrictions existed in Europe, complacency kept out new ideas, although not goods such as coffee and sugar. Initial Asian toleration of foreigners changed over time in Japan, China, and India. Russia, on the other hand, turned eagerly to the West. Unlike trade with the East, the Columbian Exchange—including animals, plants, and diseases—also included ideas. A great deal of fusion occurred, with native, European and African traditions merging to create a new culture. In short, the early modern period saw greatly increased contact between world areas, but also great variation in the paths by which contact developed. A new feature of this period is cosmopolitanism, limited but notable. European Christians became familiar with Hinduism and Confucianism. Ottoman diplomats were at home in Europe.
PART V

The Dawn of the Industrial Age, 1750-1914

The Industrial Revolution brought great changes to the Western economy and society. Major technological innovations intensified international commercial contacts. The West was able to acquire hegemony—through colonization or economic dependence—over most other world civilizations. Industrialism was not confined to the economic world, but affected art in many ways. Futurism, emerging around 1900, was inspired by industrial change, while Impressionism turned to natural subjects in reaction. Moreover, international exchange influenced artistic movements.

Triggers for Change. Many of the gunpowder empires were in difficulty in the beginning of the Modern period. It was at this time that innovations in Great Britain inaugurated the Industrial Revolution. Several factors led to change. European experience in the world economy drove manufacturers to speed up production, while governments encouraged commerce through a number of institutions. Population growth in Europe led to a ready supply of labor. The Enlightenment also contributed, fostering enthusiasm for innovation and faith in progress.

The Big Changes. New sources of power and new technology were at the heart of the Industrial Revolution, but the changes that resulted were more far-reaching. Fundamental change came in the balance between rural and urban living, with the number of workers in manufacturing outstripping those in agriculture for the first time in world history. Two groups of changes can be discerned. First, daily life was transformed, beginning with profound changes in the work day. As work changed, family dynamics changed. Politics were affected by the growing proletariat, as well as Enlightenment ideas and nationalism. Second, the consequences of industrialization spread worldwide. Some world areas began to industrialize, while many others became suppliers of cheap goods to the industrial world. Latin America is an example of the latter, supplying foodstuffs like coffee and raw materials like copper to fuel industrialization elsewhere. Moreover, Europeans moved into new areas, looking for opportunities to control low-cost sources of goods. Finally, two other deep-seated developments resulted. Slavery and serfdom were ended in most world areas. Lastly, intensification of production led to an increase in human impact on the environment.

Continuity. Industrialization, though revolutionary, occurred over several decades. Traditional modes of life continued even in the most industrialized countries. The impressive growth of cities and their attendant institutions masks the fact that rural life and customary commercial exchange continued. The power of the past is also apparent in the varied responses of different cultures. For example, China and Japan reacted very differently to industrialization, in part because of longstanding cultural differences. Not only did historical disparities influence response to change, but new customs appeared. Thanksgiving became a national holiday in the United States, as a means of promoting unity.

Impact on Daily Life: Leisure. In the industrialized world, leisure became a hindrance to greater productivity, and for the first time a sharp line was drawn between work and play. Yet,
new sports came into being at the same time. Leisure itself was commercialized, as the travel industry emerged. The leisure activities of the West spread to non-industrialized areas.

**Societies and Trends.** This section begins with developments in the West, starting with the settler societies of North America, Australia, and New Zealand, in Chapter 28. The world economy and the global impact of industrialization are the subject of Chapter 29. In Chapter 30, the focus is on formative changes in Latin America and how they related to world developments. Key developments in Asia, in response to Western pressure, are described in Chapter 31. Finally, Chapter 32 focuses on Russia and Japan as they began to industrialize.
CHAPTER 28
The Emergence of Industrial Society in the West, 1760-1914

I. The Age of Revolution

A. Optimism Against All Odds
   Marquis of Condorcet
   *Progress of the Human Mind*

B. Forces of Change
   Enlightenment
   Commercialization
   Population growth

C. The American Revolution
   1775, outbreak of the Revolution
   French aid
   1789, new constitution

D. Crisis in France in 1789
   Enlightenment influence
   1789, Louis XVI calls parliament
   Assembly
   *Declaration of the Rights of Man and the Citizen*
   July 14, Bastille attacked
   Principles
   serfdom abolished
   equality for men
   end to aristocratic privilege
   church privilege ended
   elective parliament

E. The French Revolution: Radical and Authoritarian Phases

Reaction
   church
   aristocracy
   foreign powers
Radical shift
  king executed
Reign of Terror
  Maximilien de Robespierrre
  1795, replaced by moderate government

Napoleon Bonaparte
  authoritarian
  supports key principles
  expansionist

Empire
  most of Europe by 1812
  1815, defeated

F. A Conservative Settlement and the Revolutionary Legacy
  Congress of Vienna of 1815

New political movements
  Liberals
    constitutional rule
    protection of freedoms
    especially middle class

  Radicals
    extension of voting rights
  Socialism
    attack property rights
  Nationalists

Spread of Revolutions, 1820s, 1830s
  Greece, Spain, Portugal, France, Italy, Germany, Belgium

Extension of male suffrage
  Britain, United States

G. Industrialization and the Revolutions of 1848
  Lower classes
    political action

  Britain accommodates demands

  Revolts in Germany, Austria, Hungary

  France, 1848, monarch overthrown
Goals
- liberal constitutions
- social reform
  - end of serfdom
- women’s rights
- ethnic demands

II. The Consolidation of the Industrial Order, 1850-1914

A. Adjustments to Industrial Life

Families
- birth and death rates down

Labor movements

Rural cooperatives

B. Political Trends and the Rise of New Nations

After 1850, leaders learn to adopt change
- Benjamin Disraeli
  - vote for working-class males, 1867
- Camillo di Cavour
  - supports industrialization
- Otto von Bismarck
  - vote for all adult males

Nationalism used
- Bismarck
  - German Unification, 1871

C. The Social Question and New Government Functions

School systems
- literacy increases

Welfare
- health, old age

Social reform becomes key political issue
- Socialism
  - Karl Marx
  - parties in Germany, Austria, France, 1880s
- women gain right to vote in many countries
III. Cultural Transformations

A. Emphasis on Consumption and Leisure
   Pleasure-seeking more acceptable

   Consumerism
   newspapers
   entertainment
   vacations

   Leisure a commodity
   team sports
   travel industry

B. Advances in Scientific Knowledge
   Rationalism

   Darwin
   evolution

   Einstein
   relativity

   Social Sciences
   science applied to human life
   Freud

C. New Directions in Artistic Expression
   Romanticism
   opposed to rationalism
   human emotion
   split between artists and scientists

IV. Western Settler Societies
   Industrialization makes west more powerful
   impact of improved transportation, communication

   American Civil War, 1861-1865
   spurs industrialization

A. European Settlements in Canada, Australia, and New Zealand
   Peopled by immigrants

   Follow European political, economic, cultural patterns
Canada
  federal system

Australia
  from 1788
gold rush, agricultural development
  federal system by 1900

New Zealand
  Maori defeated by 1860s
  agricultural economy

V. Diplomatic Tensions and World War I

Rise of Germany
  Bismarck
  unsettles balance of power

European global expansion
  Latin America independent
  Africa controlled by Europeans
  China, Middle East
  zones of European rivalry

A. The New Alliance System

  By 1907
  Triple Alliance: Germany, Austria-Hungary, Italy
  Triple Entente: Britain, Russia, France

Instability
  Russian revolution, 1905
  Austria-Hungary
    ethnic conflict
  Balkans
    free of Ottoman control
    divided by enmities

  1914, assassination of Austrian archduke

B. Diplomacy and Society

Instability in 1800s
  nationalism
  political division
  industrial pressures
Anti-Chinese Riots in America. The anti-Chinese riot in Milwaukee in 1889 was one of several occurring in the 1880s. Fears of white slavery led to burning and looting of Chinese stores, and most of those threatened departed as a result. The episode can be explained by an increasingly international setting, even for seemingly-domestic incidents. Chinese immigration, largely destined for railway work, was the first was Asians moving to the Americas. Many Americans were apprehensive about Chinese immigration, to the extent that it was eventually limited by the national government. Important internal developments in the West, such as the spreading out of settler societies, must be placed against a new international framework.

Chapter Summary. Western society was dominated by two themes: political upheaval, and the spread of Western institutions and values to settler societies. By 1914, monarchies had been overthrown and parliamentary democracy expanded. More individuals voted. European settler societies became important international players in an altered world balance of power. Western society experienced dramatic cultural changes. The transformation can be subdivided: from the late 18th century, a growing crisis caused a host of changes; experimentation with change occurred between 1775 and 1850; and from 1850 to 1914 a more mature stage was reached.

The Age of Revolution. A series of political revolutions began in 1775 with the American Revolution and continued with the deeply influential French Revolution of 1789, and later lesser revolutions.

Optimism Against All Odds. Progress of the Human Mind, written by the Marquis of Condorcet, was imbued with a belief in the perfectability of mankind. This in spite of the fact that its author was at the time in hiding from the leaders of the French Revolution. The age of revolution, beginning with the American and French Revolutions, was marked by both faith in change, and a longing to restore the past.

Forces of Change. Three forces were threatening Europe's calm by the mid-18th century. The first was cultural; Enlightenment thinking provided an ideological basis for change, while the previous accomplishments made in Western societies provided the essential foundations. Commercialization stirred the economy, with the resulting wealth and new production techniques affecting businessmen, artisans, and peasants. Finally, population soared in Western Europe. The capitalist system absorbed many, creating a propertyless class dependent upon wages. Significant social changes followed.

The American Revolution. American colonists after 1763 resisted British attempts to impose new taxes and trade controls and to restrict free westward movement. They argued against being taxed without representation. Younger men seeking new opportunities turned against the older colonial leadership. Revolution followed in 1775. British strategic mistakes and French assistance helped Americans to win independence. In 1789, they created a new constitutional structure based upon Enlightenment principles. The revolution, by extending male voting rights, created one of the world's most radical societies. Social change was more limited: slavery continued unaffected.
Crisis in France in 1789. In France, ideological fervor for change had been growing from the mid-18th century. Enlightenment thinkers called for limitations upon aristocratic and church power and for an increased voice for ordinary citizens. Middle-class people wanted a greater political role, while peasants desired freedom from landlord exactions. The government and ruling elite proved incapable of reform. Louis XVI called a meeting of the long-ignored traditional parliament, but lost control of events to middle-class representatives during 1789. The proclamation of the Declaration of the Rights of Man and the Citizen by the assembly, and the storming of the Bastille, were important events in the evolution of a new regime. After peasants acted on their own to redress grievances, the assembly abolished serfdom and established equality before the law. Aristocratic principles were undercut, and church privileges were attacked and its property seized. A parliament with male voting rights based on property limited royal authority.

The French Revolution: Radical and Authoritarian Phases. The initial reforms provoked aristocratic and church resistance, causing civil war in some regions. Foreign regimes opposed the new government. The pressures led to a takeover of the revolution by more radical groups. The monarchy was abolished and the king executed; internal enemies of the regime were purged during the Reign of Terror. The new rulers, led by Robespierre, wished to extend reforms, calling for universal male suffrage and broad social reform. The metric system was introduced and all citizens became subject to military service. The invaders of France were driven out and revolutionary fervor spread to other European nations. The radical leadership of the revolution fell in 1795 and more moderate government followed. The final phase of the revolution appeared when a leading general, Napoleon Bonaparte, converted the revolutionary republic into an authoritarian empire. Napoleon confirmed many of the revolution's accomplishments, including religious liberty and equality under the law for men. Napoleon concentrated on foreign expansion; France by 1812 dominated most of western Europe except for Britain. Popular resistance in Portugal and Spain, a disastrous invasion of Russia, and British intervention crushed Napoleon's empire by 1815. The ideals of the revolution—equality under the law, the attack on privileged institutions, popular nationalism—survived the defeat.

A Conservative Settlement and the Revolutionary Legacy. The victorious allies worked to restore a balance of power at the Congress of Vienna of 1815. France was not punished severely, although its border states were strengthened. Europe remained fairly stable for half a century, but internal peace was not secured. Although conservative victors attempted to repress revolutionary radicalism, new movements arose to challenge them. Liberals sought to limit state interference in individual life and to secure representation of propertied classes in government. Radicals wanted more and pushed for extended voting rights. Socialists attacked private property and capitalist exploitation. Nationalists, allied with the other groups, stressed national unity. New revolutions with varying results occurred in the 1820s and 1830s in Greece, Spain, Portugal, France, Italy, Germany, and Belgium. Britain and the United States were part of the process, but without revolution, as they extended male suffrage. Most of the revolutions secured increased guarantees of liberal rights and religious freedom.

Industrialization and the Revolutions of 1848. Industrialization stimulated revolutionary ferment. Other Western nations quickly followed British models. Lower-class groups began to turn to political action to compensate for industrial change. Britain moved peacefully, but in
other nations revolts occurred in 1848 and 1849 when governments proved unresponsive. A popular rising in France in 1848 overthrew the monarchy in favor of a brief democratic republic. Urban artisans pressed for social reform and women agitated for equal rights. The revolution spread to Germany, Austria, and Hungary. Adherents sought liberal constitutions, social reforms restricting industrialization, and the termination of serfdom. Also present were ethnic demands for unity or increased autonomy. The 1848-1849 revolutions generally failed as conservatives and middle-class groups protected their interests. An authoritarian empire emerged in France. Peasants alone secured their aims, making them very conservative henceforth. The general failure taught potential revolutionaries that gradual methods had to be followed. By 1850 a new class structure was in place. The old alliances producing revolutions had dissolved. Aristocrats declined in power as social structure became based on wealth. Middle-class property owners now were pitted against a working class.

**The Consolidation of the Industrial Order, 1850-1914.** Industrial development continued after 1850, bringing new social changes. Political unification came to Germany and Italy, and governments elsewhere developed new functions. The rise of socialism changed political conditions. Urban growth continued, but at a slower pace; in the cities the conditions of living ameliorated for all classes.

**Adjustments to Industrial Life.** Family life adjusted to the changes imposed by the industrial economy. Stable populations resulted from declining birth and death rates. Greater value was placed on childhood. Material conditions generally improved as individuals enjoyed better diets, housing, health, and leisure time. The development of corporations utilizing stockholder funds changed business life. Labor movements formed and provided strength for seeking better wages and working conditions. Peasant protests declined and rural isolation diminished. Peasants learned to use market conditions to improve their lives. They developed cooperatives, specialized in cash crops, and sent children to school to learn better techniques.

**Political Trends and the Rise of New Nations.** Western leaders worked to reduce the reasons for revolution after 1850. Liberals and Conservatives realized that cautious change was acceptable to their interests. British conservative Benjamin Disraeli granted the vote to working-class males in 1867. Camillo di Cavour in the Italian state of Piedmont supported industrialization and increased parliament's powers. Otto von Bismarck of Prussia extended the vote to all adult males. Conservatives used the force of nationalism to win support for the existing social order. In Britain and the United States, they won support by identifying with imperial causes. Cavour stimulated nationalist rebellion to unite most of the Italian peninsula under Piedmont. Bismarck fought wars in the 1860s and 1870s that led to German unity in 1871. Other nations also reduced key political issues. The American Civil War of the 1860s ended the dispute over regional rights and abolished slavery. France established a conservative republic based upon full adult male suffrage. Most Western nations by then had parliamentary systems in which basic liberties were protected and political parties contested peacefully for office.

**The Social Question and New Government Functions.** Government functions expanded after 1870. Civil service exams allowed individuals to win positions through their own talent. School systems generally became compulsive to the age of 12; literacy became almost universal. Wider welfare measures replaced or supplemented private agencies providing assistance for accidents,
illness, and old age. A realignment of the political spectrum occurred. Social issues became the key criteria for partisanship. The rise of socialism depended upon working class grievances and reflected Karl Marx’s theory that made socialism the final phase of historical development. Leaders in many countries translated his theories into political action. Socialists parties became major forces in Germany, Austria, and France by the 1880s. Some socialists—revisionists—became supporters of parliamentary democracy to achieve their goals. Feminist movements by 1900 also challenged the existing order, sometimes by violent action. Many Western countries extended the right to vote to women during the early decades of the 20th century.

**Cultural Transformations.** Western culture changed because of consumer emphasis and developments in science and the arts.

**Emphasis on Consumption and Leisure.** Higher wages and increased leisure time produced important alterations in popular culture. Many working-class males and females accepted middle-class values. The idea grew that pleasure was a legitimate part of life. The productive capacity of factories meant that consumption had to be encouraged. Product crazes occurred; the stimulated consumerism overcame older customs hindering pleasure seeking. Mass leisure culture emerged with popular newspapers, entertainment, and vacations. Leisure had become a commodity to be regularly enjoyed. The rise of disciplined team sports was one aspect of the change. All the popular interests demonstrated a growing secularism present in all aspects of life.

**Advances in Scientific Knowledge.** Science continued to gain ground, but many other intellectual movements attempted to explain reality. The size of the intellectual and artistic community expanded and found a growing market for its products. Most of the activity was secular. Western cultural activity had been built on rationalism, and the continuing advances in science kept the tradition alive. In biology, Darwin offered his evolutionary theory, and Einstein advanced the theory of physical relativity. The social sciences advanced as a means of gathering empirical knowledge concerning human affairs. Freud developed his theories of the workings of human unconsciousness.

**New Directions in Artistic Expression.** Rationalism was not the only intellectual current. Romanticism insisted that emotion and impression were the keys to understanding human experience. By 1900, the abandonment of conventional standards had expanded to painting, sculpture, and music. The split between romanticism and rationalism caused much debate; scientists were supporters of the industrial order, while artists followed experimental paths to finding the reality of modern life. At neither popular nor formal levels did Western culture produce a synthesis during the 19th century.

**Western Settler Societies.** The Industrial Revolution prompted a major expansion of the West's power. New markets for manufactured goods and new sources of raw materials were needed. Transportation and communication networks intensified the impact of the Western-led world economy. Industrialization also allowed Europeans and their superior weapons to build empires. Massive European immigration created overseas Western societies. The Civil War, 1861-1865, was the most important event in the U.S. in the 19th century. The conflict was the first modern war; industrially produced weapons caused extensive casualties. The Civil War
accelerated American industrialization and made the United States a major competitor of the leading industrial nations. New technology greatly elevated American agricultural production and exports. American cultural life was parochial, with little overseas influence.

**European Settlements in Canada, Australia, and New Zealand.** The three British colonies received many immigrants during the 19th century. They established parliamentary governments, vigorous commercial economies, and followed European cultural patterns. Canada, after continuing friction between British rulers and French inhabitants, formed a federal system with the majority of the French residing in Quebec. The Australian colonies developed after 1788 amidst an indigenous hunting-and-gathering population. Agricultural development and the discovery of gold spurred population growth and the economy. A federal system of government emerged by 1900. In New Zealand, missionaries and settlers moved into Maori lands. The Maori were defeated by the 1860s. General good relations followed, and New Zealand developed a strong agricultural economy and a parliamentary system. The three territories remained part of the British Empire and were dependent on its economy. Basic European cultural forms prevailed.

**In Depth: The United States in World History.** Should the United States be regarded as a separate civilization? American exceptionalists argue that contact with western Europe was incidental to the development of the United States on its own terms. They assert that the vast continent forced changes in the European inheritance. There were clear differences. The absence of a peasantry and the presence of the frontier into the 1890s negated some of the social ills besetting Europeans. Political life was more stable and revolved around a two-party system. Socialism did not become a significant force. Religion was important, but was not a political issue. Slavery and racist attitudes were ongoing problems. In world history terms, however, the United States clearly is a part of Western civilization, sharing its political thought, culture, family patterns, and economic organization.

**Diplomatic Tensions and World War I.** The power balance within Europe was altered by the rise of Germany. Bismarck realized this and created a complex alliance system to protect Germany. European nations expended their energies in an overseas expansion that by 1900, covered most of the globe. Latin America remained independent, but was under extensive United States interest. Most of Africa was divided among European nations. China and the Middle East were the scene of intense competition among the great powers. Imperial rivalries were a part of the tensions among Europeans. Britain worried about the growth of the German navy and Germany's surging economy. France, to escape diplomatic isolation, drew closer to Britain and Russia.

**The New Alliance System.** By 1907 the great powers were divided into two alliance systems. Germany, Austria-Hungary, and Italy were in the Triple Alliance; Britain, Russia, and France formed the Triple Entente. All powers built up military strength. Each system was dependent upon an unstable partner. Russia suffered from revolution in 1905; Austria-Hungary was plagued by ethnic nationality disputes. Both nations were involved in Balkan disputes. Balkan nations had won independence from the Ottomans during the 19th century, but hostility persisted among them, while nationalism threatened Austria-Hungary and its Slav population. Continuing
crises finally led to the assassination of an Austrian archduke by a Serbian nationalist. The response of the nations in the two European alliances resulted in World War I.

**Diplomacy and Society.** The West had long been characterized by political rivalries, and during the 19th century its nation-states system, free from serious challenge from other states, became unstable. Western society was strained by an industrialization that increased the destructive capacity of warfare. Political leaders, more worried about social protest among the masses, tried to distract them by diplomatic successes. Many among the masses, full of nationalistic pride, applauded such actions. The idea of violence appealed to the West's increasingly disciplined society.

**GLOBAL CONNECTIONS: Industrial Europe and the World.** Growing European power during the 19th century transformed the world. The European pattern became a controversial global model. Conservatives feared the resulting changes, but nationalists realized that emulation could be utilized to counter Europe's power. Western ideologies were used against colonial controls and economic exploitation.

**KEY TERMS**

**Population revolution:** huge growth in population in Western Europe beginning about 1730; prelude to industrialization.

**Protoindustrialization:** preliminary shift away from an agricultural economy; workers become full-or part-time producers who worked at home in a capitalist system in which materials, work, orders, and sales depended on urban merchants; prelude to the Industrial Revolution.

**American Revolution:** rebellion of the British American Atlantic seaboard colonies; ended with the formation of the independent United States.

**French Revolution:** overthrow of the Bourbon monarchy through a revolution beginning in 1789; created a republic and eventually ended with Napoleon's French empire; the source of many liberal movements and constitutions in Europe.

**Louis XVI:** Bourbon ruler of France who was executed during the radical phase of the French Revolution.

**Declaration of the Rights of Man and the Citizen:** adopted during the French Revolution; proclaimed the equality of French citizens; became a source document for later liberal movements.

**Guillotine:** introduced as a method of humane execution; utilized during the French Revolution against thousands of individuals, especially during the Reign of Terror.

**Maximilien Robespierre:** leader of the radical phase of the French Revolution; presided over the Reign of Terror; arrested and executed by moderate revolutionaries.
Napoleon Bonaparte: army officer who rose in rank during the wars of the French Revolution; ended the democratic phase of the revolution; became emperor; deposed and exiled in 1815.

Congress of Vienna: met in 1815 after the defeat of France to restore the European balance of power.

Liberalism: political ideology that flourished in 19th-century western Europe; stressed limited state interference in private life, representation of the people in government; urged importance of constitutional rule and parliaments.

Radicals: followers of a 19th-century western European political emphasis: advocated broader voting rights than liberals; urged reforms favoring the lower classes.

Socialism: political ideology in 19th-century Europe; attacked private property in the name of equality; wanted state control of the means of production and an end to the capitalistic exploitation of the working class.

Nationalism: European 19th-century viewpoint; often allied with other "isms"; urged the importance of national unity; valued a collective identity based on ethnic origins.

Greek revolution: rebellion of the Greeks against the Ottoman Empire in 1820; a key step in the disintegration of the Turkish Balkan empire.

French Revolution of 1830: second revolution against the Bourbon dynasty; a liberal movement which created a bourgeois government under a moderate monarchy.

Belgian Revolution of 1830: produced Belgian independence from the Dutch; established a constitutional monarchy.

Reform Bill of 1832: British legislation that extended the vote to most male members of the middle class.

James Watt: devised a steam engine in the 1770s that could be used for production in many industries; a key step in the Industrial Revolution.

Factory system: intensification of all of the processes of production at a single site during the Industrial Revolution; involved greater organization of labor and increased discipline.

French Revolution of 1848: overthrew the French monarchy established in 1830; briefly established the second French Republic.

Revolutions of 1848: the nationalist and liberal movements within the Habsburg Empire (Italy, Germany, Austria, Hungary); after temporary success they were suppressed.

Louis Pasteur: discoverer of germs and of the purifying process named after him.
Benjamin Disraeli: British politician; granted the vote to working-class males in 1867; an example of conservative politicians keeping stability through reform.

Camillo di Cavour: architect of Italian unification in 1858; created a constitutional Italian monarchy under the King of Piedmont.

Otto von Bismarck: conservative prime minister of Prussia; architect of German unification under the Prussian king in 1871; utilized liberal reforms to maintain stability.

American Civil War (1861-1865): fought to prevent secession of the southern states; the first war to incorporate the products and techniques of the Industrial Revolution; resulted in the abolition of slavery and the reunification of the United States.

Social question: issues relating to workers and women, in western Europe during the Industrial Revolution; became more critical than constitutional issues after 1870.

Karl Marx: German socialist who saw history as a class struggle between groups out of power and those controlling the means of production; preached the inevitability of social revolution and the creation of a proletarian dictatorship.

Revisionism: socialist thought that disagreed with Marx's formulation; believed that social and economic progress could be achieved through existing political institutions.

Feminist movements: sought legal and economic gains for women, among them equal access to professions and higher education; came to concentrate on the right to vote; won initial support from middle-class women.

Mass leisure culture: an aspect of the later Industrial Revolution; decreased time at work and offered opportunities for new forms of leisure time, such as vacation trips and team sports.

Charles Darwin: biologist who developed the theory of evolution of the species; argued that all living forms evolved through the successful ability to adapt in a struggle for survival.

Albert Einstein: formulated mathematical theories to explain the behavior of planetary motion and the movement of electrical particles; about 1900 issued the theory of relativity.

Sigmund Freud: Viennese physician who developed theories of the workings of the human unconscious; argued that behavior is determined by impulses.

Romanticism: 19th-century western European artistic and literary movement; held that emotion and impression, not reason, were the keys to the mysteries of human experience and nature; sought to portray passions, not calm reflection.

American exceptionalism: historical argument that the development of the United States was largely individualistic and that contact with Europe was incidental to American formation.
**Triple Alliance:** alliance between Germany, Austria-Hungary, and Italy at the end of the 19th century; part of the European balance of power system before World War I.

**Triple Entente:** agreement between Britain, Russia, and France in 1907; part of the European balance of power system before World War I.

**Balkan nationalism:** movements to create independent states and reunite ethnic groups in the Balkans; provoked crises within the European alliance system that ended with the outbreak of World War I.

**LECTURE SUGGESTIONS**

1. **Discuss the influence of the revolutions beginning in 1820 and extending through 1870 in reconstructing the map of Europe, and how the reconstruction affected the development of European diplomacy by 1907.** The revolutions created new states in Greece (1820), Belgium (1830), Italy (1870), and Germany (1871). The greatest impact was in eastern and central Europe, previously a region without strong national centralization. The emergence of the new states was accompanied by economic growth. Germany became an economic threat to Britain. Both Germany and Italy wished to participate in the scramble for world empire. Such economic and colonial competition upset previous power balances and led to two competing blocks, the Triple Alliance (Germany, Austria-Hungary, Italy) and Triple Entente (Britain, France, Russia).

2. **Discuss how the Industrial Revolution changed the social structure and political alignment of the West.** Before industrialization, Europe had a social order based on the peasantry and other workers, the aristocracy and those with political power, and the church. With industrialization the aristocracy and church remained, but with diminished power. Social status became based on wealth, and importance went to those associated with capital and the industrial economy. The political world reflected the change. Liberals sought to gain political power consistent with the economic power of the middle classes; they wanted limited, constitutional government. Radicals and socialists aimed at extending power to the working classes: both wanted an extension of voting rights, while socialists wanted control of the economy. All political groups were manipulated by conservative politicians, often through the use of nationalism. Bismarck, for example, offered political reforms in return for social stability and national power.

**CLASS DISCUSSION QUESTIONS**

1. Contrast and compare the causes of the American and French Revolutions.

2. What were the lasting reforms of the French Revolution?

3. What new political movements emerged in the aftermath of the French Revolution?

4. What changes led to industrialization?

5. What changes in social organization did industrialization cause?
6. How were industrialization and revolution linked?

7. How did government functions increase in response to the "social question"?

8. How did science and the arts diverge in the period after 1850?

THE INSTRUCTOR'S TOOL KIT

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CHAPTER 29
Industrialization and Imperialism: The Making of the European Global Order

I. The Shift to Land Empires in Asia

A. Prototype: The Dutch Advance on Java
   Dutch
   initially pay tribute to ruler of Mataram
   take part in political rivalry
   intervene in succession wars
   by 1750, dominate

B. Pivot of World Empire: The Rise of the British Rule in India
   British East India Company
   end of Mughal Empire
   Sepoys
   Indian troops trained in European-style fighting

   1757, Plassey
   Robert Clive defeats Bengal ruler
   British control Bengal

C. The Consolidation of British Rule
   Mughal decline gives British opportunity

   Presidencies
   capitals: Madras, Bombay, Calcutta

   Rest of India indirectly ruled

D. Early Colonial Society in India and Java
   Asian societies left in place
   Europeans a dominant class

   Males marry indigenous women

E. Social Reform in the Colonies
   British forced to take direct control
   1770s, famine in Bengal
   British East India Company
   accountable to British government
   Indians excluded from administration
Evangelical religion
social reform
end to slave trade
end to sati sought

Watershed
attempt to reshape colonial society

II. Industrial Rivalries and the Partition of the World, 1870-1914

A. Unequal Combat: Colonial Wars and the Apex of European Imperialism
Mass-produced weapons
machine gun

Railroads, steam ships

III. Patterns of Dominance: Continuity and Change
"Tropical dependencies"
Africa, Asia, South Pacific
Europeans rule indigenous peoples

Settler colonies
"White Dominions"
e.g. Canada, Australia
inhabitants mostly Europeans

Second type
e.g. Algeria, Kenya, Southern Rhodesia
large numbers of Europeans
large indigenous numbers
increase over time
increasing conflict

A. Colonial Regimes and Social Hierarchies in the Tropical Dependencies
Cultural influence
English language education
missionaries run schools

B. Changing Social Relations Between Colonizers and the Colonized
European communities grow
increasing segregation

Ideas of white supremacy
C. Shifts in Methods of Economic Extraction
Drive to increase production, lower costs
many colonies become dependent
Railways, roads built to serve extraction

D. Settler Colonies in South Africa and the Pacific
Relations varied
disease decimates in some cases
some native peoples westernized
some more resistant

E. South Africa
Afrikaners
enslave Khoikhoi

British rule
attempt to end slavery
Afrikaners resist
move inland: Great Trek
> conflict with Bantu
British more involved

Afrikaners form republics
discovery of diamonds and gold
Boer wars (1899-1902)

F. Pacific Tragedies

New Zealand
1790s, first Europeans
Alcoholism, prostitution spread
Maoris adopt firearms
changes warfare

1850s, change
British farmers, herders arrive
Maoris pushed into interior
adopt European culture

Hawaii
James Cook
Prince Kamehameha
westernization
1810, rules Hawaiian kingdom
disease devastates population

Shift
Asian workers
American settlers
push for annexation
weak rulers pushed out
1893, last ruler deposed
1898, annexed by United States

The Battle of Isandhlwana. In the early 1800s, Shaka Zulu had formed a kingdom in southern Africa, opposing the Boer forces and British imperial troops. The Zulu organization had helped them to overcome native rivals and outsiders alike. The British were defeated by Zulu troops at Isandhlwana in 1879. The victory was stunning because Europeans had so often and so easily bested African and Asian forces. Superior weaponry and the mass production made possible by industrialization had increased the gap between Europeans and those they conquered. The triumph at Isandhlwana was a passing exception to the pattern of overwhelming European victories around the world, and revenge for the defeat of the British was brutal and quick. The "scramble for Africa", also had its Asian and Middle Eastern counterparts. Rivalry among Europeans was a new and powerful driving force. New too was the use of direct rule over colonies, unlike the earlier colonial pattern of indirect control.

Chapter Summary. Western European industrialization fundamentally altered the nature of European overseas expansion. In previous times, Europeans sought desired material goods or moved against threats from external enemies. Industrialization brought new motives for expansion. Raw materials were needed to fuel industrial growth, and markets were required for its manufacturing production. Christian missionaries sought converts, but private initiative replaced state direction. Another change was that the increased power of the West made it fear European imperial rivalries more than indigenous opposition. Europeans had gained the capacity to push into and occupy territories once closed to them by disease or local resistance.

The Shift to Land Empires in Asia. The early European partition of the world occurred in haphazard fashion. The authorities in Europe were little interested in acquiring expensive and unstable distant possessions. But men on the spot were drawn into local struggles as they sought to advance or defend their interests. The slowness of communications allowed a great deal of freedom for those in the field. Their distant governments could do little to control their actions.

Prototype: The Dutch Advance on Java. The Dutch in Java initially were content to pay tribute as vassals to the ruler of Mataram. They worked to secure a monopoly over spices. During the 1670s, the Dutch were drawn into conflicts among rivals for the Mataram throne. Their support for the winner gave them territories around Batavia to administer. Thereafter the Dutch regularly intervened in succession wars in Mataram. They recruited armies among the
local population, forming disciplined forces that usually brought the Dutch victory. They continued to gain land, and, by the 1750s were paramount in Java.

**Pivot of World Empire: The Rise of the British Rule in India.** The British experience resembled the Dutch process in Java. Agents of the British East India Company were drawn into local wars as the Mughal Empire disintegrated during the 18th century. Following a pattern begun by the French, they relied on Indian troops (*sepoys*) trained in European military style. Successful intervention in disputes between Indians brought the British increasing territory. The rise of the British also owed much to their global rivalry with the French. Five major wars were fought during the 18th century. During the late 1740s, the British secured initial victories over the French and their Indian allies. The great victory of Robert Clive’s British and Indian troops over the army of the ruler of Bengal at Plassey in 1757 gave the British control of the rich Bengal region.

**The Consolidation of British Rule.** The British were involved in continuing hostilities following the victory at Plassey. The decline of the Mughal empire and Indian disunity contributed to British success. Three Presidencies, centered at Madras, Bombay, and Calcutta, directly governed the territories gained. Other regions were controlled through agents at Indian rulers' courts. By the beginning of the 19th century, India was becoming Britain's major colonial possession. It contained the empire’s largest colonized population. The willingness of Indians to serve in British-led armies contributed a powerful land force to the empire. Indian ports were vital to British sea power. During the 19th century India became the major outlet for British manufactured goods and overseas investment, as well as a major supplier of raw materials.

**Early Colonial Society in India and Java.** The Europeans at first were content to leave Asian social systems intact. They formed a new class on top of existing hierarchies. The previous rulers performed most of the daily administrative tasks. The Europeans had to accommodate themselves to indigenous culture in order to survive. They adopted local styles of dress, food, housing, work habits, and political symbols. Since most Europeans were males, they lived with and married indigenous women.

**Social Reform in the Colonies.** The British and Dutch were not interested in changing local social or cultural life until early in the 19th century. Rampant corruption among British East India Company officials in the 1770s, which contributed to a disastrous famine in Bengal, forced reform. The company was made more accountable to the British government. More sweeping reforms came during the 1790s; besides reducing corruption and the power of local British officials, they severely restricted Indian participation in the administration. At about the same time, forces building both in Britain and India caused major shifts in policy regarding social reform for subject peoples. The Evangelical religious revival worked to end the slave trade and Indian social abuses. Utilitarian philosophers advocated the introduction of British institutions and ideas along with the eradication of social abuses. Both groups were contemptuous of Indian learning and agreed that Western education in the English language was the key to reform. The ending of the ritual immolation (*sati*) of Hindu widows was a particular focus of reform. The reforms enacted were a watershed in global history. A broad range of the essential components
of Western culture were introduced into the Indian world. The British wanted to remake Indian society along Western lines.

**In Depth: Western Education and the Rise of an African and Asian Middle Class.** All European colonizers educated their subjects in Western-language schools. Although colonial rulers had differing ideologies, all needed subordinate personnel to administer their territories. The process had unintended consequences. Unified educational systems gave often disunited colonial peoples a common language and body of knowledge. The result was a middle class not present in pre-colonial societies. They became aware of common grievances, while becoming alienated from the traditional social structure of their homelands. They also reacted against the subordination and racism imposed by European rulers. Eventually they began striving to control their own destinies.

**Industrial Rivalries and the Partition of the World, 1870-1914.** The ongoing development of the Industrial Revolution increased Western military superiority over the rest of the world. By the end of the 19th century, Western nations were the virtually unchallenged masters of other civilizations. They extracted wealth from overseas possessions and diffused what they considered their superior cultural attributes. At the same time, increased European power augmented economic competition and political rivalries. Britain dominated overseas commerce and empire building during the first half of the 19th century; from then on Britain was challenged by Belgium, France, Germany, and the United States. Quarrels over colonial spoils contributed to the arms races and alliance formation that culminated in World War I.

**Unequal Combat: Colonial Wars and the Apex of European Imperialism.** By the close of the 19th century, Europeans were the leaders in the ability to make war. New, mass-produced weapons, especially the machine gun, rendered the massed charge suicidal. Railroads and steam ships gave Europeans greater mobility. Africans and Asians still fought fiercely against the imperialists, and a few won signal victories or long-delayed conquest. The Zulu, for example, defeated a British force at Isandhlwana in 1879. Religious leaders mustered magic potions and sought divine assistance against Europeans, but conventional warfare almost always resulted in indigenous defeat. Guerrilla tactics, as in Vietnam, prolonged, but did not defeat, the European advance.

**Patterns of Dominance: Continuity and Change.** The European colonial world had two rough divisions. In African, Asian, and South Pacific “tropical dependencies,” a few Europeans ruled many indigenous peoples. In the other division–settler colonies–two paths of development emerged. The "White Dominions," such as Canada and Australia, were inhabited mostly by Europeans and their descendants; indigenous peoples were few. Argentina, Chile, and parts of the United States had similar population structures. The second style, where large European populations lived among even more numerous indigenous peoples, combined characteristics of both settler colonies and tropical dependencies. They included Southern Rhodesia, Algeria, New Zealand, Kenya, and Hawaii. The European and indigenous peoples continuously clashed over control of local resources and questions of social or cultural difference.
Colonial Regimes and Social Hierarchies in the Tropical Dependencies. Europeans drew heavily on past precedents for ruling their millions of subjects. They exploited ethnic and cultural divisions; administrators made the differences more formal by dividing peoples into "tribes." Minorities, especially Christians, were favored in colonial recruiting. A small number of Europeans, usually living in urban centers, directed administrations. Indigenous officials—some of the highest ranks were Western educated—worked at local levels. Western-language education in Java and India was state-supported; in Africa, Christian missionaries often ran the schools. European racial prejudices blocked higher education for most Africans and greatly stunted the growth of a middle class in Africa. Asians had more opportunities, but officials there feared the impact of such education and often denied graduates appropriate positions.

Changing Social Relations Between Colonizers and the Colonized. The growing size and changing makeup of European communities in the colonies were critical factors in the growth of tensions between rulers and the ruled. Europeans increasingly lived in segregated quarters with their families. Relations with indigenous women were not favored. European missionaries strengthened the opposition to interracial contacts. The process was assisted by the peaking of notions of white racial supremacy in the decades before 1914. Non-Europeans were regarded as permanently inferior.

Shifts in Methods of Economic Extraction. By the late 19th century, colonial administrators attempted to introduce scientific agricultural techniques and to make their subjects work harder and more efficiently to produce cheaper and more abundant raw materials. Among the incentives employed were the introduction of cheap consumer goods, increased taxation, and harsh forced labor. The economies of most colonies were reduced to dependence on industrialized European nations. Railways and roads were built to facilitate export of raw materials. Mining sectors grew dramatically and vast regions were given over to export crops rather than food for local consumption. The profits went mainly to European merchants and industrialists. Raw materials went to Europe to be made into products for European consumers. Indigenous workers gained little or no reward.

Settler Colonies in South Africa and the Pacific. Relations between indigenous peoples and Europeans in settler colonies, depending upon the numbers involved, varied widely. In the earlier colonies—Canada, Argentina, the United States, Chile—disease and conquest devastated sparse indigenous populations. Some, along with the later-settled Australia, became an integral part of Western society. 19th-century settler colonies, in Africa and the Pacific islands, possessed larger indigenous populations either resistant, or able to develop resistance, to European diseases. Enduring conflict resulted.

South Africa. The Dutch in Africa did not move far inland for decades. Afrikaners eventually moved into thinly populated, temperate regions. They enslaved and interbred with the Khoikhoi. When the British took control of South Africa, the culturally different Afrikaners resisted efforts to end slavery. The frictions caused many Afrikaners to move inland to regions occupied by Bantu peoples. The struggles between the two produced regional instability that led to British involvement. The Afrikaners formed two interior republics during the 1850s and remained independent until the discovery of diamonds (1867) and gold (1885) renewed tensions that
culminated with Afrikaner defeat in 1902. Subsequent British policy placed the majority of the African population under Afrikaner control.

**Pacific Tragedies.** The coming of colonial rule in the South Pacific resulted in demographic disaster and social disruption. The local population lacked immunities to European diseases and their cultures proved vulnerable to cultural disruption from European goods and values. The continued survival of the peoples of Hawaii and New Zealand was in doubt.

**New Zealand.** The first Europeans—timber merchants and whalers—settled among the Maori during the 1790s. Alcoholism and prostitution spread. The Maoris suffered from the effects of firearms used in their endemic warfare and the devastating impact of European diseases. The Maoris survived and began to adjust to the impact of the foreigners. They followed European-style farming and cut timber for export. Many converted to Christianity. A new contact period commenced in the early 1850s, when British farmers and herders arrived. They occupied fertile regions and drove the Maoris into the interior. The latter faced extinction, but instead learned to use the European legal, political, and educational systems to rebuild their culture. A multiracial society evolved that allowed mutual accommodation of cultures.

**Hawaii.** The islands were opened to the West during the 1770s. James Cook and later arrivals convinced Hawaiian Prince Kamehameha to accept Western influences and create a unified state. With British help, he won a kingdom by 1810. Kamehameha encouraged Western merchants to export Hawaiian goods in return for increasing royal revenues. Hawaiian royalty began imitating Western ways; women rulers abandoned taboos subordinating women to men. Protestant American Christians won many converts; they changed indigenous customs and established a school system. Westerners introduced diseases that decimated the population, while they exploited the economy by establishing a plantation sugar system. The monarchy encouraged Western businesses and imposed Western concepts for landholding so that property once shared between commoners and aristocrats went to the Hawaiian elite and Westerners. Important population change occurred when American settlers and Asian workers arrived. American planters took advantage of weak rulers after 1872 to press for annexation; the last ruler was deposed in 1893, and Hawaii passed to the United States in 1898.

**GLOBAL CONNECTIONS: A European-Dominated World Order.** Western industrial powers by the end of the 19th century had colonized most of Africa and Asia. Other regions were controlled indirectly. Europeans built an economic global order centered on their industrialized societies. The attitudes of the intolerant rulers to non-European peoples caused persisting opposition. Western-educated nationalists integrated strands from their own and Western culture to prepare the way for future resistance to foreign rule.

**KEY TERMS**

**Kingdom of Mataram:** controlled most of interior Java in the 17th century; weakness of the state after the 1670s allowed the Dutch to expand their control over all of Java.

**Sepoys:** Indian troops, trained in European style, serving the French and British.
**Raj:** the British political establishment in India.

**Plassey (1757):** battle between the troops of the British East India Company and the Indian ruler of Bengal; British victory gave them control of northeast India.

**Robert Clive:** architect of British victory at Plassey; established foundations of the Raj in northern India.

**Presidencies:** three districts that comprised the bulk of British-ruled territories in India during the early 19th century; capitals at Calcutta, Madras, and Bombay.

**Princely States:** ruled by Indian princes allied with the Raj; agents of the East India Company were stationed at their courts to ensure loyalty.

**Nabobs:** name given to British who went to India to make fortunes through graft and exploitation; returned to Britain to live richly.

**Charles Cornwallis:** British official who reformed East India Company corruption during the 1790s.

**Isandhlwana (1879):** Zulu defeat of a British army; one of the few indigenous victories over 19th-century European armies.

**Tropical dependencies:** Western European possessions in Africa, Asia, and the South Pacific where small numbers of Europeans ruled large indigenous populations.

**White Dominions:** a type of settlement colony—as in North America and Australia—where European settlers made up the majority of the population.

**Settler colonies:** colonies—as South Africa, New Zealand, Algeria, Kenya, and Hawaii—where minority European populations lived among majority indigenous peoples.

**White racial supremacy:** belief in the inherent superiority of whites over the rest of humanity; peaked in the period before World War I.

**Great Trek:** migration into the South African interior of thousands of Afrikaners seeking to escape British control.

**Boer republics:** independent states—the Orange Free State and Transvaal—established during the 1850s in the South African interior by Afrikaners.

**Cecil Rhodes:** British entrepreneur in South Africa; manipulated the political situation to gain entry to the diamonds and gold discovered in the Boer republics.

**Boer War (1899-1902):** fought between the British and Afrikaners; British victory and post-war policies left Africans under Afrikaner control.
James Cook: his voyages to Hawaii from 1777 to 1779 opened the islands to the West.

Kamehameha: Hawaiian prince; with British backing he created a unified kingdom by 1810; promoted the entry of Western ideas in commerce and social relations.

LECTURE SUGGESTIONS

1. Compare European imperialism in the initial period after 1450 to the colonial movement between 1750 and 1914. In the early period, with the exception of the Americas, European imperialism was limited to cooperation with local rulers and entry into already established trade systems in Africa and Asia. Slavery and plantation products were important components of the trade. Asian commerce focused on importation of luxuries. Europe had a negative balance of trade with nations such as China because Western products were not valued. The West was not able to enforce its will through force of arms and missionary efforts had limited impact. The later colonialism accompanied Western industrialization and gave the West overwhelming military superiority. The Europeans shifted from importing luxuries and slaves to raw materials; their colonies became important markets for their manufactured goods. Political units dominated by Europeans were created. Missionaries were much more influential. Many more Europeans lived abroad and they had a feeling of racial superiority.

2. Discuss 19th-century imperialism by contrasting the viewpoints of an imperialist and a member of a colonized society. Among the many issues that can be discussed here are racism, sexism, Western cultural and religious imposition, economic exploitation, and indigenous reactions to all Western intrusions. [This is a discussion question; there are many conflicting answers.]

CLASS DISCUSSION QUESTIONS

1. Contrast the motives for imperialism in the preindustrial era with those of the industrial era.

2. In what way did the Dutch control of Java provide a model for pre-19th-century imperial advance?

3. Contrast European social interaction with indigenous peoples before and after 1850.

4. What were the motives behind the global scramble for colonies?

5. Compare and contrast "tropical dependencies," "White Dominions," and "settler colonies."

6. How did 19th-century European imperialists transform their methods of economic extraction?

7. In what ways were European colonial systems vulnerable?
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CHAPTER 30
The Consolidation of Latin America, 1830-1920

I. From Colonies to Nations

A. Causes of Political Change
   American Revolution
      model

   French Revolution
      ideology
      too radical

   Toussaint L'Overture
      1791 slave revolt
      Republic of Haiti, 1804

   French invasion of Spain

B. Spanish-American Independence Struggles
   Mexico
      Miguel de Hidalgo
      1810, alliance with Indians and mestizos
      Augustín de Iturbide
      1824, collapse of new state

   Simon Bolívar
      Creole
      independence movement, 1810
      1817-1822, victories
      Gran Colombia
      Venezuela, Colombia, Ecuador
      1830, split

   José de San Martín
      Rio de la Plata
      Buenos Aires, autonomous, 1810
      1816, United Provinces of Rio de la Plata
      1813, Paraguay splits

      1825, all Spanish colonies independent

C. Brazilian Independence
   1807, French invasion of Portugal
      royal family, elite, to Brazil
      Rio de Janeiro, capital
Kig João VI of Portugal
    in Brazil until 1820
    Pedro left in Brazil as regent

1822, Pedro declares Brazil independent
    Pedro I

II. New Nations Confront Old and New Problems
    Enlightenment ideals
        role of Catholic church?
        equality
            slavery
            Indians, mestizos
        franchise

A. Political Fragmentation

B. Caudillos, Politics, and the Church
    *Caudillos*
        local rulers
        sometimes ally with Indians, peasants

    Centralists
        strong governments

    Federalists
        regional authorities

    Liberals
        individual rights
        federalist

    Conservatives
        centralized state

    Role of church?
        civil role?

    Some stability
        Chile
            reforms, 1833

        Brazilian monarchy
III. Latin American Economies and World Markets, 1820-1870

Britain, U.S. support independence
in exchange for economic power

Dependency on foreign consumers

A. Mid-Century Stagnation
1820-1850

After 1850
European market creates demand

Church, conservatives slow change
landowners, peasants ally in opposition

B. Economic Resurgence and Liberal Politics
Liberals in power, late 1800s
Auguste Comte, positivism

C. Mexico: Instability and Foreign Intervention
1824, Mexican Constitution

Conservative centralists v. liberal federalists

Reforms attempted, 1830s
opposed by Antonio López de Santa Anna
caudillo

War with U.S.
Benito Juárez
Zapotec Indian
liberal revolt, 1854
new constitution, 1857
privileges of army and church diminished
lands sold to individuals

French in to assist conservatives
Maximilian von Habsburg
1867, French withdraw
Maximilian executed

Juárez in office to 1872
D. Argentina: The Port and the Nation

United Provinces of the Rio de la Plata, 1816
liberals v. federalists
Juan Manuel de Rosas, 1831
federalist
overthrown, 1852
reunification, 1862-1890
Domingo F. Sarmiento

E. The Brazilian Empire

Pedro I
1824, liberal constitution
abdicates, 1831

Pedro II
regency, 1831-1840

Economic prosperity
coffee export
slavery intensified
infrastructure improved

Abolition
achieved, 1888

Republican Party
formed, 1871
coup, 1889
republic founded

IV. Societies in Search of Themselve

A. Cultural Expression After Independence

Elite follow Europe
1930s, Romanticism

1870s
realism
positivism

Mass culture unchanged

B. Old Patterns of Gender, Class, and Race
Little change
C. The Great Boom, 1880-1920
   European demand
   exports
   foreign investors
   Germany, U.S., Britain

D. Mexico and Argentina: Examples of Economic Transformation
   Porfirio Díaz
   1876, president
   foreign capital used for infrastructure
   revolt suppressed
   1910-1920, Civil War
   electoral reform

   Argentina
   meat exports
   immigration
   distinct culture
   1890s
   socialist party forms
   strikes from 1910

   Radical Party
   middle class
   1916, in power

E. Uncle Sam Goes South
   Spanish-American War, 1898

   Cuba
   American investment

   Puerto Rico annexed

   Columbia
   U.S. backs revolution

Archduke Maximilian and Benito Juárez. The assassination of Archduke Maximilian by a
Mexican firing squad ended colonial rule in Mexico. The French emperor Napoléon III had
placed Maximilian and his wife Carlota on the imperial throne of Mexico in 1864. In spite of the
imperial couple's desire to bring reform to their adopted country, they were seen as foreign
interlopers. Respectively, Juárez and Maximilian, represented native Mexican culture and
European aristocracy, as well as possible paths of Latin American development. The liberal
ideals that had shaken Europe swept through the former Iberian colonies in the late 18th century.
The spread of these ideas added new questions about the future of the former colonies, and the
role of the former colonial powers. Most Latin American leaders in the 1800s shared the Enlightenment faith in the possibilities of reform, representational and constitutional governments, and property rights. Unlike their northern neighbors, however, the new polities of Central and South America had little colonial experience of representation or self-government. Moreover, their emergence in the climate of European industrial capitalism placed them at a disadvantage.

**Chapter Summary.** Most Latin American nations gained independence from colonial control early in the 19th century. The political culture of their leaders had been shaped by the Enlightenment, but they faced problems growing from their own history. Their colonial heritage did not include participatory government; highly centralized states had created both patterns of dependence and resentment. Class and regional interests divided nations; wealth was unevenly distributed. The rise of European industrial capitalism placed Latin American nations in a dependent economic position.

**From Colonies to Nations.** By the late 18th century, Creole elites were questioning the necessity of remaining colonial subjects. The mass of the population resented government policies. Early attempts at revolution failed because the elites feared to unloose the power of those under them. Revolutions occurred when European events stimulated local actions.

**Causes of Political Change.** Four external events had a major impact on Latin American political thought. The American Revolution provided a model for colonial rebellion. The French Revolution offered revolutionary ideology, but it was rejected by elites as too radical politically and socially. The slave rebellion in the French island of St. Domingue led by Toussaint L'Overture in 1791 ended in 1804 with the creation of the independent republic of Haiti. The success of the slaves frightened colonial elites and made them even more cautious about social change. The final and precipitating factor was the confused political situation in Spain and Portugal caused by French invasion, occupation, and resistance. In Spain, the French deposed the king in favor of Napoleon's brother, but then faced prolonged civil war. Latin American Creoles declared loyalty to the Spanish ruler, but, despite loyalist opposition, began to rule the colonies themselves.

**Spanish-American Independence Struggles.** In Mexico, a Creole conspiracy caused Miguel de Hidalgo to appeal in 1810 to Indians and mestizos for support. After early victories, Hidalgo lost Creole support and was executed. The revolution continued and conservative Creoles under Augustín de Iturbide won independence. The new state, a monarchy based upon Creole dominance, collapsed in 1824. Mexico became a republic and Central America, until then part of the empire, divided into independent nations. In northern South America, an independence movement led by a Creole officer, Simon Bolívar, appeared in Caracas in 1810. Between 1817 and 1822 he won victories in Venezuela, Colombia, and Ecuador. The three countries were united as Gran Colombia until political differences in 1830 caused separation. In southern South America, rebellion began in Rio de la Plata under the leadership of José de San Martín. Buenos Aires opted for autonomy in 1810. In 1816 the independence of a United Provinces of Rio de la Plata was proclaimed. Paraguay separated from it in 1813. The remaining Spanish territories fell to San Martín's forces; by 1825 all of Spanish America had won political independence. Efforts at unity failed and republics with representative governments emerged.
**Brazilian Independence.** By the end of the 18th century, Brazil was Portugal’s most important colonial possession. The presence of a large slave population tempered the elite’s thoughts of independence. The French invasion of Portugal in 1807 led the royal family and many of the nobility to flee to Brazil. Rio de Janeiro became the real capital of the Portuguese Empire. Brazil's ports were opened to world commerce because of pressure from Britain, Portugal's powerful war-time ally. King João VI remained in Brazil until 1820. The presence of the court made Rio de Janeiro into a great capital city. When João VI returned to Portugal to deal with a liberal revolution, he left his son Pedro as regent. When it became clear that Brazil was to return to colonial status, Pedro declared its independence in 1822 and became the constitutional emperor, Pedro I. Independent Brazil maintained the existing social order based on slavery.

**New Nations Confront Old and New Problems.** Many of the leaders of Latin American independence shared political and economic ideals of Enlightenment. There was less agreement about the role of the Catholic church as the exclusive state religion. Some leaders had egalitarian beliefs. Slavery was abolished in all the former Spanish colonies by 1854. Better treatment of Indians and mestizos was blocked by the elite's fears of losing tax revenue and control. Property and literacy qualifications limited voting; women remained subordinate to men.

**Political Fragmentation.** Early efforts for political unity quickly failed because of regional rivalries and internal frictions. The great size of the Spanish colonial world and its poor transportation systems gave the eighteen new nations a local focus. The mass of their peoples continued outside of the political process.

**Caudillos, Politics, and the Church.** The new nations suffered from the warfare ending in independence. Armies loyal to their leaders led to the rise of caudillos, men who controlled local areas. They intervened in national politics to make and unmake governments. At times, the caudillos defended the interests of regional elites, or of Indians and peasants. In general, they disregarded representative forms and the rule of law. There were many differences among leaders about the forms of republican government. Centralists wanted strong governments with broad powers while federalists favored awarding authority to regional governments. Liberals, influenced by the French and United States models, stressed individual rights, opposed the corporate structure of colonial society, and favored a federalist government. Conservatives wanted a centralized state and wished to maintain a society where corporate groups ruled social action. The role of the church became a critical political issue. Liberals sought to limit its civil role, but met strong opposition from conservatives and the papacy. The political parties that formed, whether liberal or conservative, were led by land-owning and urban bourgeoisie individuals who shared basic class loyalties. The rest of the population was not concerned with political ideology. The result was enduring political instability, with rapid turnovers of rulers and constitutions. Only a few nations had general stability: Chile after the reforms of its system in 1833, and the Brazilian monarchy. For most of Latin America, the basic questions of government and society remained unresolved.
Latin American Economies and World Markets, 1820-1870. After the defeat of Napoleon, any plans for ending Latin American independence were thwarted by the opposition of Britain and the United States. The price for British support was freedom of trade. Britain replaced Spain as a dominant economic force in a type of neocolonial commercial system. It became a major consumer of Latin American products and sold its manufactured goods to the new nations. The free entry and export of goods benefited port cities and landowners, but it damaged regional industries producing for internal markets. The resulting dependency on foreign markets reinforced the old order, which made land the basis of wealth and prestige.

Mid-Century Stagnation. The Latin American economy was stagnant between 1820 and 1850. The mining sector had suffered from the independence wars, transportation and port facilities remained underdeveloped, and investment capital was lacking. The situation changed after 1850 when European market expansion created demand for local products. The export of coffee, hides, beef, minerals, grains, and guano brought revenues to governments, urban growth, and transportation improvements. Liberal reformers during the 1820s and 1830s attempted to break colonial patterns and follow European trends. Latin American societies were not ready for many of the reforms. The conservative weight of the church, landowners, and army remained potent, and from the 1840s they were again in power, and halted or hindered reform. An alliance between landowners and peasantry emerged to oppose change.

Economic Resurgence and Liberal Politics. Liberals returned to power during the last quarter of the 19th century. They based their policies on the positivism of Auguste Comte, stressing a scientific approach to social problems. The shift was caused by changes in the nature of the Industrial Revolution and the age of imperialism. Latin American economies expanded rapidly after 1850 and the population doubled. There were new demands for Latin American products, and foreign entrepreneurs and bankers joined liberals, landowners, and merchants to tie Latin America to the capitalist expansion of the Western economy. The new political leaders were inspired by the example of western Europe and the United States, but their distrust of their mass populations prevented the success of many efforts. Economic growth often occurred at the expense of the peasantry; landowners and governments expropriated land and developed forms of tenancy, peonage, and disguised servitude.

Mexico: Instability and Foreign Intervention. The 1824 Mexican constitution was a federalist document that established a republic and guaranteed basic civil rights. But it did not address the serious issues of inequitable distribution of land, the status of Indians, the problems of education, or the poverty of most of the population. Conservative centralists opposed liberal federalists; foreign commercial agents added complications. Liberals during the early 1830s tried sweeping reforms, but they fell before a conservative reaction led by Antonio López de Santa Anna. He was a typical caudillo, and the defects of the regime drew foreign intervention by Spain and France. War with the United States ended in Mexican defeat and the loss of about one-half of its territory. The war left a bitter distrust of the United States and caused a serious loss of Mexican economic potential. Politicians were stimulated to confront their nation's internal problems, which had contributed to defeat. Indian lawyer Benito Juárez led a liberal revolt in 1854 and inaugurated a new constitution in 1857. Military and church privileges were curtailed and church and Indian communal lands were sold to individuals. Speculators, however, bought the land and left peasants and Indians poorer than previously. Conservative reaction led to civil war
and the summoning of French assistance. The French placed Maximilian von Habsburg on the throne, but Juárez refused to accept the foreign ruler. When the French withdrew in 1867, Maximilian was captured and executed. Juárez regained office to lead an autocratic regime until his death in 1872. By 1880, Mexico was about to enter a period of strong central government and political stability.

**Argentina: The Port and the Nation.** The economy of Argentina was divided between the commercial port of Buenos Aires and the *pampas* of the surrounding territories. The United Provinces of the Rio de la Plata declared independence in 1816, but did not stay together long. Liberal efforts to create a strong central government provoked a federalist reaction, which gained power in 1831 under Juan Manuel de Rosas. A weak central government and local autonomy followed that favored the merchants of Buenos Aires and the surrounding ranchers. Campaigns against Indians opened new lands in the South. Rosas ruled in a populist, authoritarian manner and exiled the opponents. Liberals and regional caudillos joined to overthrow Rosas in 1852. After a confused decade of political turmoil, opponents compromised to create a unified republic. Between 1862 and 1890, Domingo F. Sarmiento and other able leaders initiated wide political and economic reforms. Political stability brought foreign investment; a great boost in exports brought prosperity. The population tripled as many European immigrants came to take advantage of the good times. Increased revenues allowed infrastructure development. National unity and pride grew after a successful war against Paraguay and the defeat of the southern Indians.

**The Brazilian Empire.** Many problems were present behind Brazil's facade of 19th-century political stability. Pedro I issued a liberal constitution in 1824, but still acted as an autocrat. He was forced to abdicate in 1831; regents then ran the country in the name of his young son Pedro II—he came to power in 1840—in what really was an experiment in republican government. Internal disputes between liberals and conservatives were complicated by arguments for and against the monarchy. Provinces opposed centralized rule, and many unsuccessful regional revolts ensued. The development of coffee as an export crop brought economic resurgence. There was an intensification of slavery until 1850. Prosperity continued after 1850 along with political tranquility. The communication and transport systems improved; foreign investment increased. New political currents included the growth of urban and middle-class groups less tied to landholding and slavery, and the arrival of thousands of European immigrants who reduced dependence on slaves. The abolitionist movement gained strength, and slaves increased their resistance to their status. Slavery was abolished in 1888. Support for the monarchy waned. A long war against Paraguay brought the military into politics, and state quarrels with the church drew them into the opposition. Planters turned away from slavery to positivist ideas. The Republican Party, formed in 1871, won wide support, and a coup replaced the monarchy by a republic in 1889. Social and political problems caused by modernization remained unresolved.

**Societies in Search of Themselves.** Tension remained in cultural life between European and American influences, and between elite and folk ways. Social change for the masses and for women came slowly.

**Cultural Expression After Independence.** Independence opened up Latin America to direct influence from other European nations. The elite followed Europe's examples in intellectual and
artistic life. In the 1830s, Romanticism became important and turned interest to Indians and local customs. By the 1870s, the focus changed; a new realism came to the arts and literature along with the ideas of Positivism. Mass culture was not affected by elite trends; traditional forms flourished, but were ignored by most of the elite.

**Old Patterns of Gender, Class, and Race.** Women, despite participation in the revolutions, gained little ground during the 19th century. They continued as wives and mothers under the authority of males; they could not vote or hold office. Lower-class women had more economic and personal freedom, but otherwise shared in subordination. Public education did become more open to women to prepare them for more enlightened roles in the home. New occupational opportunities opened for women in teaching. Educated women, by the end of the century, actively demanded increased rights. Most of the new nations legally ended the society of castes where status depended upon color and ethnicity. In reality, very little changed for Indians and former slaves. The expansion of the export economy in many ways intensified old patterns. Personal liberties were sacrificed to economic growth. Control of land, politics, and the economy was dominated by a small, white, Creole elite. Latin America entered the 1880s as a predominantly agrarian group of nations with rigid social structures, dependent on the world market.

**In Depth: Explaining Underdevelopment.** Latin America, because of its early independence and entry into the world economy, provides a useful example for study of the problems faced by underdeveloped nations. Their experience grew from the influences of the Hispanic cultural heritage. When independence came, the adopted European models of economy, law, and government failed to bring either prosperity or social harmony. In the search for alternative policies, some condemned the Hispanic legacy; others turned to Marxism. Latin Americans often compared their experiences with those of the United States. Answers for the questions increasingly were sought in analyses of a world economic and political system. They turned to modernization theory, a following of the path taken in western Europe. Refinements of the theories led to an acceptance of dependency theory that envisaged development and underdevelopment as part of the same process. The process of theorizing continues.

**The Great Boom, 1880-1920.** Increasing demand in industrializing Europe stimulated Latin American economic growth. Liberal ideology—individual freedom, open markets, limited government intervention in the economy—prepared the way for expansion. The ideology was adopted by the small urban middle class, landholders, miners, and export merchants. These groups forged political alliances to direct governments in their favor at the expense of the peasants and working class. Export products fueled the expansion and provided resources for imports of foreign manufactures and local development projects. It was always a risky business since market prices were dependent on outside conditions. Wars occurred over control of desired resources. The developing commerce drew the interest of foreign investors. Germany and the United States joined Britain as major participants. The capital brought in was useful, but it placed key industries under foreign control, and it influenced the internal and external policies of governments.

**Mexico and Argentina: Examples of Economic Transformation.** In Mexico in 1876 Porfirio Diaz was elected president; he dominated politics for 35 years. Diaz imposed a strong central
government and utilized foreign capital for internal infrastructure development and industrialization. His administration subverted liberal democratic principles to preserve power and continue modernization. Opposition was suppressed, and growth occurred at the expense of the peasantry and working class. When strikes and unrest increased, a national police force and the army kept order. Regional political bosses rigged elections in support of the regime. By 1910, a middle-class reform movement emerged and sought electoral reform. Other opposition groups joined it and a bloody ten-year civil war followed. In Argentina another path of economic expansion was followed. Buenos Aires and the rest of the nation worked together after 1880 to bring expansion and stability. Technological change—especially refrigerated ships for exporting meat—helped the process; labor came from a flood of immigrants. By 1914 one-third of the population was foreign-born. They fused their various European identities into a distinct culture. Workers wanted political expression, and in the 1890s a socialist party formed. Strikes and government repression marked the decade after 1910. The Argentinean oligarchy attempted some reforms. A party representing the emerging middle class, the Radical Party, took shape. Aided by the reforms of an electoral law of 1912, it came to power in 1916. When it met labor unrest, the party was as repressive as its predecessors. Similar patterns occurred in the economic and political life of the rest of Latin America. Ruling oligarchies of the traditional aristocracies, allied with the middle classes, faced rising labor and rural unrest and rebellion.

**Uncle Sam Goes South.** American political and economic interest in Latin America grew after the Civil War. The Spanish-American War of 1898 brought the United States directly into Latin American affairs. American investment in Cuba predated the war; following it, the door was open for direct involvement in the Caribbean. Cuba became an American economic dependency and Puerto Rico was annexed. When Colombia was reluctant to meet American proposals for building the Panama Canal, the United States backed a revolution in Panama and gained exclusive rights over the canal. Latin Americans as a consequence became very suspicious of the expansionist United States.

**GLOBAL CONNECTIONS: New Latin American Nations and the World.** Despite all of the economic, social, and political changes occurring in Latin America after independence, its countries remained remarkably unchanged. Revolutions and reforms changed little. The elite held on to control of economic resources; the urban sector was weak and often accommodated the elite. Most of the population worked the land without hope of improvement. Latin America, the first non-Western area to face the problems of decolonization, possessed a distinct civilization sharing much of the Western tradition, but in economics, it functioned more like regions in Asia and Africa.

**KEY TERMS**

**Toussaint L'Overture:** leader of the slave rebellion on the French island of St. Domingue in 1791; led to the creation of the independent republic of Haiti in 1804.

**Miguel de Hidalgo:** Mexican priest who established an independence movement among Indians and mestizos in 1810; after early victories he was captured and executed.
Augustín de Iturbide: conservative Creole officer in the Mexican army who joined the independence movement; made emperor in 1821.

Simon Bolívar: Creole military officer in northern South America; won victories in Venezuela, Colombia, and Ecuador between 1817 and 1822 that led to the independent state of Gran Colombia.

Gran Colombia: existed as an independent state until 1830 when Colombia, Venezuela, and Ecuador became separate independent nations.

José de San Martín: leader of movements in Rio de la Plata that led to the independence of the United Provinces of the Rio de la Plata by 1816; later led independence movements in Chile and Peru.

João VI: Portuguese monarch who fled the French to establish his court in Brazil from 1808 to 1820; Rio de Janeiro became the real capital of the Portuguese Empire.

Pedro I: son and successor of João VI in Brazil; aided in the declaration of Brazilian independence in 1822 and became constitutional emperor.

Andrés Santa Cruz: mestizo general, would-be leader of a united Peru and Bolivia; the union never took place.

Caudillos: leaders in independent Latin America who dominated local areas by force in defiance of national policies; sometimes seized the national government.

Centralists: Latin American politicians who favored strong, centralized national governments with broad powers; often supported by conservative politicians.

Federalists: Latin American politicians who favored regional governments rather than centralized administrations; often supported by liberal politicians.

Monroe Doctrine: United States declaration of 1823 that any attempt by a European country to colonize the Americas would be considered an unfriendly act.

Guano: bird droppings utilized as fertilizer; a major Peruvian export between 1850 and 1880.

Positivism: a philosophy based on the ideas of Auguste Comte; stressed observation and scientific approaches to the problems of society.

Antonio López de Santa Anna: Mexican general who seized power after the collapse of the Mexican republic in 1835.

Manifest Destiny: belief in the United States that it was destined to rule from the Atlantic to the Pacific.
**Mexican-American War:** (1846-1848); American expansion leads to dispute over California and Texas.

**Treaty of Guadalupe-Hidalgo (1848):** ratified by the United States; Mexico lost one-half of national its territory.

**Benito Juárez:** Indian lawyer and politician who led a liberal revolution against Santa Anna; defeated by the French who made Maximilian emperor; returned to power from 1867 to 1872.

**La Reforma:** name of Juárez's liberal revolution.

**Maximilian von Habsburg:** Austrian archduke proclaimed Emperor of Mexico as a result of French intervention in 1862; after the French withdrawal he was executed in 1867.

**Gauchos:** mounted rural workers in the Rio de la Plata region.

**Juan Manuel de Rosas:** federalist leader in Buenos Aires; took power in 1831; commanded loyalty of gauchos; restored local autonomy.

**Argentine Republic:** replaced state of Buenos Aires in 1862 as a result of a compromise between centralists and federalists.

**Domingo F. Sarmiento:** liberal politician and president of the Argentine Republic; author of *Facundo*, a critique of caudillo politics; increased international trade and launched reforms in education and transportation.

**Fazendas:** coffee estates that spread into the Brazilian interior between 1840 and 1860; caused intensification of slavery.

**Modernization theory:** the belief that the more industrialized, urban, and modern a society became, the more social change and improvement were possible as traditional patterns and attitudes were abandoned or transformed.

**Dependency theory:** the belief that development and underdevelopment were not stages but were part of the same process; that development and growth of areas like western Europe were achieved at the expense of underdevelopment of dependent regions like Latin America.

**Porfirio Díaz:** one of Juárez's generals; elected president of Mexico in 1876 and dominated politics for 35 years.

**Científicos:** advisors to Díaz's government who were influenced strongly by Positivist ideas.

**Spanish-American War:** fought between Spain and the United States beginning in 1898; resulted in annexation of Puerto Rico and the Philippines; permitted American intervention in the Caribbean.
Panama Canal: the United States supported an independence movement in Panama, then part of Colombia, in return for the exclusive rights for a canal across the Panama isthmus.

LECTURE SUGGESTIONS

1. Discuss the ways in which Latin American states were successful in shaking off their colonial past and the problems which remained that were characteristic of colonial society. With independence, most nations had republican governments; liberal constitutions extended the vote. Their economies no longer were under European dictation. Slavery, the base of exploitative labor, finally ended in 1888. The colonial heritage of a society based on castes of color and race was more difficult to overcome. Indians continued to be oppressed and remained at the bottom of the social structure. Even liberal land reforms and redistribution plans discriminated against Indians and mestizos. There were frequent rebellions of peasants and Indians against governments dominated by Creole aristocracies.

2. Compare and contrast the relationship of the Latin American nations with the West at the end of the 19th century with the relationship of the West to "true colonies" created through imperialism. Latin America remained independent, did not provide military forces to the West, and was outside of the imperial scramble. The profits of economic expansion were not drained off by Western merchants. But Latin America was in many ways reduced to an economic dependency typical of "true colonies"; economic expansion was based on the export of raw materials, and markets were dependent on the West. The West provided capital for initiation of industry and often owned the industries. The labor force often was exploited in a manner similar to colonial labor forces.

CLASS DISCUSSION QUESTIONS

1. What were the causes of political change in Latin America?

2. Contrast the Brazilian move to independence with other Latin American independence movements.

3. What was the centralist versus the federalist controversy?

4. Characterize the liberal politics of the period from 1850 to 1870.

5. How successful was reform at resolving the problems of race, class, and gender?

6. What was the nature of the economic boom of the period after 1870?

7. In what ways did the United States enter the political and economic affairs of Latin America?
THE INSTRUCTOR’S TOOL KIT

Map References


Documents

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CHAPTER 31
Civilizations in Crisis: The Ottoman Empire, the Islamic Heartlands, and Qing China

I. From Empire to Nation: Ottoman Retreat and the Birth of Turkey
   Ottoman decline
      by early 1700s
      power struggles
      rivalry with the west for trade

   Results
      Austrian Habsburgs
         Ottomans driven from Hungary, northern Balkans
      Russians expand into Caucasus, Crimea
      Christian Balkans challenge Ottomans
      Greeks, independent, 1830
      Serbia, 1867

      by 1870, most of the Balkans
         capital threatened

   A. Reform and Survival
      Europeans fear Ottoman breakup
         British support Ottomans v. Russia

      Selim III
         reforms anger Janissaries
         1807, deposed, assassinated

      Mahmud II
         professional army
         replaces Janissaries, 1826
         reforms: Tanzimat
         universities on Western models
         railways
         1876, European-style constitution

   B. Repression and Revolt
      Sultanate, ulama, ayan
         seen as barriers to reform

      Sultan Abdul Hamid (1878-1908)
         turns to despotic absolutism
         continues work on infrastructure
Young Turks
    remove Abdul Hamid

Arabs push for independence

II. Western Intrusions and the Crisis in the Arab Islamic Heartlands

A. Muhammad Ali and the Failure of Westernization in Egypt
    Napoleon
defeats Ottoman Mamluk vassals in Egypt

Muhammad Ali
    emerges after French withdraw
    Albanian Ottoman
    reforms
    military: army, navy
    agricultural modernization

B. Bankruptcy, European Intervention, and Strategies of Resistance
    Muhammad Ali's successors
drop reform
    ayans profit from peasantry

    Cotton
    crucial export crop

    Indebtedness to foreign creditors
    Suez Canal, open, 1869

    University of al-Azhar
    center of Muslim thinkers
    al-Afghani, Muhammad Abduh
    push for westernization
    underline traditional Muslim rationalism

    Ahmad Orabai
    revolt against khedive, 1882
    British intervene

    Period of puppet khedives under British

C. Jihad: The Mahdist Revolt in the Sudan
    Sudan challenges British
    can't control camel nomads
Muhammad Achmad, the Mahdi
proclaimis jihad against Egyptians, British
controls Sudan
succeeded by Khalifa Abdallah

General Kitchner
Omdurman, 1896
Mahdists crushed

III. The Last Dynasty: The Rise and Fall of the Qing Empire in China
Nurhaci (1559-1626)
Manchu leader
drives Chinese south of Great Wall
signification of Manchuria

1644, take Beijing
found Qing dynasty

Qing
retain Ming rule

A. Economy and Society in the Early Centuries of Qing Rule
Qing social system maintained

Manchu
rural reforms
infrastructure maintained
burdens lessened

Silver influx to 1800

Compradors
merchants along coast
tie China to outside

B. Rot from Within: Bureaucratic Breakdown and Social Disintegration
Qing decline
exam system corrupt

Yellow river dikes not maintained
flooding

Unrest: migration, outlaws
C. Barbarians at the Southern Gates: The Opium War and After

British
- import Indian opium to China
- Chinese react
- Lin Zexu
  - blockades European trade

British invade, 1839
- Chinese defeated
- Hong Kong to British ports
  - forced to reopen

D. A Civilization at Risk: Rebellion and Failed Reforms

Hong Xiuquan
- Taiping rebellion
  - calls for social, land reforms
  - criticize Qing, Manchus
  - crushed by empress Cixi, 1898

Boxer Rebellion
- anti-foreign conflict
  - crushed by western powers

E. The Fall of the Qing: The End of a Civilization?

Resistance goes underground
- plots to push westernization
- Sun Yat-sen

1905, civil service exams ended
- end of scholar-gentry

1911, rebellions

1912, last Qing emperor removed

**Hong Xiuquan.** Following a humiliating failure to pass exams which would give him entry to the bureaucracy, Hong Xiuquan took to a wandering life. Reading passages from the Christian Bible convinced him that he had a religious mission. He gathered a large following for his sect, the Taipings. His teachings became increasing critical of Qing rule, blaming the Manchus for a wide variety of contemporary problems. The Taiping goals included attacks on the scholar-gentry, land reform, social equality, and an end to many traditional practices such as footbinding and judicial torture. The rebellion they inaugurated was long-lasting and bloody. Hong's movement began in a period of breakdown in Chinese civilization. Like that begun by the Mahdi against the Ottoman government, it attacked a well-established order, aiming to replace it with a utopian society, inspired by religious ideals.
Chapter Summary. China under the Qing dynasty in the 17th century enjoyed growth and prosperity and had the power to limit European intervention. The Ottomans, on the contrary, were then in full retreat. Russia and Austria seized territories, north African provinces broke away, and local leaders throughout the empire became more independent. Economic and social disruption accompanied the political malaise. Although the Ottoman rulers did not have a solution to their problems, they regained some strength during the 19th century by following Western-style reforms. The Chinese entered a prolonged crisis period. At the end of the 19th century, the foundations of Chinese civilization had been demolished by internal and external pressures.

From Empire to Nation: Ottoman Retreat and the Birth of Turkey. By the early 18th century, the Ottoman Empire was in decline. Weak rulers left the way open for power struggles between officials, religious experts, and Janissaries. Provincial administrators and landholders colluded to drain revenue from the central treasury. The general economy suffered from competition with the West as imported goods ruined local industry. European rivals took advantage of Ottoman weakness. The Austrian Habsburgs pushed the Ottomans from Hungary and the northern Balkans. The strengthened Russian state expanded into the Caucasus and Crimea. The subject Christian peoples of the Balkans challenged their rulers: the Greeks won independence in 1830, Serbia in 1867. By the 1870s, the Ottomans had lost nearly all of the Balkans, and their capital was often threatened by Balkan or Russian armies.

In Depth: Western Dominance and the Decline of Civilizations. Some general patterns have been associated with the decline of civilizations: internal weakness and external pressures; slow and vulnerable communications systems; ethnic, religious, and regional differences; corruption and the pursuit of pleasure. Nomads took advantage of such weaknesses, but rarely did neighboring civilizations play a major role in the demise of another. The European rise to world dominance from the 18th century fundamentally changed the patterns of the rise and fall of civilizations. In the Americas, European military assaults and diseases destroyed existing civilizations. African and Asian civilizations were able to withstand the early European arrival, but the latter’s continuing development by the end of the 18th century made them dominant. The subordinate civilizations reacted differently. Some retreated into an idealized past; others absorbed ideas from their rulers. The various efforts at resistance were not all successful. Some civilizations survived; others collapsed.

Reform and Survival. The Ottomans survived the continuing defeats partly because the European powers feared the consequences of territorial division among the victors. The British propped up the Ottomans during the latter 19th century to prevent the Russians from reaching the Mediterranean. The weakened empire was preserved by internal reform, although rival solutions caused elite tensions. Selim III's modest military and administrative reform attempts angered officials and the Janissaries; he was deposed and killed in 1807. Mahmud II was more successful. With the help of European advisors, he built a professional army that destroyed the Janissaries in 1826. Mahmud II then launched far-reaching reforms patterned on Western models. Between 1839 and 1876, the period of the Tanzimat reforms, university education was reorganized on Western lines, postal and telegraph systems were introduced, and railways were constructed. Newspapers were established, and in 1876 a European-type constitution was promulgated. The many changes opened the empire to European influences and threatened
some groups. Artisans lost out to the foreign competition. Women gained little from the reforms as Islamic patterns continued.

**Repression and Revolt.** The reforms strengthened the state, but they threatened the dynasty. Western-oriented officials, military officers, and professionals viewed the sultanate as a barrier to more reform. They also clashed with the conservative ulama and ayan. Sultan Abdul Hamid (1878-1908) responded by trying to return to despotic absolutism. He nullified the constitution and restricted civil liberties, but he continued military and educational reform, and railway and telegraph construction. Abdul Hamid's harsh rule ended when he was removed by the Young Turks, or reformers, including military officers, who wanted to continue Western-style reforms. The constitution and civil liberties were restored in a regime directed by a figurehead sultan. Factional fights among the reformers hampered their efforts, while wars in the Balkans and north Africa lost territory. The Arabs under Ottoman rule began to seek their independence. The empire survived, but in a very weakened condition, until Turkish entry into World War I resulted in its dissolution.

**Western Intrusions and the Crisis in the Arab Islamic Heartlands.** The leaders and thinkers of the Islamic world were divided about how to reverse decline and drive back Europeans. Their arguments represented a spectrum ranging from a return to the past to the adoption of Western ways. By the 19th century, the Arabs under the weakened Ottoman Empire were exposed to the danger of European conquest. The loss of Islamic territory to the Europeans engendered a sense of crisis in the Middle East.

**Muhammad Ali and the Failure of Westernization in Egypt.** Napoleon's victory over the Ottoman Mamluk vassals in Egypt destroyed the existing local power balance. The easy victory of the French demonstrated the vulnerability of Muslim regions before European power. When the British forced French withdrawal, an Albanian Ottoman officer, Muhammad Ali, emerged as Egypt's ruler. He introduced European military reforms and created a powerful army and navy that freed him from dependence upon his nominal Ottoman overlord. Muhammad Ali also attempted, with limited success, to modernize Egypt's economy through reforms in agriculture, infrastructure, education, and industry. The limited scope of Muhammad Ali's reforms checked his plans for territorial expansion and left Egypt exposed to European threats. His successors confined their energies to Egypt and the Sudan.

**Bankruptcy, European Intervention, and Strategies of Resistance.** Muhammad Ali's less talented successors abandoned reform and allowed the ayan to profit at the expense of the peasantry. Egypt became dependent on the export of a single crop, cotton. State revenues were spent on extravagant pastimes and military campaigns in the Sudan. The regime and the elite became indebted to European creditors. The Europeans invested in the building of the Suez Canal, which opened in 1869. Muslim intellectuals and political activists looked for ways to protect Egypt from its inept rulers. The ancient University of al-Azhar became a focal center for Muslims from many lands. Some of the thinkers looked to the past, but others, such as al-Afghani and Muhammad Abduh, stressed the need for Muslims to adopt Western science and technology. They emphasized the tradition of rational inquiry in Islamic history and contested conservative views that the single source of truth was found in a literally interpreted Qur'an. The persisting difference between the rival interpretations damaged Muslim ability to meet the
European threat. The growing Egyptian foreign debt and the strategic importance of the Suez Canal stimulated British and French thoughts of intervention. When army officer Ahmad Orabi led a revolt against the khedive in 1882, the British intervened to save the ruler. British consuls thereafter directed the Egyptian government through puppet khedives.

**Jihad: The Mahdist Revolt in the Sudan.** The British were drawn into the disorder in the Sudan. Egyptian efforts at conquests from the 1820s had won only an insecure hold over fertile lands along the Nile and towns such as Khartoum. Camel nomads resisted their authority. The corrupt Egyptian regime oppressed sedentary farmers and alienated all classes by trying, in the 1870s under British influence, to end the slave trade. The Muslims of the northern Sudan found a leader in Muhammad Acha, a religious figure known as the Mahdi. He proclaimed a jihad against the Egyptians and British that would return Islam to its original purity. The Mahdi won control of the Sudan. After his death, the movement continued under the capable Khalifa Abdallahi. The Mahdists built a strong state with a society closely regulated by strict Islamic norms. The British ended this threat to European domination when General Kitchener crushed the Mahdist forces at Omdurman in 1896. Abdallahi was killed and the state disintegrated. The world of Islam suffered serious reverses during the 19th century. From reform to resistance, none of the efforts halted the European advance. As the century closed, Islam, still divided over the explanation for its decline, was seriously threatened by the European rulers of most of the world.

**The Last Dynasty: The Rise and Fall of the Qing Empire in China.** The Manchu leader Nurhaci (1559-1626) united the tribes of his region into a formidable fighting force that conquered much of Manchuria and drove back the Chinese living north of the Great Wall. The Manchu elite increasingly adopted Chinese ways in bureaucracy and court ceremonies. Many of the Chinese scholar-gentry entered Manchu service. The Manchu seized advantage of the weakness of the Ming dynasty to enter China and seize control of Beijing in 1644. Within two decades, the Manchu were masters of China. As the Qing dynasty, they ruled an area larger than any previous dynasty, except the Tang. The Manchu retained much of the political system of the Ming; Chinese and Manchu officials were paired at the highest posts. The examination system continued. The rulers were generous patrons of the arts and employed scholars to compile great encyclopedias of Chinese learning.

**Economy and Society in the Early Centuries of Qing Rule.** The Manchu also maintained the social system of the Ming. The values of respect for rank and acceptance of hierarchy were emphasized. The extended family remained the core unit among the elite. Women continued under the dominance of elder males. Their lives centered on the household. Daughters were less wanted than sons and female infanticide probably rose during this period. Lower-class women continued to work in fields and markets. The Manchus attempted to alleviate rural distress and unrest through decreasing tax and labor burdens, repairing roads, dikes, and irrigation systems, and limiting land accumulation by the elite. Population growth and the lack of available land checked the success of the reform efforts. Landlords increased their holdings, widening the gap between rural classes. Commercial and urban expansion increased under the peaceful conditions of the first century and a half of Manchu rule. Until the end of the 18th century, the influx of silver in payment for exports created a favorable balance of payments. European traders came to Canton, and Chinese merchants traveled overseas. A new group of
merchants, the compradors, who specialized in the import-export trade along the south coast, were a major link between China and the outside world.

**Rot from Within: Bureaucratic Breakdown and Social Disintegration.** By the late 18th century, the Qing were in decline. The exam system, furnisher of able bureaucrats, was riddled by cheating and favoritism. Positions in government service were seen as a method of gaining influence and building family fortunes. The resulting revenue loss caused a weakening of the military and deterioration of the dikes confining the Yellow River. By the mid-19th century, flooding left millions of peasants without resources. Throughout the empire, mass migrations and banditry increased social unrest. The existing Chinese social and economic systems could not cope with the changes stemming from the greatly increased population resulting from the introduction of American crops.

**Barbarians at the Southern Gates: The Opium War and After.** Although the advances by Europeans in science and industry made them dangerous rivals to the empire, the Manchus continued to treat them as just another type of barbarian. Confrontation occurred over the importation of opium from India into China. The British lacked commodities, apart from silver, to exchange for Chinese goods. Indian-grown opium reversed the trade balance in their favor, but the Chinese saw the trade as a threat to their social order. Silver left the country, and opium addiction became rampant. Government efforts to check the problem failed until the 1830s when an important official, Lin Zexu, came to end the trade at Canton and nearby. When he blockaded European trading areas and destroyed opium, the merchants demanded and received military intervention. The British invaded in 1839; the Chinese were defeated on sea and land and sued for peace. Another conflict ended similarly in the 1850s. The settlement after the first war awarded Hong Kong to the British and opened other ports to European trade and residence. By the 1890s, ninety ports were open and foreigners had gained long-term leases over ports and surrounding territory. Opium continued to pour into China. By mid-century, British officials managed China's foreign trade and customs system, and the court had to accept European ambassadors.

**A Civilization at Risk: Rebellion and Failed Reforms.** The dislocations caused by the European incursions spawned a massive rebellion in south China during the 1850s and 1860s. Inspired by Christian ideas, Hong Xiuquan led the Taiping Rebellion. The dissidents offered programs of social reform, land redistribution, and liberation of women. Their move against the traditional Chinese elite motivated the provincial gentry to support the Qing. Efficient and honest scholar-gentry leaders succeeded in defeating the rebellion. In the last decades of the century, these dynamic provincial leaders led a "self-strengthening movement" aimed at countering the challenges of the West. They encouraged foreign investment in railways and factories, and supported military modernization. But the Manchu rulers wanted only to preserve the existing order, not to transform it. The last decades of the dynasty were dominated by dowager empress Cixi; in 1898 she crushed a serious reform effort. Central authority was further weakened when Western powers intervened in 1901 to suppress the Boxer Rebellion, an anti-foreign movement backed by Qing household members. The Europeans increased their authority over internal matters, while the Manchu increasingly were unable to control provincial officials.
The Fall of the Qing: The End of a Civilization? After the defeat of the Taipings, resistance to the dynasty centered on rival secret societies. The revolts they inspired failed, but they were a training ground for more serious resistance. By the end of the century, sons of the scholar-gentry and compradors became involved in plots to overthrow the regime and to create a government modeled on the West. Sun Yat-sen was one of their most articulate leaders. The revolutions were deeply hostile to European involvement in Chinese affairs. Sporadic outbursts failed until 1911. A spreading rebellion ended with the deposition of the last Qing emperor in 1912. An even more important change had occurred in 1905 when the civil service exams system ended. The step signified the ending of the use of Confucian values as a base for governing society. The era of the scholar-gentry had closed.

GLOBAL CONNECTIONS: Muslim and Chinese Decline and a Shifting Global Balance. Both the seriously weakened civilizations of China and Islam were thrown into prolonged crisis by the challenges posed by the West. A shaken Islam survived, but Chinese civilization did not. Why? The Muslims had faced the threat of the West since the Middle Ages. The Chinese had to face a sudden and brutal challenge. Muslims shared many aspects of culture with Judeo-Christian and Greek tradition. Since their civilization had contributed to the rise of the West, borrowing from the rival civilization could be justified. The Chinese regarded Westerners as barbarians with an inferior culture. The Muslims had many centers to defend; the fall of one dynasty did not mean the end of Islamic independence. They had time to learn during the long Western advance. To the Chinese, defense of their civilization necessitated survival of the Qing. Once the dynasty failed, the Chinese had little to fall back on. Muslims could cling to the truths of Islam, but the Chinese did not have a great indigenous religious tradition.

KEY TERMS

Selim III: Ottoman sultan (1789-1807); attempted to improve administrative efficiency and build a new army and navy; assassinated by Janissaries.

Mahmud II: 19th century Ottoman sultan who built a private, professional army; crushed the Janissaries and initiated reforms on Western precedents.

Tanzimat reforms: Western-style reforms within the Ottoman Empire between 1839 and 1876; included a European-influenced constitution in 1876.

Abdul Hamid: Ottoman sultan (1878-1908) who tried to return to despotic absolutism; nullified constitution and restricted civil liberties.

Ottoman Society for Union and Progress: Young Turks; intellectuals and political agitators seeking the return of the 1876 constitution; gained power through a coup in 1908.

Mamluks: rulers of Egypt under the Ottomans; defeated by Napoleon in 1798; revealed the vulnerability of the Muslim world.

Murad: Mamluk leader at the time of Napoleon's expedition to Egypt; defeated by French forces.
Muhammad Ali: controlled Egypt following the French withdrawal; began a modernization process based on Western models, but failed to greatly change Egypt; died in 1848.

Khedives: descendants of Muhammad Ali and rulers of Egypt until 1952.

Suez Canal: built to link the Mediterranean and Red seas; opened in 1869; British later occupied Egypt to safeguard their financial and strategic interests.

Al-Afghani and Muhammad Abduh: Muslim thinkers in Egypt during the latter part of the 19th century; stressed the need for adoption of Western scientific learning and technology and the importance of rational inquiry within Islam.

Ahmad Orabi: student of Muhammad Abduh; led a revolt in 1882 against the Egyptian government; defeated when the khedive called in British aid.

Mahdi: Muhammad Achmad, the leader of a Sudanic Sufi brotherhood; began a holy war against the Egyptians and British and founded a state in the Sudan.

Khalifa Abdallahi: successor of the Mahdi; defeated and killed by British General Kitchener in 1898.

Nurhaci: (1559-1626); united the Manchus in the early 17th century; defeated the Ming and established the Qing dynasty.

Banner armies: the forces of Nurhaci; formed of cavalry units, each identified by a flag.

Kangxi: Qing ruler and Confucian scholar (1661-1722); promoted Sinification among the Manchus.

Compradors: wealthy group of merchants under the Qing; specialized in the import-export trade on China's south coast.

Lin Zexu: 19th-century Chinese official charged during the 1830s with ending the opium trade in southern China; set off the events leading to the Opium War.

Opium War: fought between Britain and Qing China beginning in 1839 to protect the British trade in opium; British victory demonstrated Western superiority over China.

Taiping Rebellion: massive rebellion in southern China in the 1850s and 1860s led by Hong Xinquan; sought to overthrow the Qing dynasty and Confucianism.

Cixi: conservative dowager empress who dominated the last decades of the Qing dynasty.

Boxer Rebellion: popular outburst aimed at expelling foreigners from China; put down by intervention of the Western powers.
Sun Yat-sen: (1866-1925); Chinese revolutionary leader, of scholar-gentry background.

Puyi: last Qing ruler; deposed in 1912.

LECTURE SUGGESTIONS

1. Discuss the differing Islamic and Chinese responses to the challenge of the West and explain which society was best able to retain aspects of its traditional civilization. Islam had been in conflict with the West since its first centuries; China's conflicts were more recent. Muslims had incorporated more of Western technology than the Chinese. Muslims shared a Judeo-Christian background with the West as well as classical rationalism; Chinese culture was isolated from Western thought. Muslims were not united in one state, and thus had many separate centers to defend; they were not as vulnerable to a single defeat as were the politically unified Chinese. When the Chinese suffered defeats, they had to fall back on a defense of the Qing dynasty as a summation of their civilization; the Muslims could fall back on the religious centrality of Islamic civilization. The Western incursion into China was fatal to a traditional civilization that depended on a centralized state run by an imperial dynasty and a Confucian scholar-gentry bureaucracy. Islam, although not easily, was better able to retain traditional Muslim culture while adapting to Western military technological advance.

2. Compare and contrast the incursion of the European nations into the Islamic heartland and China with their entry into Africa. Western incursions into Africa and China were initially similar: the Europeans operated from ports under indigenous control for trade with the interior. Europeans traded socially "unacceptable" commodities with both: slaves and opium; later, more traditional products prevailed. Africans lost territory to the Europeans during the 19th century; the Chinese had European spheres of influence in their lands. The British intervention into Egypt was similar to interventions elsewhere in Africa: indigenous officials were retained and Western reforms were introduced. In both, Western-educated leaders led the path to independence.

CLASS DISCUSSION QUESTIONS

1. What was the nature of the 18th-century crisis in the Ottoman Empire and why was it not fatal?

2. What reforms were introduced in the Ottoman Empire between the reign of Mahmud II and 1876?

3. What led to the overthrow of the Ottoman sultanate in 1908?

4. How did Muhammad Ali come to power?

5. How did the British gain control of Egypt?

6. What reforms did the Manchus introduce and how successful were they?
7. What problems did the Qing dynasty encounter during the 19th century?

8. How did Europeans gain entry into China?

9. What led to the overthrow of the Manchu dynasty?

THE INSTRUCTOR'S TOOL KIT

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CHAPTER 32
Russia and Japan: Industrialization Outside the West

I. Russia's Reforms and Industrial Advance
1861, Russia begins social, political reform

A. Russia before Reform
   Anti-Westernization backlash following Napoleon's invasion, 1812
   Decembrist revolt, 1825
   suppressed by Nicholas I
   Russia avoids revolutions of 1830, 1848

B. Economic and Social Problems: The Peasant Question
   Crimean War (1854-1856)
   defeat by industrial powers
   Alexander II turns to industrialization

C. The Reform Era and Early Industrialization
   1861, emancipation of serfs
   forced to buy lands
   productivity stagnant
   Alexander II
   reforms of 1860s, 1870s
   *zemstvos*
   military reform
   some educational reform
   Industrialization
   railways
   Pacific reached, 1880s
   Siberia opened to development
   factories, 1880s
   Count Witte, 1892-1903
   high tariffs
   banking system improved
   Western investment sought

II. Protest and Revolution in Russia

A. The Road to Revolution
   Ethnic minorities
   demands
Peasants
famine, taxes

Anarchists
fail to win peasant support
suppressed

1881, Alexander II assassinated

New ideas
Marxist socialism
Lenin (Vladimir Ilych Ulyanov)

B. The Revolution of 1905
Expansion continues
Ottomans pushed back, 1870s
new Slavic nations created
into Manchuria
defeated in Russo-Japanese war, 1904-05
Revolution, 1905

Duma created
Minister Stolypin
agrarian reforms

C. Russia and Eastern Europe
Other nations follow Russia
Hungary, Romania, Serbia, Bulgaria, Greece
parliaments
end to serfdom
some industrialization

Cultural revival
Turgenev, Dostoevsky, Tolstoy
Tchaikovsky, Chopin, Liszt
Mendel, Pavlov

III. Japan: Transformation without Revolution

A. The Final Decades of the Shogunate
Shogunate
alliance with daimyos, samurai

Culture under the Tokugawa
thriving
Neo-Confucianism
variety of schools

by 1850s
economy slowing
rural riots

B. The Challenge to Isolation
Commandor Matthew Perry
1853, Japanese ports forced to open

Shogunate bureaucrats
open doors reluctantly
others want to end isolation
conservative daimyos for isolation

Unrest
1868, shogunate defeated
Meiji restoration
Emperor Mutsuhito (Meiji)

C. Industrial and Political Change in the Meiji State
Feudalism ended
appointed prefects from 1871
state expanded

Samurai officials to United State
study, promote change

1873-1876, samurai class abolished
some find new roles
Iwasaki Yataro: Mitsubishi

Political reorganization
Constituion, 1889
House of Peers
Diet, lower house

D. Japan's Industrial Revolution
Westernization in other areas
military
banks
railways, steamships
tariffs, guilds removed
Ministry of Industry, 1870
model factories
Zaibatsu, 1890s
industrial combines

E. Social and Diplomatic Effects of Industrialization
Population increase

Culture
universal education

Western dress adopted

Conversion to Christianity limited
Shintoism attracts new followers

Need for raw materials
war with China over Korea, 1894-1895
alliance with Britain, 1902
war with Russia, 1904
Korea annexed, 1910

F. The Strain of Modernization
Inter-generational debate

Nationalism
emperor worship

Yukichi Fukuzawa. Like many reformers, Yukichi Fukuzawa had to walk a line between effecting change and offending conservatives, and at the same time wanted to avoid abandoning his native culture. Travels to the United States and Europe convinced him that copying Western educational models would help Japan. He believed Confucianism impeded the advance of science and mathematics. He had great faith in many aspects of Western society, while being sensitive to offending tradition.

Chapter Summary. Russia and Japan defied the pattern of 19th-century European domination. By 1914 they launched significant industrialization and accomplished other changes that preserved their independence. Both achieved economic autonomy and were able to join in the imperialist scramble. They were the only non-Western societies to begin a wholesale industrialization process before the mid-20th century. Among the characteristics common to the two nations in their maintenance of independence was their prior experience of cultural imitation, Japan from China, and Russia from Byzantium and the West. They were able to learn without destroying their own cultures. Both also had improved their political effectiveness during the 17th and 18th centuries, a situation allowing the state to sponsor change. There were differences between the two. Japan, through its reforms, pulled away from the rest of East Asia; Russia continued expanding its influence in eastern Europe and central Asia. Their mutual expansionist drives brought conflict over Korea and the Russo-Japanese War.
Russia's Reforms and Industrial Advance. Russia in 1861 moved into an active period of social and political reform that established the base for industrialization by the 1890s. Immense social strain resulted as the government attempted to remain autocratic.

Russia before Reform. The French Revolution and Napoleon's invasion of 1812 produced a backlash in Russia against Westernization. Conservative intellectuals embraced the turn to isolation as a way of vaunting Russian values and institutions, including serfdom. Some intellectuals remained fascinated with Western developments in politics, science, and culture. When Western-oriented army officers fomented the Decembrist revolt of 1825, Tsar Nicholas I repressed the movement. As a consequence, Russia escaped the European revolutions of 1830 and 1848. Russia continued its territorial expansion. The Congress of Vienna confirmed its hold over Poland; Polish nationalist revolts during the 1830s were brutally suppressed. Pressure on the Ottoman Empire continued, and Russia supported dissidents in Greece and the Balkans.

Economic and Social Problems: The Peasant Question. In economic terms, Russia fell behind the West because it failed to industrialize. Landlords increased exports of grain by tightening labor obligations on serfs. Russia remained a profoundly agricultural society dependent upon unfree labor. The significance of the need to industrialize was demonstrated by the Crimean War (1854-1856). Britain and France came to the support of the Ottomans and defeated the Russians because of their industrial economies. Tsar Alexander II was convinced that reforms were necessary, and that meant resolving the issue of serfdom. Many individuals believed that a free labor force would produce higher agricultural profits; others wished to end abuses or to end periodic peasant risings. Reform was seen as a way to protect distinctive Russian institutions, not to copy the West.

The Reform Era and Early Industrialization. The serfs were emancipated in 1861; they received land, but did not gain any political freedoms. They were tied to their villages until they paid for the lands they had received. The payments, plus increasing taxation, kept most peasants very poor. The emancipation created a larger urban labor force, but it did not spur agricultural productivity. Peasants continued to use old methods on their small holdings. Peasant risings persisted because of the enduring harsh conditions that were exacerbated by population growth. Reform had not gone far enough. Other efforts followed. In the 1860s and 1870s, Alexander II improved law codes and created local political councils (zemstvos) with authority over regional matters. The councils gave political experience to middle-class people, but they had no influence on national policy. Military reform included officer promotion through merit and increased recruitment. There was limited extension of the education system. During this era, literacy increased rapidly and a market for popular reading matter developed. Some women gained access to higher education and to the professions. In family organization, Russia followed earlier European trends. A move to industrialization was part of the process of change. State support was vital since Russia lacked a middle class and capital. A railway system was created in the 1870s; it reached the Pacific in the 1880s. The railways stimulated the iron and coal sectors, as well as the export of grain to the West. They also opened Siberia to development and increased Russian involvement in Asia. Factories appeared in Russian and Polish cities by the 1880s, and the government quickly acted to protect them from foreign competition. Under Count Witte, from 1892 to 1903, the government passed high tariffs, improved the banking system, and
encouraged Western investment. By 1900 about one-half of industry was foreign-owned; much was foreign-operated. Russia became a debtor nation. Even though by 1900 some Russian industries were challenging world leaders, the Russian industrial revolution was in its early stages. Its world rank was due to its great size and rich resources, not its technology or trained workforce. Despite all the reform, Russia remained a traditional peasant society that had not experienced the attitudinal change occurring with Western industrialization.

**Protest and Revolution in Russia.** Unrest accompanied transformation by the 1880s, and Russia became a very unstable society.

**The Road to Revolution.** Alexander II's reforms and economic change encouraged minority nationality demands in the empire. Cultural nationalism led to political demands and worried the state. Social protest was heightened by the limitations of reform and by industrialization. Peasants suffered from famine, redemption payments, taxes, and population pressure. Educated Russians also were dissatisfied. Business and professional people sought more personal freedom and fuller political rights; the intelligentsia wanted political change and social reform. Some of the intellectuals favored radical change that also preserved Russian culture. Many became anarchists seeking to abolish formal government. They hoped to triumph by winning peasant support. When peasants were not interested, some turned to terrorism. The government reaction was to pull back from reform, introduce censorship, and exile dissidents to Siberia. Alexander II was assassinated in 1881; his successors opposed reform and continued political, religious, and ethnic repression. By the 1890s, new protest currents appeared. Marxist socialism spread among the intelligentsia. Lenin (Vladimir Ulyanov) attempted to make Marxism fit Russian conditions and organized disciplined cells to work for the expected revolution. At the same time, working-class unrest in the cities showed through union formation and strikes—both illegal—to compensate for lack of political outlets. The regime remained opposed to significant reform.

**The Revolution of 1905.** Russia had continued imperialist expansion through the 19th and into the 20th century. Gains were made against the Ottomans in the 1870s. New Slavic nations, Serbia and Bulgaria, were created, and conservatives talked of Russian leadership of a pan-Slavic movement. In the Middle East and central Asia (Persia and Afghanistan), Russia was active. In China, the Russians moved into Manchuria and gained long-term leases to territory. Russia encountered the similarly expanding Japanese, and was defeated in the Russo-Japanese War of 1904-05. The loss unleashed protests in Russia. Urban workers and peasants joined liberal groups in the Revolution of 1905. The government bowed and created a national parliament, the duma. Minister Stolypin introduced important peasant reforms: greater freedom from redemption payments and liberal purchase and sale of land. He aimed to create a market-oriented peasantry divided from the rest of the peasant mass. Some entrepreneurs among the peasants—kulaks—did increase production. But the reform package quickly fell apart as the tsar withdrew rights, took authority away from the duma, and resumed police repression. To counter internal pressures, the government turned to intervention in the Ottoman Empire and the Balkans.

**Russia and Eastern Europe.** Russian patterns were followed in smaller eastern European nations: Hungary, Romania, Serbia, Bulgaria, Greece. They established parliaments elected by carefully restricted voters. Kings ruled without much check. Most nations abolished serfdom,
but landlord power remained extensive and peasant unrest continued. In economic organization, industrialization was minimal; they remained agricultural exporters dependent on Western markets. In the midst of their many problems during the late 19th century, eastern Europe enjoyed a period of cultural productivity that helped to enhance its sense of national heritage. Russian novelists, such as Turgenev, Dostoevsky, and Tolstoy, gained world fame. In music, composers moved from the brilliant romanticism of Tchaikovsky to innovative atonal styles. Eastern European composers, such as Chopin and Liszt, produced important works. In science, Mendel, a Czech, advanced the study of genetics, and Pavlov, a Russian, contributed in physiology.

**Japan: Transformation without Revolution.** Japan's response to outside pressure was more direct and successful than that of Russia. The Japanese adapted to the challenge of industrial change and internal market reform. Many institutions had to be altered and much societal strain resulted.

**The Final Decades of the Shogunate.** During the first half of the 19th century, the shogunate continued to combine a central bureaucracy with semifeudal alliances between regional daimyos and samurai. The government encountered financial problems because taxation was based on agriculture while the economy was becoming more commercialized. Reform spurts met revenue gaps until the 1840s when an unsuccessful effort weakened the government and hampered responses to Western pressure. Japanese intellectual and cultural life continued to expand under the Tokugawa. Neo-Confucianism kept its hold among the elite at the expense of Buddhism. The upper classes became more secular, with variety among Confucian schools preventing intellectual sterility. Education expanded beyond the upper classes and led to the highest literacy rate outside of the West. Even though Confucianism was dominant, there were many intellectual rivals. A national studies group venerated Japanese traditions, including the position of the emperor and Shinto religion. Another group pursued Dutch studies, or an interest in Western scientific progress. The Japanese economy continued to develop as internal commerce expanded and manufacturing spread into the countryside. By the 1850s, economic growth was slowing as technological limitations hindered agricultural growth and population increase. Rural riots reflected peasant distress and helped to weaken the shogunate.

**The Challenge to Isolation.** In 1853, an American naval squadron commanded by Matthew Perry forced the opening of Japan to the West. Later negotiations won the right to station a consul and to open ports for commerce. European nations quickly secured equal rights. Although shogunate bureaucrats reluctantly had yielded to Western naval superiority, other Japanese favored the ending of isolation. They were opposed by conservative daimyos. All sides appealed to the emperor, then a mostly ceremonial and religious figure. The shogunate had depended on the policy of isolation and proved unable to withstand the stresses caused by foreign intervention. Internal disorder resulted in the 1860s, ending in 1868 with the defeat of the shogunate and the proclamation of rule by Emperor Mutsuhito, called Meiji.

**In Depth: The Separate Paths of Japan and China.** Japan and China, despite both being part of the same civilization orbit, responded very differently to Western pressures. Both nations had chosen isolation from outside influences from about 1600 to the mid-19th century, and thus fell behind the West. China had the capacity to react to the challenge, but did not act. Japan, with
knowledge of the benefits of imitation, did act. Japan’s limited population pressure, in contrast to Chinese population growth, also assisted its response. In political affairs, China, by the mid-19th century, was suffering a dynastic crisis; Japan maintained political and economic vigor. In the late 19th century, the east Asian world split apart. Japan became the stronger of the two nations.

**Industrial and Political Change in the Meiji State.** The Meiji government abolished feudalism; the daimyos were replaced by nationally appointed prefects in 1871. The new centralized administration expanded state power to carry out economic and social change. Samurai officials were sent to Europe and the United States to study their economies, technologies, and political systems. They became converted to change. Between 1873 and 1876 the government abolished the samurai class and its state stipends. Most samurai became impoverished and revolt resulted in 1877. The reformed army, based on national conscription, quickly triumphed. Many samurai sought new opportunities in commerce and politics. One, Iwasaki Yataro, created the Mitsubishi company. During the 1880s the political reconstruction was completed. Political parties had formed on regional levels. The Meiji created a new conservative nobility from former nobles and Meiji leaders; they sat in a British-style House of Peers. The bureaucracy was reorganized, expanded, and opened to those taking civil service examinations. The constitution of 1889 gave major authority to the emperor and lesser power to the lower house of the Diet. High property qualifications limited the right to vote to about 5 percent of the male population. The system gave power to an oligarchy of wealthy businessmen and former nobles that controlled political currents into the 20th century. Japan had imitated the West, but had retained its own identity.

**Japan's Industrial Revolution.** Japan's reorganization went beyond political life. Western-style militaries were created. New banks were established to fund trade and provide investment capital. Railways and steam vessels improved national communications. Many old restrictions on commerce, such as guilds and internal tariffs, were removed. Land reform cleared the way for individual ownership and stimulated production through adoption of new techniques. Government initiative dominated manufacturing because of lack of capital and unfamiliar technology. A Ministry of Industry was created in 1870 to establish overall economic policy and operate certain industries. Model factories were created to provide industrial experience, and an expanded education system offered technical training. Private enterprise was involved in the growing economy, especially in textiles. Entrepreneurs came from all social ranks. By the 1890s, huge industrial combines (zaibatsu) had been formed. Thus, by 1900, Japan was fully engaged in an industrial revolution. Its success in managing foreign influences was a major accomplishment, but Japan before World War I was still behind the West. It depended upon Western imports—equipment and coal—and world economic conditions. Successful exports required inexpensive labor, often poorly paid women. Labor organization efforts were repressed.

**Social and Diplomatic Effects of Industrialization.** Industrial and other changes went along with a massive population increase that supplied cheap labor but strained resources and stability. In the cultural sphere, the government introduced a universal education system stressing science, technology, and loyalty to the nation. The scientific approach enhanced the earlier secular bent of elite culture. After an initial period of great enthusiasm for reform, more moderation prevailed, with an emphasis on traditional values. Western fashions in dress and personal care
were adopted, along with the calendar and metric system. Christianity, however, gained few converts. In family life, the birth rate dropped as population growth forced movement from the land, and factory labor made children less useful. Family instability showed in a high divorce rate. The traditional view of the inferiority of women in the household continued; formality of manners and diet were maintained. Shintoism found new believers. The changes in Japan's economic power influenced foreign policy. By the 1890s, Japan joined the imperialist nations. The change gave displaced samurai a role and provided nationalist stimulation for the populace. Japan's need for raw materials helped pressure expansion. China and Japan fought over Korea in 1894-1895; Japan's quick victory demonstrated the presence of a new Asian power. A 1902 alliance with Britain made it an equal partner in the great power diplomatic system. Rivalry with Russia brought war in 1904 and another Japanese victory. Korea was annexed in 1910.

The Strain of Modernization. Japanese success had its costs, among them poor living standards in crowded cities and arguments between generations over Westernization. The emergence of political parties caused disputes with the emperor and his ministers, leading to frequent elections and political assassinations. Many intellectuals worried about the loss of identity in a changing world. To counter the malaise, officials urged loyalty to the emperor as a center of national identity. Japanese nationalism built on traditions of superiority and cohesion, deference to rulers, and the tensions from change. Its strength was a main factor in preventing the revolutions occurring in other industrializing nations. No other nation outside the West matched Japan's achievements.

GLOBAL CONNECTIONS: Russia and Japan in the World. The entry of Japan and Russia, plus the United States, changed the world diplomatic picture by the early 20th century. Russian and Japanese gains in the Far East increased tensions, while Japan's rise led to Western fears of a "yellow peril" that required restraint.

KEY TERMS

Holy Alliance: alliance between Russia, Prussia, and Austria in defense of the established order; formed by the most conservative monarchies of Europe during the Congress of Vienna.

Decembrist rising: unsuccessful 1825 political revolt in Russia by mid-level army officers advocating reforms.

Crimean War (1854 -1856): began with a Russian attack on the Ottoman Empire; France and Britain joined on the Ottoman side; resulted in a Russian defeat because of Western industrial might; led to Russian reforms under Alexander II.

Emancipation of the serfs: Alexander II in 1861 ended serfdom in Russia; serfs did not obtain political rights and had to pay the aristocracy for lands gained.

Zemstvos: local political councils created as part of Alexander II's reforms; gave middle- class professionals experience in government but did not influence national policy.
Trans-Siberian railroad: constructed during the 1870s and 1880s to connect European Russia with the Pacific; increased the Russian role in Asia.

Count Witte: Russian minister of finance (1892 -1903); economic modernizer responsible for high tariffs, improved banking system; encouraged Western investment in industry.

Intelligentsia: Russian term for articulate intellectuals as a class; desired radical change in the Russian political and economic system; wished to maintain a Russian culture distinct from the West.

Anarchists: political groups that thought the abolition of formal government was a first step to creating a better society; became important in Russia and was the modern world’s first large terrorist movement.

Russo-Japanese War: 1904; Russian expansion into northern China leads to war; rapid Japanese victory followed.

Lenin (Vladimir Ilych Ulyanov): Russian Marxist leader; insisted on the importance of disciplined revolutionary cells.

Bolsheviks: literally the majority party, but actually a minority group; the most radical branch of the Russian Marxist movement; led by Lenin.

Russian Revolution of 1905: defeat by Japan marked by strikes by urban workers and insurrections among the peasantry; resulted in temporary reforms.

Duma: Russian national assembly created as one of the reforms following the Revolution of 1905; progressively stripped of power during the reign of Nicholas II.

Stolypin reforms: Russian minister who introduced reforms intended to placate the peasantry after the Revolution of 1905; included reduction of land redemption payments and an attempt to create a market-oriented peasantry.

Kulaks: agricultural entrepreneurs who utilized the Stolypin reforms to buy more land and increase production.

Terakoya: commoner schools founded during the Tokugawa shogunate to teach reading, writing, and Confucian rudiments; by mid-19th century resulted in the highest literacy rate outside of the West.

Dutch Studies: studies of Western science and technology beginning during the 18th century; based on texts available at the Dutch Nagasaki trading center.

Matthew Perry: American naval officer; in 1853 insisted under threat of bombardment on the opening of ports to American trade.
**Meiji Restoration:** power of the emperor restored with Emperor Mutsuhito in 1868; took name of Meiji, the Enlightened One; ended shogunate and began a reform period.

**Diet:** Japanese parliament established as part of the constitution of 1889; able to advise government but not control it.

**Zaibatsu:** huge industrial combines created in Japan during the 1890s.

**Sino-Japanese War (1894-1895):** fought in Korea between Japan and Qing China; Japanese victory demonstrated its arrival as new industrial power.

**Yellow peril:** Western term for perceived threat from Japanese imperialism.

**LECTURE SUGGESTIONS**

1. **Discuss the different ways in which the process of industrialization manifested itself in Japan and Russia in terms of territorial expansion or colonialism.** In both countries, the process of industrialism threatened traditional and social hierarchies. In Russia, the aristocracy was threatened by the abolition of serfdom, the creation of regional zemstvoes, and reforms of the army. In Japan there were similar changes: the samurai were almost destroyed by the fall of the shogunate, the destruction of feudalism, and military reform. Both nations used territorial expansion as a means of mollifying the aristocracy and building support for the imperial government. The course of expansion differed. Japan did not begin until the 1890s, after industrialization, as it sought to secure sources of raw materials in Korea and Manchuria. Russian expansion began long before industrialization; one primary motive was the securing of a warm-water port.

2. **Discuss the extent of Japanese and Russian independence from the West and the ways in which their independence differed from that of Latin America.** Both Japan and Russia made conscious use of Western models in achieving industrialization and both incorporated aspects of Western culture in the process of industrialization. Both continued to trade with the West, so in a sense, both were culturally and technologically dependent on the West. Japan's industrialization was more complete and accomplished with less foreign capitalization, and thus less foreign control of development. Japan, with the exception of a lack of raw materials, was more economically autonomous. Russia, even after industrialization, retained some of the aspects of dependent economies (heavy foreign capitalization of industry, continued reliance on agricultural exports to the West). Both were involved in alliances that largely were the creation of Western states. The chief difference from Latin America was the successful industrialization of Russia and Japan. Latin America was less involved in Western diplomatic systems and in colonialism. In cultural borrowing and the importation of Western capital there were greater similarities.
CLASS DISCUSSION QUESTIONS

1. Compare and contrast Japan and Russia during the process of industrialization.

2. Describe Russian reform and industrialization from 1861 to 1900.

3. What were the forces leading to revolution in Russia by 1905?

4. Describe Japanese reform and industrialization from 1853 to 1900.

5. What social and economic changes took place in Japan as a result of industrialization?

6. How did reforms in Japan and Russia accommodate appeals to tradition?

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PART V RETROSPECTIVE
The Dawn of the Industrial Age, 1750-1914

Contacts and Their Limits. Contacts rose to unknown levels in the long 19th century. Travel changed enormously, with steamships, trains and the telegraph lessening distances. Globalization first appears in this period. Corporations had factories in different countries. On the political front, Western reformers attempted to apply their principles to foreign countries, and governments concluded international agreements on commerce. The International Court emerged in the late 1800s. The spread of Western cultures was another feature of globalization. Limits in this first wave of globalization include largely one-way cultural borrowing, and even the imposition of policies by the West. Moreover, many areas were largely unaffected by outside influence. Little homogenization occurred as yet. In fact rising nationalism in many areas led to greater distinction between countries.
PART VI
The Newest Stage of World History:
1914-Present

Maps of the world in 1914, in 2006, and of multinational corporations in 2000 reflect two of the biggest developments in the 20th century. Massive changes in boundaries resulted from the end of the Ottoman, Austro-Hungarian and Russian empires. Deep-rooted changes also took place in political forms—monarchies had predominated in 1914—and in social systems. The emergence of multinational companies was the other area of great change. While it is clear that the age of empires is over, defining the period that followed is difficult. In this period, following world history from 1914, it is difficult to achieve a perspective. The history of the period is not over, and discerning the most important ideas is challenging.

Triggers for Change. World War I, worldwide depression and World War II were clearly major factors. Everywhere, European dominance was questioned, threatened. Former colonies challenged Western military supremacy. A framework was provided by the cold war. When the Soviet Union collapsed and the United States emerged as the sole world power, new questions emerged. Would some other nation become the global power? Technological change profoundly affected life. The destructive power of weaponry grew, as did the nature of warfare, with civilians increasingly under fire. Genocide was frequently a feature of the post-war period. Population growth, made possible by 19th-century improvements in health care, created a new concern. Taken together, the factors in the rapid changes of the 20th century, coupled with the problem of historical perspective, raise many questions concerning the most significant triggers.

The Big Changes. Political changes were substantial. Everywhere aristocracies were replaced, in some instances by totalitarian governments, elsewhere by democracies. Economically, many countries followed the Western lead in industrialization. Oil-producing countries played a new role in world events. China and India transformed themselves into major exporters. Nationalism, Marxism and consumerism comprised the secular forces that had the greatest influence on culture. Religion continued to play a vital role. Globalization continued in the latter half of the 20th century, after a hiatus in the 60s and 70s. This period was considerably more intense than the first development of globalization, as China, Russia, Japan, Germany and the United States played key roles. Environmental change also became global, with the products of one nation affecting another far away.

Continuity. Three areas of continuity can be discerned. Some countries continued to produce raw materials and goods in traditional low-cost ways. Gender roles were influenced by changes in other spheres, but pressure for change was countered in many areas by resistance. In the same way, cultural change was resisted by efforts to underline native culture. Governments in some cases reacted to change by insisting on their rights. For instance, the United States remained hostile to what it viewed as infringements of its sovereignty in matters of the environment, punishment of war criminals and banning land mines.
Impact on Daily Life: Emotions and Behavior. Emotional and behavioral patterns were impacted by global change. In some cases, change was brought about intentionally, to help effect reform. Lowering birth rates also impacted family life. The demands of consumerism brought sales tactics that forced changes in behavior. As increasing numbers of businesspeople traveled the globe, they brought with them a new set of global behaviors.

Societies and Trends. Chapter 33 covers World War I. The interwar period is examined in Chapter 34, focusing on anticolonialism and major regime changes in Russia, Germany and Italy. Chapters 35 and 36 deal with World War II and the cold war, respectively. Latin America is the focus of Chapter 37. Decolonization and its impact in Africa, the Middle East and south Asia are the subjects of Chapter 38. Events in east Asia and the Pacific Rim are dealt with in Chapter 39. The turn of the 21st century is covered in Chapters 40 and 41.
CHAPTER 33
Descent into the Abyss: World War I and the Crisis of the European Global Order

I. The Coming of the Great War

A. The Long March to War
   Triple Entente
      Russia, France, Britain
      v. Germany
   Central Powers
      Germany, Austria-Hungary, Italy

   Italy joins Entente, 1915

B. The Outbreak of the War

   Gavriel Princip
      assassinates Austrian archduke, 1914

   Austria-Hungary, Germany
      attack Serbia

   Russia mobilizes
      Germany declares war on Russia, France

   Germany invades Belgium
      Britain declares war

II. A World at War
   Quick war expected

A. The War in Europe
   Stalemate on Western Front
      trench warfare
      massive losses

B. The War in the East and in Italy
   Russians
      offensives against Germany

   Italians
      war with Austrians stalemated
C. The Home Fronts in Europe
Little sympathy at home

Growth in governments
propaganda
suppression of criticism
labor groups dissatisfied
weakens Germany
Russia falls

Women in work force

D. The War Outside Europe
British block supplies to Central Powers
uses imperial resources, manpower
Indians deployed in many areas

French
use African troops

Japan
fights Germans in China, the Pacific

Ottomans
side with Germany
Armenian genocide

United States
begins neutral
German submarines attack American shipping
1917, enter war

E. Endgame: The Return of Offensive Warfare
Austrian-Hungarian Empire fragments

Germans agree to armistice, 1918

Casualties
10 million dead
20 million wounded

Influenza pandemic
millions die

III. Failed Peace
Woodrow Wilson
Peace of Paris
   German war guilt
   reparations
   Austria-Hungary
     Czechoslovakia, Hungary, Yugoslavia
   Poland independent

League of Nations

IV. The Nationalist Assault on the European Colonial Order
   Campaigns in Africa, Middle East
     Britain draws on colonial resources
     Indian production stepped up
   Asians, Africans work, serve

Colonies
   indigenous personnel given more opportunity

A. India: The Makings of the Nationalist Challenge to the British Raj
   India, Burma, Indonesia, the Philippines
   nationalist movements

   Worldwide patterns
     leadership of Western-educated elite
     charismatic leaders
     nonviolence

   India
     Indian National Congress, 1885
     initially loyal to British
     spurred by racism
     builds Indian identity

B. Social Foundations of a Mass Movement
   Critique of British rule
     economic privilege for British
     Indian army used for British interests
     high-paid British officials
     cash crops push out food production

C. The Rise of Militant Nationalism
   Hindu/Muslim split
B.G. Tilak
   nationalism above religious concerns
   boycotts of British goods
   Bombay regions
   imprisoned

Hindu communalists
   violent means
   terrorism in Bengal

Morley-Minto reforms, 1909
   more opportunity for Indians

D. The Emergence of Gandhi and the Spread of the Nationalist Struggle
Loyal to British at start of war
   but war casualties and costs mount
   inflation, famine
   promises broken

Montagu-Chelmsford reforms, 1919
   greater Indian participation in government

Rowlatt Act, 1919
   civil rights restricted
   Gandhi protests

Mohandas K. Ghandi
   nonviolence
      satyagraha, or truth force

E. Egypt and the Rise of Nationalism in the Middle East
Egyptian nationalism
   Ahmad Orabi
      rising, 1882

Lord Cromer
   reforms
      benefit upper classes

Journalists predominate

1890s
   political parties form
   harsh repression
Dinshawi Incident, 1906
focuses Egyptian nationalism

British grant constitution, 1913

G. War and Nationalist Movements in the Middle East
Mustafa Kemal (Ataturk, father of the Turks)
  independence by 1923
  reforms
    Westernizing

France, Britain
  promises to former Ottoman subjects
    renege
  occupy former Turkish lands: mandates

Arabs and Jews given conflicting assurances
  Balfour Declaration

Zionism
  World Zionist Organization
    Theodore Herzl

H. Revolt in Egypt, 1919
Egypt a British protectorate, 1914
  martial law to protect Suez Canal
  war drains Egyptian resources

Egyptians refused to present at Versailles

Wafd Party
  Sa'd Zaghlul
  British agree to independence
    from 1922
    to withdrawal from Canal zone, 1936

Early regimes
  little progress

[1952, Gamal Abdul Nasser]
I. The Beginnings of the Liberation Struggle in Africa
   General loyalty

   War
   - drains resources
   - Western-educated Africans gain authority

   Pan-African movement
   - Marcus Garvey
   - W.E.B. Du Bois

   Paris
   - Négritude
   - Sédar Senghor, Aimé Césaire, and Léon Damas

**Popular Revolt in Egypt, 1919.** Large numbers of women of all classes took to the streets in the widespread revolt against British rule in Egypt. Although more is known about the elite women that took part, the working-class women in the protests were far more numerous, and took on much more active roles in the continuing turmoil of the next decade. British rule had brought harsh conditions for women working in sweatshops and fields. World War I had brought increased prosperity, but inflation more than balanced the boom. British abuses during the war increased, and made life harder for many. When the British prevented Egyptian nationalists from going to Paris to plead their cause, popular risings resulted. Women took part in large numbers, some achieving martyrdom. Although Egypt was seemingly far-removed from the battlefields of Europe, it was like many other parts of the world in being pulled into the violence and confusion of World War I. The three great powers involved in the war were colonial powers, and the lands of their empires were submerged in the upheaval. The British and the French, in control of the sea approaches to Europe, could draw on their empires for men and materials. The exigencies of war led to greater leadership for Westernized Indians and Africans. However, the end of the war brought European attempts to take the reins of empire back into their own hands. The result was the first wave of decolonization.

**Chapter Summary.** World War I was a principal turning point in 20th-century world history. European global dominance quickly resulted in the spread of the conflict to most world regions. The massive human losses resulting from the war shattered existing global systems. New, dominating historical forces emerged.

**The Coming of the Great War.** Europe in 1914 was divided into two rival alliance systems.

**The Long March to War.** Fears of Germany caused an alliance between Russia, France, and Britain: The Triple Entente. In reaction, Germany, Austria-Hungary, and Italy allied, later known as the Central Powers. Italy, marginalized in the alliance, joined the Triple Entente in 1915. The Alliance system was imperiled by the global rivalries between the members. Most of the world had been claimed by one or the other of the powers by 1900. A costly arms race developed. In particular, Germany's creation of a powerful navy threatened Britain's control of
the seas. The nations often used military and diplomatic measures to defuse social tensions at home.

The Outbreak of the War. The Balkans became a dangerous trouble spot where rival small nations contested and where the great powers had interests. The assassination of an Austrian archduke by a Serbian nationalist in 1914 provided the cause for war. Austria-Hungary, supported by Germany, moved to attack Serbia. Russia responded by mobilizing its military, causing Germany to declare war on Russia and its ally, France. When Germany invaded Belgium to strike France, Britain entered the war. Britain's entry brought in her dominions and imperial territories, along with her Japanese ally.

A World at War. European leaders expected a brief and decisive struggle that would resolve the tensions existing between the two blocks. It quickly became apparent that there would be a long war.

The War in Europe. The Germans’ plan for quick French defeat failed. Modern technology, combined with leadership incompetence, then created a devastating stalemate on the Western Front. British, French, and German soldiers suffered staggering losses.

The War in the East and in Italy. The Russians surprised the Germans by mounting massive offensives, but the German reaction completely defeated the poorly trained Russian armies. Austria-Hungary, with German help, also checked the Russians. The Italians had joined the British and French, but the fighting between the Italians and Austrians ended in stalemate.

The Home Fronts in Europe. Neither governments nor their citizens were sympathetic to the horrors of the war. National resources were organized to continue the fighting. The war resulted in unprecedented government growth. The executive branches of government increased power at the expense of parliaments, and governments manipulated public opinion and suppressed dissent. Developments already visible in industrial societies quickened. Socialists and worker representatives became tied to governments. Some labor groups rejected their leadership and criticized the continuing war. The discontent helped the collapse of Russia and weakened Germany. Women entered the labor force in increasing numbers, and recast gender roles and images. When fighting ended, women were pressured back into the home, but they gained the vote in several nations.

The War Outside Europe. The presence of European combatants in all world regions inevitably spread the conflict. British naval supremacy effectively blocked overseas supplies from reaching the Central Powers. Both the British Dominions and non-settler territories provided manpower and material support to Britain and France. Britain sent Indian forces to several war theaters; France used African troops on the European front. Japan attacked the Germans in China and the Pacific. The Ottoman Empire allied with Germany. After losses against Russia and in the Middle East, Ottoman leaders launched a genocidal assault against their Armenian subjects. The United States at first remained neutral, and sold goods and made loans to both sides. For the first time in its history, the United States moved from being a debtor to a creditor nation. Most Americans remained pro-British, and when German submarines struck at
American vessels, public opinion turned interventionist. The United States entered the war in 1917. Its men and materials helped to turn the balance against the Germans.

**Endgame: The Return of Offensive Warfare.** A final German offensive on the Western Front in 1918 failed. The Austrian-Hungarian Empire fragmented along national lines. The German military agreed to an armistice and installed a civilian government in Berlin to sue for peace. Many Germans, unprepared due to previous propaganda, blamed defeat on socialists and Jews. The war caused the death of 10 million soldiers; 20 million were wounded. As the war ended, millions of individuals perished in a global influenza pandemic. Direct and indirect costs reached hundreds of billions of dollars. Much of Europe was in ruins.

**Failed Peace.** Woodrow Wilson's hopes for a peace aimed at establishing a new order preventing major wars and not punishing the defeated was not realized. The Peace of Paris humiliated the Germans; they were compelled to pay huge reparations. The collapsed multi-ethnic Austro-Hungarian Empire was broken into the new nations of Czechoslovakia, Hungary, and Yugoslavia. Poland was reborn, and received German territory. Colonial regions found out that Wilson's calls for self-determination applied only to Europeans. The victors strengthened their empires. Many other peoples shared the dissatisfaction. The new Russian government was not invited to the deliberations. Wartime promises to the Arabs were ignored. China's efforts to regain lands seized by the Japanese failed. In the United States, Congress rejected participation in the League of Nations. The treaty set the stage for a very insecure future.

**The Nationalist Assault on the European Colonial Order.** The world conflict severely disrupted the colonial systems. European vulnerabilities and rivalries were starkly revealed; for the first time they fought each other in their colonies. Significant campaigns occurred in Africa and the Middle East. British naval supremacy allowed the Allies to draw heavily on their territories for men and raw materials. Indian industrial production was encouraged to help the war effort. Thousands of Asian and African soldiers and laborers served on many fronts during the war and gained direct experience of their rulers' weaknesses. Manpower shortages in the colonies gave indigenous administrative personnel opportunities to exercise increased administrative responsibility. Many promises had been made to win support from colonial subjects or independent potential allies. The unmet demands and broken promises contributed to long-standing dissatisfactions and enhanced the standing of nationalist leaders.

**India: The Makings of the Nationalist Challenge to the British Raj.** India and Southeast Asia, among the earliest of colonized territories, had the first movements for independence. In India, Burma, Indonesia, and the Philippines, before the close of the 19th century, Western-educated groups were organizing nationalist associations to make their opinions heard. India, Europe's most important colonial possession, produced patterns that were later followed all over the colonial world. The diversity of the colonial world produced important variations in decolonization, but key themes were the ascendancy of Western-educated elites, the importance of charismatic leaders, and a reliance on nonviolent tactics. The party that led India to independence, the Indian National Congress, formed in 1885, and grew out of regional urban political associations. The organization was loyal to its rulers; it lacked a mass base or firm organization and was most interested in elite-related issues. The members reacted to British
racist attitudes. As time passed, Indians developed a common identity that had not previously existed among India's many diverse peoples.

**Social Foundations of a Mass Movement.** By the end of the 19th century, there was wide dissatisfaction with British rule. Businesspeople were angered by the favoritism given to British interests and products. The Indian army absorbed a large share of revenues and was used widely outside of India to advance British concerns. British officials received high salaries and pensions. The peasantry was pushed into the production of cash crops at the expense of food production. Landlessness, disease, and poverty were widespread.

**The Rise of Militant Nationalism.** A united nationalist movement was hindered by the differing concerns of Hindus and Muslims. Leaders such as B.G. Tilak ignored the split and asserted that nationalism should be built on appeals to the Hindu majority. He broke with moderates by demanding boycotts of British goods, and threatening violence if independence was not granted. Tilak was the first leader with a mass following, but it was limited to Bombay and its region. His use of reactionary Hindu ideas alienated Muslims, moderate Hindus, and other religious groups. Tilak was imprisoned by the British. Another early nationalist threat came from Hindu communalists pushing violent overthrow of the Raj; they committed terrorist acts in Bengal. The British crushed them by World War I. The failure of the two movements strengthened the more moderate Congress politicians who advocated a peaceful path to independence. The British cooperated through the Morley-Minto reforms of 1909 that expanded opportunities for Indians to elect and serve on local and national councils.

**The Emergence of Gandhi and the Spread of the Nationalist Struggle.** India had loyally supported Britain with men and resources during World War I. But, as the war dragged on, Indian casualties mounted while economic conditions in India hurt all sectors of the population. Inflation and famines raged during war; peasants and workers suffered while employer profits increased. Moderate politicians after the war were frustrated by Britain's refusal to honor promises of a steady move to self-government. The Montagu-Chelmsford reforms of 1919 had increased powers of Indian legislators at national levels and placed aspects of provincial administration under Indian direction. But the Rowlatt Act of 1919 offset the reforms by restricting key civil rights. The localized protest during and after the war provided the base for Gandhi's nationalist campaign. Gandhi combined knowledge of the British with the attributes of an Indian holy man and thus was able to win followers among all classes. He stressed nonviolent, but aggressive, protest tactics (*satyagraha*, or truth force) to weaken British control without provoking reprisal.

**Egypt and the Rise of Nationalism in the Middle East.** Egyptian nationalism predated the British occupation. The unsuccessful rising of Ahmad Orabi in 1882 had aimed at liberating Egypt from its unpopular khedives and their European associates. The British put down the movement and continued the dynasty in power under their control. The reforms of British High Commissioner Lord Cromer mostly benefited the small middle and elite classes and foreign merchants. Rural landlords (ayan) also gained significantly at the expense of the mass rural population. Resistance to the system grew among urban business and professional families. Unlike India, journalists and not lawyers were predominant. In the 1890s, several nationalist political parties formed, all without a mass base. The British often utilized harsh techniques against protesters. The extent of the population's hostility toward the British was demonstrated
in the Dinshawi Incident of 1906. A small clash, with limited fatalities, demonstrated British racial arrogance and undermined support for their presence in Egypt. By 1913 the British recognized the rising nationalism by granting a constitution and an indirectly elected parliament. World War I temporarily halted nationalist agitation.

**War and Nationalist Movements in the Middle East.** After World War I opposition to European domination spread widely. The Ottoman Empire had joined the central powers and did not survive their defeat. Mustafa Kemal, or Ataturk, led a resistance against efforts to conquer the Turkish homeland; by 1923 an independent republic emerged. Ataturk introduced extensive reforms, many based on Western precedents: a Latin alphabet, female suffrage, rejection of the veil. France and Britain did not honor the promises of independence made to the former Arab subjects of the Ottomans. They occupied the former Turkish lands, as the League of Nations mandates. Further Arab anger came from conflicting British promises to Arabs and Jews concerning Palestine. The Balfour Declaration fed Jewish aspirations for a return to their original homeland. Nineteenth-century eastern European pogroms had convinced some Jews that acceptance in Europe was impossible. Zionist organizations formed to promote a Jewish state. Theodore Herzl of the World Zionist Organization was unconcerned with the presence of Palestine's Arab inhabitants. Arab opposition to Jewish emigration led the British to restrict the pledges made to the Zionists, but did not stem them from building up their local position. Nothing was done by the British to encourage the development of a strong Palestinian leadership able to promote its own interests.

**Revolt in Egypt, 1919.** Egypt had been made a British protectorate in 1914. When World War I began, martial law was declared to ensure protection of the Suez Canal. The many troops stationed in Egypt drained local food supplies, while forced labor and inflation made conditions of life even harsher. When a delegation of Egyptian leaders was refused permission to present their case for self-determination to the conference at Versailles, unexpected mass demonstrations erupted. The British repressed the movement but recognized the necessity to listen to Egyptian opinion. The Wafd Party of Sa'd Zaghlul provided a unified nationalist base for Egyptian demands. After negotiations, the British agreed to a gradual move to independence beginning in 1922 and ending with withdrawal from the Suez Canal zone in 1936. The khedival regime remained and Britain reserved the power to reoccupy Egypt if it was threatened by a foreign power. Egyptian political parties after 1922 did little to increase the welfare of the majority of the population. Politicians used their positions to enrich themselves while they quarreled about control of the government. The utter social bankruptcy of the regime prepared the way for revolution in 1952 under Gamal Abdul Nasser.

**In Depth: Women in Asian and African Nationalist Movements.** The educational establishments of colonial rulers and missionaries produced a group of articulate and politically active women. Many women received education that allowed them to share in the lives of their educated husbands. Women, especially in the upper social classes, found the colonial presence a liberating experience. They participated in both peaceful and violent nationalist movements. Educated women also challenged their own male-dominated societies. Although their activities helped women to gain basic civil rights, once independence came, full equality had not arrived.
The Beginnings of the Liberation Struggle in Africa. Most Western-educated Africans remained loyal to their colonial rulers during World War I. Along with traditional African rulers, they gained local authority as the Europeans drew upon their lands for men and resources. The war disrupted colonial life because of reaction to recruitment of soldiers and laborers and interruption of export crops. The failure of Europeans after the war to keep promises of further reform, and the effects of the Great Depression contributed to unrest. Western-educated politicians began to organize during the 1920s; some were influenced by Afro-American leaders, such as Marcus Garvey or W.E.B. Du Bois, and the Pan-African movement. By the mid-1920s, nationalist leaders from the British and French colonies were on separate paths. French subjects focused on Paris and the Négritude movement, formed by such writers as Léopold Sédar Senghor, Aimé Césaire, and Léon Damas. Africans, except in settler colonies, had greater opportunities to organize politically. They were allowed representation in advisory councils and developed the beginnings of true political parties. By the 1930s, new and vigorous leaders came forward and made the first efforts to gain a mass following.

GLOBAL CONNECTIONS: World War and Global Upheavals. Western war losses undermined European global dominance. The United States, the Soviet Union, and Japan emerged as major rivals. The hardships imposed on colonies and the rulers' unfulfilled promises stimulated resistance that eventually ended European colonial regimes.

KEY TERMS

Archduke Ferdinand: Austro-Hungarian heir to the throne assassinated at Sarajevo in 1914; precipitated World War I.

Western Front: war line between Belgium and Switzerland during World War I; featured trench warfare and massive casualties among combatants.

Eastern Front: war zone from the Baltic to the Balkans where Germans, Austro-Hungarians, Russians, and Balkan nations fought.

Nicholas II: Russian tsar; (r. 1894-1917); executed 1918.

Gallipoli: World War I battle, 1915; unsuccessful attempt in defense of the Dardanelles.

Italian Front: war line between Italy and Austria-Hungary; also produced trench warfare.

Armenian genocide: launched by Young Turk leaders in 1915; claimed up to one million lives.

Submarine warfare: a major part of the German naval effort against the Allies during World War I; when employed against the United States it precipitated American participation in the war.

Armistice: November 11, 1918 agreement by Germans to suspend hostilities.

Georges Clemenceau: French premier desiring harsher peace terms for Germans.
David Lloyd George: British prime minister; attempted to mediate at peace conference between Clemenceau and Wilson.


Treaty of Versailles: ended World War I; punished Germany with loss of territory and payment of reparations; did not satisfy any of the signatories.

League of Nations: international organization of nations created after World War I; designed to preserve world peace; the United States never joined.

Indian National Congress: political party that grew from regional associations of Western-educated Indians in 1885; dominated by elites; was the principal party throughout the colonial period and after independence.

B.G. Tilak: first populist leader in India; believed that Indian nationalism should be grounded in the Hindu majority; exiled by the British.

Morley-Minto Reforms (1909): provided Indians with expanded opportunities to elect and serve on local and national legislative councils.

Montagu-Chelmsford reforms (1919): increased national powers of Indian legislators and placed provincial administrations under ministries controlled by Indian-elected legislatures.

Rowlatt Act (1919): placed severe restrictions on Indian civil rights; undercut impact of the Montagu-Chelmsford reforms.

M.K. Gandhi: Western-educated Indian lawyer and nationalist politician with many attributes of an Indian holy man; stressed nonviolent tactics and headed the movement for Indian independence.

Satyagraha: "truth force"; Gandhi's policy of nonviolent opposition to British rule.

Lord Cromer: British advisor to the Egyptian government; his reform program benefited the elite and foreign merchants, not the mass of Egyptians.

Mustafa Kemal, Ataturk: president of Turkey, (r. 1923-1938); responsible for westernization of Turkey.

Effendi: prosperous business and professional urban Egyptian families; generally favored independence.
**Dinshawi incident:** 1906 fracas between British soldiers and Egyptian villagers that resulted in an accidental Egyptian death; Egyptian protest led to harsh repression that stimulated nationalist sentiment.

**Hussein:** sherif of Mecca; supports British in World War I for promise of independence following the war.

**Mandates:** governments entrusted to victorious European World War I nations over the colonies of the defeated powers.

**Balfour Declaration (1917):** British promise of support for the establishment of Jewish settlement in Palestine.

**Zionism:** European Jewish movement of the 1860s and 1870s that argued that Jews return to their Holy Land; eventually identified with settlement in Palestine.

**Leon Pinsker:** European Zionist who believed that Jewish acceptance in Christian nations was impossible; argued for a return to the Jewish Holy Land.

**Theodor Herzl:** Austrian Zionist; formed World Zionist Organization in 1897; was unsympathetic to Arabs and promoted Jewish immigration into Palestine to form a Jewish state.

**Alfred Drefus:** (1859-1935); French Jew, falsely accused of treason in 1894; acquitted 1906; his false conviction fueled Zionism.

**Wafd Party:** Egyptian nationalist party founded after World War I; led by Sa'd Zaghlul; participated in the negotiations that led to limited Egyptian independence in 1922.

**W.E.B. Du Bois and Marcus Garvey:** Afro-American leaders with major impact on rising African nationalists.

**Négritude:** literary movement among Afro-Americans and Africans; sought to combat unfavorable stereotypes of African culture and to celebrate African achievements; influenced early African nationalist movements.

**Léopold S. Senghor, Aimé Césaire, and Léon Damas:** African and Afro-African Négritude movement writers.

**LECTURE SUGGESTIONS**

1. **Discuss the influence of World War I on the existing international system.** Major changes occurred in the European map. Austria-Hungary split into many smaller nations. The previous great powers were weakened both internally and in their empires. Tsarist Russia was replaced by the Soviet Union. Colonial peoples, disappointed by war-time promises continued or began nationalist movements desiring independence. In the Middle East, British foreign
policy incoherency led to the introduction of a significant foreign Jewish population into Palestine.

2. **Discuss whether the decolonization movements were the result of growing strength among colonial populations or of progressive Western weakness.** The colonies gained some strength as a result of the European world wars. The development of industrialization was connected with European preoccupation elsewhere. Colonial elites also obtained positions of influence because of the wars, as the European need for support gave colonies bargaining powers previously absent. The Western powers were weakened by the two global wars and the Great Depression. Treasuries were exhausted and war weariness among populations curtailed enthusiasm for colonial involvements. Thus the colonial powers were vulnerable to demands from indigenous peoples, particularly from nonviolent movements.

**CLASS DISCUSSION QUESTIONS**

1. What caused World War I?

2. Compare and contrast the effects of World War I upon the domestic political and economic affairs of the involved nations.

3. Discuss the consequences of the agreements concluding World War I.

4. What forces led to European loss of colonial dominance?

5. What was the "Indian prototype" of decolonization movements?

6. How did the early Egyptian nationalist movement vary from that of India?

7. Why was Gandhi critical to the success of the all-India nationalist movement?

8. Discuss the settlement of the issue of Palestine after World War I.

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CHAPTER 34
The World Between the Wars: Revolutions, Depression, and Authoritarian Response

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G.U.M. One of the more notorious institutions coming out of the Russian Revolution was the state department store chain, known by the acronym GUM. A people's answer to the elite department stores of the pre-revolution period, they were beset by problems. For one thing, Russians had little disposable income. For another, the very ideals of the revolution attacked consumerism, making shopping at GUM stores a cultural conundrum. Lastly, because of efforts to prevent workers from being treated as servants, they instead became indifferent salespeople.
In the GUM stores, consumerism and communism were at odds, but both were 20th-century phenomena. The interwar period was a period of adjustment to the war, reaction to colonialism, and also of entirely new movements.

**Chapter Summary.** The interwar period, the 1920s and 1930s, was influenced by the political and economic changes brought by World War I and the crises that ended with World War II. Important social and cultural developments occurred. The emergence of revolutionary and authoritarian regimes was another unsettling factor. The rise of Japan and the United States intensified international competition.

**The Roaring Twenties.** Many cultural, political, and economic alterations marked the 1920s.

**Bouncing Back?** Europe faced staggering challenges following World War I. Yet a mood of optimism appeared by the middle of the decade. The German republic was moving forward. A burst of artistic creativity emerged, especially including the Cubist movement. Scientific advances continued. Even though women lost their wartime place in the labor force, they achieved important gains as voting rights were won in several nations. Prosperity and falling birth rates also gave women more freedom. Western European economies were hard hit by the loss of export markets to Japan and the United States.

**Other Industrial Centers.** Canada, Australia, and New Zealand were rewarded for their loyalty to Britain during the war. Achieving independence, they became part of the British Commonwealth of Nations, on par with Britain. The United States developed quickly in the 1920s. An economic boom continued for most of the decade. American factory innovations increased production and were copied by other industrial nations. American culture also was sent abroad, especially jazz and Hollywood films. The U.S. position in the world was complicated by American ambivalence towards global involvement. Isolationism became popular, and the "Red Scare" increased a desire to withdraw from participation in world affairs. Japan continued to strengthen its economy. Its industrial capacity was greatly increased, made necessary by its continuing dependence on imports.

**New Authoritarianism: The Rise of Fascism.** Italian fascists, led by Mussolini, advocated a strong corporate state with national unity replacing socialism and capitalism. The origins of fascism lay in the late 1800s, when disillusionment with Enlightenment models led to a desire for authoritarian, nationalist government. Dissatisfaction with the outcome of World War I for Italy gave fascists an opportunity to gain power from a weak political system. Mussolini formed a government in 1922 and soon eliminated opposition. Elections were suspended in 1926.

**The New Nations of East Central Europe.** The new nations looked to western Europe for political inspiration, but they were weakened by grievances stemming from dissatisfaction with the borders awarded by the World War I peace treaties and by inter-state rivalries. Most soon turned to authoritarian governments. They remained predominantly agricultural and resisted land reform. Their export-dependent economies were hard-hit by the Depression.
A Balance Sheet. Representative forms of government were affirmed in Germany, Canada, Japan, and other countries. Economic and social change was accompanied by creativity in many areas. At the same time, democracy was challenged in Italy and central Europe. The ascendancy of the American and Japanese economic power threatened western Europe.

Revolution: The First Waves. Revolutions and anticolonial movements posed a direct challenge to more established powers. Alternatives were advanced to Western political, economic, and social forms.

Mexico's Upheaval. Two major events influenced 20th-century Latin American developments, the Mexican Revolution and World War I. Although most nations remained neutral, the war disrupted traditional markets and caused a realignment of national economies. A spurt of manufacturing occurred among nations forced to rely upon themselves. At the end of the war, all had to face the emergence of the United States as the region's dominant foreign power. Mexico had been ruled since 1876 by Porfirio Díaz. Great economic changes had occurred as foreign concessions helped to develop railroads and mining, and brought prosperity to the elite. Foreigners controlled much of the economy. The political system was corrupt, and opposition among workers, peasants, and Indians was repressed. In 1910, moderate reformer Francisco Madero proposed to run against the elderly Díaz, but was arrested as the president won a rigged election. A general rebellion followed, led by Madero, Pancho Villa, and peasant-rights proponent Emiliano Zapata. Díaz was driven from power, but the various factions could not agree. Zapata wanted sweeping land reform and revolted. In 1913, Madero was assassinated. General Victoriano Huerta unsuccessfully tried to restore a Díaz-style regime until forced from power in 1914. Villa and Zapata continued in control of their regions while more moderate leaders controlled the national government under General Alvaro Obregón. The Mexican revolution resembled other outbreaks in agrarian societies undergoing disruptive modernization. All had received large investments of foreign capital, and became dependent on world financial markets. The world banking crisis of 1907-1908 caused distress and stimulated rebellion. Civil war in Mexico ended by 1920; Obregón was the first of a series of elected presidents who tried to consolidate the regime and to rebuild from the serious losses of the civil war. A new constitution of 1917 promised land reform, limitation of foreign ownership, workers' rights, restriction of the role of the church, and educational reform. President Lázaro Cárdenas (1934-1940) distributed over 40 million acres, mostly as communal holdings (ejidos), and extended primary and rural education.

Culture and Politics in Postrevolutionary Mexico. Nationalism and the concern for Indian culture stimulated many of the reforms. Education stressed Mexico's Indian heritage and denounced Western capitalism. Artists Diego Rivera and José Clemente Orozco recaptured the past and offered a program for the future. Mural art mixed romanticism of the Indian heritage with Christian and communist ideas. Popular culture celebrated the heroes of the revolution. Some Mexicans opposed the changes, especially the church and clergy. They backed a conservative peasant movement, the Cristeros, during the 1920s. The United States, busy with World War I, had reacted minimally to the revolution. The revolutionary leadership institutionalized the new regime by establishing a one-party political system. The forerunner of the present Party of the Institutionalized Revolution (PRI) developed from the 1920s into a dominant political force. It incorporated peasant, labor, military, and middle-class sectors. The
need to reconcile the various interests limited the worst aspects of one-party rule. Presidents were restricted to one six-year term. By the end of the 20th century, many Mexicans believed that little remained of the original revolutionary principles, and new political parties challenged a weakened PRI.

**Revolution in Russia: Liberalism to Communism.** Revolutionary outbreaks, spurred by wartime misery in an incompletely reformed society, began in March 1917. A council of workers took over St. Petersburg and precipitated events leading to the tsar's abdication. A liberal provisional government directed by Alexander Kerensky tried to establish parliamentary reforms while continuing Russian participation in World War I. Economic conditions worsened and public morale dropped. Land reforms desired by peasants were delayed. In November 1917, a second revolution occurred that brought to power the Bolsheviks, soon to become the Communist Party. Lenin took control and quickly concluded an unfavorable peace with Germany. When elections gave another party the majority, Lenin closed the parliament and replaced it with a communist-dominated Congress of Soviets. They controlled the government until 1989. The revolution faced foreign and domestic resistance. The United States, Britain, France, and Japan participated in a brief and unimportant military intervention. Internal revolution was a more serious threat; from 1918 to 1921 tsarist supporters, peasants, and ethnic minorities unsuccessfully contested their rule. Broad economic distress accompanied the disorders.

**Stabilization of Russia's Communist Regime.** The communists formed a powerful Red Army under Leon Trotsky to combat their opponents. The army drew strength from its incorporation of talented individuals of humble backgrounds and from inspiring loyalty in the hope of a brighter future. Economic disarray was reduced by Lenin's New Economic Policy of 1921; it combined state direction with the promise of freedom of action for small businessmen and peasant landowners. By 1923 the revolution had triumphed, and a federal system, the Union of Soviet Socialist Republics, was created. Ethnic Russian domination was preserved in the central state apparatus. Despite many democratic trappings, the Soviet political system soon became a harsh authoritarian regime.

**Soviet Experimentation:** The first years of communist rule were an experimental period when many groups debated policies and jockeyed for power. Workers and women achieved new gains. In the early years, education and literacy spread rapidly. Internal rivalry followed Lenin's death in 1924. Stalin, a representative of a strongly nationalist version of communism, won out. Lenin had thought that the Russian experience would spread throughout the world; a Comintern was founded to guide the process. Stalin's regime concentrated on internal Russian development, or "socialism in one country." Opponents were killed or exiled. Industrialization was accelerated and peasant land ownership was attacked.

**Toward Revolution in China.** The abdication of the last Qing emperor in 1912 opened the way for a long political struggle for control of a united China. The alliance that had overthrown the Manchus shattered, and regional warlords rose to domination. Yuan Shikai, who hoped to found a new dynasty, headed the most powerful group of warlords. Wealthy merchants and bankers in coastal cities comprised a second power center, while students and teachers were an influential,
but defenseless, group. Secret societies had strength in some regions. All the factions became overshadowed by Japan's imperialist entry into China.

**In Depth: A Century of Revolutions.** The series of 20th-century revolutions surpasses those of the 18th and early 19th centuries. Peasant rural discontent was a significant factor; so was the disruption brought by the Industrial Revolution and the Western-dominated global market system. Colonial peoples sought dignity and employment. Intellectual currents, ideas centering on a better life for all in society, influenced many leaders. A common theme was to reduce Western interference and assert increased national autonomy.

**China's May Fourth Movement and the Rise of the Marxist Alternative.** Sun Yat-sen, the head of a loose anti-Manchu coalition, the Revolutionary Alliance, claimed the succession to the dynasty, but lacked power to counter warlord opposition. The support for the Alliance was confined to the urban trading centers of the south and central coast. The Alliance elected Sun president in 1911 and established a European-style parliament. Sun conceded his powerlessness by resigning the presidency in favor of Yuan Shikai in 1912. He soon created an autocratic regime and worked to become emperor. Rivalry with other warlords, republican nationalists, and the Japanese checked his ambitions. During World War I, Japan seized Germany's spheres of influence in China and then moved to build a dominant position. In 1915 they presented Yuan with the Twenty-One Demands; acceptance would have made China a Japanese protectorate. Yuan ignored the demands and a rival warlord deposed him in 1916. When Japan received confirmation at Versailles of their control of the former German concessions, mass nationalist demonstrations occurred on May 4, 1919. They were the beginning of an extended period of protest against Japan. The May Fourth movement initially aimed to make China a liberal democracy; Confucianism was rejected in favor of Western ideas. The movement did not take into account the realities of the political situation: China was ruled by warlords, and gradualist solutions did offer a remedy for the deprived status of the peasantry. Many Chinese wanted more radical alternatives, and some turned to the example of the Russian Revolution and spread Marxist theories. Thinkers, such as Li Dazhou, reworked Marxism to make peasants the vanguard of change. All China had been exploited by the West, he reasoned, and all Chinese had to rise against their exploiters. Li's thoughts influenced the young Mao Zedong. In 1921 Marxists founded the Communist Party of China.

**The Seizure of Power by China's Guomindang.** During the 1920s, the Guomindang (Nationalist Party of China) struggled to survive in the South, under the leadership of Sun Yat-sen until his death in 1925. As the party built an army, Sun evolved an ideology stressing a strong central government and social reforms for peasants and workers. Guomindang leaders, however, neglected internal social concerns and instead focused on political and international issues. Support for the party came from urban businesspeople and merchants of coastal cities. In 1924 the Guomindang and Communists concluded an alliance. They gained support from the Soviet Union. The Whampoa Military Academy, founded in 1924 and partially staffed by Soviets, helped Guomindang military efficiency. Its first head was Chiang Kai-shek. The Guomindang leaderships' continued concern with party organization kept them from meeting the serious problems facing China's economy and people. Sun was ignorant of rural conditions and did not recognize that many among the peasantry lived in misery.
Mao and the Peasant Option. Mao Zedong formulated an ideology based on peasant support for revolutionary solutions to China's problems. Chiang Kai-shek became leader of the Guomindang after Sun's death in 1925. By the late 1920s, Chiang had defeated most warlords and gained recognition as the ruler of China. In 1927 Chiang moved against his Communist allies, beginning a civil war that did not end until 1949. In 1934 Mao led the Long March to Shanxi in the remote northwest, where a new communist center formed.

The Global Great Depression. The Great Depression that began in 1929 had worldwide impact. Authoritarian regimes multiplied. The economic and political changes led to World War II. Globalization declined and Western dominance appeared to collapse.

Causation. The impact of World War I influenced European economies into the early 1920s. Serious inflation in Germany was only resolved through massive currency devaluation in 1923. A general recession occurred in 1920 and 1921, although production levels rose again by 1923. Britain had a very slow recovery because of competition within its export markets. There were many general structural problems. Western farmers faced chronic overproduction; prices fell, and continuing flight from the land followed. Overproduction similarly harmed the dependent areas of the world economy and lessened their ability to import Western manufactured goods. Governments lacked knowledge of economics and provided little leadership during the 1920s. Nationalist selfishness predominated and protectionism further reduced market opportunities.

The Debacle. The depression began in October 1929 when the New York stock market crashed. Stock values fell and banks failed. Americans called back their European loans and caused bank failures. Investment capital disappeared. Industrial production fell, causing unemployment and lower wages. Both blue-collar and middle-class workers suffered as the Depression grew worse from 1929 to 1933. The intensity and duration of the Great Depression was without precedent; full recovery came only with the production rise forced by World War II. As millions suffered, the optimistic assumptions of the 19th century shattered. A few economies escaped incorporation in the depression. The Soviet Union, isolated by its Communist-directed economy, went about the business of creating rapid industrial development without outside capital. In most other nations, the Depression worsened existing hard times. Western markets were unable to absorb imports, causing unemployment in economies producing foods and raw materials. Japan's dependence on exports caused similar problems. Latin American governments responded to the crisis by greater involvement in planning and direction; the Japanese increased their suspicions of the West and thought about gaining secure markets in Asia. In the West, the Depression led to welfare programs and to radical social and political experiments. The global quality of the Depression made it impossible for any purely national policy to restore prosperity and contributed to the second international world war.

Responses to the Depression in Western Europe. Western governments were unable to counter economic distress, causing people to seek solutions from radical parties of the right and left. Some parliamentary states were unable to cope with the crisis. In France, radical movements grew. An elected Popular Front of Liberals, Socialists, and Communists came to power in 1936, but was blocked in issues of social reform and foreign policy by strong conservative opposition. The Front lost office in 1938. A few nations managed a constructive response. Scandinavian nations under moderate socialist regimes increased spending and
provided social insurance. The British had some success as innovative businesspeople opened new industrial sectors.

**The New Deal.** The United States, after following policies similar to the European response, reacted creatively. Franklin Roosevelt's New Deal enacted social insurance programs, increased government spending to stimulate the economy, and generally expanded government intervention into American society. The measures did not end depression nor create a full welfare state, but they did restore American confidence in their political system.

**The Authoritarian Response.** Authoritarian regimes spread in Germany, Latin America, Japan and the Soviet system became more totalitarian.

**The Rise of Nazism.** The impact of the Depression in Germany led to a Fascist regime. Many veterans reacted to Germany losing the war and the peace settlement by opposing weak parliamentary regimes. Along with landlords and business groups, they supported authoritarian leaders promising social reform while attacking trade unions, and Socialist or Communist organizations. Other nations had Fascist parties during the 1920s, but they gained power only in Italy. Adolf Hitler's Nazi (National Socialist) Party in Germany made Fascism a major historical force. Hitler stressed the need for unity and the weakness of parliamentary government. He attracted individuals longing for a return to the past or opposing Socialism and Communism. Hitler also played on popular grievances, such as supposed Jewish influence in Germany, and called for undoing the provisions of the Treaty of Versailles. The Nazis won the largest share of the vote in 1932, allowing Hitler to come to power by arrangements with other leaders in 1933. He quickly began to build a totalitarian administration. All opponents in and out of government were purged; his secret police, the Gestapo, arrested thousands of people. The state emphasized military production to help restore the economy. German anti-semitism provided a scapegoat for societal problems and turned into the Holocaust after 1940. Hitler's foreign policy was based on preparation for war that would restore World War I losses and create a large land empire in Europe. Hitler began the process when Germany suspended reparation payments, and in 1935, began rearming. In 1936 Germany occupied the Rhineland. Britain and France did nothing to counter the violations of the Versailles treaty. In 1938 Hitler united Austria to Germany and later marched into part of Czechoslovakia. Britain and France at Munich accepted Germany's move in return for promises of peace. Hitler went ahead to take the rest of Czechoslovakia in 1939 and signed an alliance with the Soviet Union. When Hitler invaded Poland in 1939, Britain and France declared war against Germany.

**The Spread of Fascism and the Spanish Civil War.** Other nations, especially in eastern Europe, copied the German example. Mussolini in 1935 attacked and defeated Ethiopia without significant reaction from the international community. In 1936, civil war began in Spain between authoritarian and republican and leftist groups. Germany and Italy supported the Spanish right; Russia and individual Western volunteers aided the left. The principal democracies remained inert. The republicans were defeated by 1939. War began in China with a Japanese invasion in 1937. In 1940 Germany, Italy, and Japan concluded an alliance. When the war began, the European powers desiring to preserve the status quo were unprepared for conflict. The United States wished to remain neutral.
Economic and Political Changes in Latin America. During and after World War I, Latin American economies expanded and population growth continued. The middle-and working class challenged traditional oligarchies. New parties formed and attacked liberalism and laissez-faire capitalism. World War I interrupted European demand for its products. Local industries formed to produce replacements for unavailable European products. A few exports had increased European demand. After the war, a slowing economy and inflation caused increasing political unrest. Population growth, swelled by heavy immigration, contributed to urban concentration and increased social problems.

The Great Crash and Latin American Responses. The Great Depression emphasized the weaknesses of Latin America's dependent economies and political systems. Foreign investment ceased and purchase of export products declined. Conservative groups, supported by the military and the church, rose and adopted corporatism, an ideology making the state a mediator between different social groups. Elements of Fascism also were popular. Among the reforming regimes, the most successful was Mexico's Cárdenas administration. Large-scale land reform created communal farms with a credit system to support them. Foreign oil companies were nationalized and rural education expanded. A new regime in Cuba was more typical. A revolution in 1933 aimed at social reform and breaking United States domination. Moderates won control and reforms resulted.

The Vargas Regime in Brazil. A contested election of 1929 led to civil war and the emergence of Getúlio Vargas as president. Vargas promised reforms to help ease the crisis caused by the collapse of coffee exports. He launched a centralized political program, prevented coups by communists and fascists, and with military support, imposed a new constitution in 1937 that created an authoritarian regime based on ideas from Mussolini's Italy. Vargas joined the Allies during World War II in return for Allied aid. Little open opposition was allowed to his corporatist government. When reactions to his policies increased, Vargas sought support from labor and the Communists. Under criticism from right and left, Vargas committed suicide in 1954.

Argentina: Populism, Perón, and the Military. A military coup by a coalition of Nationalists, Fascists, and Socialists ended the rule of the middle-class Radical Party when the economy collapsed in 1929. The coup failed, but the succeeding conservative governments, despite industrial growth, did not bring prosperity. The labor movement became stronger. In 1943 the military Nationalists who wanted to modernize the state, seized control. Juan D. Perón emerged as leader, gaining support by supporting worker demands. His wife Eva Duarte - Evita - became his spokesperson among the lower classes. Perón created a coalition embracing workers, industrialists, and the military, depending upon his personal charisma and repression to maintain rule. Foreign-owned industries were nationalized. Perón's regime by the 1950s could not solve Argentina's growing economic problems. His coalition fell apart, and a military coup drove him from office in 1955. The country remained under his shadow for the next 20 years as military governments attempted to solve economic and political problems. Labor groups continued to support Perón. He was elected president in 1973, but his death in 1974 returned Argentina to military rule.
The Militarization of Japan. The depression contributed to the rise of Nationalist groups in Japan. Some opposed Western values; others favored an authoritarian regime and military expansion. The military, without civilian backing, already had conquered the Chinese province of Manchuria in 1931. Unsuccessful coup attempts by younger officers in 1932 and 1936 gave the military a stronger influence in government. After 1936, a series of militarist prime ministers ruled under the influence of General Tojo Hideki. When war began with China in 1937, the military became even more powerful; Japan occupied parts of eastern China. By the close of 1938, Japan controlled a regional empire that included Korea, Manchuria, and Taiwan. Korean culture was suppressed while workers and peasants were exploited. Japan's leaders looked for wider conquests.

Industrialization and Recovery. Active government policies quelled the effects of the Depression. Japan turned fully to industrialization after 1931 and its economy grew significantly. New industrial policies were introduced to prevent unrest and stabilize the labor force. Mass patriotism and group loyalty were emphasized in government policies. By 1937, Japan was a major global economic force.

Stalinism in the Soviet Union. The experimental time of early Communist rule faded after Stalin consolidated power in 1927. Stalin's authoritarian rule aimed to make the Soviet Union a fully industrial society under complete state control. The effort was carried on with minimal Western involvement.

Economic Policies. A massive program of agricultural collectivization began in 1928. Stalin wanted to replace individual holdings with state-run farms. The policy aimed to facilitate agricultural mechanization and increase Communist control of peasants. Landless laborers welcomed the policy, but kulaks resisted by destroying livestock and property. Stalin's determination to continue the policy produced serious famine, while millions of kulaks were killed or sent to Siberia. In the long run, collectivization did not work. Agricultural production remained a major weakness of the Soviet economy. Stalin's industrial policies were more successful. State-directed five-year plans expanded development as the government constructed massive factories specializing in heavy industry that made Russia independent of the West and prepared for possible war. Market demand stimulation was replaced by centralized resource allocation and production quotas. The process was wasteful, but great growth occurred: Russia became the third industrial power, behind the United States and Germany, when the West was mired in the Great Depression.

Toward an Industrial Society. Industrialization in Russia produced results similar to the Western experience. Workers congregated in crowded and unsatisfactory urban housing. Factory discipline was strict, but managers introduced incentives to increase production. An extensive welfare system opened that partly compensated for modest living standards.

Totalitarian Rule. Stalin created an extreme version of the totalitarian state. Opponents or suspected opponents were executed or sent to Siberian labor camps. The state and the party were subject to Stalin's will. The state controlled information and the secret police were everywhere. Until 1917, Russian diplomatic involvement had been very limited, but Hitler's rise raised concern. The Russians tried to cooperate with the West to check the German threat,
but Britain and France were very suspicious of the Soviets and avoided action. The Russians, to gain time and to allow an attack of Poland and Finland, concluded an agreement with Hitler in 1939.


KEY TERMS


Cubist movement: headed by Pablo Picasso; rendered familiar objects as geometrical shapes.

Fascism: political ideology that became predominant in Italy under Benito Mussolini during the 1920s; attacked the weakness of democracy and the corruption and class conflict of capitalism; promised vigorous foreign and military programs.

Benito Mussolini: Fascist premier of Italy (r. 1922-1943); formed the fascio di combattimento in 1919.

Syndicalism: organization of industrial workers to control the means of production and distribution.

British Commonwealth of Nations: free association of former British dominions states on equal terms formed in 1926.

Henry Ford: introduced the assembly line in 1913; allowed semiskilled workers to put products together through repetitive operations.

Mexican Revolution, 1910-1920: Civil War; challenged Porfio Díaz in 1910 and initiated a revolution after losing fraudulent elections.

Francisco Madero: moderate democratic Mexican reformer; assassinated in 1913.


Emiliano Zapata: Mexican revolutionary commander of a guerrilla movement centered at Morelos; demanded sweeping land reform.

Victoriano Herta: came to power in Mexico, 1913; forced from power 1914; tried to install Díaz-style government.
**Alvaro Obregón**: Mexican general; emerged as leader of government in 1915; later elected president.

**Mexican Constitution of 1917**: promised land and educational reform, limited foreign ownership, guaranteed rights for workers, and restricted clerical education and property ownership; never fully implemented.

**Lázaro Cárdenas**: Mexican president (1934-1940); responsible for large land redistribution to create communal farms; also began program of primary and rural education.

**Diego Rivera and José Clemente Orozco**: Mexican artists working after the Mexican Revolution; famous for wall murals on public buildings that mixed images of the Indian past with Christian and communist themes.

**Corridos**: popular ballads written to celebrate heroes of the Mexican Revolution.

**Cristeros**: conservative peasant movement in Mexico during the 1920s; a reaction against secularism.

**Party of Institutionalized Revolution (PRI)**: inclusive Mexican political party developing from the 1920s; ruled for the rest of the 20th century.

**Soviet**: council of workers; seized the government of St. Petersburg in 1917 to precipitate the Russian Revolution.

**Aleksander Kerensky**: liberal revolutionary leader during the early stages of the Russian Revolution of 1917; attempted development of parliamentary rule, but supported continuance of the war against Germany.

**Russian Communist Party**: Bolshevik wing of the Russian socialists; came to power under Lenin in the November 1917 revolution.

**Council of People's Commissars**: government council composed of representatives from Russian soviets and headed by Lenin; came to power after November 1917.

**Social Revolutionary Party**: majority vote winners in first elections after November 1917; removed from office by Bolsheviks.

**Congress of Soviets**: Lenin's parliamentary institution based on Soviets under Bolshevik domination; replaced the Social Revolutionary Party.

**Red Army**: built up under the leadership of Leon Trotsky; its victories secured communist power after the early years of turmoil following the Russian Revolution.
**New Economic Policy (NEP):** initiated in 1921 by Lenin; combined the state establishing basic economic policies with individual initiative; allowed food production to recover.

**Union of Soviet Socialist Republics (USSR):** Russian federal system controlled by the Communist Party established in 1923.

**Supreme Soviet:** communist-controlled parliament of the USSR.

**Comintern:** Communist International, an organization under dominance of the USSR; designed to encourage the spread of communism in the rest of the world.

**Joseph Stalin:** Lenin's successor as leader of the USSR; strong nationalist view of communism; crushed opposition to his predominance; ruled USSR until his death in 1953.

**Collectivization:** creation of large state-run farms replacing individual holdings; allowed mechanization of agriculture and more efficient control over peasants.

**Yuan Shikai:** warlord in northern China after the fall of the Qing dynasty; president of China in 1912; hoped to become emperor, but blocked in 1916 by Japanese intervention in China.

**Sun Yat-sen:** head of the Revolutionary Alliance that led the 1911 revolt against the Qing; president of China in 1911, but yielded to Yuan Shikai in 1912; created the Guomindang in 1919; died in 1925.

**May Fourth Movement:** acceptance at Versailles of Japanese gains in China during World War I led to demonstrations and the beginning of a movement to create a liberal democracy.

**Li Dazhao:** Chinese Marxist intellectual; rejected traditional views and instead saw peasants as the vanguard of socialist revolution; influenced Mao Zedong.

**Guomindang (National Party):** founded by Sun Yat-sen in 1919; main support from urban businesspeople and merchants; dominated by Chiang Kai-shek after 1925.

**Whampoa Military Academy:** Guomindang military academy founded in 1924 with Soviet support; its first director was Chiang Kai-shek.

**Chiang Kai-shek:** leader of the Guomindang from 1925; contested with the communists for control of China until defeated in 1949.

**Mao Zedong:** Communist leader who advocated the role of the peasantry in revolution; led the Communists to victory and ruled China from 1949 to 1976.

**Long March:** Communist retreat under Guomindang pressure in 1934; shifted center of Communist power to Shanxi province.
**Popular Front**: alliance of French Socialist, Liberal, and Communist parties; won election in 1936; blocked from reform efforts by conservative opposition; fell in 1938.

**New Deal**: President Franklin Roosevelt's program to combat economic depression.

**Totalitarian state**: a 20th century form of government that exercised direct control over all aspects of its subjects; existed in Germany, Italy, the Soviet Union, and other Communist states.

**Popular Front**: alliance of French Socialist, Liberal, and Communist parties; won election in 1936; blocked from reform efforts by conservative opposition; fell in 1938.

**New Deal**: President Franklin Roosevelt's program to combat economic depression.

**Totalitarian state**: a 20th century form of government that exercised direct control over all aspects of its subjects; existed in Germany, Italy, the Soviet Union, and other Communist states.

**Gestapo**: German secret police under Hitler's Nazi regime.

**Spanish Civil War**: civil war between republican and autocratic supporters; with support from Germany and Italy, the autocratic regime of Francisco Franco triumphed.

**Import substitution economies**: Latin American and other nations’ effort to produce what had formerly been imported.

**Corporatism**: conservative political movement emphasizing the organic nature of society, with the state as mediator between different groups.

**Getúlio Vargas**: became president of Brazil following a contested election of 1929; led an authoritarian state; died in 1954.

**Juan Perón**: dominant authoritarian and populist leader in Argentina from the mid-1940s; driven into exile in 1955; returned and elected president in 1973; died in 1974.

**Eva Duarte (Evita)**: wife of Juan Perón; the regime’s spokesperson for the lower social classes; died in 1952.

**Tojo Hideki**: Japanese general who dominated internal politics from the mid-1930s; gave the military dominance over civilian cabinets.

**Spanish Civil War**: civil war between republican and autocratic supporters; with support from Germany and Italy, the autocratic regime of Francisco Franco triumphed.

**Import substitution economies**: Latin American and other nations’ effort to produce what had formerly been imported.
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**Tojo Hideki**: Japanese general who dominated internal politics from the mid-1930s; gave the military dominance over civilian cabinets.

**LECTURE SUGGESTIONS**

1. **Compare and contrast the Communist Revolution in China with the Russian Revolution of 1917.** The Russian Revolution followed the lack of success during World War I; Russia had not been colonized by a European power. China had been exposed to Western imperialism. Lenin had imposed a system of revolution based on an urban proletariat; Chinese communists, especially Mao, emphasized the peasantry. Both countries had an insubstantial middle class to support liberal democratic experiments; both collectivized agriculture early in their revolutionary development. Both also had five-year industrialization plans, although Russia’s was much more successful than China’s. Mao, through his opposition to a technocratic elite, introduced programs aimed at destroying urbanized industrialization; the Great Leap Forward and the Cultural Revolution retarded economic development. Both regimes expanded into neighboring regions. The two regimes during their middle periods were dominated by charismatic leaders - Mao, Stalin. Both countries have introduced reforms and increased Westernization since the 1980s, but Russia's reforms have gone much further than China's.

2. **Compare and contrast the 20th-century Mexican Revolution with the revolutionary experiences of the Chinese and Russians.** The Mexican Revolution was conditioned by the development of their society after independence was gained during the 19th century. The Mexicans were influenced by the particular brand of imperialism followed by the United States in the Americas. All three industrialized industries; all had charismatic leaders. Why were their paths different?

**CLASS DISCUSSION QUESTIONS**

1. Characterize the "Roaring '20s."

2. What was the relationship between the Great Depression and political instability?

3. Define "totalitarianism."
4. How did the Cold War affect western Europe?

5. Characterize the internal politics of western Europe after 1945.

6. What is the "welfare state"?

7. How did the social structure of the West change in the period after World War II?

8. Describe western science and culture in the late 20th century.

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CHAPTER 35
A Second Global Conflict and the End of the European World Order

I. Old and New Causes of a Second World War
Guomindang
  Chinese reunification
  Japanese invade
    Manchuria, Manchuko, 1931

Germany
  response to Soviet Union, World War I losses

Italy
  Ethiopia

II. Unchecked Aggression and the Coming of War in Europe and the Pacific
Japanese invade China, 1937
  Guomindang retreat

Germany
  invades Poland, 1939

III. The Conduct of a Second Global War
  West reacts slowly

A. Nazi Blitzkrieg, Stalemate, and the Long Retreat
  Germany
    conquers France, Low Countries
    northern Africa

  Britain
    Winston Churchill

Russia
  Germany invades, 1941
    1943, driven back

B. From Persecution to Genocide: Hitler's War Against the Jews
  Holocaust begins, 1942
    up to 12 million killed
    6 million Jews

C. Anglo-American Offensives, Encirclement, and the End of the 12-Year Reich
  Pearl Harbor, 1941
    United States joins Allies
Americans and British  
North Africa, 1942  
    success against Germans, Italians  
France, 1944  
Germany surrenders, 1945

D. The Rise and Fall of the Japanese Empire in the Pacific War  
Japan  
attacks U.S., 1941  
Indonesia, Malaya, Burma, Philippines

U.S.  
some success by late 1942  
air attacks on Japan, 1944  
atomic bombs  
    Hiroshima, Nagasaki

IV. War's End and the Emergence of the Superpower Standoff  
United Nations  
Security Council  
    U.S., Soviet Union, Britain, France, China  
World Court

A. From Hot War to Cold War  
Teheran Conference, 1944  
    U.S., Britain, France

Yalta, 1945

Germany  
    four occupation zones

Potsdam, 1945  
    Germany, Austria divided, occupied

Japan invaded  
    loses territories

Korea freed  
    divided into two zones

China  
    regains territory  
    Communists v. Nationalists
Baltic States
become Soviet provinces
except Yugoslavia, Greece

V. Nationalism and Decolonization
Atlantic Charter, 1941
self-determination

A. The Winning of Independence in South and Southeast Asia
Indian National Congress
Quit India Movement, 1942

Gandhi

Muhammad Ali Jinnah, Muslim League

British Labour government, 1945

Hindu/Muslim conflict
India, Pakistan, 1947

Gandhi assassinated, 1948

Sri Lanka (Ceylon), Myanmar (Burma)
peaceful independence

Philippines
U.S. grants independence

Dutch
lose Indonesia to nationalists, 1949

French
Indochina

B. The Liberation of Nonsettler Africa
Two models

Radical
e.g. British Gold Coast (Ghana)
Kwame Nkrumah
Convention Peoples Party
strikes, rallies, boycotts
independence, 1957
Peaceful
French, Belgian territories
negotiation
e.g. Senegal, Ivory Coast
Léopold Sédar Senghor, Félix Houphouët-Boigny
economic ties retained

All French West African colonies freed by 1960

Portuguese retain colonies

C. Repression and Guerrilla War: The Struggle for the Settler Colonies
More conflict

Kenya
Jomo Kenyatta
peaceful efforts fail
Land Freedom Army
guerilla tactics
defeated, Kenyatta imprisoned
negotiation with Britain
independence, 1963
Kenyatta president

Algeria
violent
National Liberation Front
warfare, 1950s
negotiations
independence, 1962

D. The Persistence of White Supremacy in South Africa
Angola, Mozambique
revolution
independence, 1975

Southern Rhodesia (Zimbabwe)
independence by 1980

South Africa
Afrikaners
white supremacy ideology
in control after Anglo-Boer War (1899-1902)
apartheid
E. Conflicting Nationalisms: Arabs, Israelis, and the Palestinian Question

Arab nations
most independent by 1960s

Palestine
Zionist movement
Holocaust
Muslim revolt, 1936-1939

1948, Palestine divided
warfare

The Japanese Take Over Indonesia. The Dutch were replaced by the Japanese as rulers of Indonesia in 1941-1942. Sukarno, the country's future ruler, witnessed the end of the era of European dominance in Padang. The Japanese purposely humiliated the Westerners they captured, to further the idea that they came as liberators. In fact, they were even more oppressive than the regimes they replaced. Even before the arrival of the Japanese, Sukarno had engaged in a decade of nationalist protest. He worked with the new rulers, but spoke Indonesian or Javanese in his orations, giving him the opportunity to criticize the Japanese. Like other leaders in the decolonization wave after 1945, Sukarno used the resulting power vacuum to organize resistance to the colonial regime. Like them too, he became engaged in the cold war alignments that spread over the globe. He was victim to a military coup like other areas in the process of decolonization.

Chapter Summary. The aggressive policies of Germany, Italy, and Japan, and the failure of the impotent League of Nations and the West to check them, ended in global war in 1939.

Old and New Causes of a Second World War. When the Guomindang appeared to be successfully reunifying China, the Japanese military moved to secure its gains. Manchuria was proclaimed the independent state of Manchuko in 1931. Germany under Hitler pushed its aggressive response to the loss of World War I and the rise of the Soviet Union. Italy conquered Ethiopia, and both Germany and Italy aided the defeat of the Spanish republic.

Unchecked Aggression and the Coming of War in Europe and the Pacific. In 1937, the Japanese began a massive invasion of China. The Guomindang retreated inland and continued resistance. The Germans invaded Poland in 1939 to begin the war in Europe.

In Depth: Total War. During the 20th-century total war, the marshaling of vast resources and emotional commitments emerged. It was the result of the impact of industrialization on military effort. The change had been underway since mass conscription was introduced during the wars of the French Revolution era. Industrial technology was first applied on a large scale during the American Civil War. A new style of warfare appeared. World War I fully demonstrated the nature of total war. Governments took control of many aspects of their societies. The distinction between military and civilians blurred as bombing raids hit densely populated regions. The consequences of the new warfare were important. Workers, including women, secured concessions. Technological research produced useful peaceful benefits. Total warfare
produced embittered veterans, made postwar diplomacy difficult, and resulted in societal tensions.

**The Conduct of a Second Global War.** The reluctant Western democratic and Russian reaction to the aggressions of the Axis gave them initial success. Once the Nazis were checked in the Soviet Union, and the United States entered the war, the balance turned.

**Nazi Blitzkrieg, Stalemate, and the Long Retreat.** The Germans quickly conquered France and the Low Countries and then pushed deeply into eastern Europe. Advances occurred in northern Africa. German tactics gave no mercy to civilian populations. Only Britain, led by Churchill, remained undefeated and won the battle for control of its air space. The Germans drove into Russia in 1941, but their progress stalled in the face of Russian resistance and under winter conditions. Russian offensives began in 1943 and drove the invaders back into Germany.

**From Persecution to Genocide: Hitler's War Against the Jews.** While the Germans fought in Russia, they increased their vendetta against Jews and many others. In 1942 a premeditated, systematic genocide began. Up to 12 million people were murdered during the Holocaust; 6 million were Jews. The Western allies did little to check the slaughter or to aid individuals. One result was the determination of Jews to build their own state in Palestine.

**Anglo-American Offensives, Encirclement, and the End of the 12-Year Reich.** In late 1941, the United States joined the alliance against Germany. The Americans and British in 1942 pushed the Germans and Italians back in north Africa while Russia broke the German advance at Stalingrad, and began its own successful offensive. Italy was invaded by the British and Americans, and Germany suffered heavy bombing. In 1944 the Allies invaded France and gradually moved into western Germany as the Russians moved into eastern regions. Hitler committed suicide and Germany surrendered in 1945.

**The Rise and Fall of the Japanese Empire in the Pacific War.** Despite their lack of success in China, Japan attacked the United States at Pearl Harbor in late 1941 and then moved into Indochina, Malaya, Burma, and the Philippines. It imposed colonial regimes on the conquered peoples and soon encountered resistance. By the end of 1942, the United States reacted to gain the upper hand on the sea and in the air. The conflict centered on the Pacific islands occupied by Japan around the time of World War I. In 1944 it began massive air attacks on Japan. By the early summer of 1945, the Japanese were considering capitulation. The dropping of atomic bombs on Hiroshima and Nagasaki in August 1945 led to Japanese surrender.

**War's End and the Emergence of the Superpower Standoff.** The victors in the war attempted to make a peace, avoiding the mistakes made after World War I. The United Nations was established to allow for peaceful settlement of disputes. The great powers—the United States, the Soviet Union, Britain, France, China—controlled decisions in the Security Council. The defeated powers and newly independent colonial nations later gained membership. The United Nations took over the more specialized international agencies, such as the World Court of Justice, and played a key role in humanitarian endeavors.
From Hot War to Cold War. The Cold War shaped much of world history over the next four decades. The Allies argued over the postwar settlement. The United States, Britain, and Russia met at the Teheran Conference in 1944. The decision for an invasion of France left Russia free to move into eastern Europe. The three met again at Yalta in 1945. The Soviet Union agreed to join against Japan in return for territorial gains in China and Japan. The United Nations was confirmed. Agreement over Europe's future was difficult. A disarmed Germany, purged of Nazi influence, was divided into four occupied zones. Eastern Europe, although promises were made for a democratic future, was left under Soviet domination. The final postwar conference was at Potsdam in 1945. By then, the Soviets occupied eastern Europe and eastern Germany. They annexed eastern Poland while the Poles gained compensation by receiving part of eastern Germany. Germany and Austria were divided and occupied. Japan was occupied by the United States and stripped of its wartime gains. Korea was freed, but was divided into United States and Soviet occupation zones. Asian colonies returned to their former rulers. China regained most of its territory, but civil strife continued between Communists and Nationalists. In other regions, colonial holdings were confirmed. In Europe, Russia's frontiers were pushed westward to regain World War I losses. Most nations existing in 1918 were restored, although the Baltic states once again became Russian provinces. All except Greece and Yugoslavia fell under Soviet domination. Western nations were free, but under American influence.

Nationalism and Decolonization. World War II was fatal to the European colonial empires. European states’ populations were too devastated to consider fighting to keep Asia and Africa subdued. Both the United States and the Soviet Union were hostile to continuation of European colonies. A reluctant Britain, in return for American support, in 1941 agreed to the Atlantic Charter, a pact recognizing the right of people to choose their own government.

The Winning of Independence in South and Southeast Asia. The Indian National Congress agreed to support the British war effort in return for a significant share of power in India and a postwar commitment to independence. The British rejected the offer. Negotiations failed to lessen increasing tensions. Mass civil disobedience campaigns, such as the Quit India Movement, began during 1942. Gandhi and other leaders were imprisoned. The Muslim League, led by Muhammad Ali Jinnah, gained favor by supporting the British. The war caused hardship in India through inflation and famine. When a Labour government came to power in Britain in 1945, independence in the near future was conceded. The divided Indians were unable to work out a compromise between Hindu desires for one nation under majority rule and Muslim wishes for a separate state. When communal rioting spread, the British agreed to the creation of two independent nations, India and Pakistan, in 1947. Hundreds of thousands of people then perished as Hindus, Muslims, and other groups attacked each other. Millions fled from one region to another. Gandhi's assassination in 1948 by a Hindu fanatic added to the malaise. Other parts of the Indian empire, Sri Lanka (Ceylon) and Myanmar (Burma), peacefully received independence shortly after. Other empires were already then decolonizing. After the war, the United States quickly granted independence to the Philippines. The Dutch fought against nationalists in Indonesia until losing in 1949. The French did the same in Indochina.
The Liberation of Nonsettler Africa. World War II had a more disruptive effect in Africa than World War I. The British and French were forced to reverse policies to allow some industrial development, which spurred rural migration to the cities. Many did not find employment. They joined disappointed veterans in nationalist movements. Two paths to independence were followed in colonies without a European settler population. In the British Gold Coast (later Ghana), Kwame Nkrumah represented the more radical approach. He established the Convention Peoples Party (CPP) and gained support from urban and rural peoples. He introduced a new style of politics, using mass rallies, boycotts, and strikes. Nkrumah gained concessions from the British through winning elections and secured independence for Ghana in 1957. Most other British nonsettler colonies gained independence through peaceful means by the mid-1960s. The latter approach occurred in French and Belgian territories. The French negotiated with Westernized, moderate African leaders—Léopold Sédar Senghor of Senegal, Félix Houphouët-Boigny of Ivory Coast—who were willing to retain cultural and economic ties to France. By 1960 all French West African colonies were free. The Belgians experienced more difficulties in the Congo as they precipitously withdrew before a newly organized nationalist movement. The Portuguese still clung to their colonies.

Repression and Guerrilla War: The Struggle for the Settler Colonies. Territories with large European settler populations had a more difficult decolonization experience. Racist settlers blocked the rise of African nationalist movements as they fought to defend their numerous privileges. In Kenya, when peaceful efforts led by Jomo Kenyatta failed, more radical Africans formed the Land Freedom Army and commenced a guerrilla campaign against the British and other Africans. The British defeated the rebel movement, called by them the Mau Mau, and imprisoned Kenyatta and other nonviolent leaders. The British government then turned to negotiation with Africans; Kenya gained independence in 1963 and Kenyatta was the first president. The struggle in Algeria, with more than a million settlers, was much more violent. War began in the 1950s under the direction of the National Liberation Front. The French defeated rebel forces in battle but never fully contained them. Independence came through negotiations in 1962. Most of the settlers then left Algeria.

The Persistence of White Supremacy in South Africa. Portugal’s colonies, Angola and Mozambique, secured independence after revolutionary struggle in 1975. Africans in Southern Rhodesia (now Zimbabwe) won independence by 1980. In South Africa, the large and long-established minority European population held onto control. The Afrikaners lacked a European homeland to retreat to, and over the centuries built up a racist white supremacy ideology. The British had abandoned Africans to Afrikaner racist rule after the Anglo-Boer War (1899-1902). Afrikaners won internal political control in 1948 and built the racial segregation system known as apartheid, which reserved political, social, and economic rights for whites. The brutal Afrikaner police state hampered the growth of African parties.

Conflicting Nationalisms: Arabs, Israelis, and the Palestinian Question. Even though most Arabs won independence from foreign rule by the 1960s, the Palestine problem presented special problems. The Zionist movement was strengthened by German persecution, and immigration to Palestine increased. The British reacted to Arab resistance to the foreigners by attempting to limit Jewish arrivals. A major Muslim revolt between 1936 and 1939 further strengthened British resolve to halt the inflow. The Zionists in return resisted the British
measures. By the end of World War II both Arabs and Jews claimed Palestine, but in 1948 the sympathies roused by the Holocaust caused the United Nations to divide Palestine into Arab and Jewish states. The neighboring Arab states then attacked. The outnumbered Jews drove them back and expanded into Arab territory. Thousands of Arabs fled Palestine. An enduring hostility between the two sides marked the future.

GLOBAL CONNECTIONS: Persisting Trends in a World Transformed by War. The fragile foundations of the European colonial order explain its quick demise. The break with the colonial past was modified by power passing to Western-educated elites. Social gains for the majority of populations were minimal. Western cultural influences remained strong in reformed educational systems. Independence did not disrupt Western dominance in the global economic order. Lingering traces of colonial rule persisted after independence.

KEY TERMS

National Soviety (Nazi) Party: founded by Adolf Hitler in the period of the Great Depression in Germany.

Blitzkrieg: German term meaning lightning warfare; involved rapid movement of troops and tanks.

Vichy: collaborationist French government established at Vichy in 1940 following defeat by Germany.

Winston Churchill: British prime minister during World War II; exemplified British determination to resist Germany.

Battle of Britain: British defeat of the Nazi air offensive.

Siege of Stalingrad: 1942-43 turning point during Germany's invasion of Russia; Russians successfully defended the city and then went on the offensive.

Holocaust: Germany's attempted extermination of European Jews and others; 12 million, including 6 million Jews, died.

Battle of the Bulge: failed Nazi effort in 1943-45 to repel invading allied armies.

Pearl Harbor: American naval base in Hawaii attacked by Japan in December 1941; caused American entry into World War II.

Battles of the Coral Sea and Midway Island: United States air and naval victories over the Japanese; opened the way for attack on Japanese homeland.
Hiroshima and Nagasaki: two Japanese cities on which the United States dropped atomic bombs in 1945; caused Japanese surrender.

United Nations: global organization, founded by the Allies following World War II.

Teheran Conference (1944): meeting between the leaders of the United States, Britain, and the Soviet Union; decided to open a new front against Germany in France; gave the Russians a free hand in eastern Europe.

Yalta Conference (1945): agreed upon Soviet entry into the war against Japan, organization of the United Nations; left eastern Europe to the Soviet Union.

Potsdam Conference (1945): meeting between the leaders of the United States, Britain, and the Soviet Union in 1945; the allies accepted Soviet control of eastern Europe; Germany and Austria were divided among the victors.

Atlantic Charter: 1941 pact between the United States and Britain; gave Britain a strong ally; in return the document contained a clause recognizing the right of all people to select their own government.

Quit India movement: mass civil disobedience campaign against the British rulers of India in 1942.

Muslim League: Indian organization that emerged at the end of World War II; backed Britain in the war.

Muhammad Ali Jinnah: Muslim Indian nationalist; leader of the Muslim League; worked for a separate Muslim state; first president of Pakistan.


Land Freedom Army: African revolutionary movement for reform of Kenyan colonial system; began a conflict in 1952; called the Mau Mau by the British.


Land Freedom Army: Kenyan underground group, led by radicals from the Kenyan African Union; engage in terrorist acts against British and other opponents.

National Liberation Front (FLN): Algerian nationalist movement that launched a guerrilla war during the 1950s; gained independence for Algeria in 1962.

Secrete Army Organization (OAS): Algerian settler group opposed to independence from France; gained strength in France.
Afrikaner National Party: became the majority in the all-white South African legislature in 1948; worked to form the rigid system of racial segregation called apartheid.

Haganah: Zionist military army; the military arm of the Jewish Zionists in creating Israel.

LECTURE SUGGESTIONS

1. Discuss the common elements of colonization movements in south Asia, the Middle East, and Africa. Nearly all nationalist movements were led by Western-educated elites who often had prior experience in the colonial administration. There often was a charismatic leader (Gandhi, Nkrumah). With the exception of the settler colonies and in the Middle East, decolonization usually was achieved by nonviolent confrontation on the model of India. In settler territories, European populations prevented peaceful reform leading to majority rule. In the Middle East, the move was complicated by Zionism, which resulted in the introduction of a significant foreign Jewish population into Palestine. In many ways, the problem of Palestine resembles the problems of colonialism in the settler colonies.

2. Discuss the proposition that both the causes and the outcome of World War II were the result of problems created in the Treaty of Versailles. Versailles had alienated German, Japan, and Italy, and helped to create radical governments in each that advocated programs of aggressive territorial acquisition. Eastern Europe, through the creation of many small nations, emerged as unstable. World War II delivered almost all of them to the Soviet orbit. Control of the Pacific, including Japan, went to the United States. The problems resulting from the division of the Ottoman Empire were still unresolved after 1945. The process of decolonization initiated during World War I led to rebellion and independence after World War II. The failure of the League of Nations led to the creation of a more powerful United Nations.

CLASS DISCUSSION QUESTIONS

1. What were the causes leading to World War II?

2. Discuss the differences in the tactics of waging war in the two 20th-century world conflicts.

3. How were the diplomatic problems of World War II settled?

4. What forces led to European loss of colonial dominance?

5. What steps led to the partition of India in 1947?

6. Discuss the differing paths to independence in settler and nonsettler Africa.

7. Discuss the settlement of the issue of Palestine after World War I.
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CHAPTER 36
Western Society and Eastern Europe in the Decades of the Cold War

I. After World War II: A New International Setting for the West

A. Europe and Its Colonies
   Most colonies abandoned
      hostility
      force necessary
      force eschewed

Vietnam
   French forced out, 1954

Algeria
   independence, 1962

Egypt
   Britain, France attack
   U.S., Russia force them to withdraw

B. The Cold War
   Eastern bloc formed
      Czechoslovakia, Poland, Romania, Bulgaria, Hungary, East Germany

Marshall Plan, 1947

Germany
   Allies rebuild, from 1946
   Russian blockade, 1947
   American airlift
   split, 1948

NATO, 1949

Warsaw Pact

II. The Resurgence of Western Europe

A. The Spread of Liberal Democracy
   Christian Democrats
      social reform

   Federal Republic of Germany
France
    Fifth Republic, 1958

Portugal, Spain
democratic, parliamentary systems

B. The Welfare State
Western Europe
    United States, Canada later
    unemployment insurance
    medicine
    housing
    family assistance

C. New Challenges to Political Stability
Civil rights movement

Feminism, environmentalism
    Green Movement

D. The Diplomatic Context
European Economic Community, 1958
    Common Market

    Single currency, 2001
    euro

    European Community, 2002

E. Economic Expansion

Economic growth

    High unemployment elsewhere
    workers into Europe, U.S.

III. Cold War Allies: The United States, Canada, Australia, and New Zealand

A. The Former Dominions
Canada
    welfare policies
    French/English division
    1982, new constitution

    Australia, New Zealand
    defense pact with U.S., 1951
take part in Korean War
Australia supports U.S. in Vietnam
from 1970s, more independent

B. The "U.S. Century"?
1950s
policy of containment against Soviet Union

Vietnam, 1960s
U.S. withdraws, 1975

IV. Culture and Society in the West

A. Social Structure
White-collar sector expands

Crime rates increase

Racism, anti-immigration conflict

B. The Women's Revolution
1950s
more education
job opportunities
access to divorce
reproductive rights

Simone de Beauvoir
*The Second Sex*, 1949
Betty Friedan, *The Feminine Mystique*

C. Western Culture
"Brain drain" to U.S.

Genetics, nuclear, space research

Pop art

Pablo Picasso

D. A Lively Popular Culture
Vitality in popular culture

V. Europe After World War II: A Soviet Empire
A. The Soviet Union as Superpower
   Expands in Pacific
      Pacific Islands, North Korea

   Influence via aid
      Chinese, Vietnamese communism
      Nationalists in Africa, Middle East, Asia

   Cuba
      alliance

B. The New Soviet Empire in Eastern Europe
   Dominance of all but Greece, Albania, Yugoslavia

   East Germans protest, 1953
      suppressed
   Berlin Wall, 1961
      to stop flight to West

   After 1956, death of Stalin
      Hungary, Poland
         moderate regimes
      Hungary crushed
      Czechoslovakia
         liberal regime
         suppressed, 1968

   Poland
      Army takes control, 1970s

C. Evolution of Domestic Policies
   Cultural isolation

V. Soviet Culture: Promoting New Beliefs and Institutions
   Orthodox Church
      state control

   Jews restricted

   Party ideals dictate art
      literature retains vitality
      Alexander Solzhenitsyn

A. Economy and Society
   Industrialization by 1950s
      state control
Kruschev, 1956
attacks Stalinism
followed by stagnation

Space, arms race

Rift with China, 1950s

Invasion of Afghanistan

World Opinion. The United States testing of nuclear weapons in 1954 resulted in the death of a Japanese fisherman, and aroused outrage around the world. The protest came from national leaders and from ordinary citizens, including many women. The great powers reluctantly bowed to "world opinion" and a test ban treaty was signed in 1963. The Soviet Union, in spite of the devastation of World War II, emerged quickly after as a world power. The United States reversed its earlier isolationist stance, increasing its military budget and its world presence. While the cold war was a dominant issue after the Second World War, other developments also had long-lasting consequences. Democratic development in the West and economic development in eastern Europe continued at the same time.

Chapter Summary. Western and eastern Europe in 1945 had to face a damaged economy and social disorganization, and weakened empires. The United States and the Soviet Union became superpowers; western Europe did not recover its past dominance. The cold war shaped, but did not monopolize, developments during the postwar years. The West experienced significant economic, social, and political achievements. The Soviet Union moved from Stalinism to more closely resemble the West.

After World War II: A New International Setting for the West. Western European physical and economic structures were in ruins after the war. Millions of displaced peoples were refugees. Colonial societies took advantage of the weakness of their rulers.

Europe and Its Colonies. Europeans encountered a hostile reception when they attempted to restore colonial administrations. When it became clear that many colonies could only be held by force, the general opinion was that the cost was not worth it. There were a few exceptions. France tried to hold on in Vietnam until forced out in 1954. It also fought in settler-dominated Algeria until recognizing its independence in 1962. Most colonies had a more peaceful evolution. After independence, Western nations retained important cultural, military, and economic ties with their former subjects. The decolonization did have a brief internal effect in Europe as embittered settlers and officials returned home. When the United States and Russia forced an end to an attack by Britain and France on Egypt in 1956, it was apparent that Europe's overt power in the world had been dramatically reduced.

The Cold War. By 1945, the United States and the Soviet Union were in worldwide competition. The Soviet Union regained lands lost in World War I and created an eastern bloc by installing Communist governments in Czechoslovakia, Poland, Romania, Bulgaria, Hungary,
and East Germany. The United States responded by supporting regimes under Soviet pressure; in 1947 it proclaimed the Marshall Plan to rebuild western Europe. Germany emerged as the focal point of the cold war. The Allies cooperated to begin rebuilding a unified West Germany in 1946. The Soviets retaliated by blockading Berlin in 1947; a massive American airlift kept the city supplied. The crisis ended in 1948 with two Germanys divided by a fortified border. The cold war divisions led to two military alliances: NATO was formed in 1949 under American leadership; the Soviets responded by the Warsaw Pact. Western Europe became subject to United States pressures for German rearmament, higher military expenditures, and the presence of American forces. Europeans at times protested, but they recognized the need for American economic and military assistance. The Soviets helped their decision by supporting internal Communist movements. Britain and France eventually developed nuclear capabilities, but their resources did not allow them to match the might of the United States and the Soviets. The United States devoted increasing resources to military ends and influences while the protected Europeans boosted civilian goals. With Europe stabilized, cold war tensions turned to the global arena. After 1958, France sought more independence and left NATO, while Germany in the 1970s opened new negotiations with the Soviet bloc. The United States had become a major peacetime military power and devoted increasing resources to maintaining military capacity. The U.S. effort left Europeans able to stress civilian values.

**The Resurgence of Western Europe.** New leaders emerged who worked to avoid the mistakes of the past. After 1945, their nations moved forward on three fronts: extension of democratic political forms; modification of inter-European rivalries; and a commitment to economic growth.

**The Spread of Liberal Democracy.** Movements opposing parliamentary democracy were discredited during World War II. Communist and other leftist groups were committed to democratic politics. Important new movements emerged, especially a Christian Democratic approach for moderate social reform. New governments developed in Germany, Italy, and France. The American, British, and French occupiers of Germany merged their territories into the Federal Republic of Germany under a constitution outlawing extremist movements. Other nations opted for liberal constitutions. France, battling the problems caused by the Algerian War, created a democratic Fifth Republic in 1958 with a stronger presidency. During the 1970s Portugal and Spain also moved to democratic, parliamentary systems. Greece followed a similar pattern. By the 1980s, western Europe was more politically uniform than ever before.

**The Welfare State.** The movement to democratic forms of government was accompanied by the development of a welfare state. Resistance ideas, the importance of the political left, and wartime planning patterns all prepared the way for moves to end social and economic inequalities. By 1948 the basic nature of the welfare state had been established in western Europe; the United States and Canada later moved in the same direction. Welfare state measures included unemployment insurance, state-funded medicine and housing, and family assistance. The system won wide support since benefits went to all social classes. The private sector remained functioning and the welfare state did not bring about social revolution. The poor, although protected, were still there. Most individuals accepted the changes and debate centered on modifications within the system. Since the welfare state was expensive, it consumed large amounts of tax revenues and required larger bureaucracies. The state role increased greatly from
the late 1940s and most governments played a larger economic and regulatory role, although they did not directly control economic activity.

**New Challenges to Political Stability.** The calm was jolted by student protests in many countries during the late 1960s. In the United States, a strong civil rights movement sought equal treatment for African Americans. Most of the agitation was contained by repression or reform by the 1970s, although new issues—feminism, environmentalism—became important. The appearance of the Green Movement in several countries introduced a new theme of hostility to unchecked commercial expansion. As economic growth slowed, conservative politicians emerged to boost private enterprise and reduce the impact of the welfare state. Despite the change, the principal lines of postwar government endured.

**The Diplomatic Context.** European and American leaders worked to curtail the recurrent strident nationalistic rivalries within Europe. The Christian Democratic movement was an important force. The Marshall Plan for economic recovery and German participation in NATO established a new framework. French statesmen pushed Franco-German cooperation and other countries joined the movement. In 1958, six nations created the European Economic Community (the Common Market) as a first step in establishing one economic entity encompassing individual countries. Important national disputes slowed the organization's growth, but by the 1980s, arrangements had been concluded to dismantle trade and currency barriers among states. Many members accepted a single currency, the euro, in 2001. By 2002, most western Europe nations were members of the renamed European Community; central and eastern nations were ready for inclusion. Europeans lived in a society with fewer nationalist tensions than ever before in modern history.

**Economic Expansion.** Striking economic growth typified the postwar period. Agricultural productivity increased, supplying European needs with ease. Industries flourished and provided consumer goods for a demanding population. Gross national product growth surpassed that of any period since the Industrial Revolution began. The progress depended upon rapid technological change. Both in agriculture and industry, worker numbers declined as productivity increased, with the decline being offset by growth in service industries and state bureaucracies. High employment rates caused workers from southern Europe, and then other parts of the world, to flow into western Europe. The same pattern occurred in the United States. Economic growth and low unemployment meant massive income improvement. The increases in purchases of durable consumer goods made Western civilization an affluent society. Some European countries equaled or surpassed American standards. There were problems within this prosperity, among them recurrent inflation and poor conditions for Asian and African immigrant workers. During the 1990s, slower growth brought increasing inequality, but the West's economic vitality continued.

**In Depth: The United States and Western Europe—Convergence and Complexity.** For two centuries, the relationship between western Europe and the United States has been important analytically and historically. Both sides emphasize special relationships while maintaining their separate identities. Although important differences persist, there has been much convergence since 1945 through mutual borrowing.
Cold War Allies: The United States, Canada, Australia, and New Zealand.
Although the overseas Western world had suffered less from the crises of the century, it developed similarly to western Europe. An important change occurred in foreign policy. The United States became an active world power. The dominions moved closer to the United States and made new contacts with other world areas.

The Former Dominions. Canada introduced important welfare policies and continued economic integration with the United States. Canadian nationalism at times led to friction, but in 1988 the two nations created a North American trading bloc. French Canadians continued agitation for autonomy or independence. A new constitution of 1982 quieted strife, although separatist tensions persist. Australia and New Zealand turned away from Britain to Pacific nations. They concluded a mutual defense pact with the United States in 1951 and participated in the Korean War; Australia supported the United States in Vietnam. From the 1970s, both developed more independent policies. Exports increasingly went to Pacific nations; investment capital came from Japan and the United States. Asian immigration altered the population mix.

The "U.S. Century"? The major change in U.S. history was its transformation into a superpower defending capitalist and democratic values. The threat from the Soviet Union checked impulses of withdrawal. Worries over Communist conspiracies increased internal tensions. The military complex increased its power and greatly expanded its spending. A massive airlift blocked Soviet pressure on West Berlin and led the United Nations into the Korean War. In the 1950s, a policy of containment was followed against the Soviet Union. Intervention occurred in Central America against suspected Communist regimes. During the 1960s, the United States entered Vietnam, carrying on a major military involvement before admitting defeat and withdrawing by 1975. Despite doubts over the continuing U.S. world role, no real policy change followed. Under Ronald Reagan in 1980, pressure against U.S. opponents revived and influenced the collapse of the Soviet Union. The United States remained the only superpower.

Culture and Society in the West. Economic and political changes altered the pattern of previous industrial development. Many of the differences between Western societies, including the United States, disappeared. By the 1950s, the West became the first example of an advanced industrial society.

Social Structure. Economic growth eased social conflicts, while social mobility blurred social lines throughout the West. Educational opportunities opened new paths as the size of the white-collar sector expanded. Unskilled labor was left to immigrants. Peasants improved their living standards through commercial agriculture. Social distinctions did not vanish. Middle-class individuals had better opportunities than workers. Social tensions persisted. Crime rates rose after the 1940s and several nations suffered from racial and anti-immigrant strife.

The Women's Revolution. The realities of family changed in many ways as leisure activities expanded and contacts were made easier through improved communications systems. Lengthier education increased the importance of peer groups for children and contributed to a decline in parental authority. From the early 1950s, women, especially those with children, entered the work force in increasing numbers. Education gains improved their job opportunities, but pay
still remained lower than for men, and they were concentrated in clerical jobs. Women gained political rights as Western nations extended voting rights. There were considerable gains in higher education. Family rights improved. Access to divorce, the easing of abortion laws, and birth control methods spread. Sex and procreation became separate issues. The changes were accompanied by a rapidly falling birth rate from the early 1960s. Children were cared for in daycare centers rather than at home. The pressures from the new family roles contributed to a rising divorce rate. A new feminism arose during this period of change. Simone de Beauvoir's 1949 book, *The Second Sex*, shaped the calls for women's rights. Betty Friedan’s *The Feminine Mystique* influenced Americans. New waves of agitation began that called for equality and downplayed domestic roles.

**Western Culture.** Twentieth-century cultural life proceeded along established paths. A key development was a focus shift toward the United States. Many European intellectuals fled the instability of their homelands. The wealth of expanding U.S. universities created a scientific "brain drain." Art patronage followed wealth and New York replaced Paris as an international style center. Europeans did provide some of the leading scientific advances in genetics (DNA), and nuclear and space research. Artists maintained earlier themes featuring unconventional self-expression and nonrepresentational techniques. Modern styles found growing public acceptance. Pop artists during the 1960s attempted to close the gap between commercial mass culture and art. Pablo Picasso, part of the cubist movement, stressed geometric shape. Musical composers favored dissonance, new scales, and electronic instruments. Poetry and the novel followed similar trends. Europeans were in the forefront of creative film-making. The social sciences lacked an integrated approach as participants avoided sweeping theories. Economics became an American specialty and focused on study of economic cycles and money supplies. European intellectuals had more influence in new theoretical formulations in the humanities. French historians redefined historical study by focusing on social history.

**A Lively Popular Culture.** More vitality appeared in Western popular culture than in intellectual life. The U.S. military brought new currents to societies weakened by the war. Still, European culture remained resilient and managed to influence the United States. Sexual culture changed. Premarital sex became more common and the age of first intercourse declined. Critics opposed the cultural changes, but no Nazi-like reactions occurred. Although Western political dominance had declined, its popular culture set new global standards.

**Eastern Europe After World War II: A Soviet Empire.** Both eastern and western Europe experienced similar social changes after the war. Important differences were due to the region's distinctive tradition, the effects of the cold war, Communist rule, and less-developed industrialization.

**The Soviet Union as Superpower.** After World War II, a continuing concentration on heavy industry and weapon development, along with ties to other Communist movements, made the Soviet Union a world power. By joining the war against Japan, Russia gained northern Pacific Islands and a protectorate over North Korea. Assistance given to the Chinese and Vietnamese Communists, and to African, Middle Eastern, and Asian nationalists, widened Russian influence. An alliance with Cuba brought Russia to the Americas. The development of atomic and hydrogen bombs, plus missile and naval deployment, brought Russia to superpower status.
The New Soviet Empire in Eastern Europe. The clearest extension of the Soviet sphere occurred in eastern Europe. Among the small nations of the region after World War I, only Czechoslovakia had developed advanced strong economic and political systems. During World War II, it fell under Nazi control. Yugoslavia had the only strong resistance movement. The Russians achieved domination of all states except Greece, Albania, and Yugoslavia. The Soviet-backed regimes followed Russia's model in politics, agriculture, and industry. After the formation of NATO, all were joined into the Warsaw Pact. Russian control stimulated internal protest. East German workers rose in 1953 and were repressed by Russian troops. Continuing flight from East Germany led to the building of the Berlin Wall in 1961. The relaxation of Stalinism in Russia after 1956 created hopes of lessened controls; more liberal Communists came to power in Hungary and Poland. The Russians accepted some reform in Poland, but crushed the regime in Hungary. Some loosening of control occurred later, but the suppression of a liberal regime in Czechoslovakia in 1968 demonstrated the limits of experimentation. In Poland in the 1970s the Polish army, under Soviet supervision, took control of the state as a response to Catholic and labor unrest. Despite the discontent, Communist domination brought social change by abolishing the aristocracy, remaking the peasantry, reforming education, and stimulating industrial and urban growth.

Evolution of Domestic Policies. The Stalinist system survived into the postwar era. Cold war fears made state authority acceptable to many people. Restrictions on travel and the media kept the Soviet Union isolated from world currents; Stalin's political structure emphasized central control by the Communist Party over all walks of life. Bureaucratic caution increased as officials demonstrated their loyalty to the system and its leader.

Soviet Culture: Promoting New Beliefs and Institutions. The Soviet government had a vigorous cultural agenda. It declared war on religion and aimed at creating Marxist secularism. The Orthodox church remained, but it was under firm state control. Religious freedom for Jews was curtailed; Muslims fared better if they were loyal to the regime. Artistic and literary styles were kept within the party line. Modern Western ideas were regarded as decadent, but traditional classical music and ballet received state support. There was some interaction with Western styles; jazz and rock music bands emerged by the 1980s. Despite the imposed state limits, Russian literature remained diverse and creative; freedom of expression depended upon the changing mood of the leadership. Even critical writers, like the exiled Aleksander Solzhenitsyn, maintained distinctive Russian values. Soviet culture placed great emphasis on science and social science. Although they were monitored by the state, significant developments occurred. In all, Soviet culture, with its state control, was neither traditional nor Western.

Economy and Society. The Soviet Union and most eastern Europe nations were fully industrialized societies by the 1950s. Distinctive features included state control of virtually all sectors and an imbalance of heavy industrial goods over consumer items. Living standards improved, but complaints about quality and scarceness of consumer products plagued ordinary citizens. There were many similarities with Western experiences because of the shared reality of industrialization. Environmental degradation was widespread. Agricultural problems persisted. Both systems tried to increase the pace of work through better organization and
incentives. Similar leisure habits prevailed. East European social structure grew closer to the West with the development of a division in urban society between workers and managers. The families of both societies faced many of the same pressures. Urbanization placed an emphasis on the nuclear family; the birth rate declined. Children were more strictly disciplined than in the West. Most married women worked, many performing heavy physical labor. They dominated some professions, such as medicine. All suffered from receiving little help from husbands for household tasks.

**De-Stalinization.** When Stalin died in 1953, he was succeeded by a committee balancing army, police, and party interest groups. The system encouraged conservative stability. When Khrushchev gained power in 1956, he attacked Stalinism for its treatment of opponents and narrow interpretation of Marxism. Some societal opening followed, but significant institutional reform did not occur. After Khrushchev fell from power, political and economic patterns remained constant and stagnant into the 1980s. Cold war tensions eased after Stalin’s death, and after the Cuban missile crisis of 1962, there was a limited opening for cultural exchanges with the West. Competition shifted to a space and arms race. In foreign policy, a growing rift with China developed during the 1950s. The invasion of Afghanistan to help a puppet regime bogged down into guerrilla warfare until the late 1980s. In most cases the Soviets were cautious international players, avoiding direct military interventions. By the 1980s, workers and youths began to react to their strict control and lack of consumer goods. High alcoholism increased death rates and lowered production.

**GLOBAL CONNECTIONS: The Cold War and the World.** Between 1945 and 1992, cold war competition dominated many global themes. Some nations were able to play one side against the other. The two rivals had many similarities. Both were secular, emphasized science, and challenged major social traditions.

**KEY TERMS**

**Cold war:** struggle from 1945 to 1989 between the Communist and democratic worlds; ended with the collapse of Russia.

**Eastern bloc:** the eastern European countries of Poland, Bulgaria, Romania, Hungary, and Eastern Germany dominated by the Soviet Union during the cold war.

**Harry Truman:** United States president who presided over the end of World War II and the beginnings of the cold war.

**Iron curtain:** term coined by Churchill to describe the division between the Western and Communist nations.

**Marshall Plan:** 1947 United States program to rebuild Europe and defeat domestic Communist movements.

**North Atlantic Treaty Organization (NATO):** formed in 1949 under U.S. leadership to group Canada and western Europe against the Soviets.
Warsaw Pact: the Soviet response to NATO; made up of Soviets and their European satellites.

Welfare state: Great Depression-inspired system that increased government spending to provide social insurance and stimulate the economy.

Technocrat: a new type of bureaucrat trained in the sciences or economics and devoted to the power of national planning; rose to importance in governments after World War II.

Green Movement: rise during the 1970s in Europe of groups hostile to uncontrolled economic growth.

Margaret Thatcher and Ronald Reagan: conservative leaders of the 1970s; worked to cut welfare and to promote free enterprise.

European Union: began by six nations as the European Economic Community (Common Market); by the 21st century incorporated most western European states and was expanding eastward.

New feminism: a wave of agitation for women's rights dating from about 1949; emphasized equality between sexes.

Simone de Beauvoir and Betty Friedan: two important leaders in the new feminism movement; authors of *The Second Sex* and *The Feminine Mystique*, respectively.

Berlin Wall: built in 1961 to prevent the flight of East Germans to the West; dismantled in 1990.

Solidarity: Polish labor movement beginning in the 1970s, taking control of the country from the Soviet Union.

Socialist realism: Soviet effort to replace Western literature and arts with works glorifying state-approved achievements by the masses.

Alexsander Solzhenitsyn: Russian author of works critical of the Soviet regime; included the trilogy on Siberian prison camps, the *Gulag Archipelago*.

Nikita Khrushchev: leader of the Soviet Union from 1956; attacked Stalinist methods of rule; lost power because of conservative opposition.

Sputnik: first manned spacecraft in 1957; initiated a space race with the United States.
LECTURE SUGGESTIONS

1. Discuss whether late 20th-century European political and cultural development has been defined by the United States. The 20th century can be called an American century because of the role of the United States during World War II and the cold war. The Americans managed the diplomatic structure of western Europe to offset the power of the Soviet Union. The United States led in militarization while European arms spending decreased. The United States could make demands on Europeans because of its cold war contributions; it also took over the lead in technology, and through the Marshall Plan, asserted economic dominance after 1945. American dominance was partially offset by the development of the European Economic Community. American cultural leadership was related to consumerism and popular culture; the United States led in the development of television and consumer fads.

2. Compare Russian and Western economic development during the 20th century. Russian industrialization resembles the 19th-century accomplishments of the West, including urbanization, impact on lifestyles, family formation, and birth rates. By the 1950s the Soviets rivaled the West in heavy industrial productivity. They differed with an emphasis on heavy industry at the expense of consumer goods, direct control of capitalization, use of resources, and planning. Political development was very different. The West moved to parliamentary democracy, while Russia and eastern Europe, until 1985, followed more authoritarian forms; since then there has been a move toward Western patterns. The West lost its colonies after 1945; the Soviets at first kept their subjugated lands, but lost many during the 1980s. In many ways, Soviet developments parallel those of the West after a period of delay.

CLASS DISCUSSION QUESTIONS

1. How did the cold war affect western Europe?

2. What is the "welfare state"?

3. How did the social structure of the West change in the period after Word War II?

4. How did Soviet foreign policy change after 1945?

5. How was Soviet economy and society similar to that of the West?

6. Describe the cultural experience occurring in Western and Soviet-influenced societies during the late 20th century.
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CHAPTER 37
Latin America: Revolution and Reaction into the 21st Century

I. Latin America After World War II

A. Mexico and the PRI
   Party of the Institutionalized Republic
   economic growth paramount
   Zapatistas
   Chiapas
   NAFTA
   2000 national election
   PRI out

II. Radical Options in the 1950s

Venezuela, Costa Rica
reforms
open elections

Marxist options

Bolivia
mix of radicalism and reaction

A. Guatemala: Reform and U.S. Intervention
Guatemala
   economic disparities
   high mortality rate
   coffee, banana export
   Labor coalition
      Juan José Arevalo elected, 1944
      begins land reform
   Foreign interests
      e.g. United Fruit Company
1951 elections
   Jacobo Arbenz elected
      more radical land reform
   U.S. steps in
      overthrown with CIA help
   reform ends
B. The Cuban Revolution: Socialism in the Caribbean
American influence following Spanish rule
Sugar export
Fulgencio Batista, 1934-1944
    military reformer
1940, new constitution

Fidel Castro
    1953, attempted revolution
Ché Guevara
    helps Castro, 1956
    student, labor support
    1958, Batista out
1961, breaks relations with Cuba
1962, threat of nuclear war
Continuing Soviet aid

C. The Search for Reform and the Military Option
Continuity
    Mexico, one-party system

Venezuela, Chile
    Christian Democratic

Liberation Theology

D. Out of the Barracks: Soldiers Take Power
Military intervenes in politics, 1960s
    often U.S.-backed

Brazil
    military takes over, 1964

Argentina
    military coup, 1966

Chile
    Salvador Allende, socialist
    overthrown by military, 1973

Uruguay, 1973

Peru, 1968
Conditions
  workers hard-hit
  continuing structural problems
  repression, torture

E. The New Democratic Trends
  cold war pressures eased in mid-80s

Argentina
  elections, 1983

Brazil
  presidential elections, 1989

Peru
  Sendero Luminoso (Shining Path), 1990s
  leftist guerillas

El Salvador, Nicaragua, Guatemala
  truces between governments, rebels

Panama
  U.S. invades

F. The United States and Latin America: Continuing Presence
  American investors

Intervention
  pre-1933, 30 times

Good Neighbor Policy, 1933
  Franklin D. Roosevelt

Cold War
  new involvement
  more indirect involvement
  Alliance for Progress, 1961

Jimmy Carter
  civil liberties

Ronald Reagan, George Bush
  more direct intervention
III. Societies in Search of Change

A. Slow Change in Women's Roles
   Vote
   Ecuador, 1929
   some only in 1950s

   Significant progress by mid-80s

B. The Movement of People
   Mortality down, fertility up

   Urban growth
   Mexico City, São Paolo, 1999
   18 million
   shantytowns

C. Cultural Reflections of Despair and Hope
   Popular culture
   strong blend

   Jorge Luis Borges

   Gabriel García Marquez

Waiting for the Coup. In the summer of 1973, Chileans waited for news of the coup they expected, without knowing from what side of the political spectrum it would come. The entire country stagnated during the wait. Since 1964, military coups had taken place in several Latin American countries. The Chilean president, Salvador Allende, promised peaceful change, but some wanted more rapid reform. Like countries around the world, Chile was being dragged into cold war strife, and internal struggles became entangled with strife between the two great world powers. In the end, a military coup took place on September 11, bringing Augusto Pinochet to power. His repressive regime led to the death of thousands, and many more disappeared. Pinochet was arrested in 1998, and faced charges of crimes against humanity. A new issue had appeared: whether to seek to apply justice to the past, or to move ahead. This chapter and the next deal with the so-called "third world." Along with other societies, the peoples of the third world, developing nations, had to deal with industrialization and its growth, and with their inequality in economic matters with more developed nations. Latin America had characteristics distinguishing it from other developing countries. It had won independence earlier, and had more Western social and political structures. After 1945, Latin American economies concentrated on exports, and thus became very vulnerable to world financial changes.

Chapter Summary. Much of the 20th century was a time of contest between the forces of reaction and revolution. The Latin American struggle was primarily one of economic disengagement and an effort to develop their own cultural and political forms. Along with other societies the peoples of the third world, developing nations, had to deal with industrialization and
its growth, and with their inequality in economic matters with more developed nations. Latin America had characteristics distinguishing it from other developing countries. It had won independence earlier, and had more Western social and political structures. After 1945, Latin American economies concentrated on exports, and thus became very vulnerable to world financial changes.

**Latin America After World War II.** Latin America had not been much involved in the war, but its economies had grown. The cold war stimulated new revolutionary fervor, and hardened United States response to radicalism. Several major nations in 1945 were yet to be dominated by authoritarian rulers.

**Mexico and the PRI.** Mexico continued one-party rule by the Party of the Institutionalized Revolution; it provided stability, but by the close of the 20th century, the party was corrupt and sacrificed social justice to economic growth. The Zapatista guerrilla movement in Chiapas demonstrated the problem. The government responded with negotiation and repression. In the 1990s, Mexico joined NAFTA in hopes of stimulating its industries. The 2000 national election ended PRI rule.

**Radical Options in the 1950s.** There were other responses to the problems of Latin American countries, but disagreement remained on how to improve economic and social conditions. In Venezuela and Costa Rica, reform-minded governments triumphed in open elections. Others turned to Marxist socialism as a guide, and became caught up in cold war struggles. Some radical and revolutionary solutions were attempted. In Bolivia, a 1952 revolution supported by miners, peasants, and urban middle-class groups led to mine nationalization and land redistribution. Fears of moving too far to the left brought the army back to power in 1964, and subsequent governments stressed order over reform.

**Guatemala: Reform and U.S. Intervention.** A first radical solution was tried in Guatemala, a predominantly Indian nation suffering from economic inequality, illiteracy, poor health conditions, and high mortality rates. The economy depended upon the export of coffee and bananas. In 1944, a middle class and labor coalition elected Juan José Arevalo as president. Under a new constitution, he began land reform and improvement of worker and peasant life. Arevalo's reforms and nationalism led to conflict with foreign interests, especially the United Fruit Company. In 1951, the more radical Jacobo Arbenz was elected president. His reformist programs, especially a proposed expropriation of United Fruit land, led the cold war American government to impose economic and diplomatic restrictions on Guatemala. In 1954 the Central Intelligence Agency assisted military opponents to overthrow Arbenz, and under the new government, reform ceased. Continued violence and political instability followed.

**The Cuban Revolution: Socialism in the Caribbean.** Most of Cuba's population was descended from Spaniards and African slaves. The nation had a large middle class, and better literacy and health conditions than others in the region. Since leaving Spanish rule, Cuba had been subject to American influence in its politics and economy. The economy depended upon the export of sugar. Economic disparity between rural populations and the middle class was a problem. Cuba was ruled from 1934 to 1944 by Fulgencio Batista, an authoritarian military reformer. A 1940 constitution promised democracy and reform, but the government was corrupt,
and Batista turned into a dictator. In 1953, Fidel Castro launched an unsuccessful revolution; in 1956, with the help of Che Guevara, a new effort began. By 1958 students, labor, and rural workers joined in to drive out Batista. Castro’s sweeping reforms included nationalization of foreign property, farm collectivization, and a centralized socialist economy. Relations with the United States were broken in 1961, and Cuba entered into a close, dependent relationship with the Soviet Union. A United States-sponsored attack by Cuban exiles failed in 1961. When Soviet missiles were discovered in Cuba, a superpower confrontation threatened nuclear war in 1962. Cuba survived cold war politics because of the support of its Soviet ally. Castro's revolution had a mixed balance. Its reforms greatly improved education, health, and housing, especially in rural regions. But industrialization efforts failed, and Cuba still relied on sugar. Rising oil costs and falling sugar prices made Cuba dependent upon Soviet economic aid. The Soviet Union’s collapse brought serious economic distress. Even with its problems, the Cuban Revolution inspired many Latin American revolutionaries in their quest for change.

**The Search for Reform and the Military Option.** Economic and social structures remained unchanged in most countries into the 1980s, despite the various reform approaches. Mexico's one-party system maintained prosperity, often through repression, until conditions changed during the 1980s. Others—Venezuela, Chile—followed Christian Democratic approaches. The clergy was divided politically; many priests became activists for social justice. Liberation theology combined Catholic doctrines and socialist principles to improve life for the poor.

**Out of the Barracks: Soldiers Take Power.** The Cuban Revolution worried individuals fearing reform within a Communist system. As the military became more professionalized, soldiers adopted a creed that made them the true representatives of the nation. During the 1960s, often with support from the United States, they intervened directly in politics. In 1964 the Brazilian military took over the government when the president proposed sweeping reforms. Soldiers took over in Argentina in 1966, and in 1973, the military in Chile overthrew the socialist government of Salvador Allende. Similar coups occurred in Uruguay in 1973 and Peru in 1968. The soldiers imposed bureaucratic authoritarian regimes that were supposed to provide economic stability by submerging selfish interests. The military controlled policy and resorted to repression. Thousands were tortured and killed in Argentina. Economic policies fell heaviest on workers, since any economic development came at their cost. Basic structural problems persisted. All regimes were nationalistic, but other policies varied. Peru's leaders had a real social program, including land redistribution. Chile and Uruguay were militantly anti-communist. Argentina fought an unsuccessful war with Britain over the contested Falkland Islands that contributed to the regime's loss of authority.

**The New Democratic Trends.** By the mid-1980s some military governments were returned to civilian control. Continued economic problems and growing internal dissent contributed to the change. Fears of populist or communist movements, and of United States intervention, declined. There were elections in Argentina in 1983; Brazil chose a popularly elected president in 1989. The democratization process was not easy or universal. In Peru, the Sendero Luminoso (Shining Path) leftist guerrillas disrupted government into the 1990s. Uneasy truces continued between governments and former rebels in El Salvador, Nicaragua, and Guatemala. The United States demonstrated its power by invading Panama. Latin American governments continued to face major problems. Large foreign loans had produced a massive debt burden. High inflation
provoked social instability, while compensatory programs had social and political costs. The international drug trade created cartels that threatened or corrupted national governments. Still, by the 1990s, it appeared that democratic trends were well-established.

The United States and Latin America: Continuing Presence. The United States had emerged as the predominant power in the New World after World War I. American investors pushed ahead of European rivals. There was direct involvement in Cuba and Puerto Rico; in other lands the Americans frequently intervened—over 30 times before 1933—to protect economic, political, strategic, and ideological interests. The interventions usually were followed by support for conservative, often dictatorial and corrupt, governments friendly to the United States. The actions produced a growing nationalist and anti-American reaction. The United States changed course in 1933 when Franklin D. Roosevelt introduced the Good Neighbor Policy; direct interventions stopped. After World War II, cold war thinking led to new strategies, including participation in regional organizations and the support of democratic, anti-communist administrations. Direct or indirect interventions occurred against governments considered unfriendly. The belief that economic development would eliminate radical political solutions led to programs such as the 1961 Alliance for Progress. The approach had limited success. During the 1970s and 1980s, the United States was willing to deal with military dictatorships. Under Jimmy Carter an effort was made to influence governments to observe civil liberties, and an agreement gave eventual control of the Panama Canal to Panama. Policy became more interventionist under conservative presidents Ronald Reagan and George H. W. Bush.

In Depth: Human Rights in the 20th Century. The tortures and killings committed by repressive Latin American and other governments has drawn attention to the concept of human rights: universal rights justified by a moral standard above national laws. The concept of natural law, perhaps extending back to ancient Greece, also appeared during the 19th century. The movement to abolish the slave trade was a part of the movement. In the 20th century, the concept was attached to the United Nations and its 1948 Universal Declaration of Human Rights guaranteeing basic liberties. Only 30 percent of UN members have a consistently good record in upholding the declaration. The supervising UN commission lacks enforcement powers. Differences in cultural and political values between nations causes varying interpretations of what constitutes human rights. Priorities and strategies in international relations have similar results.

Societies in Search of Change. Social relations in Latin America changed slowly during the 20th century because gender, ethnicity, and class issues remained influential. Population growth, urbanization, and worker migration continued as persistent problems. Widespread discrimination against Indians and Afro-Americans persists.

Slow Change in Women's Roles. The role of women has changed slowly. They first gained the right to vote in Ecuador in 1929, but some regimes did not grant the right until the 1950s. Reformers at times feared that women, because of their ties to the church, would become a conservative political force. Women were supposed to remain focused on the home and family. Activist feminist movements worked to secure political and other rights, but gaining the right to vote did not mean an ending of male prejudice against equal participation of women in political life. Women faced similar problems in the labor force. In some countries they controlled small-
scale commerce in markets, and in others, became an important component of the service sectors. By the mid-1980s, the position of Latin American women was closer to the Western pattern than to that of other world areas.

**The Movement of People.** Declining mortality and high fertility brought great population expansion to Latin America. By the 1980s, internal migration and movement between countries soared as individuals sought work or basic freedoms. The process was influenced by the fact that mechanized industry did not create enough new jobs. The 20th century was also marked by movement from rural to urban areas. By the 1980s, some cities reached massive size: Mexico City and São Paulo in 1999 each had 18 million inhabitants. The rate of growth created problems since urban economies do not provide enough employment. Shantytowns provided terrible living conditions. The lack of jobs has prevented migrants from becoming part of a unified working-class movement.

**Cultural Reflections of Despair and Hope.** Most Latin Americans remain Roman Catholics, and Hispanic traditions of family, gender relations, and social interaction continue. Popular culture, drawing upon Indian and African traditions, shows great vitality. Latin American music and dance, such as the tango, samba, and salsa, have an international audience. Poets and novelists, often drawing upon internal social, economic, and political themes, also have worldwide appeal. The general failure to gain social justice in the region caused many writers, such as Jorge Luis Borges and Gabriel García Marquez, to abandon traditional forms.

**GLOBAL CONNECTIONS: Struggling Toward the Future in a Global Economy.** The search for economic growth, political stability, and social justice continues. Deeply entrenched class interests, international conditions, and political power struggles hindered or blocked revolutionary change. Important results occurred in Mexico and Cuba and influenced others. Different nations—Bolivia, Nicaragua, Peru—attempted radical reform. New ideas, such as liberation theology, appeared. Latin America remains the most advanced sector of the developing world. Globalization has brought new challenges. While economies grew, wealth distribution remained unequal. Traditional cultures are threatened.

**KEY TERMS**

**Third world:** term for nations not among the capitalist industrial nations of the first world or the industrialized Communist nations of the second world.

**Party of Institutionalized Revolution (PRI):** inclusive Mexican political party developing from the 1920s; ruled for the rest of the 20th century.

**Zapatistas:** Mexican guerilla movement; named after revolutionary Emiliano Zapata.

**North American Free Trade Agreement (NAFTA):** agreement between the U.S., Mexico, and Canada that lowered trade barriers.

**Juan José Arevalo:** reformist president of Guatemala elected in 1944; his programs led to conflict with foreign interests.
United Fruit Company: most important foreign company in Guatemala; 1993 nationalization effort of some of its land holdings caused a U.S. reaction.


Ernesto "Che" Guevara: Argentinian revolutionary; worked with Fidel Castro in Cuba.

Fidel Castro: revolutionary leader who replaced Batista in 1958; reformed Cuban society with socialist measures; supported economically and politically by the Soviet Union until its collapse.


Liberation theology: combination of Roman Catholic and socialist principles aiming to improve the lives of the poor.


Banana republics: conservative, often dictatorial, Latin American governments friendly to the U.S.; exported tropical products.

Good Neighbor Policy: introduced by U.S. president Franklin D. Roosevelt in 1933 to deal fairly, without intervention, with Latin American states.

Alliance for Progress: 1961 U.S. program for economic development of Latin America.

Favelas: Brazilian term for shantytowns.

Jorge Luis Borges and Gabriel García Marquez: writers rejecting traditional form as unsuitable for representing reality; turned to "magical realism."

LECTURE SUGGESTIONS

1. Discuss the various political responses to political, economic, and social problems in Latin America and give your opinion on which response has been the most successful. The various approaches are liberal democracy, one-party rule (Mexico), populist government, populist nationalists, reformist nationalists, military governments, and Communist government (Cuba). For an answer, it can be argued that the most successful government in Latin America, in terms of stability and economic development, has been the one-party system of the PRI in Mexico. The Communist government of Cuba also has provided stability and created a broad socialist system, giving significant improvements in education, housing, and health. Other governments, including the military, are often only temporary. None of the governments have resulted in the types of liberal democracy typical of the industrialized nations of the West.
2. Compare and contrast the political and economic development of those economies that industrialized in the 20th century—the Soviet Union and Japan—with that of Latin America. All of the areas have tended to authoritarian governments, whether Marxist, democratic, or authoritarian. Japan and Mexico developed forms of one-party government. Urbanization was common to all. Among the contrasts is a lack of political stability in Latin America. That region also is less industrialized than the others, and remains largely dependent on first- and second-world economies. Latin America has failed to develop a significant middle class, even when compared to the Soviet Union's managerial class. There is a greater underclass in Latin America, and much more of the population are peasants. Except for the Soviet Union, there is less problem with ethnic and racial diversity in other regions than in Latin America.

CLASS DISCUSSION QUESTIONS

1. What problems were associated with Latin America's attempt to achieve economic development?

2. What changes occurred as a result of the Mexican Revolution?

3. How did various Latin American countries react to the failures of Liberal government?

4. How did populist governments in Brazil and Argentina attempt to rule?

5. What types of radical reform were attempted in Guatemala, Bolivia, and Cuba, and what were the results?

6. Why did the military believe that it offered a viable answer to Latin American problems?

7. Discuss the role of the United States in Latin America during the 20th century.

THE INSTRUCTOR’S TOOL KIT

Map References


Film/Video

*Mexican People and Culture*, Facets
CHAPTER 38
Africa, the Middle East, and Asia in the Era of Independence

I. The Challenges of Independence

A. The Population Bomb
   New World foods
   
   Population control difficult
   cultural factors
   high mortality rates

B. Parasitic Cities and Endangered Ecosystems
   Towns
   slums
   become permanent
   towns parasitic

C. Women's Subordination and the Nature of Feminist Struggles in the Postcolonial Era
   Some rulers
   Indira Gandhi
   Corazon Aquino
   Benazir Bhutto

D. Neocolonialism, Cold War Rivalries, and Stunted Development
   Industrial development
   little success
   
   Cash crops, minerals
   dependent on prices

II. Paths to Economic Growth and Social Justice

A. Charismatic Populists and One-Party Rule
   
   Kwame Nkrumah, Ghana
   Soviet support
   cocoa, cash crop
   deposed, 1966

B. Military Responses: Dictatorships and Revolutions
   Muslim Brotherhood
   Hasan al-Banna
Free Officers
1930s
nationalistic
Gamal Abdul Nasser
allied with Muslim Brotherhood

Nasser
land redistribution
free education
food staples regulated
forced British from Suez Canal zone
Israel
Six-Day War, 1967

Anwar Sadat
negotiations with Israel

Hosni Mubarak

C. The Indian Alternative: Development for Some of the People
Indian National Congress
social reform
economic development
democracy
civil rights

Jawaharlal Nehru
Green Revolution
private invesetment

D. Iran: Religious Revivalism and the Rejection of the West
Pahlavi shahs
modernization
alienates religious leaders
overthrown by Khomeini, 1978

Ayatollah Khomeini
similar to Mahdi

Radical reform
Sharia law
opposition suppressed
women more restricted

War with Iraq
1988, peace
E. South Africa: The Apartheid State and Its Demise

Nationalist Party
Afrikaner
1948 elections
Afrikaner rule
Independence, 1960

Apartheid
complete separation
African National Congress outlawed
Walter Sisulu, Nelson Mandela, Steve Biko

Opposition, 1960s
1980s
- economic, political pressure
F.W. DeKlerk
Mandela freed, 1990
Elections, 1994
- Mandela president

F. Comparisons of Emerging Nations

Patterns
- some reflect traditions
- depends on continuity of native culture

Indira Ghandi. Separatist Sikhs of India were one of many ethnoreligious groups that threatened the peace of newly-independent India. Prime Minister Indira Gandhi ordered Sikh radicals to be forced out of the Golden Temple in Amritsar. Thousands died, and shrines were destroyed. A few months later, Gandhi was assassinated by her own Sikh bodyguards. The daughter of Jawaharlal Nehru, the country's first prime minister, Gandhi had been expected to remain in her father's shadow, even after his death. She was elected as a puppet in 1966, but surprised her backers by pursuing her own policies. She was the dominant force in Indian politics from 1966 to her death in 1984, with only a three-year hiatus. Her greatest challenges were feeding her people, improving their living standards, and managing tensions between the country's many ethnoreligious divisions. The challenges she faced were shared by other postcolonial leaders. Deep divisions between ethnic and religious groups remained when European rulers disappeared from their former colonies. Economic life was hampered by concessions made to the departing colonizers and by an international economy that favored industrialized nations. They lacked technological and management expertise, and had to face steady population growth and environmental degradation.

Chapter Summary. Deep divisions between ethnic and religious groups remained when European rulers disappeared from their former colonies. Economic life was hampered by concessions made to the departing colonizers and by an international economy that favored industrialized nations. They lacked technological and management expertise, and had to face steady population growth and environmental degradation.
The Challenges of Independence. Successful nationalistic movements usually involved mass mobilization of peasants and urban workers drawn into national political life for the first time. Nationalist leaders promised an improved life once the Europeans departed. When lack of resources blocked fulfillment of expectations, quarrels erupted among rival leaders, classes, and ethnic groups. The resulting instability further hampered development and deflected attention from the real problems hindering progress.

The Population Bomb. Population growth proved to be one of the most important barriers to economic advance after independence. Importation of New World food crops had fueled growth, and colonial rule reinforced the trends by combating local war and disease. Modern transportation systems helped to check famine. After independence, population growth eventually decreased in Asia, but numbers have soared in Africa. The policies of the colonizers that limited industrial development meant a lack of employment opportunities and ability to produce necessities for rising populations. Most African and Asian nations have been slow to develop birth control programs in their male-dominated societies. Procreation demonstrates male virility, while male children are critical to female social standing. In Africa, some societies regard children as vital additions to lineage networks. High mortality rates formerly had encouraged families to have many children, a factor persisting when rates declined. Many African and Asian nations have recognized the dangers to their societies and now are running family planning programs.

In Depth: Artificial Nations and the Rising Tide of Communal Strife. Internal strife and the collapse of political systems have been common in the new Asian and African states. One reaction in the West is to assert that former colonial peoples are unfit to rule themselves and that many were better off under European rule. Others called for active intervention by the West and Japan. The responses do not give enough attention to the immense obstacles confronting the new nations, or to the harmful legacies of colonial rule. Western societies in the past also had to overcome disruptive social and political divisions. Nearly all new Asian and African states were artificially created by Europeans who gave minimal attention the interests of the peoples involved. The imposed boundaries incorporated ethnic and religious groups that were often very hostile. The colonial rulers maintained power by divide-and-rule tactics. When the colonial era ended, the rulers left resolution of long-existing problems to new regimes unable to contain them. Internal strife and war between states resulted, and democratic regimes suffered. Economic improvement was hampered by military spending, while hostilities caused extensive human suffering.

Parasitic Cities and Endangered Ecosystems. Population growth contributed to massive migration to urban areas. Most cities lacked expanding industrial sectors able to utilize the arrivals. The resulting urban underclass became a volatile factor in postindependence political struggles and forced governments to expend valuable resources to keep food and other staples available and cheap. The cities spread without planning, and developed vast slums. Some nations concluded that only slums could provide necessary housing, and thus supplied them with electrical and sanitary systems. The result is the creation of parasitic, not productive, cities that diminish national resources by drawing supplies from already impoverished rural regions. The demands upon the latter have caused soil depletion and deforestation that upset fragile tropical ecosystems. Industrial pollution heightens the problem.
**Women's Subordination and the Nature of Feminist Struggles in the Postcolonial Era.** The constitutions of the new nations promised women, who had played an active role in independence struggles, legal, educational, and occupational equality. Postindependence reality was different as males continued to dominate political life in African and Asian countries. The few important female heads of state, such as Indira Gandhi, Corazon Aquino, and Benazir Bhutto, initially won support because of connections to powerful males. The inferior education of most women helps to ensure continuance of a secondary role. The position of women is equally disadvantageous outside the political sphere. Obstacles to self-fulfillment and even survival are much greater than in industrialized societies. Early marriages necessitate spending youthful and middle-age years in caring for children at the expense of gaining education or following a career. Poor sanitation, lack of food, and male-centric customs endanger the lives of women and their children. Where legal rights exist, the lack of education and resources often block women's chance to utilize them. The spread of religious fundamentalism usually suppresses women's opportunities and rights.

**Neocolonialism, Cold War Rivalries, and Stunted Development.** The plans of the leaders of new nations for industrial development were failures. They had a very limited industrial base to begin with, and had little capital to stimulate progress. State revenues went to internal government needs. Necessary foreign exchange came from the export of cash crops and minerals. But prices of primary products have fluctuated widely, and declined in relation to the prices of manufactured goods, since World War II. Many African and Asian leaders have blamed the legacy of colonialism for their economic problems. Neocolonialism certainly contributes to their difficulties, but it is not alone. New nations often have fallen to corrupt elites that rule at the expense of the mass of the population. Asian and African nations have sought aid from international organizations or industrial nations, but the price can be high in economic and political concessions. When the requirement for aid was a removal of state subsidies for food and other staple goods, regimes faced unrest or collapse.

**Paths to Economic Growth and Social Justice.** Whatever the source of blame for lack of postindependence development, leaders of new nations had to deliver on at least some of their promises if they were to continue in power. Efforts have achieved some success, but in most nations, the majority of the population rarely has benefited.

**Charismatic Populists and One-Party Rule.** One of the least successful responses was the development of authoritarian rule under a charismatic leader. Kwame Nkrumah in Ghana after 1957 attempted reform programs to improve the lives of Ghanaians. Internal rivals hampered initiatives, while Nkrumah's turning to the Soviet bloc and its ideology drove off Western investors. The price of cocoa, the dominant export crop, fell sharply on the world market. Nkrumah, despite the difficulties, went ahead with his policies. Most failed. During the 1960s he forcibly crushed all opposition groups and took dictatorial powers. Nkrumah tried to justify his actions by manipulating symbols supposedly drawn from Ghana's past and by talk of a unique brand of African socialism. As the economy floundered, opposition increased; Nkrumah was deposed in 1966 and died in exile in 1972.
Military Responses: Dictatorships and Revolutions. There have been many military coups in Asian and African nations. The military often is one of the few societal groups resistant to ethnic and religious divisions, and it has the near-monopoly of force. Soldiers may have the technical training lacking among civilian leaders. When military men were anti-communist, they gained Western assistance. Once in power, many military men established repressive and corrupt regimes where limited resources were used to protect their authority. A few military men were different and attempted radical reform. Gamal Abdul Nasser took power in Egypt in 1952 as part of a movement, the Free Officers, formed during the 1930s by young nationalistic officers. They were allied for a long period with another opponent of the regime, the Muslim Brotherhood, founded in 1928 by Hasan al-Banna, a teacher and scholar interested in scientific subjects and independence for Egypt. He was contemptuous of the wealthy Egyptian and European minority who flourished in the midst of general poverty. The Muslim Brotherhood was founded to remedy such problems. Although believers in revivalist Islam, its members worked for sweeping reforms. By the late 1930s the Brotherhood intervened in politics through strikes, riots, and assassinations. Although the khedive's men murdered al-Banna in 1949, the Brotherhood continued to be important. Egypt's defeat in the Arab-Israeli war of 1948 and the continuing British occupation of the Suez Canal led to a successful coup in 1952 by the Free Officers. By 1954 all political parties, including the Muslim Brotherhood, had been disbanded and Nasser's regime imposed broad social and economic reform. Land was redistributed to peasants, education through college became free, and government became the main employer. State subsidies lowered prices of food staples and five-year plans like that of the Soviet Union were introduced. Some foreign properties were seized. Nasser also began an active foreign policy designed to defeat Israel, forge Arab unity, and foment socialist revolutions. In 1956, with United States and Soviet Union backing, he forced the British from the Suez Canal zone. Despite his good intentions, many of Nasser's reforms failed. Population growth offset economic advances, and Western capital was not replaced by Egypt's Communist supporters. Failed foreign adventures, including the disastrous Six-Day War with Israel in 1967, added to the regime's problems. Nasser's successor, Anwar Sadat, had to end many programs and turn to private initiatives. He came to terms with Israel, expelled the Russians, and opened Egypt to Western assistance. Sadat's policies have been continued by his successor, Hosni Mubarak. None of the paths followed since 1952 have solved Egypt's problems. Muslim fundamentalist movements proliferated; one group assassinated Sadat.

The Indian Alternative: Development for Some of the People. Indian leaders favored socialism and state intervention for reforming their society, but differed from the Egyptians in important ways. Indians have preserved civilian rule since independence. Despite the burden of overpopulation, India differed by possessing at independence a large industrial and scientific sector, a developed communications system, and an important middle class. The early leaders of the Indian National Congress were committed to social reform, economic development, and preservation of democracy and civil rights. Despite a host of problems, India has remained the world’s largest working democracy. The first leader, Jawaharlal Nehru, mixed government and private economic initiatives. Foreign investment from both the democratic and socialist blocs was accepted. Private investment by farmers was at the heart of the Green Revolution. Industrial and agrarian growth generated revenues for promoting education, family planning, and other social measures. Indians have developed a major world high-tech sector. Despite its successes, India faces problems similar to other developing nations because it lacks the resources
to raise the living standards of most of its population. The middle class has grown rapidly, but a majority of Indians have gained little. This result is partly due to population growth, but other answers include the continued domination of wealthy landlords.

Iran: Religious Revivalism and the Rejection of the West. The Iranian Revolution directed by Ayatollah Khomeini presented a fundamental challenge to the existing world order. It recalls the religious fervor of the Mahdi's 19th-century movement in the Sudan by emphasizing religious purification and the rejoining of religion and politics central to early Islam. Both movements called for a return to a golden past age, and were directed against Western-backed governments. The Mahdi and Khomeini claimed divine inspiration and sought to establish a state based on Islamic precepts. Each wanted to spread his movement to wider regions. Khomeini succeeded because of circumstances unique to Iran, a nation not formally colonized, but divided into British and Russian spheres of interest. Iran thus lacked colonial bureaucratic and communications infrastructures as well as a large Western-educated middle class. Modernization policies, supported by Iran's oil wealth, were imposed by the regime of the Pahlavi shahs. Advances resulted, but the majority of Iranians were alienated. The shah's authoritarian rule offended the middle class; his ignoring of Islamic conventions roused religious leaders influential with the mass of the people. Favoritism to foreign investors and a few Iranian entrepreneurs angered bazaar merchants. Landholders were affronted by incomplete land reform schemes that did not much benefit the rural poor. Urban workers at first secured benefits, but then suffered from an economic slump. The military were neglected. When revolution came in 1978, the shah was without support and left Iran. Khomeini then carried through radical reform. Religious figures took over leadership and suppressed all opposition. Strict implementation of Islamic law began and women's opportunities were restricted. Most of the planned reforms halted when Iraq forced a war that lasted for 10 years and absorbed most national resources. Iran finally accepted a humiliating peace in 1988. The war, plus the consequences of internal repression and failed development efforts, left Iran in shambles. Although some reduction of state repression has since occurred, control by Islamic leaders has continued.

South Africa: The Apartheid State and Its Demise. By the 1970s, South Africa's majority African population remained under the rule of the country's European-ancestry population. Afrikaner domination had been secured through victory in elections—Africans could not vote—of their Nationalist Party in 1948. Independence from Britain came in 1960. A vast system of laws was passed to create apartheid, a system designed to ensure white domination of political power and economic resources. All aspects of living were segregated. Special homelands were formed for the main "tribal" groups, thus leaving whites with most of the richest, productive land. The overpopulated homelands were reservoirs of cheap labor for white industry and agriculture. A brutal regime enforced the system. All forms of African protest, such as the African National Congress, were illegal. Leaders, such as Walter Sisulu, Nelson Mandela, and Steve Biko, were imprisoned, tortured, or killed. Africans turned to guerrilla resistance during the 1960s without much immediate success. By the late 1980s, the state system began cracking because of internal and external economic and political pressures. Moderate Afrikaners led by F.W. De Klerk began dismantling apartheid. The release of African National Congress leader Nelson Mandela in 1990 signaled the end of the old order. All South Africans voted for a new government in 1994, under Mandela, to begin building a new multiracial nation with equal opportunities for all citizens. Major problems—ethnic tensions, economic inequality—persist.
Comparisons of Emerging Nations. Along with the many common problems faced by newly independent nations, there are patterns that often reflect older traditions in key civilizations. India, less completely a new nation, maintained democracy. The new nations of the Middle East shared continuing tensions between secular and religious leaders. New African nations remained subject to Western economic dominance; they experienced massive cultural change as Islam and Christianity grew.

GLOBAL CONNECTIONS: Postcolonial Nations in the Cold War World Order. Most of the recently independent new nations attained independence with a multitude of problems from their colonial past waiting for solution. Their subsequent experiences mirror the problems occurring in other nations, such as the United States, which gained independence earlier. Their experiences in social and economic matters mirror the European and North American past. Continual struggle, with approaches formed by a blending of indigenous and Western patterns, is necessary for the new nations to secure a satisfactory place in a world dominated by established industrial powers.

KEY TERMS

Bangladesh: formerly East Pakistan; after a civil war became independent in 1972.

Indira Gandhi: Prime Minister of India (r. 1966-1977, 1980-1984); daughter of former Prime Minister Jawaharlal Nehru; dominated Indian politics for several decades.


Primary products: food or industrial crops with a high demand in industrialized economies; their prices tend to fluctuate widely.

Neocolonialism: continued dominance of new nations by their former rulers.

Kwame Nkrumah: Ghanian leader at independence; his efforts at reform ended with the creation of dictatorial rule.

Muslim Brotherhood: Egyptian religious and nationalist movement founded by Hasan al-Banna in 1928; became an example for later fundamentalist movements in the Islamic world.

Gamal Abdul Nasser: member of the Free Officers Movement who seized power in Egypt in a 1952 military coup; became leader of Egypt; formed a state-directed reforming regime; ousted Britain from the Suez Canal in 1956; most reforms were unsuccessful.

Anwar Sadat: successor of Nasser as Egypt's ruler; dismantled Nasser's costly and failed programs; signed peace with Israel in 1973; assassinated by a Muslim fundamentalist.
**Hosni Mubarak:** president of Egypt (1981-present); has continued Anwar Sadat's policies.

**Jawaharlal Nehru:** first leader of independent India; committed to programs of social reform, economic development, and preservation of civil liberties.

**Green Revolution:** agricultural revolution that increased production through improved seeds, fertilizers, and irrigation; helped to support rising Asian populations.

**Ayatollah Khomeini:** religious leader of Iran following the 1979 revolution; worked for fundamentalist Islamic religious reform and elimination of Western influences.

**Apartheid:** Afrikaner policy of racial segregation in South Africa designed to create full economic, social, and political exploitation of African majority.

**Homelands:** areas in South Africa for residence of "tribal" African peoples; overpopulated and poverty-stricken; source of cheap labor for whites.

**African National Congress (ANC):** South African political organization founded to defend African interests; became the ruling political party after the 1994 elections.

**Walter Sisulu and Steve Biko:** African leaders imprisoned (Sisulu) or murdered (Biko) by the Afrikaner regime.

**Nelson Mandela:** ANC leader imprisoned by Afrikaner regime; released in 1990 and elected president of South Africa in 1994.

**F.W. de Klerk:** South African president (1989-1994); led Afrikaner push for reforms ending apartheid; Nelson Mandela was freed in his presidency.

**LECTURE SUGGESTIONS**

1. **Discuss whether the problems in newly-independent Asian and African nations were the creation of imperialism or the result of indigenous factors.** Certain problems clearly were associated with imperialism: lack of industrialization; dependence on the sale of cash food products, minerals, and raw materials; continued economic dependency within the global trade network; cultural intrusions; artificial boundaries throwing together different ethnic and religious groups. Among indigenous problems, the greatest probably is overpopulation, its effects magnified by a lack of an industrial sector to provide employment. Other indigenous problems are repressive military regimes, political corruption, and failure to distribute benefits to the majority.

2. **Compare and contrast the political, social, and economic development of Asian and African countries after independence with the countries of Latin America.** Each region demonstrated a variety of responses to independence: failure of nationalist governments, establishment of one-party government, military regimes, charismatic populist governments. Latin America did not have a successful fundamentalist revolt similar to that of Iran. Continuing
revolutions were common in all regions. Latin America has a different social hierarchy than elsewhere based on color and ethnic background. South Africa had a system where a white minority ruled and discriminated against an African majority. Many of the regions had a significant underclass. In economics, all regions had difficulties in overcoming the disadvantages of an absence of industrialization, an inability to shake off economic dependency within the global trade network, the creation of huge cities full of the unemployed, and population growth swallowing any economic gains.

**Class Discussion Questions**

1. Why did African and Asian new states have such difficulty in establishing national identities?

2. What accounts for high population growth rates in new Asian and African nations?

3. How are cities in Asia, Africa, and Latin America different from those of the West?

4. Define "neo-colonialism."

5. In what way did Nasser's military government differ from other military regimes?

6. Discuss the differences and similarities in postindependence policies in India and Egypt.

7. What influences contributed to the gaining of power by Islamic fundamentalists in Iran?

**THE INSTRUCTOR’S TOOL KIT**

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CHAPTER 39
Rebirth and Revolution: Nation-Building in East Asia and the Pacific Rim

I. East Asia in the Postwar Settlements
Korea divided
   Russian, American zones

Taiwan
   Chinese occupation
   Chiang Kai-shek

Reoccupation of some areas

Japan occupied by United States

A. New Divisions and the End of Empires
   Postwar decolonization
   U.S. loses Philippines
   Dutch: Indonesia
   British: Malaya

   Chiang, Guomintang
   driven to Taiwan

B. Japanese Recovery
   American occupation
   ends, 1952

   Democratization
   women get the vote
   unions encouraged
   Shintoism disestablished
   land redistribution
   new constitution
   modified, 1963

   Liberal Democratic Party, 1955

C. Korea: Intervention and War
   North
   communist
   Kim Il-Sung, to 1994

   South
   Syngman Rhee
   parliamentary government
North invades South, 1950
U.S. leads UN effort
   China supports North
1953, armistice

D. Emerging Stability in Taiwan, Hong Kong, and Singapore
Taiwan
   Guomindang retreats to Taiwan
   U.S. Support

Hong Kong
   British colony
   Chinese control, 1997

Singapore
   independence, 1965

II. Japan, Incorporated

A. Japan's Distinctive Political and Cultural Style

   Liberal Democrat Party, 1955-1993
      corruption raises questions

   Cultural continuity

   Hiraoka Kimitoke
      nationalist

B. The Economic Surge
   Company unions
      cooperation between management, labor

   Women
      traditional attitudes

   Popular culture
      Western influence

   Political change
      1990s

C. The Pacific Rim: New Japans?
   Follow Japanese model
D. The Korean Miracle
South Korea
Chung-hee, 1961-1979
military loses power
more open press, political action
new companies
Hyundai

E. Advances in Taiwan and the City-States
Taiwan
rapid economic growth
more contact with China, other neighbors
Death of Chiang Kai-shek, 1978
gap narrows between China and Taiwan

Singapore
similar to Taiwan
Lee Kuan Yew
authoritarian rule
returned to China, 1997

F. Common Themes and New Problems
Common culture
- group loyalty stronger than individualism
- Confucianism important in economic development
- benefit from Japanese influence

Indonesia, Thailand, Malaysia follow

III. Mao's China and Beyond
Chiang Kai-shek
Japanese invasion
allies with Communists
Guomindang's position lessened
partly due to military defeat
Communism popular
Mao gaining power by 1945
Defeat of Japan, 1949
Communists ascendant

A. The Communists Come to Power
Secession movements
Inner Mongolia, Tibet

Korean War
China supports division
Vietnam
support liberation

Alliance with Soviet Union
collapses by late 1950s
border disputes
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War with India

B. Planning for Economic Growth and Social Justice
Land reform

First five-year plan, 1953

Mass Line approach, 1955
agricultural cooperatives
farming through collectives from 1956

Purge of intellectuals, 1957

C. The Great Leap Backward
The Great Leap Forward, 1958
based on peasant communes
peasants un-cooperative
famine
ended by 1960
Mao no longer state chairman
still head of Central Committee
replaced by pragmatists
Zhou Enlai, Liu Shaou, Deng Xiaoping

D. "Women Hold Up Half of the Heavens"

Mao and Jiang Qing
Guomindang
not supportive of women's rights
Communist promising
legal equality
work outside the home
opportunities increase

E. Mao's Last Campaign and the Fall of the Gang of Four
Cultural Revolution, 1965
Zhou Enlai
into seclusion
Liu Shaoqui
killed
Deng Xiaoping
emprisoned
ended, 1968

Gang of Four
Jiang Qing
opposed by Deng
defeated by pragmatists
imprisoned

Pragmatists
more open to West, capitalism

IV. Colonialism and Revolution in Vietnam
French
interest since 1600s
hope to convert to Catholicism
Tayson peasant rebellion, 1770s
Nguyen, Trinh dynasties out
French back Nguyen Anh (Gia Long)
unification by 1802
new capital at Hue

Minh Mang
persecution of Vietnamese Catholics

French intervene, 1840s
Vietnam, Cambodia, Laos taken over by 1890s
Nguyen as puppets

French takeover
discredits emperor, bureaucracy, Confucianism

A. Vietnamese Nationalism: Bourgeois Dead Ends and Communist Survival
French influence
Western-educated middle class

Vietnamese Nationalist Party (VNQDD)
from 1920s
repressed, 1929

Communist the focus of resistance
crushed by French
aided by Comintern

Japan occupies Vietnam, 1941

B. The War of Liberation against the French
Viet Minh
    communist-dominated resistance
Vo Nguyen Giap
    proclaims independence, 1945
    only in North

War
    French defeated at Dien Bien Phu, 1954
    Geneva conference promises elections

C. The War of Liberation Against the United States
Vietnam
    battleground between Communists and United States

South
    Ngo Dinh Diem, president
    fights communists (Viet Cong)

North
    supports Viet Cong

United States
    supports military overthrow of Diem
    withdraws, 1970s

Communists
    take South Vietnam

D. After Victory: The Struggle to Rebuild Vietnam
Difficulties
    U.S. blocks international aid
    reprisals

Economy more open in 1980s
    better relations with U.S.

Yun Ruo. The son of a leader in the Chinese Communist Party, Yun Ruo lived a privileged life, until he fell victim to the turmoil of the Cultural Revolution. He was well-educated, finishing his training in the Soviet Union. Unlike many of his colleagues, he was not drafted into forced labor in Mao's Great Leap Forward campaign. When the Cultural Revolution came, however, he was labeled an enemy of the revolution. His time in the Soviet Union had turned
into a liability, and letters from his Russian lover were confiscated and used against him. The real cause appears to be Mao's enmity for Yun's father, Liu Shaoqui, one of the high party officials that had replaced Mao briefly, now the targets of Mao's purges. He spent eight years in prison, but died not long after. The postwar era in Asia was marked by uncertainty. Much of Japan had been destroyed. The civil war in China left the Communists in power, just beginning their persecution of enemies.

**Chapter Summary.** The recent history of China, Japan, and Vietnam has significant differences from other Asian and African states. Japan remained independent, industrialized, and became a great imperialist power. After World War II, Korea, Taiwan, and other industrializing nations gave the Pacific Rim new importance. China and Vietnam suffered from Western and Asian imperialists. With their traditional order in ruins, they had to face the usual problems of underdeveloped colonial peoples. Full-scale revolutions occurred. By the beginning of the 21st century, the result of all the changes gave east Asia a new importance in world affairs.

**East Asia in the Postwar Settlements.** Allied victory and decolonization restructured east Asia. Korea was divided into Russian and American occupation zones. Taiwan was occupied by Chiang Kai-shek's Chinese government. The Americans and Europeans reoccupied, temporally, their colonial possessions. Japan was occupied by the United States. The Pacific Rim states became conservative and stable nations tied to the West.

**New Divisions and the End of Empires.** The postwar tide of decolonization freed the Philippines from the United States, Indonesia from the Dutch, and Malaya from the British. The Chinese Communist victory in China drove Chiang's regime to Taiwan. Korea remained divided after a war in which American intervention preserved South Korean independence. Japan, under its American occupiers, peacefully evolved a new political structure.

**Japanese Recovery.** Although Japan had been devastated by the war, it recovered quickly. The American occupation, ending in 1952, altered Japan's political forms. The military was disbanded and democratization measures were introduced. Women received the right to vote, unions were encouraged, and Shintoism was abolished as a state religion. Landed estates were divided among small farmers and zaibatsu holdings temporarily dissolved. A new constitution established the parliament as the supreme governing body, guaranteed civil liberties, abolished the "war potential" of the military, and reduced the emperor to a symbolic figurehead. The Japanese modified the constitution in 1963 to include social service obligations to the elderly, and a recognition of traditional values. Most Japanese accepted the new system, especially the reduction of the role of the military. Defense responsibility for the region was left to the United States. Two moderate political parties merged to form the Liberal Democratic Party in 1955. It monopolized Japan's government into the 1990s. The educational system became one of the most meritocratic in the world.

**Korea: Intervention and War.** Cold war tensions kept Korea divided into Russian and American zones. The North became a Stalinist-type communist state ruled until 1994 by Kim Il-Sung. The South, under Syngman Rhee, developed parliamentary institutions under strongly authoritarian leadership. The North Koreans, hoping to force national unity on communist terms,
invaded the South in 1950. The United States organized a United Nations defense of South Korea that drove back the invading forces. China's Communist government reacted by pushing the Americans southward. The fighting stalemate and ended with a 1953 armistice recognizing a divided Korea. In the following years, North Korea became an isolated, dictatorial state. South Korea, under authoritarian military officers, allied to the United States. The South Korean economy flourished.

**Emerging Stability in Taiwan, Hong Kong, and Singapore.** When the Guomindang regime was defeated in China by the communists, it fell back on Taiwan. The Chinese imposed authoritarian rule over the majority Taiwanese. The United States supported Taiwan against China until tensions lessened in the 1960s. By then, Taiwan had achieved growing economic prosperity. Hong Kong remained a British colony, with its peoples gaining increasing autonomy, until returned to Chinese control in 1997. Singapore developed into a vigorous free port and gained independence in 1965. By the end of the 1950s, there was stability among many smaller east Asian states; from the 1960s, they blended Western and traditional ideas to achieve impressive economic gains.

**Japan, Incorporated.** From the 1950s, Japan concentrated upon economic growth and distinctive cultural and political forms. The results demonstrated that economic success did not require strictly following Western models.

**Japan's Distinctive Political and Cultural Style.** The Liberal Democrat Party provided conservative stability during its rule between 1955 and 1993. The political system revived oligarchic tendencies of the Japanese past as changes in parliamentary leadership were mediated by negotiations among the ruling elite. Change came only in the late 1980s when corruption among Liberal Democratic leaders raised new questions. Japan's distinctive political approach featured close cooperation between state and business interests. Population growth slowed as the government supported birth control and abortion. Most elements of traditional culture persisted in the new Japan. Styles in poetry, painting, tea ceremonies, theater, and flower arrangements continued. Films and novels recalled previous eras. Music combined Western and Japanese forms. Contributions to world culture were minimal. Nationalist writers, as Hiraoka Kimitoke, dealt with controversial themes to protest change and the incorporation of Western ideas.

**The Economic Surge.** By the 1980s Japan was one of the two or three top economic world powers. The surge was made possible by government encouragement, educational expansion, and negligible military expenditures. Workers organized in company unions that stressed labor-management cooperation. Company policies provided important benefits to employees, including lifetime employment. The labor force appeared to be less class-conscious and individualistic than in the West. Management demonstrated group consciousness and followed a collective decision-making process that sacrificed quick personal profits. Leisure life was very limited by Western standards. Family life also showed Japanese distinctiveness. Women's status, despite increased education and birth rate decline, remained subject to traditional influences. Feminism was a minor force. They concentrated on household tasks and child rearing, and did not share many leisure activities with husbands. In child rearing, conformity to group standards was emphasized and shame was directed at nonconformists. Group tensions were settled through mutual agreement, and individual alienation appeared lower than in the
West. Competitive situations produced stress that could be relieved by heavy drinking and recourse to geisha houses. Popular culture incorporated foreign elements, such as baseball. Pollution became a major problem and the government gave the environment more attention after 1970. Political corruption led to the replacement of the Liberal Democrats during the 1990s by unstable coalition governments. Severe economic recession and unemployment disrupted former patterns.

**The Pacific Rim: New Japans?** Other Asian Pacific coast states mirrored Japan's economic and political development. Political authoritarian rule under parliamentary forms was common. Governments fostered economic planning and technical education. Economies flourished until the end of the 1990s.

**The Korean Miracle.** The South Korean government normally rested in the hands of military strongmen. One general, Chung-hee, held power from 1961 to 1979. The military was pressured from power at the end of the 1980s and was succeeded by an elected conservative government. Limited political activity and press freedom was allowed. From the mid-1950s, primary attention went to economic growth. Huge firms were created by government aid joined to private entrepreneurship. The Koreans exported a variety of consumer goods, plus steel, automobiles, and textiles. The industrial groups, such as Hyundai, resembled Japanese zaibatsus and had great political influence. As Korea industrialized, population soared to produce the highest national world population density. Per capita income advanced, but was still far behind Japan's. Important economic inequalities continued.

**Advances in Taiwan and the City-States.** The Republic of China (Taiwan) experienced a high rate of economic growth. Agricultural and industrial production rapidly increased as the government concentrated on economic gains. Education received massive investments. The policies meant important economic and cultural progress for the people of Taiwan. The government remained stable despite the recognition of the Communists as the rulers of China by the United States in 1978. The Taiwanese built important regional contacts throughout eastern and southeastern Asia to facilitate commerce and opened links with the regime in Beijing that continued to claim the island was part of China. After the death of Chiang Kai-shek in 1978, the gap between mainland-born Chinese and Taiwanese lessened as gradual reform went forward. Singapore developed along lines roughly similar to those of Taiwan. Prime Minister Lee Kuan Yew held power for three decades after 1965. Tight controls were maintained over many aspects of public and private life. Authoritarian rule suppressed opposition movements. Successful economic development eased the political strains; by the 1980s Singapore's people had the second-highest per capita income in Asia. After its return to China in 1997, Hong Kong continued as a major world port and international banking center. It linked China to the rest of the world. Industrial development fueled high export levels.

**Common Themes and New Problems.** The nations had more in common than economic success. They all stressed group loyalty over individualism and emphasized hard work. Confucian morality played a part in the process. All relied on government planning and limits on dissent. All benefited from contact with the flourishing Japanese economy. Pacific Rim dynamism influenced other regions of southeast Asia. By the 1980s, Indonesia, Thailand, and Malaysia experienced rapid economic growth. But by the closing years of the 20th century, the
region showed weaknesses in the region as growth lessened, currencies declined, and unemployment rose. Many Westerners thought that the nations had to adopt more free-market competition. The economic distress brought political difficulties that played a role in a change of government in Indonesia. At the end of the century, economic growth quickened.

In Depth: The Pacific Rim as a U. S. Policy Issue. The rise of Pacific Rim economies raises important questions for the West, especially the United States, because of its military role and world economic position. The United States had promoted the region’s economic development as part of the contest with communism. It did not want to end its influential position of military superiority. The economic competition of the Pacific Rim states posed real threats. Japan was a major contributor to the United States’ unfavorable trade balance, and it increased its holdings within the country. During the 1980s, many individuals urged Americans to imitate Pacific Rim patterns, and some firms did so. Others wanted a more antagonistic American response: evacuation of military bases, imposition of tariffs. No clear policies followed. Pacific Rim nations similarly had to rethink their relationship with the West and the United States. Access to Western markets and military assistance were still sought, but there was a strong wish to establish a more equal relationship.

Mao's China and Beyond. Chiang Kai-shek's success during the 1930s was interrupted by Japanese invasion. He allied with the Communists and for the next seven years war against the Japanese replaced civil war. The war strengthened the Communists at the expense of the Guomindang since it was defeated by the Japanese when waging conventional warfare. The Communists fought guerrilla campaigns and extended control over much of north China. Intellectuals and students changed their allegiance to the Communists. By 1945 the balance of power was shifting to Mao. In 1949, following renewed civil war after the defeat of Japan, the Communists were victorious. Mao triumphed because Communist policies won the support of the peasantry and other groups. Land reform, education, and improved health care gave them good reason to support Mao. The Communists won because they offered a solution to China's fundamental social and economic problems.

The Communists Come to Power. The long struggle had given them a strong military and political organization. The army was subordinate to the party. The Communists used their strength to reassert Chinese regional preeminence. Secessionist movements in Inner Mongolia and Tibet were suppressed and, in the 1950s, China intervened in the Korean War and preserved the division of that country. They periodically threatened to invade the Guomindang refuge in Taiwan, and supported the Vietnamese liberation movement. The close cooperation with the Soviet Union collapsed by the late 1950s, because of border disputes and arguments with the post-Stalinist leadership. During the early 1960s, China defeated India in a brief border war. The Chinese became the first nonindustrial nation to detonate a nuclear device.

Planning for Economic Growth and Social Justice. Government activity for domestic reform was equally vigorous, but less successful. Landlords were dispossessed and purged, and their lands redistributed. To begin industrialization, a first five-year plan commenced in 1953, drawing resources from the countryside for its support. Some advances were achieved in heavy industry, but the resulting consequences of centralized state planning and a privileged class of urban technocrats were unacceptable to Mao. He had a deep hostility to elitism and to Lenin's
idea of a revolution imposed from above; he clung to his faith in peasants as the force of the revolution. The Mass Line approach began in 1955 with the formation of agricultural cooperatives; in 1956 they became farming collectives that provided the bulk of Chinese production. Peasant ownership ceased. In 1957 intellectuals were purged after being asked their opinion of government policies.

The Great Leap Backward: The Great Leap Forward, an effort to revitalize the revolution by restoring its mass and rural base, was launched in 1958. Small-scale industrialization aimed at creating self-reliant peasant communes, but instead resulted in economic disaster. Peasants reacted against collectivization. Communist China experienced its worst famine, the crisis exacerbated by a growing population and a state rejection of family planning. The government did then introduce birth control programs and succeeded in slowing population increase. By 1960 the Great Leap ended and Mao lost his position as state chairman. He continued as head of the Central Committee. Pragmatists such as Zhou Enlai, Liu Shaoqui, and Deng Xiaoping pushed policies of restored state direction and local level market incentives.

"Women Hold Up Half of the Heavens." Mao, assisted by his wife Jiang Qing, was committed to the liberation of Chinese women. Guomindang efforts to reverse gains made by women during the early revolution caused many women to support the Communists. They worked in many occupations in Communist ranks. When the revolution triumphed, women received legal equality. Women gained some freedom in selecting marriage partners and were expected to work outside of the home. Educational and professional opportunities improved. Traditional male attitudes persisted and women had to labor both in and out of their homes. Males continued to dominate upper-party levels.

Mao's Last Campaign and the Fall of the Gang of Four. By 1965 Mao believed that he had won sufficient support to overthrow his pragmatist rivals. He launched the Cultural Revolution during which opponents were attacked, killed, or forced into rural labor. Zhou Enlai was driven into seclusion, Liu Shaoqui killed, and Deng Xiaoping imprisoned. The destruction of centralized state and technocratic elites endangered revolutionary stability. The campaign was terminated by Mao in 1968 as the military brought the Red Guard back into line. The struggle between Mao and his rivals recommenced, with Deng slowly pushing back the Gang of Four led by Jiang Qing. The deaths of Zhou Enlai and Mao in 1976 cleared the way for an open succession struggle. The pragmatists won out; the Gang of Four were imprisoned for life. Since then, the pragmatists have opened China to Western influences and capitalist development, but not to political reform. The Communists, since taking power in 1949, have managed a truly revolutionary redistribution of China's wealth. The majority people have much better standards of living than under previous regimes, and their condition is superior to that of the people in many other developing regions. The agricultural and industrial growth rates have surpassed India's.

Colonialism and Revolution in Vietnam. Although the Vietnamese were brought under European rule during the 19th century, the Confucian influence of China on their historical evolution makes their encounter with the West similar to China's. The failure of the Confucian emperor and bureaucracy to prevent a French takeover discredited the system in force in Vietnam for millenia. The French had been interested in Vietnam since the 17th
century; by the late 18th century they became politically involved when internal power struggles brought wide disorder. From the late 1770s, the Tayson peasant rebellion toppled the Nguyen and Trinh dynasties. The French backed Nguyen Anh (later renamed Gia Long) and helped him to unify Vietnam by 1802. Hue became the capital, and French missionaries and traders received special rights. Gia Long and his successors were conservatives deeply committed to Confucianism, thus disappointing French missionary hopes to convert Vietnam to Catholicism. When ruler Minh Mang persecuted Vietnamese Catholics, the French, during the 1840s, intervened. By the 1890s, Vietnam, Cambodia, and Laos were under French control, and the Nguyen made into puppet rulers. The French exploited Vietnam without providing its people any significant return. Food consumption among the peasantry dropped between the early 1900s and the 1930s while Vietnam became a leading world rice producer.

**Vietnamese Nationalism: Bourgeois Dead Ends and Communist Survival.** The failure of the Nguyen to resist the French discredited the dynasty. Guerrilla opposition in the early 20th century was localized, small-scale, and easily defeated. With the old order discredited, many Vietnamese rejected Confucianism. Under the French, a Western-educated middle class grew to work in government and private careers. They contested French racism and discrimination in job opportunities. French ability to repress all outward signs of opposition gave those arguing for violent solutions the upper hand. In the 1920s a Vietnamese Nationalist Party (VNQDD), with members drawn from the educated middle class, began to pursue violent revolution. Their efforts ended with the harsh repression of the party in 1929. The fall of the VNQDD left the Communist Party, dominated by Nguyen Ai Quoc (Ho Chi Minh), as the main focus of resistance. The Communists believed in revolt based upon urban workers until, in the early 1930s, they shifted to a peasant emphasis to take advantage of rural risings. The French crushed the party, but it survived underground with help from the Comintern. The Japanese occupied Vietnam in 1941.

**The War of Liberation against the French.** The Communist-dominated resistance movement, the Viet Minh, fought the Japanese during the war and emerged at the end of World War II as an effective party ready to continue the reforms they had inaugurated in liberated regions. By 1945, under the leadership of Vo Nguyen Giap, and with much rural support, the Viet Minh proclaimed an independent Vietnam. They did not control the South where the French returned to exploit local divisions and reassert colonial rule. A harsh colonial war followed that closed with French defeat at Dien Bien Phu in 1954. An international conference at Geneva promised elections to decide who should govern Vietnam.

**The War of Liberation Against the United States.** The promise of elections was not kept as Vietnam became entangled in cold war maneuvers. Anti-communist feeling in the United States during the early 1950s fed the idea that South Vietnam must be defended against a communist takeover. A southern government, with United States backing, was established, with Ngo Dinh Diem as president. He rigged elections to legitimize his rule and began a campaign against the Communists (the Viet Cong) in the South. The North Vietnamese regime supported the Viet Cong. When hostilities escalated and Diem proved unable to stem Communist gains, the United States allowed the military to depose him and take over the war. The fighting continued, but even the intervention of 500,000 American troops and massive bombing did not defeat the Communists. The United States gave up and withdrew its forces in
the 1970s. Southern Vietnam fell to the Communists in 1975. Vietnam had its first united government since the mid-19th century, but it ruled over a devastated country.

**After Victory: The Struggle to Rebuild Vietnam.** Communist efforts to rebuild have floundered, partly because of Vietnamese isolation from the international community. The United States used its influence to block international assistance. Border clashes occurred with China. Vietnamese leaders of a dictatorial regime pushed hard-line Marxist-Leninist political and economic policies and persecuted old enemies. A highly centralized economy stifled growth and continued wartime miseries. Liberalization in the economic sphere finally began during the late 1980s. The United States and Vietnam began movement into a more constructive relationship.

**GLOBAL CONNECTIONS: East Asia and the Pacific Rim in the Contemporary World.** Both China and Vietnam have undergone revolutionary transformations during the 20th century. Monarchies and colonial regimes have been replaced by Communism. Entire social classes have disappeared. New educational systems have been created. Women have gained new legal and social status. Confucianism fell before Marxist-Leninism and later Western capitalist influences, but much remains unchanged. Suspicion of commercial and entrepreneurial classes persists, and the belief remains that rulers are obliged to promote the welfare of their subjects. Ideological systems stress secular and social harmony rather than religious concerns. Japan and the Pacific Rim have undergone lesser change, and in some ways, remain more traditional societies. But industrialization and democratization have brought change in many areas. East Asia, largely independent of Western control, has become a growing force in world affairs.

**KEY TERMS**

**Singapore:** part of the British colony of Malaya with a mostly Chinese population; after World War II emerged as a flourishing, independent city-state.

**Douglas MacArthur:** American commander during the war against Japan; headed American occupation government of Japan after the war; commanded United Nations forces during the Korean War.

**Liberal Democratic Party:** conservative political party that monopolized Japanese governments from 1955 into the 1990s.

**Republic of Korea:** southern half of Korea occupied by the United States after World War II; developed parliamentary institutions under authoritarian rulers; underwent major industrial and economic growth after the 1950s.

**Democratic People's Republic of Korea:** northern half of Korea dominated by USSR after Word War II; formed a Communist dictatorship under Kim II-Song; attacked South Korea to begin the Korean War.
Korean War: fought between 1950 and 1953 between North Korea and its Soviet and Chinese allies and South Korea and United Nations’ forces directed by the United States; ended in stalemate.

Taiwan: island off the Chinese mainland that became the refuge for Chiang Kai-shek's Guomindang regime; maintained independence with United States support; rapidly industrialized after the 1950s.

Hong Kong: British colony in China; became a major commercial and industrial center; returned to China in 1997.

Hyundai: major Korean industrial giant; typical of firms producing Korea's economic miracle.

Lee Kuan Yew: authoritarian ruler of Singapore for three decades from 1959; presided over major economic development.

Mass Line: economic policy of Mao Zedong inaugurated in 1955; led to formation of agricultural cooperatives that then became farming collectives in 1956; peasants lost land gained a few years earlier.

Great Leap Forward: economic policy of Mao Zedong introduced in 1958; proposed small-scale industrialization projects integrated into peasant communities; led to economic disaster and ended in 1960.

Zhou Enlai, Deng Xiaoping, and Liu Shaoqui: pragmatists who, along with Zhou Enlai, opposed the Great Leap Forward; wanted to restore state direction and market incentives at the local level.

Jiang Qing: wife of Mao Zedong; one of the Gang of Four; opposed pragmatists and supported the Cultural Revolution; arrested and imprisoned for life in 1976.

People's Liberation Army: military, and dominant, arm of the communist structure in China.

Cultural Revolution: initiated by Mao Zedong in 1965 to restore his dominance over the pragmatists; disgraced and even killed bureaucrats and intellectuals; called off in 1968.

Lin Bao: one of Mao Zedong's military associates.


Red Guard: student brigades active during the Cultural Revolution in supporting Mao Zedong's policies.

Gang of Four: Jiang Qing and her allies who opposed the pragmatists after the death of Mao Zedong; arrested and sentenced to life in prison.
Tayson Rebellion: peasant revolution in southern Vietnam during the 1770s; toppled the Nguyen and the Trinh dynasties.

Nguyen Anh (Gia Long): with French support unified Vietnam under the Nguyen dynasty in 1802 with the capital at Hue.

Minh Mang: second ruler of united Vietnam (1802-1841); emphasized Confucianism and persecuted Catholics.

Vietnamese Nationalist Party (VNQDD): middle-class revolutionary organization during the 1920s; committed to violent overthrow of French colonialism; crushed by the French.

Communist Party of Vietnam: the primary nationalist party after the defeat of the VNQDD in 1929; led from 1920s by Ho Chi Minh.

Ho Chi Minh (Nguyen Ai Quoc): shifted to a revolution based on the peasantry in the 1930s; presided over the defeat of France in 1954 and the unsuccessful United States intervention in Vietnam.

Viet Minh: Communist Vietnamese movement; fought the Japanese during World War II and the French afterwards.


Ngo Dinh Diem: became president of South Vietnam with United States support in the 1950s; overthrown by the military, with U.S. approval.

Viet Cong: the Communist guerrilla movement in southern Vietnam during the Vietnamese war.

LECTURE SUGGESTIONS

1. Discuss the ways in which the development of the Pacific Rim continues the traditions of Asian (primarily Chinese) civilization and the ways in which the Pacific Rim departs from that past. Chinese traditions continue to exist, including elements of the Confucian state and social system (emphasis on group solidarity and cooperation rather than competition, the concept that rulers must act to benefit all, an emphasis on central control leading to central planning and authoritarianism, tight links between government and society, a sense of cultural superiority over the West, and a retention of aspects of traditional culture – poetry, theater, art). Aspects of tradition that have been overcome are the mistrust of commercial classes replaced by the growth of corporate businessmen as social leaders, the growing acceptance of aspects of Western culture, and a more complete entry into the world trade system.
2. **Compare and contrast the experience in China and Vietnam with the process of decolonization elsewhere in Asia and Africa.** The similarities include an exposure to Western imperialism during the 19th century, and to that of Japan during the 20th century. By that century, they had been reduced to economic dependency in the global trade network. They had failed to industrialize, and shared overpopulation problems and poverty. Their differences from other African and Asian colonial territories included the failure to develop a Western-educated middle class and to undertake a lengthy period of nationalist, democratic government. They accepted a peasant-oriented form of Marxism, achieved greater success in raising the status of women, and were able to maintain independence from the diplomatic systems of the United States and the Soviet Union. Both had a secular orientation; they lacked the Catholicism of Latin America or the religious focus provided by Islam and Hinduism. They emphasized the peasantry rather than an urban working class.

**CLASS DISCUSSION QUESTIONS**

1. How did the end of World War II impact the states of the Pacific Rim?
2. What accounts for the enormous economic growth of Japan and the Pacific Rim after 1945?
3. Why did the Communists and not the Guomindang achieve permanent success?
4. How did Mao's political beliefs affect the nature of the Communist system after 1945?
5. What gains did women achieve in China, Japan, and the Pacific Rim states after 1945?
6. How did France gain control of Vietnam?
7. What was new following the revolutions in China and Vietnam and what was retained from traditional civilization?

**THE INSTRUCTOR’S TOOL KIT**

**Map References**

CHAPTER 40
The End of the Cold War and the Shape of a New Era: World History 1990-2006

I. The End of the Cold War
   Soviet Union
   disintegration
   invasion of Afghanistan, 1979

A. The Explosion of the 1980s and 1990s
   Forced industrialization
   environmental problems
   infant mortality up
   disease

B. The Age of Reform
   Mikhail Gorbachev
   reforms, 1985
   nuclear reduction
   missiles limited
   withdraws from Afghanistan
   glasnost
   perestroika
   foreign investment encouraged
   military spending down
   new constitution, 1988
   re-elected, 1990

C. Dismantling the Soviet Empire
   Eastern Europe
   Soviet troops out
   Bulgaria
   free elections, 1989
   Hungary, Poland
   new governments, 1988
   Czechoslovakia
   new government, 1989
   East Germany
   communist leaders out, 1989
   Berlin Wall falls, 1991
   Bulgaria, Romania
   communists keep some power

   Ethnic struggles
   Yugoslavia breaks apart
D. Renewed Turmoil in the 1990s
Gorbachev
coup, 1991
Soviet Union dissolved by late 1991
resigns

Boris Yeltsin
succeeds Gorbachev
succeeded by Vladimir Putin

II. The Spread of Democracy
Spain, Portugal, Greece
democracies

Latin America
all but Cuba by 2000
Mexico
non-PRI president

South Korea, Taiwan
democracy expanded

Philippines
new government

South Africa
apartheid ended

Nigeria
democratic government, 1999

Indonesia
end of authoritarian government

Georgia, Ukraine
democratic elections

Uzbekistan
democratization suppressed

Saudi Arabia
local elections

Kuwait
women vote
Palestine
local elections

Egypt
opposition repressed

A. Democracy and its Limits
China, North Korea, parts of Middle East, central Asia
Beijing
demonstrations, 1989, suppressed

III. The Great Powers and New Disputes

A. The Former Soviet Union
Ethnic conflict
Chechnya
Armenia, Azerbaijan
Czechoslovakia splits

Yugoslavia
Orthodox Serbs
Catholic Croats
Serbs
Muslim Bosnians
Slovenia, Croatia
independent, 1991
Serbs attack Croats, Muslims
NATO intervenes
Bosnia-Herzegovina recognized
Kosovo
NATO involvement
Serbia, Montenegro
replace Yugoslavia

B. Endemic Conflicts
Iraq and Iran
conflict
Saddam Hussein

Iraq invades Kuwaiti, 1990
Persian Gulf War, 1991

Palestine and Israel

India and Pakistan
Kashmir
C. Ethnic and Other Conflicts: A New Surge
   Czechoslovakia
   peaceful division
   Czech Republic
   Slovakia

   Chechnya
   independence, 1990

   Sudan, Sierra Leone, Liberia

   Rwanda
   Hutu-Tutsi rivalry

IV. The United States as Sole Superpower
   European Union

   George W. Bush

A. Anti-American Terrorism and Response
   September 11, 2001
   "War on Terror"
   Afghanistan
   Iraq

**International contacts.** The end of the Cold War suddenly brought a new direction to world affairs in the late 20th century. One of the most important developments in this period was increased world awareness of political rights. Not only did international organizations provide tangible support and relief, they also cast a light on abuses, helping those working to effect change in their own countries.

**Chapter Summary.** The collapse of the Soviet Union and its subject regimes ended the Cold War. Global history took a sharp turn. Colonialism's end opened new possibilities for both human improvement or international and social conflicts. Democracy spread in many world areas, as the center of communism fell apart. From renewal of historical strife to genocide, ethnic struggles covered the globe.

**The End of the Cold War.** By the 1980s, reforms began a process ending in the disintegration of the Soviet empire and the end of communism in eastern Europe. Conservative and untalented Soviet leaders were unable to solve growing problems. To counter the threat of Islamic fervor unleashed by the Iranian revolution, the Soviets in 1979 invaded Afghanistan and became caught in an unpopular and expensive war. Western Europe's successful economy put Communism on the defensive in eastern Europe. China demonstrated how a communist authoritarian nation could flourish by joining the international economy. The United States
increased its pressure on the Soviets by large increases in military spending and interventions in favor of anti-marxist regimes.

The Explosion of the 1980s and 1990s. By the mid-1980s, the intense rivalry with the United States contributed to a deteriorating Soviet economy. Forced industrialization had caused extensive environmental disaster throughout eastern Europe. Related diseases impaired morale and economic performance. Infant mortality rates soared. Industrial production slowed and economic growth stopped, but one-third of national income continued to go to military production. Younger leaders recognized that the system might collapse.

The Age of Reform. In 1985 Mikhail Gorbachev introduced reforms. He urged nuclear reduction and negotiated with the United States a limitation of medium-range missiles in Europe. The war in Afghanistan was ended by Soviet withdrawal. Internally Gorbachev proclaimed glasnost, or openness, the freedom to comment and criticize. He urged use of market incentives and reduction of bureaucratic controls. But strong limits on political freedom remained and the centralized planning apparatus resisted reform. Gorbachev's policies partly reflected an ambivalence about the West as he reduced isolation but still criticized Western values. He wanted reform, not abandonment, of basic Communist controls. The keynote to reform was perestroika, or economic restructuring. This meant more private ownership and decentralized control of aspects of the economy. Foreign investment was encouraged and military expenditures were reduced to free resources for consumer goods. In 1988 a new constitution gave considerable power to a parliament and abolished the Communist monopoly of elections. Gorbachev was elected to a new and powerful presidency in 1990 as people argued for or against reform. The economic and political conditions provoked agitation among minority nationalities; some demanded independence.

Dismantling the Soviet Empire. The states of Eastern Europe took advantage of the new times to seek independence and internal reform. Soviet troops were withdrawn. Bulgaria arranged free elections in 1989; Hungary and Poland in 1988 installed non-communist governments and moved toward a free economy. Czechoslovakia did the same in 1989. East Germany in 1989 removed its Communist leaders; the Berlin Wall came down and full German unification occurred in 1991. The only violence occurred in Romania when an authoritarian ruler was overthrown. The Communists retained power, through elections, in Bulgaria and Romania; in Albania a more flexible Communist regime took control. The new situation in Eastern Europe was marred by ethnic clashes. Yugoslavia fell apart and brutal fighting broke out among its former components. The new governments faced serious economic and environmental problems.

Renewed Turmoil in the 1990s. In 1991 Gorbachev survived an attempted coup because of popular support. Central authority weakened. Minority republics sought independence and the Baltic republics gained independence. By the end of 1991 the Soviet Union had been replaced by a loose union of republics. Gorbachev had resigned and was replaced by Boris Yeltsin. Economic and political tensions were rampant. By the late 1990s Yeltsin had lost support and was succeeded by Vladimir Putin. He pledged reforms and commitment to democracy. Debate continued over the future of Russian society.
The Spread of Democracy. From the late 1970s multiparty democracy had spread to many new regions. The success of the European system, including the Common Market, influenced Spain, Portugal and Greece to move to democracy. Latin America followed, beginning with Argentina and Brazil. By 2000, all the Latin American countries had democracies, with the exception of Cuba. Mexico elected its first non-PRI president since the revolution. Democracy also expanded in South Korea and Taiwan in the 80s. The Philippines also elected a new government. The wave of democracy affected the Soviet bloc, including most of east central Europe and Russia. Africa showed more variation. Democracy defeated apartheid in South Africa, and Nigeria became democratic in 1999, but most regimes remained authoritarian. Indonesia followed, with the end of the authoritarian system that had prevailed. A renewed wave of democratization took place in 2004-2005. Georgia and Ukraine ignored Russia's wished, holding democratic elections. Other areas of the former Soviet Union followed, although elections were harshly repressed in Uzbekistan. In Arab countries, too, experimentation with democracy occurred. Some, such as Saudi Arabia, held open local elections. In Kuwait, women were allowed to vote. The Palestinians conducted open elections. Egypt, on the other hand, kept down the opposition.

Democracy and its Limits. China, North Korea, parts of the Middle East and central Asia resisted the democratizing trend. Demonstrations in Beijing in 1989 were violently suppressed. The fall of communism in Europe only served to encourage democracy. Moreover, from the 1990s, and especially under Jimmy Carter, the United States encouraged democratic reform. Questions remained. Would democracy be validated in a country only if economic conditions improved? How is democracy defined? What if local elections are held, as in Iran, but clerics hold great power at the national level? Questions are also raised by the United States' role in supporting democracy, while also allying with authoritarian regimes.

The Great Powers and New Disputes. The United States became the sole superpower, while Russia's power dramatically declined. Regional conflicts became more evident with the disappearance of the great rivalry between the United States and the Soviet Union.

The Former Soviet Union. The totalitarian Soviet Union had suppressed ethnic and religious conflict, without eradicating it. With the collapse of the Soviet Union, clashes arose. The Chechnya conflict emerged in Russia itself. The new nations of Armenia and Azerbaijan engaged in ethnic squabbles. Czechoslovakia split peacefully. Yugoslavia saw the most significant hostilities, among Orthodox Serbs, Catholic Croats, Serbs and Muslim Bosnians and minority nationalities. Slovenia and Croatia declared independence in 1991. As the conflict spread, Serbs attacked Croats and Muslims, ultimately committing genocide. NATO stepped in and recognized Bosnia-Herzegovina. Fighting in Kosovo also ended with NATO involvement. Serbia and Montenegro replaced Yugoslavia.

Endemic Conflicts. Many other regional conflicts surged following the end of the Cold War, not caused by the cessation, but allowed to flare because of it. The Middle East was the site of several clashes. Iraq and Iran continued their struggle, with Saddam Hussein's Iraq emerging dominant. Iraq then invaded Kuwait, in 1990. Iraq faced a coalition in the Persian Gulf War in 1991. Continuing hostilities between Israel and Palestine were heightened in 2001 and 2003, with Palestinian suicide bombings countered by Israeli destruction of Palestinian cities and
Ethnic and Other Conflicts: A New Surge. A surge in ethnic conflict was prominent in the post-cold war era. Increased global interaction and the collapse of multinational countries generated hostilities. In Europe, ethnic groups gained new opportunities for expression, while at the same time, movements arose to limit immigration. Czechoslovakia peacefully divided into the Czech Republic and Slovakia, but other states proceeded less peacefully. The Muslim region of Chechnya in Russia declared independence in 1990 and a persisting harsh conflict followed. The foremost example of a multiethnic state's collapse was Yugoslavia during the 1990s. An international military force intervened to impose peace. Another intervention was required to halt strife in Kosovo. The 1990s also witnessed African disorder in Rwanda, Sudan, Sierra Leone, and Liberia. Hutu-Tutsi rivalry broke out in Rwanda, involving Uganda. Sudanese conflicts led to over 2 million deaths. No concerted global reaction followed.

In Depth: Terrorism, Then and Now. The unsuccessful attempt to bomb the World Trade Center in New York in 1993 brought to the attention of the United States a problem that much of the world had been dealing with for decades. That attention turned to horror when terrorists again attacked the World Trade Center and the Pentagon in Washington, D.C., on September 11, 2001. Terrorism had its precedents in the decades before World War I, but with important differences. In the earlier period, most terrorists were compelled by anarchism, Marxism or the liberation of colonized peoples. Targets were generally monarchs or other highly-placed individuals. This became more difficult as technology made targeting high-profile individuals more risky. Terrorism at the turn of the 21st century, on the other hand, has mostly been from religious extremists or minority nationalists, with the addition of radical environmentalists. The involvement of women is also new. The targets have also changed, as attacks on ordinary citizens have increased. Technology has also assisted terrorists, from the vulnerability of communications networks, to the use of various toxic weapons. The goals of terrorists have rarely been met. Unlike the earlier terrorism, where the plight of minority groups or the oppression of leaders was thus publicized, modern terrorism has instead focused world opinion against terrorism.

The United States as Sole Superpower. Russia's virtual global demilitarization has left the United States without an obvious military rival. One of the effects has been growing apprehension on the part of other countries. Temporary alliances have been formed in opposition to the U.S. The European Union has grown stronger, but some of its members have resisted greater melding of interests. Debate within the United States has led to no consensus on the country's global role. On occasion, the U.S. has intervened in the internal affairs of other countries. The presidency of George W. Bush, beginning in 2001, has seen opposition of the United States to international agreements, which have been interpreted as limits to its sovereignty.

Anti-American Terrorism and Response. The attack on the U.S. on September 11, 2001 has shed new light on its global policies, especially in the Middle East. The "War on Terror" has dominated U.S. foreign policy. First Afghanistan and then Iraq have been attacked. The occupation that resulted from invasion of the latter has not led to a restoration of order.
GLOBAL CONNECTIONS: New Global Standards, New Divisions. The end of the cold war brought important changes to many countries, and intensified continuing patterns in others. With great optimism, some declared the "end of history", predicting the end of Soviet-U.S. conflict would lead to the end of all conflict. With time, however, it is clear that old hostilities continue, and that the power of the U.S. is at the same time too great for some, and not great enough to effect global change.

KEY TERMS

Mikhail Gorbachev: leader of the USSR (1985-1991); inaugurated major reforms that led to the disintegration of the communist regime.

Glasnost: term meaning openness; Gorbachev policy opening the opportunity to criticize the government.

Perestroika: term meaning economic restructuring; Gorbachev policy for the economic rebuilding of the USSR by allowing more private ownership and decentralized economic control.

Boris Yeltsin: successor to Gorbachev; failed to reform the economy; succeeded by Vladimir Putin in 1999.

Persian Gulf War: 1991 war between Iraq and a coalition of Western and some Arab states; Iraq defeated, Saddam Hussein left in power.

LECTURE SUGGESTIONS

1. Were the direct or indirect effects of the end of the Cold War most influential? Compare the collapse of the Soviet Union on regimes it had supported. Consider also the breakup of the Soviet Union itself. How did the disappearance of Soviet-U.S. tensions change political situations around the world? Which conflicts simply continued, and were now given more attention? Which conflicts simply flared up?

2. What has been the impact of terrorism? Compare terrorism with the effects of authoritarian regimes. Compare also the effects of terrorism on different groups and on different aspects of life. How does terrorism affect commerce? How does it affect the lives of individuals?

CLASS DISCUSSION QUESTIONS

1. In what way was the Soviet Union different after 1985?

2. Why did the Soviet Union disintegrate?
3. How has the concept of nationalism impacted the modern world map?

4. What is the most important impact of the end of the Cold War?

5. How has the role of the United States changed since the collapse of the Soviet Union?

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CHAPTER 41
Globalization and Resistance

I. Globalization: Causes and Processes

Causes

China
opening, 1978

Soviet Union
glasnost, 1985

A. The New Technology

- cellular phone
- computers
- Internet
  - World Wide Web
  - Tim Berners, 1990

B. Economic Globalization: Business Organization and Investment

  - Multinational corporations

C. Migration

  - Continuity

D. Cultural Globalization

  - Holidays
  - Dress
  - Music

E. Institutions of Globalization

  - International Monetary Fund (IMF)
  - North American Free Trade Agreement (NAFTA)

II. Resistance and Alternatives

A. Protest and Economic Uncertainties

  - World Trade Organization
  - World Bank

B. Nationalism and New Religious Currents

  - Religious revival
    - Russian Orthodoxy
  - Fundamentalism
III. The Global Environment

A. Environmental Issues as Global Concerns
   Greenhouse effect

B. Disease
   AIDS
   Severe Acute Respiratory Syndrome (SARS), 2003

IV. Toward the Future

A. Projecting from Trends

B. Big Changes

C. The Problem of the Contemporary Period

Kerala. Kerala, India, is in many ways a microcosm of the problems and pressures of globalization. Traditional culture is at odds with Western culture, which comes in through the radio, through residents educated or working abroad, through foreign products. While the Cold War was ending, and the world was adjusting to the resulting changes, globalization was appearing. Resistance to the globalization came indirectly from nationalism, and religion, and from direct opposition.

Chapter Summary. Globalization was not new in this period, but reached new levels. Changes in technology increased the pace of cultural influence world-wide, and the impact of economies. Multinational companies grew large enough to exert pressure on governments. Cultural globalization meant the spread of dominant cultures around the world. Increasing industrialization, some of it very rapid, led to mounting environmental problems. In spite of the trends to globalization, resistance came from nationalist movements and from religious revival.

Globalization: Causes and Processes. The spread of globalization at the end of the 20th century came in part by political decisions. China's move, in 1978, to open its economy to foreign trade was crucial. The increasing openness of the Soviet Union, from 1985 on, and then its collapse brought large areas of eastern Europe and central Asia, also hastened the development. Countries in south Asia and Latin America followed, until only a few countries held to isolation in the 1990s. The use of English as the international language facilitated the process.

The New Technology. New developments made the possible the widespread use of the cellular phone, computers, and satellite linkages for television. The World Wide Web, developed in 1990 by Tim Berners, launched the age of the Internet. The Internet was influential in bringing many remote areas into easy contact with the world.

Economic Globalization: Business Organization and Investment. International investment has accelerated significantly. Exports and imports have increased and multinational corporations
have extended business organization across political boundaries. They continue the search for cheap raw materials, and invest in nations with high interest rates. Because of their resources, multinational companies were able to determine policies in weaker nations. Even as they polluted the environment, multinationals promoted industrial skills and brought more-enlightened labor policies. The poor and the better off are separated by a widening gulf in industrial countries, although a middle class is growing in some nations.

**Migration.** During the 1990s, past international migration patterns continued. Countries with negative population growth needed new, lower-skilled workers. Their arrival resulted in tensions between local populations and the new arrivals. One new phenomenon is the to and fro travel that keeps some migrants immersed in two cultures.

**Cultural Globalization.** Cultural contact and exchange accelerated by the close of the 1990s. A path to worldwide homogeneity has been caused by the adoption of Western cultural values, art forms, consumer goods, and the English language. Holidays, such as Halloween, spread around the globe. The spread was not one way; Japanese and European fashions and music groups gained popularity world-wide. One of the consequences is an epidemic of obesity, especially among children. The spread of dominant cultures was extensive, but not complete, and in many areas was modified by local custom.

**Institutions of Globalization.** Political forms globalized slower than technology, business, and consumer culture. The United Nations, with mixed success, attempted to calm conflicts and help refugee populations. It similarly dealt with gender and population control issues, and combated the AIDS epidemic. The importance of other international organizations, such as the International Monetary Fund (IMF) grew. So did regional economic arrangements, such as the North American Free Trade Agreement (NAFTA).

**Resistance and Alternatives.** Protests directed at globalization emerged near the turn of the century. Two other rallying points, Nationalism and religion, sometimes confronted globalization.

**Protest and Economic Uncertainties.** A vigorous international antiglobalization movement appeared by the end of the 1990s. They thought economic development was threatening the environment, exploited cheap labor, and promoted rampant consumerism. Rich nations and the wealthy, it was alleged, benefited at the expense of most people. Some world regions suffered as unfavorable trade balances damaged their economies. Reform efforts by international organizations, such as the World Bank, might increase unemployment. Many decided that globalization hurt more than it helped.

**Nationalism and New Religious Currents.** Some countries supported national customs in opposition to the threat of cultural globalization. Globalization was seen by some as an intrusion on their sovereignty. Religious movements, often opposed to the sexual mores, freedom for women, and consumerism, associated with globalization, reacted by insisting on their distinctiveness. New vigor came to Orthodox Christianity, Protestant fundamentalism, Hinduism, and Islam. In many cases, the religious revival joined with nationalism to turn even more tolerant religions exclusive. Regional conflicts were exacerbated by religious hostility, for
example in the former Yugoslavia. Impoverished groups not succeeding in the global economy proved receptive. Terrorism also became associated with religion, with some of the most violent attacks supported by religious leaders. Yet most of the religious renewal was aimed at internal problems, and finding solutions to local challenges.

**The Global Environment.** Damage to the environment was not a novelty in this period, but did reach unaccustomed levels. The opening of the communist world demonstrated that extreme economic devastation had occurred. Policies followed in China, southeast Asia, Brazil, and sub-Saharan Africa appeared equally dangerous. Economic development strategies designed to assist growth in many less-developed regions have failed to raise living standards or environmental damage. In 2000, the wealthiest one-fifth of humanity dominated consumption and produced the most pollution. No solutions were in sight.

**Environmental Issues as Global Concerns.** Environmental issues are now focal points of debate and government policy. The greenhouse effect has led to substantial warming and could have massively damaging effects. Global warming will continue, according to scientific predictions, changing areas now under cultivation to deserts, and coastal areas will be flooded. Rain forest destruction is a serious problem, because they do not grow back. Major international conferences have addressed the problem, but governments have been slow to respond to measures that might damage their economies.

**Disease.** As in the past, global contacts have involved disease. AIDS spread rapidly from the 1980s. Results so far are less severe than earlier epidemics.

**Toward the Future.** History has demonstrated that efforts to predict the future will fail, but it does allow a basis for thinking about what will occur.

**Projecting from Trends.** What trends will continue? We do know that population growth will decline and that individuals will live longer. But unexpected happenings might alter the trend. The fate of democracies, based on past experiences, remains murky. How the mutual trends of mass consumerism and increased religious interest will interact is equally uncertain.

**Big Changes.** Some thinkers look to major departures from past developments. The 1960s "population bomb" was one such argument. Although that prediction failed, others have taken its place. Another postulation, for a postindustrial world, is still being argued.

**The Problem of the Contemporary Period.** The many changes occurring in world history during the 20th century make prediction difficult. Western dominance is past, but what will replace it? The same uncertainty applies to the status of women.

**GLOBAL CONNECTIONS: Civilizations and Global Forces.** How will individual civilization develop in the future? The key civilizations have been shaping world history for a millennia. It now appears that separate characteristics of civilizations are merging and being replaced by global loyalties. But it is clear that individual civilizations retain principal characteristics. It probably is premature to postulate global homogeneity.
KEY TERMS

Globalization: the increasing interconnectedness of all parts of the world; opposed by many environmental and social justice groups.

Multinational corporations. business organizations with connections across political borders.

North American Free Trade Agreement (NAFTA). Agreement between Canada, the United States and Mexico to create a common commercial zone.

LECTURE SUGGESTIONS

1. Which aspects of globalization do you find most influential in forming the conditions of life around the world at the close of the 20th century? Open discussion session with answers based on personal preferences. Consider various aspects of life: the economy, culture, intellectual life, diplomacy.

2. What are the varieties of prognostication for the future? Which do you find the most meaningful? What sort of future do you foresee? What factors make prediction difficult? Is their a value to prognostication?

CLASS DISCUSSION QUESTIONS

1. In what way was the Soviet Union different after 1985?

2. Why did the Soviet Union disintegrate?

3. Compare and contrast the consequences of globalization in developed and less-developed nations.

4. Discuss the differing environmental policies in democratic and authoritarian societies.

THE INSTRUCTOR'S TOOL KIT

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