

INSTRUCTOR'S MANUAL

to accompany

Brummett, et al

CIVILIZATION

Past and Present

Eleventh Edition

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Instructor's Manual to accompany Brummett, et al, Civilization: Past and Present, Eleventh Edition

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CHAPTER 1

Stone Age Societies and the Earliest Civilizations of the Near East

CHAPTER OUTLINE

I. THE DEVELOPMENT OF HUMANKIND

A. *Evolution*: A Major Theory

1. Classifies humans as primates
2. Explains that a crucial development occurred when the ape family differentiated into tree-dwelling types and ground-dwelling types (*hominids*)

B. Development of the Genus “Homo”

1. *Australopithecus* earliest ground-dwelling ape; discovered in South Africa in 1924
2. *Homo habilis*
 - a. Louis S.B. Leakey found 1.75 million-year-old fossil in 1964 at Olduvai Gorge, Tanzania
 - b. Creature walked erect, had well-developed thumb, probably used tools
 - c. “Lucy” found in Ethiopia 3.8 to 3 million years ago in 1973
 - d. In 1998 in South Africa discovered a hominid some 3.5 million years ago
3. *Homo ergaster*, which emerged perhaps as long as 2.3 million years ago in Africa
4. *Homo erectus*
 - a. Used fire, standardized tools
 - b. Emerged 1.8 million years ago in Africa, migrated to Near East, Asia, Europe
5. Neanderthal Man
 - a. Discovered in Neander Valley in Germany in 1856
 - b. Adapted to cold climates, 40,000-200,000 years ago
 - c. Inhabited parts of Europe, Asia, Africa
 - d. Used fire, wore fur, made stone-tipped spears, lived in caves, stone shelters
 - e. No longer classified as *homo sapiens*
6. *Homo sapiens*
 - a. Developed 150,000 years ago
 - b. Cro-Magnon Man appeared at least 40,000 years ago
 - c. Scientists debate whether *Homo sapiens* originated in Africa and spread to other continents, or evolved independently and displaced or assimilated *Homo erectus*
 - d. Only one species of the genus *Homo* exists today

II. PRELITERATE CULTURES

A. Early Paleolithic (Old Stone Age) Culture

1. Used *ooliths*, made stone tools, standardized procedures for making implements, such as hand ax
2. Hunted, fished, collected fruits, nuts, and berries

B. Middle and Late Paleolithic Cultures

1. Developed specialized tools and weapons (burin, flints, spear launchers, needles)
2. Sewed animal skins for garments and shelter
3. Drew, chiseled pictures of food animals, possibly for rituals
4. Dating from 28,000 to 10,000 B.C.E. Cave art in Spain and France

C. Mesolithic, or Transitional, Cultures

1. Glaciers receded about 10,000 B.C.E.; reindeer moved north
2. Mesolithic groups used axes with handles, bows and arrows, skis, sleds, dugout canoes
3. Domesticated dog

D. Neolithic (New Stone Age) Revolution and Advent of Agriculture

1. Bordering the Fertile Crescent from the Nile River to the Tigris Cultivation of grains, domestication of animals, pottery making, use of polished stone tools
2. Brought about agricultural revolution in Near East, c. 7,000 B.C.E.
3. Man became a food-producer, not just a food-gatherer
4. People could settle down in farming villages
5. Çatal Hüyük (Turkey) is best-preserved example of a Neolithic village
 - a. Contains pottery, woven textiles
 - b. Includes mud-brick houses, shrines honoring a mother goddess

III. PRELITERATE SOCIETY AND RELIGION

A. Social Organization

1. Ancient societies complex, based on customs
2. Family was basic social unit
 - a. *Monogamy* most common marriage custom
 - b. *Extended family* provided food and protection
3. Groups of extended families formed *clan*
 - a. Clans were *patrilineal* if tied through male
 - b. Clans were *matrilineal* if tied through female
4. Groups of clans formed *tribe* with common speech, culture, land

B. Collective Responsibility in Law and Government

1. Ethical behavior consisted of not violating custom
2. Justice meant maintaining equilibrium, social balance, usually through compensation
3. Treason, witchcraft, incest, acts considered dangerous to the community, might be punished by death
4. Government based on democratic review by elders

C. Religion and Magic

1. Awe and wonder led to belief in **animism**
 - a. Spirits worshiped, belief in afterlife
 - b. Worship of fertility symbols, especially female
2. Magic tied to the practice of religion; shamans believed to have special powers to ward off disasters

D. Neolithic “Science”

1. Domestication of plants and animals, invention of tools, pottery and weaving indicate that Stone Age societies observed, investigated, classified, experimented
2. **Megaliths** at Stonehenge and Nabta Playa indicate a complex knowledge of geometry and astronomy, and possibly even the fundamentals of a solar calendar

IV. MESOPOTAMIA: THE FIRST CIVILIZATION

A. The Geography of *Mesopotamia*

1. **Civilization** can be described as a culture that has attained a degree of complexity
 - a. Sustains specialists to deal with political, social, religious needs
 - b. Has a system of writing
 - c. Produces monumental architecture
 - d. Produces art that reflects people and their activities
2. Evidence of complex city life, writing, and high culture by 6,000 B.C.E.
3. Agricultural Revolution spread into **Fertile Crescent**
 - a. Yearly floods of the Tigris and Euphrates Rivers replenished soil
 - b. Location where rivers converged had great agricultural potential
 - c. Environmental problems: swamps had to be drained; canals needed to be built to distribute water; protection needed to prevent flooding
 - d. **Akkad** in north, **Sumer** in south
4. Civilization in Sumer marked beginning of **Bronze Age**
5. Mesopotamia lacked stones, metals, timber; had to import these materials
6. Sumerians developed sailing boats, wheeled vehicles, potter’s wheel

B. The Emergence of Civilization in Sumer, c. 3200-2800 B.C.E.

1. By c. 3100 B.C.E. Sumerians lived in cities, with writing, **Protoliterate phase**, c. 2800 B.C.E.

2. Sumerians' origins unknown, spoke non-**Semitic**, non-**Indo-European** language
 3. Strong food producing sector supported cities
 - a. Specialized labor, commerce, **ziggurat**, scribes
 - b. Business, government records, 60-based counting system
 4. Sumerian traits seen in Nile, Indus valley
 5. **Pictographs** on clay tablets showed objects, ideas, eventually gave way to phonetic writing
 6. Scribes used reed stylus to produce wedge (Latin = *cuneus*) impressions
 - a. Sumerians developed **cuneiform** system of writing
 - b. System spread throughout Near East
- C. The Old Sumerian Period, c. 2800-2300 B.C.E.
1. Characterized by constant city-state wars
 - a. Theocratic cities saw local gods as sovereign
 - b. High priests (**ensis**) dominated cities
 - c. **Lugals** gained private control of clan lands
 2. Abuses of priests led to the rise of kings (**lugals**) with popular support
- D. The Akkadian Period, c. 2300-2150 B.C.E.
1. Dominated by Semites
 - a. **Sargon I**'s power went from Persian Gulf to Mediterranean Sea
 - b. The first true empire in history
 - c. Based policies around lower, merchant classes
 2. Akkad conquered by northern, semibarbaric invaders
- E. The Neo-Sumerian Period, c. 2150-2000 B.C.E.
1. Third Dynasty of Ur centralized rule over region
 - a. Strict control through government bureaucrats
 - b. Religion became arm of state; state appointed high priests
 - c. Law code of Ur-Nammu showed concern that the rich would not take advantage of the poor
 2. Ur destroyed by Elamites from Iran, c. 2000 B.C.E.
 - a. Sumerian cultural influences remained; laid foundation for later civilizations of the Tigris-Euphrates valley
 - b. Merchants prospered without centralized state
- F. The Old Babylonian Period, c. 2000-1600 B.C.E.
1. Semitic **Amorites** ruled Mesopotamia
 2. **Hammurabi**, major ruler, known for law code
 - a. The Code of Hammurabi is a compilation of laws covering a wide variety of topics
 - b. State controlled all aspects of economy
 - c. Comprehensive protection for women, children
 - d. Punishment determined by social class

G. Mathematics and Science

1. Major advances in arithmetic, algebra, geometry
 - a. Place-value notation for numbers in a series
 - b. Symbol for nothing
2. Observed, collected natural data

H. Literature and Religion

1. Babylonians inherited Sumerians' literature
 - a. **Gilgamesh** anticipated *Iliad* and *Odyssey*
 - b. Wisdom writings anticipated Old Testament
2. The ethical content of Babylonian religion was never well developed
3. Corrupt priesthods diluted religious content

I. Collapse and Disorder, c.1600-1200 B.C.E.

1. Hittites, Indo-Europeans took Babylon established control in Asia Minor
2. The next five centuries were years of disorder about which little is known Five centuries of darkness followed

V. EGYPT: GIFT OF THE NILE

A. Predynastic Egypt

1. Yearly floods, river and canal systems made Egypt the gift of the Nile
2. Two distinct kingdoms, composed of tribal districts
 - a. Lower Egypt, delta area south to Memphis
 - b. Upper Egypt, above Aswan
3. Predynastic Egypt ended c. 3100 B.C.E. when **Menes** of Upper Egypt united land from capital at Memphis
4. This period has become known as the First Dynasty, and marks the beginning of the longest-lasting civilizations in history

B. The Old Kingdom, c. 2700-2200 B.C.E.

1. Headed by kings of Third through Sixth dynasties
 - a. All power centered in **pharaoh**, god figure who controlled all resources
 - b. Supported by immense personal bureaucracy
2. God status led to building of **pyramids**
 - a. Site where mummified pharaoh awaited next life
 - b. Pyramids' immensity showed Old Kingdom's power
3. Old Kingdom ended under exhaustion from building projects, crop failure, increased taxes
4. Tribes (**nomes**) fought civil wars
 - a. First Intermediary Period, c. 2200-2050 B.C.E.
 - b. Massive misery for population

- C. The Middle Kingdom, c. 2050-1800 B.C.E.
1. Pharaohs restored order from Thebes
 - a. Promoted welfare of common people
 - b. Wealth spent on public works: pyramids, irrigation
 2. The Second Intermediate Period (c.1800-1570 B.C.E.)
 3. Civil wars, invasion of Semitic **Hyksos** from Palestine ended Middle Kingdom
- D. The New Kingdom or Empire, c. 1570-1090 B.C.E.
1. Eighteenth Dynasty pharaohs mastered Hyksos methods, weapons, repelled invaders
 2. **Hatshepsut** first woman ruler of Egypt
 - a. Put down stepson, **Thutmose III**, for twenty years
 - b. Held all royal titles until death
 3. Thutmose III and Amenhotep III expanded Empire to Euphrates River
 4. Religion power struggle during reign of **Amenhotep IV (Akhenaton)** led to sharp decline
 - a. Reputed to be first monotheist ruler
 - b. Vassals defected, including Hebrews
 5. Generals gained power after rise of **Tutankhamen**
 - a. Attempt to restore power in Near East
 - b. **Rameses II** (c. 1290-1224 B.C.E.) last period of grandeur, Hebrew exodus
- E. Third Intermediate Period, 1090-332 B.C.E.
1. Transition period with separate dynasties in Upper, Lower, and central Egypt
 2. Some revival under Twenty-Sixth Dynasty (663-525 B.C.E.)
 - a. Expelled Assyrians
 - b. Achieved creative period in art and literature
 - c. Pharaoh Necho II built first Egyptian navy, dug canal between Nile River and Red Sea, and sought new trade routes to Africa
- F. Nubia and the Kingdom of Kush
1. Nubia region extended about 900 miles from Aswan to Khartoum, engaged in trade, conflict and intermarriage with Egyptians
 2. Kush, south of Nubia
 - a. Traded with Egypt and African societies
 - b. Sometimes under Egyptian control
 - c. King **Piye** and successors ruled Egypt as Twenty-Fifth Dynasty (8th c. B.C.E.)
 - d. Absorbed into Aksum, c. 400 C.E.
- G. Egyptian Society and Economy
1. Highly stratified society; most were peasants subject to forced labor
 2. People could rise in rank through service to the pharaoh
 3. Scribes assumed positions as priests, doctors, engineers
 4. Artistic, legal evidence indicated that Egyptian women enjoyed many rights
 5. Pharaoh dominated economy; state-controlled production, commerce

6. Main water trade routes: Nile River, Red Sea, Mediterranean Sea; caravan route to Mesopotamia and Syria

H. Egyptian Religion

1. Religion played central role in everyday life of Egyptians
2. **Osiris** cult stressed moral life, reward of afterlife
 - a. Myth described resurrection, eternal life
 - b. Only one free from sin could live forever
 - c. Corrupt priests played on peoples' fear of their own sins
 - d. Akhenaton's monotheism sought purified faith, but too abstract for populace
3. **Book of the Dead** contained prayers and formulas to ensure a favorable afterlife

I. Mathematics and Science

1. Developed addition, subtraction, simple algebra, geometry
 - a. Less sophisticated than Mesopotamian math
 - b. Dealt with technical, practical applications needed for engineering projects
2. Engaged in sophisticated anatomical work
 - a. Writing of military surgeon is oldest known scientific treatise
 - b. Medical writing shows holistic outlook, considering physical and spiritual
3. Produced first known 365-day solar calendar

J. Monumentalism in Architecture

1. Imhotep, father of architecture
 - a. Constructed Step Pyramid with six *mastabas*, c. 2700 B.C.E.
2. Great pyramids of Giza: Khufu, Khafre, Menkaure
 - a. Khufu, 481 ft. high, covers 13 acres, 2.3 million limestone bricks
 - b. Required remarkable engineering
 - c. Dignity and massiveness reflect religious basis of Egyptian society
3. Temples at Thebes, Karnak, Luxor

K. Sculpture and Painting

1. Early art religious
 - a. Tomb paintings and relief sculpture show everyday activities to be enjoyed in the afterlife
 - b. Figures appear stylized, rigid
2. Middle Kingdom featured more natural images
 - a. Akhenaton, Nefertiti, Tutankharmen

L. Writing and Literature

1. Pictographic writing (**hieroglyphics**) used to show ideas, syllables
2. Old Kingdom system used 24 characters to represent consonants
3. Literature evolved from Old Kingdom's focus on pharaohs to Middle Kingdom's protests, politics, romance

VI. Mesopotamian Successors To Babylon, C. 1600-550 B.C.E.

A. The *Hittite* Empire

1. Indo-European-speaking group with superior iron-based military technology and chariots
 - a. Strong empire c. 1450-1200 B.C.E.
 - b. Located in Asia Minor (modern day Turkey)
2. Overrun by migrating “Sea Peoples” (Philistines, Sicilians, Sardinians, Etruscans)

B. Hittite Civilization

1. Classic oriental monarchy, king represented sun god
2. Used cuneiform script, Babylonian literary themes, adapted Hammurabi code
3. Served as intermediaries; transmitting culture of others to Phrygians, Lydians, Greeks

VII. The Beginnings of the Iron Age, C. 1100 B.C.E.

A. The Phoenicians

1. Lived in present-day Lebanon as traders, shipbuilders, explorers, colonizers
2. Sold products at Cadiz, Spain, Carthage and posts along the Mediterranean
3. Home cities (Tyre, Sidon, Byblos) produced manufactured goods
 - a. Purple-dyed woolen cloth
 - b. Furniture crafted from cedars of Lebanon
 - c. Metalware, glassware, jewelry
 - d. Egyptian papyrus rolls (*biblia*)
4. Developed phonetic alphabet with 22 consonants

B. The Hebrew Kingdoms

1. Major contributions came in religion, ethics, roots of Judaism, Christianity, Islam
2. A small nation, buffeted by strong powers
3. Bible relates major historical events; not always substantiated through archaeology
 - a. Migration of Hebrews to Canaan/Palestine under *Abraham*, c.1800 B.C.E.
 - b. Migration to Egypt, Joseph and other sons of Isaac, c. 1550 B.C.E.
 - c. Exodus from Egypt, *Moses*, Ten Commandments, *Sinai Covenant*, c. 1300-1200 B.C.E.
 - d. Confederation of the Twelve Tribes under judges, 1200-1020 B.C.E.
 - e. Rise of Philistines, united monarchy, Saul (1020-1000 B.C.E.), *David* (1000-961 B.C.E.), *Solomon* (961-922 B.C.E.)
 - f. Assyrians captured northern kingdom of Israel; Ten Lost Tribes, 722 B.C.E.
 - g. Age of great prophets, 750-550 B.C.E.
 - h. Southern kingdom of Judah survived until Chaldeans under *Nebuchadnezzar* destroyed Jerusalem and seized 15,000 captives
 - i. Babylonian Captivity, 586-538 B.C.E.

- j. Cyrus, king of Persia, allowed rebuilding of the temple at Jerusalem, c. 500 B.C.E.
- k. Hellenistic Greek and Roman rule after 322 B.C.E.
- l. Romans suppressed Jewish rebellion; Diaspora, 70 C.E.

C. Hebrew Religion

- 1. Began with the worship of a warlike, tribal deity, ***Yahweh*** (Jehovah)
- 2. Showed ethical concerns with Ten Commandments
- 3. ***Sinai Covenant*** expressed relationship between Hebrews, as the “chosen people,” and their God
- 4. Prophets, such as Micah, Amos, and Jeremiah, developed concepts of one universal God over all mankind, social justice and moral behavior
- 5. Post-exilic period showed influence of Zoroastrian concepts of personification of evil, coming of a spiritual savior, afterlife

D. The Aramaeans

- 1. Dominated camel caravan trade routes
- 2. Centered at Damascus
- 3. Spoke language used by Jesus

VIII. LATER EMPIRES OF WESTERN ASIA, 700-331 B.C.E.

A. The Assyrian Empire

- 1. Put end to age of small states
- 2. Built powerful empire, dominated entire region
- 3. Established efficient administration, maintained superior army

B. Assyrian Culture

- 1. Arts glorified power of king, especially as hunter and warrior
- 2. Adopted arch and column from Babylonians
- 3. Early Near Eastern literature found in the 22,000 clay tablets of King Ashurbanipal

C. Downfall of the Assyrian Empire

- 1. Oppressed peoples overthrew exhausted Assyrians
- 2. Egypt broke away first

D. The Lydians and the Medes

- 1. Lydians invented coined money; their king Croesus symbolized wealth
- 2. Medes briefly dominated Iran from Ecbatana
- 3. Both groups conquered by Persians

E. The Chaldean (New-Babylonian) Empire

1. Chaldeans dominated Fertile Crescent in 6th c. B.C.E.
2. **Nebuchadnezzar** defeated Hebrews, rebuilt Babylon
3. Hanging Gardens of Babylon (roof gardens) called one of the seven wonders of the ancient world

F. The Persian Empire

1. Persians under Cyrus conquered Near East
2. Cambyses took Egypt
3. Darius added parts of India, Greece by 500 B.C.E.
4. Persians were conquered by Alexander the Great in 331 B.C.E.
5. Empire covered a vast, multicultural area

G. Persian Government

1. An improved version of Assyrian government
2. Empire divided into 20 **satrapies** (provinces), each ruled by **satrap** (governor)
3. Effective government: inspection system, good communications, 1600-mile Royal Road
4. Liberal policy toward subjugated people who paid taxes and kept the peace
5. Stimulated trade, introduced uniform system of gold and silver coinage on Lydian model

H. Persian Religion and Art

1. Based on humane teachings of **Zoroaster**, monotheistic
2. Persians later adopted dualism, competing good and evil; conflict between the gods Ahura-Mazda and Ahriman
3. The **Avesta** ("The Law"), holy book of Zoroastrians, includes concepts of resurrection and last judgment
4. Eclectic art adopted styles of earlier people of the Fertile Crescent

IX. CONCLUSION

1. The transition from food gathering to food production made possible the development of the first significant civilizations along the banks of rivers
2. Along the Nile, Tigris, and Euphrates Rivers people organized and cooperated to make rivers useful to those living in settled communities
3. Achievements of the Sumerians, Egyptians, Babylonians, Hittites, Hebrews, Assyrians, Chaldeans, and Persians provided a rich legacy for the Greeks and later the Romans

CONCEPTUAL HOOKS

Suggestions for Web Browsing:

Fossil Hominids: Mary Leakey

<http://www.talkorgins.org/faqs/homs/mleakey.html>

Human Prehistory: An Exhibition

<http://users.hol.gr/~dilos/prehis.htm>

Chauvet Cave

<http://www.culture.fr/culture/arnat/chuvet/en/gypda-d.htm>

The Hittite Homepage

<http://www.asor.org/HITTITE/HittiteHP.html>

Material Culture of the Ancient Canaanites, Israelites, and Related Peoples:

<http://staff.feldberg.brandeis.edu/~jacka/ANEP/ANEP2.html>

World Cultures: Mesopotamia and Persia

<Http://www.wsu.edu:8080/~dee/MESO/PERSIANS.htm>

TIMELINE: c. 4 million B.C.E. to 500 B.C.E.

DEFINITIONS

Hominids: Pre- or proto-humans.

Australopithecus: Literally, “Southern Apes.” The earliest known hominids, discovered in South Africa.

Homo habilis: “Skillful man,” found at a 1.75 million-year-old site at Olduvai Gorge in Tanzania by L.S.B. Leakey. Tool-using, erect, walking man.

Homo erectus: Species of man found in Asia, Africa, and Europe. Used fire and advanced tools. Had larger brain. Became extinct.

Homo sapiens: “Thinking man.” Most advanced species of man appearing at the end of the Stone Age period. Erect posture, opposable thumbs, toolmaker, capable of thinking and communicating symbolically. Developed about 150,000 years ago.

Eoliths: “Dawn stones”; bits of stone picked up to perform an immediate job.

- Culture:** Patterns of behavior and learning.
- Paleolithic:** Old Stone Age, the food-collecting and hunting stage, marked by use of stone tools, division of labor based on sex.
- Mesolithic:** Culture emerging at end of Ice Age, c. 10,000 B.C.E. Semi-sedentary existence, domestication of dog.
- Neolithic:** New Stone Age from c. 8,000-5,000 B.C.E., marked revolutionary transformation to agricultural, food-raising society. Neolithic sites include *Jericho*, *Jarmo*, *Hassuna*, and *Catal Huyuk*
- Monogamy:** Being married to one person. Monogamy and extended family, the clustering of blood relations in one settlement area, were two prominent features of primitive society.
- Clan:** A group of extended families.
- Patrilineal:** Clan is patrilineal if its members trace their relationships through the male line.
- Matrilineal:** Clan is matrilineal if relationships are through the female line.
- Customs:** Binding rules regarding relations between clan members that are recognized as being binding upon all.
- Animism:** The belief that all things in nature are inhabited by spirits, which must be revered.
- Megaliths:** Large stone monuments, such as Stonehenge and Nabta Playa, built by Neolithic people.
- Civilization:** Culture that has attained a degree of complexity. Characterized by urban life, diverse specialists to deal with economic, social and religious issues, a system of writing, monumental architecture, and art that is not just decorative, but also reflective of the people and their activities.
- Mesopotamia:** Literally, in Greek, “between the rivers”: the Tigris and Euphrates Rivers, where the first traits of civilization appeared. Also the eastern part the *Fertile Crescent*. Northern Mesopotamia dominated by city of *Akkad*; Southern Mesopotamia dominated by city of *Sumer*.
- Bronze Age:** Appearance of new metallurgical technology from c. 3000 B.C.E. to 1200 B.C.E. Bronze is an alloy of copper and tin.
- Protoliterate phase:** First evidence of writing in Sumeria from c. 3100 B.C.E. to 2800 B.C.E.

Semitic and Indo-European: languages: Major language families of the Near East.

Ziggurat: Platform, or later, a pyramid, in Mesopotamian cities crowned by a sanctuary sacred to the local god.

Pictographs: Writing using pictures of concrete things or portrayals of ideas.

Cuneiform: Scribes used reed stylus to make wedge-shaped impressions in soft clay tablets. This wedge (Latin = *cuneus*) system of writing was adopted by many peoples in the Near East.

Ensi: Sumerian high priest and city governor, often powerful and autocratic ruler.

Lugal: Sumerian landowner, challenged rule of priests, and gained power.

Sargon I: Outstanding Akkadian ruler, 2370-2315 B.C.E.

Amorites: Semitic peoples who dominated the Old Babylonian Period (c. 2000-1600 B.C.E.)

Hammurabi: Babylonian king, c. 1760 B.C.E. The ***Code of Hammurabi*** was a compilation of new laws to right the injustices of older customary law. The Code reveals a paternalistic role for the state and social stratification in the legal system.

Gilgamesh: This Sumerian epic anticipates many aspects of later Greek and Hebrew literary and religious classics. The hero seeks, and cannot find, immortality. Fate dominates him, but the messenger tells him, “Enlil, the great mountain, the father of the gods—O lord Gilgamesh, this is the meaning of the dream—...thy fate, O Gilgamesh [is] for kingship, not for eternal life...Be not aggrieved, be not depressed...” Established the *Epic* as the foundation point against which to compare later literary treatments of the individual.

Pharaoh: Egyptian king, considered to be a god, owned all land and controlled economic life. Name came from Per-ao, or “great house.”

Pyramids: Colossal tombs to preserve the pharaoh’s embalmed body (mummy) for eternity.

Serfs: Agricultural laborers, bound to the soil or to a master, who are without individual freedom. Unlike slaves, who are private property, serfs are still liable to taxes and state obligations.

Nomes: Tribal districts ruled by independent chieftains.

Menes: United Upper and Lower Egypt; established First Dynasty, c. 3100 B.C.E.

Hyksos: Semitic people from Western Asia, migrated into Egypt with horse-drawn chariots and bronze weapons, established trading networks, and dominated Egypt, 1800-1570 B.C.E.

Hatshepsut: Female ruler of Egypt, 15th c. B.C.E.

Thutmose III: Known as the “Napoleon of Egypt”; famous for military expeditions to extend Egyptian rule; erected obelisks to commemorate his reign.

Amenhotep IV (Akhnaton): Ruler of 14th c. B.C.E.; challenged priests; initiated monotheistic worship of Aton, though the new religion did not survive after his reign.

Tutankhamen (King Tut): brother and successor to Amenhotep IV; dominated by priests; died young; best remembered for his richly furnished tomb, discovered in 1922.

Rameses II: Powerful pharaoh during a period of Egyptian expansion, monument building and national grandeur; probably pharaoh of Hebrew Exodus.

Piye: King of Kush, dominated Egypt in 8th c. B.C.E.

Osiris and Isis: God and goddess of popular religious cult in Egypt, which emphasized moral conduct and an attractive afterlife

Book of the Dead: Collection of Egyptian writing, often placed in tombs, contained poetry, prayers and formulas.

Hieroglyphics: Pictographic writing, using symbols to represent things or ideas.

Hittites: Civilization based in Asia Minor. Indo-European-speaking peoples who came to dominate the Near East between c. 1500 and 1200 B.C.E.

Phoenicians: Near Eastern traders, centered around the cities of Tyre, Sidon, and Byblos, famous exports, such as their purple woolen cloth; set up trading posts on coastal areas, including Carthage and Cadiz; perfected a phonetic alphabet.

Abraham: Hebrew monotheist, led people out of Ur in Sumer and to Canaan.

Moses: Led Hebrews out of Egypt to Sinai, where they entered into a pact with their God, **Yahweh** (Jehovah).

Sinai Covenant: Hebrews (**Israel**) promised to worship God and obey his Law (**Torah**), expecting that God, in return, would protect his “Chosen People.”

Philistines: Moved into coastal regions in 12th c. B.C.E.; threatened Hebrew tribes, leading them to form a united monarchy.

- David:** Defeated Philistine warrior Goliath; succeeded Saul as King of Israel; wrested Jerusalem from the Canaanites; popular ruler; several psalms attributed to him.
- Solomon:** Son of David, lauded for wisdom in the Bible, reigned in 10th c. B.C.E., when Israel reached its height of power and splendor, but opulence and extravagance led to debts, high taxes, forced labor, and dissension among the tribes.
- Nebuchadnezzar:** Chaldean king, destroyed Jerusalem, subjugated Hebrews, took 15,000 into Babylonian Captivity.
- Diaspora:** Scattering of Jews after 70 C.E.
- Zoroaster:** Prophet who founded an ethical religion in Persia. Zoroastrianism centered on the god *Ahura-Mazda*, though later developed *dualism*, conflict between good and evil, spirit and matter, light and dark. The *Avesta* is the holy book.

DISCUSSION

Discuss archaeology and anthropology and the tools those disciplines use to consider human prehistory.

Compare and contrast food-gathering Paleolithic cultures with food-producing Neolithic cultures. Consider tools, technology, shelter, diet.

Examine the premise that communal ownership resulted in female rights and high status, while individual ownership led to male dominance.

Many preliterate peoples identified their clans by totems. Name some modern totems. How do people react to these symbols today?

How do societies organize their economies? What can we tell about the comparative natures of the Mesopotamian and Egyptian societies from their economic structures? How do societal goals affect developments in math and science? Discuss the Egyptians' contribution to humanity's knowledge in these areas and connect these developments back to the function of science and mathematics in Egyptian life.

Discuss the form and functioning of Mesopotamian cities. How is your city or town different from Akkad and/or Sumer?

Examine the Hebrews' developing concept of deity from Abraham to the prophets. To what extent do historic events influence spiritual questioning?

Ironically, one of the weakest and poorest of the peoples studied in this chapter is the Hebrews, yet they made some of the most substantial contributions to the cultures stemming from the Eastern Mediterranean. The Chaldeans had only a temporary impact. What is more influential in the long term, ideas or power?

Assume that you have been given a huge empire to rule with absolute power to set up a government. Could you improve on the Persian model?

In both Mesopotamia and Egypt geographic factors, specifically rivers, played a key role. What is the function of geography in human history? Does geography determine destiny?

Two-and-one-half millennia of Egyptian history give the impression of a totally passive citizenry in the face of the supreme power of the pharaohs. Is this an accurate image?

What role did women play in Egyptian and Hebrew history?

Have foreign relations, characterized by conflict and invasions, in the Mesopotamian area changed significantly in the past three hundred years? If so, why? If not, why not?

Compare and contrast the Great Hymn to Aten and Psalm 104. What powers does each attribute to God? For what specific blessings do they express gratitude? What images do they use to express the qualities and omnipotence of God? Are there any differences between the two passages?

TESTING

What was the Neolithic Revolution? Could human society have developed without an agricultural base?

Describe the various forms of early social organization. Discuss the concepts of law, order, justice, religion, and magic in early societies.

What factors enabled civilization to appear first in Mesopotamia?

In your opinion, what was Egypt's most important gift to the development of world history? Why?

Compare and contrast the chaotic history of the Mesopotamian area with the relatively calm nature of Egypt. What factors explain the remarkable, nearly 3000-year continuity of Egyptian rule?

Compare and contrast the major religions of the ancient Near East. Consider deities, moral/ethical outlook, belief in afterlife, religious writings.

Briefly consider the extent and influence of the Hittites, Assyrians, and Chaldeans in the Near East. What did these nations have in common as they first asserted their power? Why did they fail to endure. What did they contribute?

The Persians built an empire that stretched from Egypt to India. What factors contributed to their success?

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LECTURE LAUNCHER 1

Crudely chipped stones, fossilized skulls, plump fertility goddesses, and graceful drawings of animals provide the clues to understand earliest preliterate mankind. Studying them, archeologists and anthropologists have gained deeper insight into the nature of Paleolithic and Neolithic communities. Louis and Mary Leakey and their teams made several discoveries in Tanzania and Kenya, unearthing fossils of *Homo erectus* over 1.5 million years old. Discoveries of *australopithecus* in South Africa indicate that bipeds trod the earth over 4 million years ago.

Eventually *Homo sapiens* emerged. Capable of communicating, reasoning, and imagining, man devised means to withstand nature, obtain food, provide shelter, invent tools, and form social organization. By 7,000 B.C.E. *Homo sapiens* made a great transition. The Agricultural Revolution at the end of the Ice Age led to the cultivation of grains and vegetables. Man progressed from food gatherer to food producer. Villages arose. The ability to amass food surpluses allowed people more opportunities to develop crafts. Communities accumulated material goods and engaged in trade. The concentration of a settled population in one place led to more complex social organization, laws, ethical codes, religion, and systems of government.

LECTURE LAUNCHER 2

The pyramids, the sphinx, the obelisks, and the temples of ancient Egypt have fascinated man for centuries. Timeless and beautiful, they inspire contemplation on the mysteries of life and the experiences of mankind.

Howard Carter's discovery of the tomb of King Tutankhamen in the Valley of the Kings in 1922 fascinated the modern world. The splendor and beauty of Egyptian civilization emerged from the tomb's artifacts: bows, arrows, chariots, game boards, foot stools, a golden mask inlaid with lapis lazuli, the golden statues, necklaces, pectorals, and the solid gold coffin. Though King Tut reigned for less than a decade (1336-1327 B.C.E.), this teenage monarch left a remarkable legacy.

In 1996, another incredible moment in Egyptology occurred when a security guard at the Bahariya Oasis literally stumbled on a remarkable find. As he was riding to his post at the temple of Alexander the Great, his donkey's leg slipped in the sand. Dismounting to care for the animal, the guard looked into the opening in the ground and saw a tomb. Soon archeologists arrived and began excavating an ancient graveyard, approximately 14 square miles. Hundreds of mummies lay buried in multichambered tombs, dating from the Greco-Roman Period (332 B.C.E. to 100 C.E.). This amazing "Valley of the Mummies" has presented a vast storehouse of evidence for attaining a deeper understanding of an ancient civilization.

PRIMARY DOCUMENT / CRITICAL THINKING EXERCISES

What information does the map of Catal Huyuk convey? What seem to be the concerns of the society that produced it?

How do you account for the striking similarities between Akhenaton's Hymn and Psalm 104?

Introduce the quotation, "If you want to know what to do in life...cling to the pharaoh and be loyal...." This is an admirable springboard in mid-lecture for a discussion of the eternal nature of survival skills in a bureaucracy.

In "The Majesty of Darius the Great: A Persian Royal Inscription," several qualities are attributed to the king. What specific traits are mentioned? Where do they come from? Would a current head of state make the same claims, add, or delete some?

The Persians made substantial contributions to world civilization, especially under Cyrus. Use his quotation on the proposal to move to Babylonia as the take-off point for consideration of what happens to empires that become, in a sense, too successful.

INSTRUCTOR'S TOOL KIT

COROLLARY READING

Mark A. Kishlansky, ed., *Sources of the West I*

The Epic of Gilgamesh (c. 2000 B.C.E.)

The Creation Epic (c. 2000 B.C.E.)

The Book of Genesis (10th-6th c. B.C.E.)

Code of Hammurabi (early 18th c. B.C.E.)

The Book of the Dead (c. 16th c. B.C.E.)

The Book of Exodus (c. 10th-6th c. B.C.E.)

The Book of Isaiah (c. 8th-6th c. B.C.E.)

Peter Stearns, Stephen S. Gosch, Erwin P. Grieshaber, *Documents in World History, I*

Mesopotamian Values: A Pessimistic View

The Gilgamesh Epic

Babylonian Law: How an Early State Regulated Its Subjects

Code of Hammurabi

Egypt: Religious Culture and the Afterlife

Book of the Dead

The Hebrew Bible

Isaiah; Psalms; Exodus

COURSE ENHANCEMENT

Each chapter in the textbook includes extensive lists of supplementary material:

Films and videos

Web destinations

Literature from the period

Suggestions for further reading

COMPANION WEBSITE — www.ablongman.com/brummett

Additional resources are available at the Companion Website for both the instructor and the student. Instructor's resources include PowerPoint slide presentations, electronic versions of maps, graphs, and tables, Web resources, as well as links to Longman resources. For the student, you can direct them to the Companion Website to take quizzes, or for online links to further research or reading for each chapter.

CHAPTER 2

Ancient China: Origins to Empire Prehistory to 220 C.E.

CHAPTER OUTLINE

INTRODUCTION

1. Neolithic Chinese communities developed 10,000 years ago
2. China developed separately from rest of world; spread unified culture along river valleys
3. By 200 C.E. Chinese people belonged to an empire supported by trade routes in Asia, Africa, written history of rule by kings, sense of nationhood
4. Confucianism, Taoism, Legalism offered three world views

I. THE ORIGINS OF CHINA 6500 B.C.E.–221 B.C.E.

- A. The Neolithic Age: c. 6500-c. 1600 B.C.E.
 1. Three major river systems
 - a. Yellow (Huang Ho), “China’s Sorrow,” periodic flooding, North China plain
 - b. Yangtze, drains into rice-growing, silk, and tea lands of South China
 - c. Hsi (West), flows in South to Guangzhou (Canton)
 2. Geographic diversity: 8 different ecosystems, semitropical, deserts, mountains
 3. Geography led to development of two main regional cultures in Northern China
 - a. Yangshao raised pigs and chickens, grew millet, produced silk
 - b. **Lung Shan** lived in walled towns, resisted nomadic invaders
 4. Excavation of tombs suggests stratified society
- B. The Bronze Age: Shang Dynasty (c.1600-1027 B.C.E.)
 1. Kings, war leader had enormous power
 2. Built walled cities
 3. Developed bronze metallurgy c. 2000 B.C.E.
 4. Used pictographic writing system
 - a. 3000 characters, some still used today
 - b. writing on “**oracle bones**”
 5. Scribes gained power, influence
 6. Religion played connective role in maintenance of social order
 - a. Hereditary kings link between people and chief forces in spirit world
 - b. Compelled to rule with Council of Great and Small

- c. King, nobles had recorded ancestors, belonged to clans
- d. Animal, human sacrifices
- e. Some engaged in magic to manipulate complementary forces of *yang* and *yin*

II. THE ZHOU DYNASTY (1027?-221 B.C.E.)

A. The Zhou Dynasty: The “Feudal Age”

- 1. Zhou tribe overthrew Shang c. 1122 B.C.E.
 - a. Claimed rule on basis of “*Mandate of Heaven*”
 - b. Comparable to Macedonian conquest of Greece
- 2. Zhou dynasty (c.1122-256 B.C.E.), longest in history
 - a. Zhou used *feudal system* to rule land
 - b. *Vassals* gave loyalty to king

B. Zhou dynasty showed signs of weakness by 9th c. B.C.E.

- 1. Outside invaders threatened
- 2. Fighting increased within China
- 3. Capital moved to East, 771 B.C.E. due to external threats
- 4. Land was the measure of wealth and status; moneyed economy facilitated the sale of land, thereby contributing to social mobility, but disrupting feudal traditions
- 5. “*Warring States Period*” (475-221 B.C.E.)
 - a. Political, social disruption
 - b. Zhou rulers lacked power to maintain order
 - c. Teachers, philosophers sought idealized hierarchy of imagined past
 - d. Belief that society was held together by a complex code of *li*

C. Zhou Economy and Society

- 1. Immense material and cultural progress
 - a. Iron technology introduced, iron-tipped plow
 - b. Canals, irrigation systems built
 - c. Copper coins with square holes indicate moneyed economy, significant trade and commerce
- 2. Chinese recognized differences between their culture and nomadic ways of “barbarians”
- 3. Zhou dynasty, merchant and artisan classes played an economically prominent role
- 4. The Book of Songs, later canonized as one of China’s great classics
- 5. Peasants, serfs tied to their villages
 - a. Controlled by government officials, landed gentry, rural moneylenders
 - b. Unable to grow enough food on small plots of land

III. THE PHILOSOPHICAL SCHOOLS

A. Confucianism: The Foundation

1. **K'ung-fu-tzu** (551-479 B.C.E.) said to have written five classics, *Analects* most definitely his
 - a. Belonged to lower aristocracy in state of Lu
 - b. Contemporary of Buddha, lived in time of turmoil
 - c. Prime concerns: improve society, maintain order
 - d. Emphasized social relationships, duties of man in society
 - e. Told rulers to respect spirits, work for people
2. Identified Five Relationships for social interaction
 - a. Father and son
 - b. Ruler and minister
 - c. Husband and wife
 - d. Elder brother and younger brother
 - e. Friend and friend
 - f. In each relationship the older/stronger must look out for the younger/weaker, who, in turn, must give loyalty and obedience
3. Believed that ruler's duty was to improve society
 - a. Ruler needed high moral standards; needed to follow way of **Tao**
 - b. Advocated an ethically based Golden Rule
4. Undergirded traditional Chinese concepts with deeper ethical content
 - a. Described **Li** (honorable behavior) in terms of ethical behavior, love for others
 - b. Viewed *chün-tzu* (gentleman) as motivated by desire to do right
 - c. Said "The noble man understands what is right; the inferior man understands what is profitable"

B. **Taoism**: The Magic of Letting Go

1. **Lao-tzu**, semi-legendary philosopher, offered response to turmoil of late Zhou period
2. **Tao**, "the way," held to be the course of nature, all-regulating order of the Cosmos
3. Goal: to lead a happy life
 - a. Man should live in conformity to nature
 - b. Man should demonstrate **wu-wei**, nonassertive, spontaneous manner of living
 - c. Man should heed intuition, not intellect
 - d. Man should accept life's burdens and joys and not fight fate
4. Taoists engaged in special practices for diet, exercise, breathing, magic
5. Taoist intuition complemented Confucian rationalism
 - a. Chinese often followed Confucian teachings in their social relations
 - b. Adopted Taoist outlook, beliefs

C. Mencius: the Mandate of Heaven

1. **Meng-tzu** (372-289 B.C.E.) (Mencius) brought Confucius' thought to human nature and government

- a. Human nature is good, but can be ruined by bad ideas
 - b. Selfishness is the opposite of righteous conduct
 - c. Viewed Taoists as selfish
 - 2. Mencius distinguished between good, bad kings
 - a. Emphasized traditions as guide to life
 - b. Noted that good rulers followed ethical standards, showed benevolence
 - c. Expanded Confucius' position; justified right to rebel against bad kings
 - 3. Mencius secularized Zhou concept of Mandate of Heaven
 - a. Viewed "Heaven" in broad sense: earthquakes, floods, drought, rebellions
 - b. Considered "Welfare of the people" as standard for judging government
 - c. Advocated responsible monarchy
 - d. Hoped for unifying leadership to end chaos of warring states
 - 4. Mandate of Heaven came to mean people's right to rebel, overthrow unjust ruler who had "lost the Mandate of Heaven"
- D. Xunzi: Human Nature as Anti-Social
- 1. Contrary to Mencius, Xunzi argued that human nature tended to be anti-social and needed guidance to turn virtue
- E. **Legalism**
- 1. "School of Law" arose in 3rd c. B.C.E., at end of Warring States period
 - 2. Like Confucianism and Taoism, Legalism sought to establish stability in an age of turmoil
 - 3. Legalists said that only harsh, inflexible law could achieve order and prosperity
 - a. Worked from premise that human nature was basically bad
 - b. People acted virtuously only when forced to do so
 - c. Advocated sweeping law code with fixed penalties
 - 4. Legalists advocated a strong, centralized state to unify China, end chaos; Chin Dynasty fulfilled this goal
- F. Daoism
- 1. Third lasting school of thought emerging in the late Zhou era.
 - 2. Contrasted greatly with Confucian ideals and practices
 - 3. Zhuangzi embraced relativism and spiritual freedom and was adamantly apolitical
 - 4. Two Daoist texts survive. The Daodejing and the Zhuangzi

IV. THE QIN AND HAN EMPIRES, 221 B.C.E. - 220 C.E.

- A. The Qin Dynasty: Unification
- 1. Ch'in (Qin) and Han dynasties united China, created centralized empire
 - 2. Confucianists hoped moral king would impose power c. 450-221 B.C.E.; Legalists wanted might, claiming "it works"
 - 3. **Lord Shang**, used pragmatic means to strengthen Ch'in state, 4th c. B.C.E.
 - a. Undercut old nobles, created new military nobles

- b. Introduced draft, created large peasant infantry armed with iron weapons
- c. Granted land to peasants; peasants paid taxes directly to state
- 4. Ch'in became most powerful warring state

B. China United

1. Chou ended 256 B.C.E., **Ch'in** (Qin) united land, 221 B.C.E.
2. **Shih Huang-ti**, First Emperor, expanded holdings
 - a. Brought old noble families to capital, Ch'ang-an (Xian), to supervise them
 - b. Disarmed population to reduce possibility of rebellion
 - c. Imposed single, central, harsh law code
 - d. Organized population into groups of ten families to monitor behavior and increase loyalty to state
 - e. Decreed private ownership of land by peasants, reduced ties to nobles
 - f. Divided population into 20 ranks with privileges, signs of meritocracy
3. Important cultural developments
 - a. Trade expanded
 - b. Money circulated
 - c. Written language standardized
4. Engaged in public works projects using forced labor
 - a. Built highways and canals
 - b. Built walls to impede incursions of nomadic tribes
 - c. No longer credited with building part of Great Wall
5. Tried to enforce intellectual conformity
 - a. Upheld Legalist system
 - b. Suppressed other schools of thought, especially Confucianist
 - c. Burned privately owned books reflecting past traditions
 - d. Created new cultural elite of state-appointed teachers
6. Built mound tomb and three large pits
 - a. Contained over 7500 life-size individual terra cotta figures
 - b. Great archeological find at Xian, discovered in 1974
7. Succeeded by inept son
 - a. Aristocrats sought to restore power
 - b. Liu Pang, general who rose from peasantry, wanted centralized state
 - c. Empire fell

C. Han Dynasty: The Empire Consolidated

1. Peasant Liu Pang established **Han Dynasty**
 - a. Lasted four centuries, based in north
 - b. Contemporaneous with Roman Republic, early Empire
2. Han tactful, gradual, unlike Ch'in
3. Enlisted support of Confucian intellectuals
 - a. Used intellectuals as bureaucrats
 - b. Han rulers appreciated Confucian emphasis on loyalty
4. Bureaucrats chosen by exams based on Confucian classics
 - a. All but merchants eligible

- b. Landlord class dominated bureaucracy since they had wealth to obtain education needed to pass exam

D. WuTi and the *Pax Sinica*

1. Han marked high point under *Wu Ti* (“Martial Emperor”), 141-87 B.C.E.
2. To expand China’s domain he increased financial resources
 - a. Increased taxes, labor, military service of peasants
 - b. Set up state monopolies on iron, salt
3. Han identified four vocations: scholars, farmers, craftsmen, merchants
 - a. Scholars, farmers received high respect
 - b. Merchants, though wealthy and useful, considered socially inferior
4. Extended control over Tarim Basin, parts of Korea, Manchuria, Vietnam
5. Justified expansion as self-defense against Hsuing-nu (Huns)
6. Laid foundations for *Pax Sinica*

E. Han Decline

1. Wu Ti conquest produced fiscal crisis
 - a. Tax revolts led to use of local warlords
 - b. Country suffered from succession of mediocrities
2. *Wang Mang* faced problems similar to Octavian’s
 - a. Tried to revive society by blend of Confucian ethics and Legalist practices
 - b. Fiscal problems: too few peasant taxpayers, too many tax-free estates, inflation
 - c. To stabilize prices he bought up surplus commodities when prices fell, sold them in times of scarcity
 - d. Program failed, landowners revolted, Wang Mang killed
3. Disorder spread under Later Han Dynasty
 - a. Warlords seized more power
 - b. Peasant rebellions sapped state’s resources (Mother Lu, Yellow Turbans)

F. Han Scholarship, Art and Technology

1. Links of Han to Chou like that of Rome to Greece
2. Han scholarship flourished
 - a. Imperial university
 - b. Confucianism became official philosophy of state
 - c. Comprehensive history of China written, *Historical Records (Shih Chi)*
 - d. First dictionary described over 9,000 Chinese characters, *Shuo Wen*
3. Creative art traditions
 - a. Realistic pictorial art
 - b. Impressive horse sculptures
4. Noteworthy inventions: seismograph, applied water power, horse collar, paper, wheelbarrow
5. Han observers recognized sunspots, determined length of calendar year

G. The Confucian Woman of the Han

1. Ban Jao (Zhao) (45-116 C.E.), only woman to serve as court historian

2. In other writings, she described ideal Confucian woman who demonstrated propriety
 - a. Womanly virtue: chastity, modesty, self-control
 - b. Womanly words: speech chosen with care
 - c. Womanly bearing: cleanliness
 - d. Womanly work: sewing, weaving, ordering food, wine
3. Accepted Confucian idea that men were superior to women
 - a. Women should act with humility, acquiescence
 - b. Women should obey husbands, in-laws
4. Believed in education for women as a means of transmitting courtesy, righteousness to next generation
5. This approach to womanhood set precedent for China, Japan, Korea

H. Religious Daoism and Buddhism

1. Popular Daoism, religion of spirits and magic, provided spiritual comfort
 - a. Goals: long life, personal immortality, attained through elixir
 - b. Associated with peasant discontent
2. Upsurge in philosophical Daoism followed in late Han period
3. Missionaries, traders brought Buddhism to China by 65 B.C.E., attracted few adherents and was not a single system of beliefs but a wide array of sects and approaches

V. CHINA AND FOREIGN TRADE

A. Chinese ambivalent toward trade

1. Did not want to help neighbors become rich, gain technology
2. Did wish to use trade relations to ensure stability in border areas

B. Silk, China's main export, was traded for horses, woolen goods

C. Government actively promoted silk business

D. Chinese goods transported by Kushan and Parthian middlemen along *Silk Road*, reached Europe by 100 B.C.E.

E. Romans of early Empire experienced serious imbalance of trade

1. Romans loved luxuries of East: silk, spices, perfumes, gems
2. Roman commodities (wool, linen, glass, metalware) less marketable
3. Roman gold and silver depleted through trade

CONCLUSION

1. China was created because of (not in spite of) constant turmoil, chaos

2. Power of state directed toward amelioration of social evils and relief of distress
 - a. Confucian thought emphasized humane society
 - b. Legalism emphasized power of state
3. Unified state, civilization laid framework for Chinese identity

CONCEPTUAL HOOKS

TIMELINE: c. 6500 B.C.E. to 220 C.E.

DEFINITIONS

Lung Shan: Neolithic people, lived in walled towns throughout North China.

Shang Dynasty: North Chinese urban civilization, emerged c. 1600 B.C.E. and ruled until 1122 B.C.E. Led China from Neolithic culture to civilization. Developed bronze metallurgy and pictographic writing system.

Oracle bones: Earliest examples of Chinese writing found on bones and shells heated by fire. Early Chinese used them to interpret communications of ancestral spirits.

yang and yin: The interactive forces of nature. Yang is tied to the sun and all things male, warm, and active. Yin is connected to the moon and all things female, dark, cold, weak, and passive.

Chou Dynasty: 1122-256 B.C.E., longest Chinese dynasty, based in north, installed and ruled through feudal system.

feudal system: Social organization based around mutual rights and privileges, in which the Chou kings delegated local authority to hereditary *vassals*, who recognized the overlordship of the king and aided him militarily.

Mandate of Heaven: Rationale given by Chou leader to overthrow Shang ruler, who had ruled unfairly and thereby lost the Mandate of Heaven to rule and was susceptible to being overthrown. Mencius expanded this to state that the people have the right to rise against bad rulers and even to kill them if necessary, because they have lost the Mandate of Heaven.

Warring States Period: (475-221 B.C.E.) Period of social and political upheaval.

K'ung-fu-tzu: (Confucius) Master K'ung the Sage (551-479 B.C.E.), contemporary of Buddha, lived during time of turmoil, wanted to improve society, to find the essential duties of man living in a society of men. Laid heavy stress on role of ruler and his

moral character. Wrote the *Analects*, a collection of his responses to his students' queries.

li: Honorable behavior: righteous, correct, kind, noble qualities.

Tao: "The Way." To K'ung-fu-tzu it meant a rational standard of ethics in human affairs. To Lao-tzu it meant conforming to nature.

Taoism: From the teachings of *Lao-tzu* ("Old Master"), contemporary of Confucius. Adherents follow Tao, or the way, the natural and inevitable order of the universe. Goal is happy life, in accordance with nature. More a philosophic than a religious mysticism. In later centuries, Chinese were publicly Confucianist and privately Taoists.

wu-wei: Taoist concept meaning "non-action." Belief that one's manner of living should be non-assertive and spontaneous, conforming to nature.

Mencius: (Meng-tzu) (373-289 B.C.E.), was largely responsible for emergence of Confucianism as the most widely accepted philosophy in China, especially in two areas, human nature and government. Optimistic view of human nature. Emphasized goodness of man. Justified rebellion against bad rulers.

Legalism: "School of Law," system of thought, had no single founder. Adherents shared desire to establish stability through harsh, inflexible law. Belief that human nature is essentially bad, people acted virtuously only when forced to do so.

Lord Shang: Ruled Ch'in state in 4th c. B.C.E. Centralized government, reduced power of nobility, leveled social differences, and granted land to peasants. Made Ch'in the most powerful of the Warring States.

Ch'in (Qin): Under guidance of Lord Shang, adopted Legalist principles to develop efficient, centralized bureaucracy and new aristocracy to undermine feudalism of late Chou period. Name "China" derived from Ch'in.

Shih Huang-ti: First Ch'in Emperor, ruled 221-210 B.C.E., a real crowned revolutionary who imposed monumental social, political, and economic changes. Unified entire Chinese world by 221 B.C.E.

Han Dynasty: The peasant Liu Pang established Han Dynasty in 202 B.C.E., and it would last more than 400 years thanks to its skillful reliance on the Confucian intellectual bureaucrats.

Wu-ti: 141-87 B.C.E. Brought Han Dynasty to its territorial and political high point. Established *Pax Sinica*, the Chinese peace, coinciding with Pax Romana.

Wang Mang: Usurped Han throne 9-23 C.E., tried, like Octavian, to bring social regeneration by combining in China, Confucian humanitarianism and Legalist practices.

Historical Records (Shih Chi): Comprehensive history of China written during the Han Dynasty. This highly detailed account of 130 chapters showed considerable scholarship and independence. It became customary for each dynasty to write the official history of its predecessor. *Historical Records* indicates that the Chinese recognized the value of history, stating, “Events of the past, if not forgotten, are teachings about the future.”

Ban Jao (Zhao): 116-45 B.C.E. Wrote poetry, essays, treatises, filial instructions. Only woman to serve as court historian for the emperor. She contributed to creating the concept of the ideal Confucian woman: pure, self-disciplined, humble, obedient, educated.

Silk Road: Extended across central Asia, linking China and Mediterranean area. Significant trade occurred in various periods of history.

DISCUSSION

Compare and contrast the philosophical schools of East and West, including the concepts of Plato, Aristotle, K’ung-fu-tzu and Lao-tzu. What are the basic premises of each? Do they complement or contradict each other?

Chinese writers who contributed to the *Historical Records* viewed the emperor as an essential link between the heavenly order and politics. How would this premise influence their choice of material to include in their records?

What material accomplishments and philosophical notions appeared in China before 220 C.E.?

Political figures throughout history have been known for their use of force and moral character. What solutions might Shih Huang-ti, the First Emperor, offer to today’s pressing issues? How would a Confucian emperor deal with the world’s current events?

Ban Jao (Zhao) wrote about ideal womanhood in Confucian terms. Are these qualities universally accepted? Would young women today agree with her assumptions? Would men today describe the ideal woman in similar terms?

What factors brought India, Rome, and China together during the first two centuries C.E.? Does trade promote peace? When would the world have a similar global unity again?

PRIMARY DOCUMENT / CRITICAL THINKING EXERCISE

In the passage dealing with Confucius, what is meant by being “filial and fraternal?” Do you agree that these qualities are the “root of humaneness?” Identify five other respected qualities from this passage. Do you strive to express these ideals? Why, or why not?

What evidence does Han Feizi give to justify strict laws and punishment? Do you accept his basic premise that men by nature are likely to do evil?

What advice can men and women glean from “A Simple Rustic You Seemed?” Why were men expected to memorize it?

TESTING

Examine the basic beliefs of the three major philosophical schools, Confucianism, Taoism, and Legalism. Compare their basic premises and views on the goodness of man, man’s role in society, the purpose of government, and the value of education.

Could Shih Huang-ti, the First Ch’in Emperor, be called a “dynamic revolutionary?” Assess the value of his reign to China.

Discuss the measures taken by the Han Dynasty to centralize power.

List and discuss the value of five major cultural and/or scientific achievements of the Han Dynasty.

Describe the Silk Road. Who engaged in trade? What did they trade? What are the political, economic, and social implications of this trade?

LECTURE LAUNCHER

China developed a centralized, unified state. Its philosophical traditions contributed to this achievement.

The body of thoughts ascribed to K’ung-fu-tzu (Confucius), 551-479 B.C.E., found in the *Five Classics* and the *Analects*, reflects the views of a member of the lower aristocracy during a time of upheaval. He accepted the existence of Heaven (T’ien) and of various spirits, but he insisted that it was more important “to know the essential duties of man living in a society of men....We don’t know yet how to serve men, how can we know about serving the spirits?” So he focused on this world, the improvement of society, the moral character of the ruler and his people, and the relationship between individuals. He wrote that “Tzu-king asked saying, ‘Is there any single

saying that one can act upon all day and every day?’ The Master said, ‘Perhaps the saying about consideration: Never do to others what you would not like them to do to you.’” Later he noted that “The noble man understands what is right; the inferior man understands what is profitable.” The ethical man followed *Li*, or “honorable behavior.”

Even though Taoism appeared later as a revolt not only against society but also against the intellect’s limitation, and had a deep impact on Chinese poetry and art, it would not match the Confucian tradition as expanded by Mencius and rigidified by Legalism under the Han dynasty. Han Feizi (d. 233 B.C.E.) wrote that “when the sage rules the state, he does not count on people doing good of themselves, but employs such measures as will keep them from doing any evil....He does not speak about deeds of humanity and righteousness, and he does not listen to the words of learned men....The sage considers the conditions of the times...and governs the people accordingly.”

The Chinese emphasized the social and political implications of abstract thought. The combination of Legalist principles and Confucian ethical standards helped create the social-ideological standards and world views that buttressed centralized power in China until the 20th century.

THE INSTRUCTOR’S TOOL KIT

COROLLARY READING

Peter N. Stearns, Stephen S. Gosch, Erwin P. Grieshaber, *Documents in World History*, I

Key Chinese Values: Confucianism

The Analects

Legalism: An Alternative System

Han Fei-Tzu

Daoism

Tao Te Ching

Women in Classical China: Pan Chao

Lessons for Women

COURSE ENHANCEMENT

Each chapter in the textbook includes extensive lists of supplementary material:

Films and videos

Web destinations

Literature from the period

Suggestions for further reading

Suggestions for Web Browsing

Ancient Dynasties

<http://www-chaos.umd.edu/history/ancient1.html>

China the Beautiful

<http://www.chinapage.com/chinese.html>

Ancient China

<http://www.wsu.edu:8080/~dee/ancchina/ancchina.htm>

COMPANION WEBSITE – www.ablongman.com/brummett

Additional resources are available at the Companion Website for both the instructor and the student. Instructor's resources include PowerPoint slide presentations, electronic versions of maps, graphs, and tables, Web resources, as well as links to Longman resources. For the student, you can direct them to the Companion Website to take quizzes, or for online links to further research or reading for each chapter.

CHAPTER 3

Ancient India: From Origins to 300 C.E.

CHAPTER OUTLINE

INTRODUCTION

1. Indian subcontinent shows diversity in climate, geography, language, ethnicity
2. India produced three major religious traditions
3. India retained fundamental social stability despite political upheavals
4. India functioned as matrix for networks of trade and cultural diffusion

I. EARLY INDIA

A. Geography of India

1. “India” refers to whole subcontinent, including Pakistan, India, Nepal, Bhutan, Bangladesh, Sri Lanka
2. Subcontinent cut off by Indian Ocean, Himalayas
3. Has vast plains, great rivers, monsoons, droughts
4. Civilization first developed in *Hindustan*, between Indus River and Bay of Bengal
5. India is comparable to Europe in size, diversity
6. Two major language groups: Indo-European (north), Dravidian (south)

B. The Indus Civilization, c. 2500-1500 B.C.E.

1. Civilization appeared c. 2500 B.C.E. along Indus River
 - a. *Aryans* produced fragmented states by 326 B.C.E.
 - b. Civilization unified through *Hinduism*
2. Repeated earlier Mesopotamian pattern
 - a. Neolithic farmers moved to Indus River valley
 - b. Established cities, *Harappa*, *Mohenjo-Daro*
3. Urban centers had writing system, standard weights
 - a. Irrigation-based agricultural economy, first to domesticate chickens, grow cotton for textiles
 - b. Engraved pictographic signs on stamp seals; writing not yet deciphered
 - c. Used copper, bronze for tools
 - d. Weapons rarely found

- e. Trade established with Mesopotamia
- 4. Floods, earthquake started decline c. 1700 B.C.E.
- C. The Introduction of Aryan Ways in the Early Vedic Age, 1900-1000 B.C.E.
 - 1. Aryans put an end to remnants of Indus civilization
 - a. Indo-Europeans, spoke Sanskrit, used chariots
 - b. Pastoral people, counted wealth in cattle
 - c. Effective warriors, used horse-drawn chariots
 - 2. Aryans either conquered, assimilated native **Dravidians**, or drove them to south
 - 3. Knowledge of Aryans came from the four **Vedas**
 - a. Transmitted orally by Aryan priests, **brahmins**
 - b. Early Rig-Veda hymn mentions three social classes: **brahmins**, **kshatriyas**, **vaishyas**; later **shudras** added
- D. The **Later Vedic Age**, c. 1000-600 B.C.E.
 - 1. Knowledge of changes in India came from the *Mahabharata* and the *Ramayana*, and from works of Brahmin priests, *Vedas*, *Brahmanas*, and the **Upanishads**
 - 2. *Kurukshetra*, sacred heartland of Aryans
 - a. Located between Yamuna and Ganges Rivers
 - b. Concept of sacred space important to Indian thought
 - 3. Golden age for Brahmins, Vedic religion
 - a. Hymns of *Rig-Veda* set to melodies (*samans*)
 - b. Parts of *Rig-Veda* formed into prayers of the *Yajur-Veda*
 - c. Fourth *Veda* (*Atharva-Veda*) formed sacred formulas to overcome problems
 - 4. Aryans had mastered iron metallurgy
 - 5. Raja-led states appeared in eastern Ganges Valley
 - a. *Rajas*, *maharajas* (“great kings”), *samrajas* (“universal kings”)
 - b. *Rajas* lived in palaces, collected taxes
 - c. Building projects required mobilization of labor
- E. Village, Caste, and Family
 - 1. Village first of three pillars of society
 - a. India made up of autonomous villages populated by joint families, led by headmen, elders
 - b. Left alone as long as taxes paid
 - 2. Four castes (*varnas*) formed on function: ksatriyas, vaishyas, brahmins, shudras
 - a. Later, **Untouchables** designated
 - b. Caste system, despite inequities, gave stability
 - 3. Three-generation family led by patriarch
 - a. Seniority brought status
 - b. When a woman married she went to the house of her husband’s father
 - c. Women could not own property, worship equally
 - 4. Emphasis on group interest, security, not the individual

II. DRAMATIC DEVELOPMENTS IN RELIGION AND CULTURE, 600-320 B.C.E.

- A. The *Upanishads*, composed c. 800-600 B.C.E., helped define India's religion and philosophy
1. Minority of *brahmin* radical mystics rejected goals and means of Vedic ritual
 - a. Taught secret mystical knowledge of human body, breath, mind, soul
 - b. Identified man's internal creative energy as emanating from single source
 - c. Viewed ***brahman*** as source of all being, only permanent reality
 - d. All ideas, matter came from *brahman*; all will return to *brahman*
 2. *Upanishads* introduced new concepts
 - a. ***Transmigration of the soul***: soul continues to be reborn until it is absorbed in *brahman*
 - b. ***Karman***: deed, action; unseen power of past deeds
 - c. ***Dharma***: moral law, virtue
 - d. ***Samsara***: rebirth of soul into a new body
 - e. ***Moksha***: liberation, escape from perpetual rebirth; absorption into *brahman*
 3. Soul seeks union with *brahman*
- B. The Jains, Defenders of All Beings
1. ***Jainism***, "most Indian" of non-Vedic religions
 2. Emphasized that the most important duty of a person is to cause no harm or pain to any being that can feel pain
 3. ***Ahimsa***, non-violence, requires respect for all forms of life
 4. ***Mahavira*** exemplified and taught principles of Jainism
 5. Accepted the reality of *samsara*, *karman*, and *moksha*; required asceticism
 6. Jains rejected sacredness of *Vedas* and social stratification that assigned preeminence to Brahmins
 7. Most Jains became merchants, used wealth to support scholarship and libraries
- C. The Middle Way of ***Gautama Buddha***
1. After extensive spiritual quest, Gautama experienced the "Great Awakening" (Enlightenment)
 2. Rejected extreme asceticism
 3. Gave "Four Noble Truths"
 - a. Suffering dominates our experience
 - b. Cause of suffering is desire, craving
 - c. Suffering ends when desire, craving stop; ***nirvana*** is achieved
 - d. Noble Eightfold Path leads to extinction of desire, *nirvana*
 4. Described "The Noble Eightfold Path"
 - a. Right views: accepting the Four Noble Truths
 - b. Right resolve: decision to act according to the Four Noble Truths
 - c. Right speech: words governed by the Five Moral Precepts
 - d. Right conduct: deeds in accord with the Five Moral Precepts
 - e. Right livelihood: earning a living in accord with ethical conduct
 - f. Right effort: full commitment by renouncing the world, becoming monk or nun

- g. Right mindfulness: form of meditation that produces “wisdom”
- h. Right concentration: form of meditation that produces complete calm
- 5. Explained “The Five Moral Precepts” of right conduct
 - a. Do no harm to any living being (*ahimsa*)
 - b. Do not take what is not given to you
 - c. Do not speak falsely
 - d. Do not drink intoxicating drinks
 - e. Do not be sexually unchaste
- 6. Taught a philosophy, not a religion
- 7. Buddhists revere “The Three Precious Jewels”
 - a. Buddha
 - b. Dharma he taught
 - c. Sangha, community of followers
- 8. Buddhists monks, nuns
 - a. Wear yellow or orange robe
 - b. Live in monastic communities under strict rules
 - c. Laity could become monks, nuns for a short period, then return to ordinary life
 - d. Monks who reached *nirvana* known as *arhats*

III. THE MAURYAN EMPIRE AND OTHER KINGDOMS, 320 B.C.E. - 300 C.E.

- A. *The Founding of the Mauryan Empire (326-184 B.C.E.)*, India’s First Emperor
 - 1. 16 major Aryan states in northern India, c. 500 B.C.E.
 - 2. Alexander the Great’s invasion opened trade routes with the West and facilitated unification of northern India
 - 3. Chandragupta Maurya conquered northern India, founded **Mauryan Dynasty** (321-185 B.C.E.)
 - a. Created efficient administrative system
 - b. Enlarged territory after defeating Seleucus, successor to Alexander
 - 4. At its peak, Mauryan Dynasty ruled most of Indian subcontinent
- B. Life in the Mauryan Dynasty
 - 1. Capital at Patna large, sophisticated city
 - 2. Most effective government until British rule
 - a. Efficient bureaucracy, 700,000-man army
 - b. Large secret police force
 - c. **Kautilya** wrote *Treatise on Material Gain (Arthashastra)*, handbook on government; advocated use of force to prevent anarchy
 - 3. Enlightened economic policies

C. **Ashoka**, India's Greatest King (269-232 B.C.E.)

1. More committed to peace than war
2. Enlightened lawgiver, convert to Buddhism
3. Had edicts carved on rocks and pillars, oldest surviving written documents in India
4. Helped spread Buddhism beyond India

D. Fall of the Mauryan Empire

1. Began immediately after Ashoka's death
 - a. Last emperor assassinated 185 B.C.E.
 - b. Followed by five centuries of anarchy
2. Invaders took advantage of inherent difficulties of governing large empire

E. Bactrian Greeks and Kushans

1. Many foreign invaders entered India, to 320 C.E.
2. Bactrian Greeks (Hellenistic), descendants of Alexander's army, invaded, 183 B.C.E.
3. Scythians (Indo-Europeans) migrated from Central Asia
4. Kushans (Yueh-chih) entered Punjab, expanded south to Ganges Valley
 - a. Established loose confederation
 - b. Maintained peace, prosperity in northern India for two centuries
 - c. Extensive trade linked India, China, Rome, the West
 - d. Kaniska (c. 120 C.E.), greatest Kushan ruler

F. South India

1. South most of time outside of north's control
2. Dravidian people differed from Aryans
 - a. Different appearance, language, culture
 - b. Merged with rest of country religiously
3. Produced exquisite Tamil literature
4. South was politically divided, active in trade

IV. EMERGENT HINDUISM AND BUDDHISM, 200 B.C.E. - 300 C.E.

A. Hindu Synthesis

1. Tolerant religion, encompassed diverse beliefs, but most essential element was cycle of birth, death, and rebirth (*samsara*)
2. Beliefs in *karma*, *dharma*, and reincarnation gave religious support to caste system

B. Three Traditions of Worship and Theology: ***Vishnu, Shiva, and Devi***

1. Salvation by absorption of the individual soul into *brahman*, too intellectual, too remote for average person
2. Devotion to personal savior gods emerged; theology evolved over centuries
 - a. Vishnu: pacific father-god, comforter, savior, appeared in human form nine times
 - b. Shiva: cosmic force of change that destroys to build anew; spouse, Parvati, earliest goddess mentioned in Brahman texts
 - c. Devi: goddess, appears as tender mother and ferocious warrior
3. Considerable flexibility in Hindu theology
 - a. No central authority or canon
 - b. Some Hindus worship Jesus as divine incarnation
 - c. Hindu must observe rules of caste, but may adopt various theological views
 - d. Depending on one's intellectual and spiritual needs and capacities, Hinduism offers transcendental philosophies or devotional adherence to savior god
4. Hinduism has shown unusual organic growth and adaptation with diverse beliefs and rituals

C. The Epics

1. ***Mahabharata***
 - a. World's longest work of literature
 - b. Like *Iliad*
 - c. War between Pandavas and Kauravas, struggle between virtue and evil
 - d. Includes the ***Bhagavad-Gita*** ("*The Lord's Song*"), philosophical dialogue that stresses performance of duty and overcoming passion and fear
 - e. ***Krishna*** reveals wisdom to Arjuna, greatest Pandavan warrior
2. ***Ramayana***
 - a. Like *Odyssey*
 - b. Wandering Prince Rama and his virtuous wife, Sita, encounter catastrophes, symbolize ideal manhood and womanhood

D. Counting Time

1. Hindu notion of repeated creation and destruction of universe
2. Time counted as eras (*mahayugas*), each having cycle of golden age, suffering pain, and dissolution

E. ***Buddhism After the Buddha***

1. Mahayana ("Great Vehicle" Movement)
 - a. Began c. 100 B.C.E.
 - b. Stressed *dharma*, compassion for others
 - c. Ideal ***bodhisattva***, seeks to eliminate suffering of others
 - d. Spread to Tibet, Korea, Japan, China
2. Theravada, Doctrine of the Elders, older form of Buddhism
 - a. Mahayana Movement called it "Hinayana" ("Lesser Vehicle"), claiming it was

- selfish, literal approach
- b. Stressed attainment of *nirvana*
- c. Ideal **arhat**, seeks to eliminate separate identity and attain absorption into spirit
- d. Spread to Sri Lanka, Southeast Asia
- 3. Brahmins responded to growing appeal of Buddhism in 2nd century B.C.E.
 - a. Counter-movement picked up some elements of Buddhist appeal, flowered as Hinduism
 - b. Hinduism gave rise to Mahayana rejuvenation
- F. Buddhist Sculpture and Architecture
 - 1. **Gandharan** art influenced by Mahayana Buddhism and Hellenistic sculptors and craftsmen
 - a. Portrayed statues of Buddha; previous styles showed only symbols of Buddha (footprints, umbrella, tree)
 - b. Transmitted Hellenistic techniques
 - 2. **Stupas**, dome-shaped monuments, evolved into more complex structures, spread with Buddhist culture

V. MEETING OF EAST AND WEST: NETWORKS OF EXCHANGE

- A. Beyond the Indian Frontiers
 - 1. Extensive east-west trade
 - a. Han China, India, Roman Empire and others
 - b. By caravan route across Asia
 - c. By sea route facilitated by **monsoons**
 - 2. Romans sought luxury goods: cotton, silk, ivory, pearls, spices, dyes
 - 3. Indian kings embellished palaces
 - 4. Middlemen (Parthians, Kushans, Sabaeans) profited
 - 5. Travelers, envoys, pilgrims, missionaries followed
- B. Balance of Trade
 - 1. Favored East
 - 2. Trade declined in 3rd century C.E.

CONCLUSION

- 1. Three major religions evolved in India
 - a. Hinduism, dominant in India
 - b. Jainism, influenced 20th-century independence movements
 - c. Buddhism spread, became world religion
- 2. Indian philosophy tends to justify and explain social order
- 3. Classical Indian religion, philosophy, and traditions endure today

CONCEPTUAL HOOKS

TIMELINE: c. 2500 B.C.E. to 220 C.E.

DEFINITIONS

Hindustan: The great plain of north India from the Arabian Sea to the bay of Bengal, where India's earliest civilization arose.

Aryans: People from the Punjab and Iran, speaking an Indo-European language, who invaded India in the third millennium B.C.E.

Harappa/Mohenjo-Daro: Large cities of 40,000 inhabitants, centers of earliest Indian civilization. Based 400 miles apart on the Indus River.

Early Vedic Age: Aryan-dominated phase of Indian civilization, c. 1500-1000 B.C.E. This period comes from the four "***Vedas***" ("Knowledge"), great collections of Hymns to the gods and ritual texts composed and handed down orally between 1500 and 500 B.C.E. ***Rig-Veda*** hymns mentioned three social classes: Brahmins, Kshatriyas, Vaishyas.

Dravidians: Native population of India, conquered and assimilated by Aryans or driven by the invaders to the far south of the subcontinent. Aryans called them "***Dasas***," ("savages," "slaves,").

brahmins: Priests, who because of their specialized religious knowledge came to assume the highest social rank.

kshatriyas: Nobles.

vaishyas: Commoners.

shudras: Workers, serfs, originally non-Aryan conquered people.

Later Vedic Age: Indian history c. 1000-500 B.C.E., following the composition of the *Rig Veda*. Knowledge is gained from two great epics, *Mahabharata* and *Ramayana*, and the three later *Vedas*.

raja: War leaders of tribes, not an absolute monarch, limited by need to work with council/assembly. *Maharaja* ("great king"), *samraja* ("universal king").

Upanishads: Philosophical speculations on *brahman* and how ethically pure and worthy person

may seek immersion into *brahman*.

Brahman: Energy that brought the world into being.

Brahmanas: Text explaining the philosophy of rituals performed by Brahmins.

yoga: Spiritual discipline.

karma: Deed, past action.

dharma: Duty, moral law. Bad deeds, bad *karma* lead the soul to hell; good deeds, good *karma* lead the soul to heaven.

transmigration of souls: Souls are reborn in a new body, a process called *samsara*. *Karma* and *dharma* determine the form (human, subhuman, prince, servant).

moksha: Escape from perpetual rebirth, occurs when one achieves re-immersion with *brahman*.

Jainism: Religious movement, emphasizing the ethics of non-violence and tending toward asceticism.

Ahimsa: Non-violence. Jain belief that the most important duty is to cause no harm or pain.

Mahavira: Prince, teacher of sixth century B.C.E., who taught the principles of Jainism. Stressed non-violence and asceticism to attain *moksha*.

Gautama Buddha: c. 563-483 B.C.E., the founder of the “Middle Way” to salvation. Buddha, “the Enlightened One,” provided a guide in *The Four Noble Truths*, *The Eightfold Path*, and *The Five Moral Rules*.

Chandragupta Maurya: Ruled 321-296 B.C.E., first Indian Emperor, founder of Mauryan Dynasty.

Arthashastra: *Treatise on Material Gain*, written by Kautilya, advocated strong royal power to combat anarchy and promote political and economic stability.

Ashoka: Mauryan ruler in third century B.C.E. Expanded Empire, converted to Buddhism, helped spread Buddhism.

Caste system: Indian classes, based on function. Four main castes (*brahmins*, *kshatriyas*, *vaishyas*, *shudras*) with thousands of subdivisions.

Untouchables: Beneath the four main castes, a social division formed of people in work so

menial and degrading that their very touch was considered defiling to the upper castes.

Brahma: The Creator who personifies the world soul.

Vishnu: The Preserver who is associated with the sun in the Hindu trinity. Incarnations as Krishna and Rama, among others.

Shiva: Cosmic force of change in the Hindu trinity, destroys in order to build anew.

Devi: Goddess, represents both tender mother and ferocious warrior. Also known as “Annapurna” (“Mother,” “Bestower of Food”), “Kali” (“the Black One”), and “Shakti” (“Power,” “Creative Energy”).

Mahabharata: Epic poem of 75,000 stanzas, longest work in world literature. Resembles *Iliad*, relates tale of war between cousins, Pandavas and Kauravas.

Bhagavad-Gita: (“*The Lord’s Song*”), philosophical dialogue found in the *Mahabharata*, stresses performance of duty (*dharma*) and overcoming passion and fear.

Ramayana: Epic poem, like *Odyssey*, recounts wanderings of banished prince Rama and his faithful wife Sita.

mahayuga: Era in Indian creation myths. Each era consists of a golden age, followed by periods of decline, suffering, and dissolution.

Theravada: “Doctrine of the Elders,” basis of an early practice of Buddhism. Taught how an individual could gain salvation by becoming a saint, eliminating his own ego and entering *nirvana*. **Arhats** epitomized this ideal.

Mahayana Buddhism: “Great Vehicle Movement.” Goal is to postpone one’s own entry into *nirvana* in order to act as a compassionate and loving savior to others in reaching that goal. **Bodhisattvas** epitomized this ideal.

Hinduism: The religion produced by the incorporation of Upanishadic thought into the developing belief system of India by the Brahmin priests. The caste system was linked to *karma* and rebirth.

Gandhara: The center of the Kushan empire, the earlier Graeco-Bactrian kingdom that became a major center for the fusion of Hellenistic and Indian artistic influences.

stupa: Dome-shaped monuments, used as funeral mounds to enshrine relics of Buddha or Buddhist saints, or mark a holy spot. Later gateways and railings added. Stupa form spread with Buddhism and may have been prototype for pagoda style.

monsoons: Seasonal winds, caused by vast differences between temperatures of land and sea air. Wet monsoons blew from southwest in summer, May to October. Dry monsoons blew from northeast in winter, November to March. These winds facilitated travel and trade along the Indian Ocean.

PRIMARY DOCUMENTS / CRITICAL THINKING EXERCISES

In the passage entitled “The Jains on the Souls in All Things,” what examples of pain does the prince describe to his parents? What other examples of pain could he mention today? How can one eliminate pain? What are the consequences for man and society?

In “The Trial of Sita” from the *Ramayana*, Rama loves Sita, but questions of sexual purity and honor challenge their relationship. How do Rama and Sita resolve their predicament? To what extent are sexual purity and honor issues for the media, popular culture, public figures and college campuses today? Do the same standards apply to men and women, to traditional and modern societies?

Examine Ptolemy’s map of the world. How accurate was his portrayal of India? How significant was his vision of the world?

TESTING

Climate and geography help shape history. How has Indian history been affected by its river systems, high mountains, long coast line, and monsoons?

What do the archeological findings at Mohenjo-Daro and Harappa reveal about early Indian civilization?

Examine the moral, ethical and social ideas of religion in early India. Identify the main social classes in the early Vedic Age. Why did the priestly class dominate? Define *karma*, *dharma* and the transmigration of soul and explain how these concepts related to the social structure.

Compare and contrast Jainism and Buddhism. Consider the lives of Mahavira and Gautama, the ethical and moral ideas, and the spread of the two religions.

Kautilya advised kings that effective government laid the foundation for material gain. To what extent did the Mauryan Dynasty fulfill this vision? What were its accomplishments? To what extent did it achieve successful trading arrangements? What factors contributed to its decline?

In the first century C.E., when Augustus ruled in Rome, what political, economic, and social patterns existed in India?

LECTURE LAUNCHER

A land of contrasts, India stretches from the tall Himalayas in the north to the low floodplain of the east, encompasses deserts and rain forests, exhibits sweltering heat and bone-chilling cold. Similarly, Hinduism includes simple requirements and complicated practices, profound metaphysics and elaborate rituals, a multiplicity of gods and a single creative force. Though India experienced countless political upheavals, it retained social stability. The paradoxes are endless.

India produced not only Hinduism, but also Buddhism. Gautama (c. 563-483 B.C.E.), the son of a local noble in a small republic at the foot of the Himalayas, sought to answer the question of human suffering, and found the Four Noble Truths: (1) existence is suffering; (2) suffering springs from desire and craving; (3) the cure for suffering is the extinction of desire; and (4) to achieve the absence of desire, there is an Eightfold Path of right conduct, which is the Middle Way between worldly pursuits and extreme asceticism. He offered Five Moral Rules of right conduct: do not kill any living being; do not take what is not given to you; do not speak falsely; do not drink intoxicating drinks; do not be unchaste. Buddhism became a movement separate from Hinduism, and offered the individual a path to the supreme peace of nirvana and release from the wheel of birth. Gautama offered individuals the path to the eternal spirit of life.

THE INSTRUCTOR'S TOOL KIT

AUDIO CASSETTES

Bhagavad-Gita, the Song of God. Caedmon

COROLLARY READING

Peter N. Stearns, Stephen S. Gosch, Erwin P. Grieshaber, *Documents in World History*, I
“To Fight in a Righteous War”: *Varna* and Moral Duty in India

The Bhagavad Gita

Buddhism and the Four Noble Truths

From the Buddha's First Sermon

State, Society, and Economy in India: Three Types of Evidence

Kautilya: Treatise on Material Gain

Gender Relations in India: Three Types of Evidence

The Therigatha: Laws of Manu; the Mahabharata

COURSE ENHANCEMENT

Each chapter in the textbook includes extensive lists of supplementary material:

Films and videos

Web destinations

Literature from the period

Suggestions for Web Browsing

Itihaas: Chronology-Ancient India

<http://www.itihaas.com/ancient/index.html>

India

<Http://www.dc.infi.net/~gunther/india/medieval.html>

Jainism

<http://www.cs.colostate.edu/~malaiya/jainhlinks.html>

The Buddhist Age, 500 B.C.E. to 319 B.C.E.

<http://www.stockton.edu/~gilmorew/consorti/1cindia.htm#religdone>

Hinduism

<http://www.bcca.org/~cvoogt/Religion/hindu.html>

The Ramayana: An Enduring Tradition

<http://www.maxwell.syr.edu/maxpages/special/ramayana/>

COMPANION WEBSITE — www.ablongman.com/brummett

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CHAPTER 4

Greece: Minoan, Mycenaean, Hellenic, and Hellenistic Civilizations, 2000-30 B.C.E.

CHAPTER OUTLINE

INTRODUCTION

The *Acropolis* in Athens shows fifth-century B.C.E. Greek sense of proportion and spirit that provided much of the basis of western civilization.

I. MINOAN AND MYCENAEAN CIVILIZATION, c. 2000-1200 B.C.E.

A. The *Minoans*

1. Minoan civilization lasted until c.1450 B.C.E.
 - a. Centered on island of Crete
 - b. Named after legendary King Minos
2. Strength based on trade in eastern Mediterranean
 - a. Powerful, efficient, government-controlled trade
 - b. Records kept in *Linear A* syllabic script
 - c. Palace at Knossos not equaled until Roman times
 - d. Highly developed civilization, art forms

B. The *Mycenaeans*

1. Mycenaean civilization lasted until c. 1200 B.C.E.
 - a. Civilization based on mainland
 - b. Mycenaeans, *Achaean*s, warlike people
 - c. Active traders, became extremely wealthy
 - d. Planted colonies in eastern Mediterranean
2. Captured Knossos, c. 1450 B.C.E.
 - a. Volcanic eruption on island of Thera, tidal wave, fire at palace at Knossos
 - b. Center of Aegean life shifted to Greek mainland
 - c. Deciphering of *Linear B* script (Minoan characters with early form of Greek) suggests that Achaean Greeks ruled Knossos after 1450 B.C.E.

C. Troy, Site of Homer's "*Iliad*"

1. Troy's site on the Hellespont (Dardenelles) allowed control of land, sea traffic
2. German archaeologist Heinrich Schliemann began work to locate the epic city, destroyed c. 1250 B.C.E. either because of trade war or Achaean pirates
3. Theories not shared by Homer in *Iliad*

D. Fall of Mycenaean Civilization

1. Possible raids by "Sea People"
2. Invaders from north using iron weapons, attacked Greece, sacked cities
3. Possible revolts of lower classes caused considerable damage also

II. THE RISE OF HELLENIC CIVILIZATION, 1150-500 B.C.E.

A. The Influence of Geography

1. Greek Dark Ages, c. 1150-750 B.C.E. saw the end of Mycenaean commerce, culture, government, writing
2. Replaced by new **Hellenic** civilization
3. Geography played key role in shaping Greek history
 - a. Mountain ranges hampered internal communication and led to rise of independent city-states
 - b. Lack of cultivable land, fine harbors encouraged growth of trade, setting up of colonies

B. The **Homeric** Age

1. Blind Ionian poet **Homer** gave details of Dark Ages life in his epics the *Iliad* and the *Odyssey*
2. Heroic values of strength and skill dominated Homeric Age, such as **arête** (excellence)
 - a. To gain *aretē* men sought hardship, struggle
 - b. Homeric Greeks saw gods as human
3. Society was aristocratic, common man reviled

C. From Oligarchy to Tyranny

1. **Polis** (city-state) did not exist in Dark Ages
 - a. Heart of *polis* was acropolis
 - b. Beneath acropolis trading centers emerged
2. Political forms found in *polis* included **monarchy, oligarchy, tyranny**, and **democracy**
3. By 8th century B.C.E. nobles took power, imposed oligarchy, gained land monopoly
4. Commoners protested, as seen in **Hesiod's** book exalting work, righteousness, moderation
5. Nobles responded by setting up colonies for excess population throughout Mediterranean area

6. Conditions improved, but outraged peasants, merchants supported tyrants to put down nobles

D. Athens to 500 B.C.E.

1. Athens' development typical of most Greek states
2. During 7th century B.C.E. nobles dominated Athens
 - a. Popular assembly no longer met
 - b. King replaced by nine aristocrats, **archons**
 - c. Nobles prospered, small farmers suffered, debtors could be sold into slavery
 - d. Widespread discontent frightened nobles
3. Rather than permit tyrant, nobles sponsored reform
 - a. **Solon** made sole archon, to mediate with poor
 - b. Put in moderate economic and political reforms to avoid revolution
 - c. Solon's reforms satisfied neither extreme
4. **Pisistratus** gained power as tyrant 560 B.C.E.
 - a. Banished many nobles, gave their land to poor
 - b. Favored merchants, workers
5. Nobles returned, but **Cleisthenes** stripped their power
 - a. In 508 B.C.E. threw out old noble-dominated tribes
 - b. Created ten new broad-based tribal divisions
 - c. Popular assembly, re-structured, gained right to make laws and be sovereign
 - d. Established **ostracism**

E. Sparta to 500 B.C.E.

1. Sparta did not join in trade, colonization
 - a. Conquered neighbors, made them **helots**
 - b. Sparta became militaristic, totalitarian state
2. A mixed constitution, attributed to the legendary lawgiver Lycurgus
 - a. Democratic for small ruling minority
 - b. Oligarchic for the rest of people
 - c. Every Spartan a professional soldier
3. Subordination of individual to state
 - a. Officials killed sickly, deformed babies
 - b. Sons taken from families to army at age seven
 - c. Girls were raised to be mothers of warrior sons
4. Sparta had strong army, weak culture, and economy

III. THE GOLDEN AGE OF GREECE, 500-336 B.C.E.

A. The Persian Wars

1. Greek revival fueled by Ionian Greeks
 - a. Asia-Minor Greeks suffered under Persian rule
 - b. Revolted, set up democracies
2. Darius crushed Ionian cities 494 B.C.E.

- a. Believed he had to destroy Athens to ensure rule
 - b. 490 B.C.E. fought Athenians, defeated at **Marathon**
 - 3. 480 B.C.E. Xerxes led Persian army, beaten by united Greeks
- B. Athens after the Persian Wars
- 1. Victory over Persia made Athens leader of Greek world
 - 2. Golden Age of Greece, 5th c. B.C.E.
 - a. **Pericles** guided Athenian democracy
 - b. True government of citizens established
 - c. Great cultural achievement
- C. Athenian Society
- 1. Majority of society, women, slaves, resident aliens, were not citizens, had no political role
 - 2. Women legally property of fathers, then husbands
 - a. Arranged marriages
 - b. Families small, **infanticide** practiced
 - c. Double standard for men; female companions normally resident aliens
 - 3. Homosexual relationship between mature man and prepubescent boys common, viewed as rite of initiation
 - 4. Slavery common, 25% of Athens' population
- D. Athenian Imperialism
- 1. Athens formed, dominated Delian League
 - a. 173 member states paid dues to fight Persians
 - b. Athens forced continuity of League
 - 2. Spartan League saw Athens as empire-building "tyrant city"
- E. The **Peloponnesian War**
- 1. 431 B.C.E., Spartan League against Athenian Empire
 - a. Sparta land power vs. Athenian navy
 - b. Plague, death of Pericles hurt Athens
 - c. Athenian atrocities against Melos, island that wished to remain neutral
 - d. Athenian suffered losses in ill-fated attack on Syracuse
 - e. Sparta, with money from Persia, built fleet and destroyed Athens' fleet
 - 2. 404 B.C.E., Athens capitulated, accepting terms that severely weakened the once great city-state
- F. Aftermath of the War
- 1. Anarchy and economic depression under Spartan rule
- G. The **Macedonian** Unification of Greece
- 1. North became powerful under Philip II's strong army
 - 2. Defeated Greeks, imposed controls, 338 B.C.E.

IV. THE GREEK Cultural Achievement

A. The Greek Character

1. Greeks first to formulate many of West's basic political, philosophical, scientific, and artistic concepts
2. Environment and society key creative factors: polis not ruled by divine rulers, priesthoods
3. Greeks sought to discover order and meaning both in nature and in human life
 - a. Stressed moderation as key to happiness and fulfillment
 - b. **Hubris** (pride, arrogance) provoked **nemesis** (retribution)
 - c. Humanistic, "Man is the measure of all things" (Protagoras)

B. Greek Religious Development

1. Originally abounded in gods and goddesses: Zeus, Hera, Hades, Apollo
2. Animism replaced by mystery cults

C. Early Greek Philosophy

1. **Philosophy** arose from curiosity about nature, **Thales**
2. **Socrates** marked transition to thought about ethics

D. The Contribution of **Socrates**

1. Opposed **Sophists**, who taught relativity of truth
2. Developed method of teaching through questioning
3. Died rather than compromise ideals

E. **Plato** and His Theory of Ideas

1. Student of Socrates who believed truth lives only in realm of thought, away from material world
2. Set up ideal state concept in **Republic**
3. Founded Academy in Athens to teach elite

F. **Aristotle**, the Encyclopedic Philosopher

1. Plato's student, set up school, the Lyceum in Athens
2. Said ideals have no existence outside material world
3. Collect, organize facts to gain knowledge of ideas
4. Wrote **Ethics** and **Politics**, advocated moderation
5. Touched, affected all realms of knowledge

G. Medicine

1. **Hippocrates**, father of medicine
2. Emphasized observation, analysis of symptoms
 - a. First to believe disease has natural cause
 - b. Imparted sense of service to humanity in oath

H. The Writing of History

1. **Herodotus**, the father of history, researched, explained events, wrote entertaining history of the Persian Wars
2. **Thucydides** first scientific, objective historian, wrote objective account of Peloponnesian War

I. Greek Poetry and Drama

1. Homeric epics followed by poetry, drama
2. Poetry reflected more sophisticated society; new, more personal motifs to be sung
3. Drama developed from religious rites to spread values (**Aeschylus**), reveal character (**Sophocles**)

J. Greek Architecture

1. Reached peak in 5th century B.C.E. with Parthenon, Erechtheum with Doric, Ionic, and Corinthian styles
2. Architecture meant for public view and enjoyment

K. Greek Sculpture and Pottery

1. Classic Greek sculpture shaped course of Western art
2. Came from imitations of Mycenaean forms

V. THE HELLENISTIC AGE, 336-30 B.C.E.

A. *Alexander the Great*

1. Hellenistic Age lasted three centuries
 - a. Control felt from Greece to India to Egypt
 - b. Wide diffusion of Greek culture, cosmopolitanism
2. Took throne after father assassinated, 336 B.C.E.
 - a. Conqueror, could show mercy, terror to foe
 - b. United Greece, defeated Persian Empire, spread power through known world
3. Blend of pragmatism, idealism

B. The Division of Alexander's Empire

1. Egypt ruled by Ptolemy and his successors
2. Persia ruled by Seleucus
3. Macedonia and Greece ruled by Antigonos
4. All eventually supplanted by Rome by 30 B.C.E.

C. Hellenistic Society and Culture

1. Economic union brought prosperity
2. Alexandria main center of Hellenistic world

D. Hellenistic Philosophy

1. Philosophers less concerned with reform of society, more interested in happiness

- of individual
- 2. Hellenistic philosophies stressed peace of mind for individuals living in an insecure world
 - a. Skeptics denied possibility of finding truth
 - b. Cynics withdrew from society's values
 - c. Epicureans emphasized pleasures
 - d. Stoics looked for power that ruled universe
- E. Science and Mathematics
 - 1. Alexandria intellectual center with huge library
 - 2. Greeks brought science to high point for 1500 years
 - a. *Eratosthenes* outstanding geographer
 - b. *Aristarchus* stated earth orbited sun
 - 3. *Euclid* and *Archimedes* advanced state of mathematics
 - 4. Hellenistic Greeks carried on dissections of bodies
- F. Hellenistic Art and Literature
 - 1. New cities sprang up, promoted sculpture
 - a. Sculpture advanced by Laocoon group
 - b. Sculptors anticipated baroque work
 - 2. Literature not as advanced as in Hellenic period
- G. The Hellenistic Contribution
 - 1. Diffused Greek culture throughout Near East
 - 2. Seleucid Empire gave basis of peace, economic growth
 - 3. Even after decline, successor kingdoms benefited
 - 4. Brought Rome the gifts of Greek civilization
 - 5. Rome later transferred these to modern Europe

CONCLUSION

- 1. Greek spirit and originality basis of West's culture
- 2. Greek rationality a precedent, sought causation in natural, not mythological explanations
- 3. Propounded a rational and secular world view based on the individual

CONCEPTUAL HOOKS

TIMELINE: 2000-30 B.C.E.

DEFINITIONS

- Acropolis:*** Elevated, fortified site of city-states.
- Aegean:*** Sea bounded by Greece and Asia Minor.
- Minoan:*** Aegean civilization centered on island of Crete.
- Mycenaean:*** Aegean civilization based on the Greek mainland.
- Linear A:*** Syllabic Minoan writing script that has not been deciphered, in contrast to mainland ***Linear B***.
- Achaeans:*** Indo-European tribes that entered Greek peninsula from the north c. 2000 and dominated the region by c. 1600 B.C.E.
- Homer:*** Blind Ionian poet whose existence and nature is debated. Author of epics the *Iliad* and the *Odyssey*.
- Hellenic:*** From Hellas, the Greek name for Greece. The name of the Athens-based civilization that developed from the 8th through 4th centuries B.C.E.
- Homeric Age:*** Greek Dark Ages characterized by Homer's epics.
- Aretē:*** Excellence, virtue. In the Homeric Age, it was associated with the heroic qualities of a warrior: strength, skill, and valor. In later centuries, it implied high achievement and moral worthiness in other areas. Socrates considered *aretē* in moral and intellectual terms.
- Ionians:*** Greeks living on the west coast of Asia Minor after the Dorian invasions.
- Polis:*** Greek city-state, root of English "politics."
- Monarchy:*** Rule centered in a royal family.
- Oligarchy:*** Rule of the few, generally an aristocracy.

- Tyranny:*** Rule of one person. In 7th century B.C.E. tyrants usurped power, often with support of poor and rising merchant class against nobility. Modern usage suggests ruthlessness and brutality.
- Democracy:*** Rule of the people.
- Hesiod:*** 8th century B.C.E. author of *Works and Days*. A commoner, Hesiod had been cheated out of his land. His writings call for social justice, moderation, and individual excellence.
- Archons:*** Aristocratic chief magistrates of Athens.
- Solon:*** Athenian statesman, reformer c. 594 B.C.E., associated with wise laws.
- Pisistratus:*** Seized power in Athens as tyrant in 560 B.C.E.; promoted redistribution of land to poor, trade and commerce, public works, and patronage of culture.
- Cleisthenes:*** Devised Athenian democratic system in 508 B.C.E.
- Ostracism:*** Citizens vote that exiled individuals expected of threatening democracy, for ten years.
- Helots:*** State slaves of Spartans.
- Marathon:*** 490 B.C.E. battle in which outnumbered Greeks defeated Persians. One of key battles in history, causing Herodotus to write that “free men fight better than slaves.”
- Golden Age of Greece:*** 5th century B.C.E., period of great cultural achievement.
- Pericles:*** Statesman who guided Athenian policy, 461-429 B.C.E.
- Infanticide:*** The practice of killing unwanted babies.
- Peloponnesian Wars:*** Rivalry between Spartan League and Athenian Empire (Delian League) led to intermittent warfare, 431-404 B.C.E. Sparta defeated Athens, marking the end of the Golden Age of Greece.
- Macedonia:*** Region to north of Greece, considered to be barbarian by Athenians, ruled by Philip II and later Alexander the Great.
- Hubris:*** Pride, arrogance, unbridled ambition, fatal flaw, which could lead to downfall.
- Nemesis:*** Retribution, undoing.

- Philosophy:*** Literally, love of wisdom. The consistent and systematic search for basic principles regulating life, knowledge, or thought.
- Thales:*** “Father of philosophy.” Sought to explain the essence of nature without reference to gods; speculated that water was basic element.
- Socrates:*** Greatest Athenian teacher and philosopher, 470-390 B.C.E. Asked questions to reach truth. Motto: “Know thyself.” Insisted “an unexamined life is not worth living.”
- Sophists:*** Professional teachers who taught a variety of subjects, including rhetoric, that would bring material success. Believed truth to be relative, denied existence of human standards.
- Plato:*** 427-347 B.C.E., student of Socrates, believed like Socrates that truth exists, but only in the realm of thought. Established Academy, which lasted until 529 C.E., wrote ***Republic*** expounding his concept of the ideal state.
- Aristotle:*** 384-322 B.C.E., student of Plato, teacher of Alexander the Great, founder of the Lyceum. Believed ideas have no separate existence apart from material world. Great encyclopedist.
- Hippocrates:*** 460-377 B.C.E., father of medicine and definer of doctors’ ethical and moral parameters.
- Herodotus:*** 484-425 B.C.E., “father of history”; sought explanations for events in research and reason, not gods; included entertaining stories in his history of the Persian Wars.
- Thucydides:*** c. 460-400 B.C.E., “father of scientific history”; searched for truth underlying events; wrote history of the Peloponnesian War.
- Aeschylus:*** 525-456 B.C.E. dramatist, often dealt with theme of *hubris* and individual in conflict with moral law.
- Sophocles:*** 496-406 B.C.E. playwright, often dealt with character, tragic personal flaws.
- Alexander the Great:*** 356-323 B.C.E. Macedonian; defeated Persian Empire; conquered land between Greece, Egypt, and India; envisioned a world state; spread Greek culture.
- Hellenistic:*** The diffusion of Greek cultural, social, and economic influences from Greece to Egypt to India to Rome from 335 to 30 B.C.E.

Eratosthenes: 276-196 B.C.E., outstanding geographer who drew parallels of latitude and longitude and calculated the circumference of the earth to an error of only 195 miles.

Aristarchus: 220-144 B.C.E., postulated heliocentric theory 1700 years before Copernicus.

Euclid: 300 B.C.E., systematized the theorems of geometry.

Archimedes: 287-212 B.C.E., calculated the value of pi, discovered specific gravity, and laid the foundations for calculus.

DISCUSSION

Did any other pre-twentieth-century people ever attain the standard of living equivalent to that enjoyed by the people on Minoan Crete?

Explain the abrupt end of the Minoan and Mycenaean civilizations in terms of the Atlantis (volcanic) theory, the theory of climatic shift, and the theory of invasions. Which makes the most sense?

Why was the Greek polis such a rich laboratory for the development of basically all political forms?

What does Solon's career tell us about the fate of moderates? Discuss his reforms and the response of the rich and poor to them.

Ponder the contributions of Alexander the Great and some notions of the role of the individual in history. Could the Hellenistic synthesis have taken place without him?

After examining the illustrations of Hellenic and Hellenistic art in the text and in other sources, what generalizations can you make about the differences between the two?

Refer in the text to the advances made by the Greeks in science and mathematics, and tie these to a general notion of the evolution of the history of science. Why are some periods more prolific than others?

Read the extracts from the Hellenic playwrights and compare the spirit and tone with the discussion of Hellenistic literature given in the text. What generalizations can you make regarding the two Greek contributions?

PRIMARY DOCUMENTS / CRITICAL THINKING EXERCISES

Describe the scene of Andromache and Hector from Homer's *Iliad*. What universal truths does it explain about human nature? Can you think of any movies with comparable scenes?

Read Aristophanes on the "Shortcomings of Athenian Democracy." Explain the comparison between money and politicians. What action does the chorus advocate? What was happening in Athens when he wrote the play?

In this age of mass media and instant communications, some commentators are suggesting that democracy, as practiced in America, may not be a workable system, especially in view of the preponderance of "spin doctors" packaging questionable candidates. Do you find that Aristophanes' views are useful in analyzing our current problems, especially his notion that "the best have been withdrawn from circulation"?

How was Arrian's anecdote about Alexander a testament to his "power of endurance" and "genius for leadership"?

TESTING

Which civilization did the Aegean civilizations resemble more, those of Babylon or Egypt? What legacy did the Minoan and Mycenaean civilizations receive from the ancient world?

"The Western tradition begins with Greece." Do you agree or disagree with this assertion? In your answer use examples from the Hellenic and Hellenistic periods to prove your point.

Why were the Greeks unable to attain political stability in their peninsula? In your answer discuss the geographical, ideological, economic, and intellectual factors driving the Greeks to disunity.

Why were the Spartans, so successful in war, unable to govern effectively in peace?

Compare and contrast Hellenic and Hellenistic Greece. Discuss forms of government and cultural achievements.

Why is Alexander of Macedon known as "Alexander the Great"? Was he truly "great"? What were his achievements and legacies?

LECTURE LAUNCHER

Mythology helped to knit together the disputatious and diverse Greeks and promote the kind of questioning and probing that paved the way for the Hellenic intellectual revolution of rational thought. This can be seen in the person of Herodotus (484-425 B.C.E.), who is called the “Father of History”, because he applied critical thought and research to the writing of his texts. In his *History*, Herodotus pauses to account for the origins of the Greek gods, specifically Hercules.

Almost all the divine figures came into Greece from Egypt...The account which I received of this Hercules makes him one of the twelve gods. Of the other Hercules with whom Greeks are familiar, I could hear nothing in any part of Egypt. That the Greeks, however, took the figure from the Egyptians, and not the Egyptians from the Greeks, is I think clearly proved, among other arguments...that both the parents of Hercules, Amphitryon as well as Alcmene, was of Egyptian origin. Again, the Egyptians disclaim all knowledge of Poseidon and the Dioscuri, and do not include them in the number of their gods; but had they adopted any god from the Greeks, these would have been the likeliest to obtain notice, since the Egyptians, as I am well convinced, practiced navigation at that time, and the Greeks also were some of them mariners, so that they would have been more likely to know these gods than Hercules. But the Egyptian Hercules is one of their ancient gods. Seventeen thousand years before the reign of Amasis, the twelve gods were, they affirm, produced from the eight, and of these twelve, Hercules is one....

The Greeks tell many tales without due investigation, among them the following silly fable respecting Hercules: “Hercules,” they say, “went once to Egypt, and there the inhabitants took him, and, putting him a chaplet on his head, led him out in solemn procession, intending to offer him as sacrifice to Zeus. For a while he submitted quietly, but when they led him up to the altar and began the ceremonies, he put forth his strength and slew them all.” Now to me it seems that such a story proves the Greeks to be utterly ignorant of the character and customs of the people. The Egyptians do not think it allowable even to sacrifice cattle, excepting pigs, and the male kine and calves, provided they be pure, and also geese. How, then, can it be believed that they would sacrifice men?

(M.I. Finley, *The Portable Greek Historians...* New York: The Viking Press, 1959, pp. 71-73.)

INSTRUCTOR'S TOOL KIT

AUDIO CASSETTES

Aristophanes, *Lysistrata*, translated by Dudley Fitts, Caedmon
Euripides, Sophocles, Aeschylus: Greek Tragedy, in Greek, to gain a notion of the power of the Greek spoke word. Caedmon
The Golden Treasury of Greek Poetry and Prose, in Ancient Greek. Caedmon
Plato, *The Apology*, translated by Benjamin E. Jowett. Caedmon
Sophocles, *Antigone*, translated by Dudley Fitts. Caedmon
Sophocles, *Oedipus Rex*, translated by William B. Yeats. Caedmon

COROLLARY READING

Mark A. Kishlansky, ed., *Sources of the West*, I
Homer, *Iliad* (9th-8th c. B.C.E.)
Sappho of Lesbo, *Poems* (c. 600 B.C.E.)
Herodotus, *History* (c. 450 B.C.E.)
Plato, *Apology* (399 B.C.E.)
Plato, *The Republic* (c. 327 B.C.E.)
Aristotle, *Politics* (4th c. B.C.E.)

Peter Stearns, Stephen S. Gosch, Erwin P. Grieshaber, *Documents in World History*, I
The Greek Political Tradition
Plutarch on Sparta: Thucydides on Athens
Mediterranean Social and Family Structure
Aristotle, Politics and Economics
Principles of Roman Political Virtue: Plutarch
Moralia (Precepts of Statecraft)

COURSE ENHANCEMENT

Each chapter in the textbook includes extensive lists of supplementary material:
Films and videos
Web destinations
Literature from the period
Suggestions for further reading

Suggestions for Web Browsing

Minoan Palaces

http://dilos.com/region/crete/minoan_pictures.html

Ancient Greek World

http://www.museum.upenn.edu/Greek_World/Intro.html

Perseus Project

<http://www.perseus.tufts.edu/>

Vatican Museum: Greek Collection

<http://christusrex.org/www1/vaticano/GP-Profano.html>

Daily Life in Ancient Greece

<http://members.aol.com/Donnnclass/Greeklife.html>

Woman's Life in Greece and Rome

<http://www.uky.edu/ArtsSciences/Classics/wlgr/wlgr-index.html>

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CHAPTER 5

Roman Civilization: The Roman World, C. 900 B.C.E. - 476 B.C.E.

CHAPTER OUTLINE

INTRODUCTION

1. The Roman *Forum* symbolized imperial grandeur
2. Romans borrowed, modified much from Greeks, others
 - a. Rome the great intermediary
 - b. Greek anarchy replaced with order and law
3. By-and-large efficient rule: 753 B.C.E. - 476 C.E.

I. EARLY ITALY AND THE ORIGINS OF ROME: C. 900- 509 B.C.E.

A. Geography and Early Settlers of Italy

1. Geography shaped Roman history
 - a. Italian peninsula long, mountainous
 - b. Land not as rugged as in Greece; communication, unification more feasible
 - c. Rome had strategic location in hills; easy to defend
 - d. Centrality of Rome served to unify Italy
 - e. Centrality of Italy helped unify Mediterranean
 - f. Italy faced west, lagged behind Greeks
2. Indo-Europeans entered Italy second millennium B.C.E.
 - a. Displaced indigenous Neolithic tribes
 - b. *Latins* settled in lower valley of Tiber
3. In 9th century B.C.E. *Etruscans* dominated central Italy; organized loose confederation of city-states
4. Greek colonists migrated to southern Italy, c. 750 B.C.E.

B. Rome's Origins

1. *Virgil's Aeneid* described legendary founding of Rome in 753 B.C.E. by *Romulus* and *Remus*
2. Scholars believe Latin settlements on hills of Tiber united in 8th century B.C.E.
3. Etruscans took Rome c. 625 B.C.E.
 - a. Introduced borrowed alphabet, divining future
 - b. Imparted building skills, swamp drainage, gladiatorial combat

C. The Roman Monarchy, 753-509 B.C.E.

1. Political growth went through all stages found in Greek polis, except for tyranny
2. Elective kingship by popular assembly in early Rome
 - a. King's power the *imperium*
 - b. Symbolized by *fasces*
3. King advised by *senators*, from *patrician class*
4. Other Roman class, *plebeians*, commoners

II. THE REPUBLIC AND THE ROMAN CONQUEST OF ITALY, 509-133 B.C.E.: DOMESTIC AFFAIRS

A. Establishment of the Republic

1. Two themes mark early *Republic*
 - a. Change from oligarchy to democracy
 - b. Rome's expansion in Italy, Mediterranean
2. Patricians overthrew Etruscan monarchy; expelled *Tarquin the Proud*, 509 B.C.E.
 - a. Established oligarchy called a *res publica*, commonwealth
 - b. Gave power to two *consuls*, or a *dictator* in war

B. Struggle of the Orders

1. Plebeians sought greater political and social equality; threatened to leave Rome
2. Patricians compromised, avoided civil war
3. Plebeians gradually gained rights
 - a. *Tribunes* with *veto* power
 - b. *Plebiscites* binding on plebeian community
 - c. Written law code, *Code of the Twelve Tables*, c. 450 B.C.E.
 - d. Right to hold highest offices
 - e. Recognition of *Concilium plebis (Tribal Assembly)*, 287 B.C.E.
4. Roman Republic technically became a democracy
 - a. Senatorial aristocracy of noble patricians and rich plebeians dominated
 - b. New "establishment" guarded their privileges

C. Society and Religion

1. Family basic unit of society
 - a. Father's power absolute
 - b. Instilled loyalty, self-control, respect for laws, ancestral customs
 - c. Marriage lifelong union in early Republic
2. Early religion based on placating spirits
 - a. Strict ritual, spirits personified in Pantheon
 - b. Religion emphasized morale over morals

III. THE EARLY REPUBLIC, 509-133 B.C.E.: FOREIGN AFFAIRS

A. Roman Conquest of Italy

1. Expanded from city-state to dominate Mediterranean
 - a. Four-century-long expansion not planned
 - b. Rome saw wars as defensive
2. Rome headed **Latin League** against Etruscans
 - a. Defeated foe, overwhelmed by Gauls, 390 B.C.E.
 - b. Rome turned, dominated former allies, 338 B.C.E.
3. Remodeled army, replaced phalanx with more maneuverable **maniples**
4. Forced Greeks out of southern Italy
 - a. Pyrrhus initially defeated Romans in costly battle, **Pyrrhic victory**
 - b. Greeks withdrew by 270 B.C.E.

B. Treatment of Conquered Peoples

1. Rome did not kill or destroy defeated foes
2. Rome offered attractive terms for cooperation
 - a. Extended citizenship
 - b. Formed alliances; obligated acceptance of Roman foreign policy
 - c. Required troops for Roman army
 - d. Permitted local self-government

C. The First **Punic** War

1. After 279 B.C.E. Carthage only rival in West
 - a. Wealthy, populous
 - b. Depended on mercenaries to fight
2. 264-241 B.C.E. Rome defeated Carthage, took Sicily, Sardinia, and Corsica; first overseas empire

D. The Contest with Hannibal

1. Carthage moved toward Spain, sparked second Punic War
 - a. 218-201 B.C.E. war most difficult for Romans
 - b. **Hannibal** led troops, elephants across Alps into Italy
2. Rome's allies remained loyal, despite Hannibal's victory at **Cannae**
 - a. Hannibal won several battles, but could not achieve decisive blow to end war
 - b. Hannibal was recalled to Carthage
3. **Scipio** defeated Carthage at Zama; Carthage sued for peace, gave up Spain

E. Roman Intervention in the East

1. Having defeated Carthage, Rome next dealt with Philip V of Macedon
 - a. Mobile Roman legions defeated heavy Greek phalanxes, 197 B.C.E.
 - b. Rome liberated Greece; ended Philip's ambitions for an empire

2. Rome forced Seleucid emperor to withdraw from Greece, Asia Minor, Egypt
 - a. Established protectorate in East
 - b. Crushed anti-Roman uprisings in Greece; destroyed *Corinth*
- F. Destruction of Carthage 146 B.C.E.
1. Rome became suspicious of Carthage's reviving prosperity
 - a. Extremists demanded obliteration of Carthage
 - b. Rome provoked Third Punic War; besieged Carthage for 3 years
 2. Carthage was destroyed; forced to accept extremely harsh terms
- G. Rome: Supreme in the Mediterranean World
1. Rome gained first colony in Asia, 133 B.C.E.
 - a. King of Pergamum bequeathed land to Rome to maintain order
 - b. Rome suppressed uprising
 2. Roman provinces found on three continents

IV. THE LATE REPUBLIC, 133-30 B.C.E.

- A. Effects of Roman Expansion
1. Expansion destroyed Republic's institutions
 2. Wars, expansion devastated small landowners
 - a. Small farmers had been source of Roman spirit
 - b. Burdens (taxes, military service) increased
 - c. Farmers marginalized by competition from cheap imported grain
 - d. Joined unemployed, discontented *proletariat* in cities
 3. Aristocrats formed *latifundia*, based on slave labor
 - a. Shortage of land forced out plebeians
 - b. Senate policies favored aristocrats
 4. Corruption, oligarchy accompanied Republic decline
- B. Reform Movement of the Gracchi
1. *Tiberius Gracchus* proposed reform
 - a. Sought to revitalize Rome; limit concentration of land in hands of wealthy
 - b. Favored small landowners, became tribune
 - c. Murdered by partisans of Senate
 2. *Gaius Gracchus* tried reforms for masses
 - a. Land and grain programs for poor
 - b. Senate used force, killed Gracchi's supporters
 - c. Gaius committed suicide
- C. The First Civil War: *Marius* vs. *Sulla* (88-82 B.C.E.)
1. Marius created army of career soldiers more loyal to commander than to state
 2. Senate backed Sulla, Tribal Assembly backed Marius for military campaign in east

3. Civil war ensued
 4. Sulla prevailed, killed opponents, and restored power of Senate 82 B.C.E.
- D. The Second Civil War: **Pompey** vs. **Caesar** (49-45 B.C.E.)
1. Pompey, former Sulla ally, gained power
 - a. Turned on former partners
 - b. Extended, consolidated power in East
 2. Caesar, Pompey's ally, began his rise 59 B.C.E.
 - a. Nine years in the conquest of **Gaul**
 - b. Wrote *Commentaries* to keep name before people
 3. 49 B.C.E., jealous Pompey attacked Caesar
 - a. Senate allies ordered Caesar to disband army
 - b. Caesar refused, crossed Rubicon, marched on Rome
 4. Caesar became **dictator** for life, and in six months before assassination made many reforms
 - a. Extended citizenship, expanded Senate, reduced debts
 - b. Adopted Egyptian solar calendar
 - c. Saw problems of Roman Republic, advocated despotism
 - d. Killed by those who feared him to be a tyrant
- E. The Third Civil War: **Mark Antony** vs. **Octavian** (31 B.C.E.)
1. Power passed to Caesar's grandnephew Octavian (west) and chief lieutenant Mark Antony (east)
 2. Allies split, Octavian victorious

V. THE ROMAN EMPIRE AND THE **PAX ROMANA**, 30 B.C.E. - 476 C.E.

- A. Reconstruction under Augustus
1. Late Republican civil war replaced by two centuries of Imperial order, the **Pax Romana**
 2. Octavian in 27 B.C.E. organized new system
 - a. Senate gained considerable authority
 - b. Senate gave title **Augustus** to Octavian
 - c. Power lay in tribune, governorship of provinces controlled armies, **imperator**
 3. Built monarchical power, used Republic rhetoric
 - a. Referred to self as **princeps**, first citizen
 - b. Power split between Senate and princeps
 4. Concentrated on internal reforms, defensive perimeter against Germans
 5. Tried with some success to restore social foundations of Republic, strengthen family, reduce corruption, reform army

- B. The Julio-Claudian and Flavian Emperors
 - 1. Tiberius and Claudius adequate rulers
 - 2. Caligula and Nero were immoral madmen
 - 3. Flavian rulers dropped Republican pretense
- C. The Antonines: “Five Good Emperors”
 - 1. 96-180 C.E., line brought Empire to its height
 - 2. Hadrian and Marcus Aurelius noteworthy
- D. The *Pax Romana*
 - 1. Masses enjoyed benefits of Roman rule
 - 2. Cosmopolitan world state created
- E. The “True Democracy” of the Roman Empire
 - 1. Liberty exchanged for order, prosperity
 - 2. “A democracy under [the emperor]”
- F. Economic Prosperity
 - 1. Empire eliminated barriers to trade
 - 2. Provided secure transportation links
 - 3. Weak industrial/strong agrarian base
- G. Early Evidence of Economic Stagnation
 - 1. Italian agriculture overproduced, as provincial areas became self-sufficient in wine and olive oil
 - 2. Government provided low interest loans to producers
 - 3. Money spent on Eastern luxuries, not capital goods
 - 4. Basis laid for third-century inflation, anarchy
- H. Rome, Imperial Capital
 - 1. One million inhabitants
 - 2. Augustus claimed he found a city of brick and left a city of marble
- I. Social Life
 - 1. Senatorial families, absentee estate owners, on top
 - 2. Large middle classes handled commerce, finance
 - 3. Lower classes worked through guilds, social clubs
 - 4. Slaves lived varied existence
 - 5. Recreation a major part of life, 800 public baths
 - 6. Sports at Circus Maximus, gladiators at Colosseum

VI. THE RISE OF CHRISTIANITY

A. Jewish Background

1. Jews in Palestine lived in theocratic society
 - a. **Torah**-based, supplemented by prophets' writing
 - b. Life centered at Jerusalem Temple
 - c. Most powerful figure, high priest, assisted by **Sanhedrin**, high court, law enforcement
 - d. Jews of **Diaspora** met at **synagogues**
2. Greek influence extensive
 - a. Most Jews spoke Greek, Greek edition made of Scriptures at Alexandria, 3rd century B.C.E.
 - b. Pro-Greek Sadducees clashed with pious opposition
3. In civil war between **Sadducees** and followers of **Judas Maccabaeus**, one faction asked Rome for help
 - a. Pompey ended civil war 63 B.C.E., made Judea subject of Roman governor of Syria
 - b. **Herod the Great**, appointed by Mark Antony, became king 37-4 B.C.E.
 - c. Succeeded by procurators, such as Pontius Pilate (26-36 C.E.)
4. Jews unhappy under Romans
 - a. Prophets foretold arrival of Messiah
 - b. A variety of Messiahs foreseen

B. Development of Jewish Religious Thought

1. Great vigor, debate over nature of faith
 - a. Aristocratic Sadducees, high priests, stood for strict following of Torah
 - b. **Pharisees** stated that humans, with divine help, could change the Law, oral law became **Talmud**
2. 1947 discovery of the Dead Sea Scrolls gave documents on Essenes
 - a. Sect saw selves as true remnant of God's people
 - b. Preached a new covenant, God would triumph
 - c. Other groups believed the same

VII. THE RISE AND TRIUMPH OF CHRISTIANITY

A. The Life and Teaching of Jesus

1. Christianity has parallels with Essenes, including baptism and communal meal
2. Biggest imprint left by founder, **Jesus of Nazareth**
 - a. Bible account relates teaching, healing activities, impact on people
 - b. Jesus preached spiritual, not earthly, kingdom
 - c. Condemned to death by means Rome used to punish state enemies, crucifixion
3. Left no written message, yet cause grew among Palestine and Hellenized Jews in foreign lands

B. The Destruction of Jerusalem in 70 C.E.

1. Jewish Zealots massacred Roman garrison, 66 C.E.
2. Romans flattened Jerusalem, 70 C.E.
 - a. Only Temple's "Wailing Wall" remained
 - b. End of Jewish state
 - c. Resistance at *Masada* for two more years

C. The Work of *Paul*

1. Jesus' disciples practiced Judaism
 - a. Followed Jewish dietary, social laws
 - b. These restrictions posed a barrier to non-Jews
2. Paul's liberal preaching opened faith to non-Jews
 - a. Called second founder of Christianity
 - b. Came from Jewish ancestry, though Roman citizen
 - c. Strict Pharisee, persecuted Christians
 - d. Converted after experience "on road to Damascus"
3. Paul expanded Christian doctrine, claiming that
 - a. Jesus was the Christ ("Messiah"), Son of God
 - b. Jesus died to atone for the sins of all people
 - c. Only faith in the saving power of Jesus Christ was necessary for salvation
3. Paul traveled over 8,000 miles in missionary activities

D. Reasons for the Spread of Christianity

1. *Mystery religions*
 - a. Offered solace in troubled times, gained popularity in Roman Empire
 - b. Groups arose around worship of Phrygian Cybele, Egyptian Isis, Greek Dionysus, Persian Mithras
 - c. Had notion of divine savior, everlasting life, tender female
 - d. Some gender-based; most limited membership
2. Christianity shared many practices with mystery religions, but offered more
 - a. Creator real historic personality
 - b. Lofty ethics, New Testament record
 - c. Equality of all believers
 - d. Faith, hope, caring
 - e. Courage in face of persecution

E. Persecution of the Christians

1. Empire tolerated non-threatening faiths, but viewed Christians as subversive
 - a. Christians monotheistic, refused to offer sacrifice to state cults
 - b. Christians pacifists, refused to serve in army
 - c. Christians refused to associate with pagans and their practices
2. Until late third century, persecution sporadic and local
 - a. Nero's most notable
 - b. *Diocletian*'s longest, most systematic, 303-311 C.E.

F. Church Organization

1. Little thought to organization
 - a. Assumption of imminent ***Second Coming***
 - b. At first, no difference between laity and clergy
2. As tasks became complex, need for professional staff
 - a. Earliest were ***presbyters*** or ***bishops***
 - b. Churches administered by ***priests***
3. Territorial distribution
 - a. Diocese run by bishop
 - b. Number of dioceses made up province, run by ***archbishop*** or ***metropolitan***
 - c. Provinces grouped into ***patriarchates***, such as those at Rome, Constantinople
4. Primacy of Bishop of Rome
 - a. At first only one of several patriarchs
 - b. Gradually seen as leader of church of West
 - c. Called “Pope,” from Greek for “father”
 - d. Rome largest city, political center, fall of state left Pope strongest figure
5. Pope ***Leo I*** (440-461) showed primacy
 - a. Saved Rome from Huns
 - b. Advanced ***Petrine Theory***

G. Foundations of Christian Doctrine and Worship

1. Fixing of doctrine began with Paul
2. Council of Nicea, 325, established Doctrine of the Trinity
 - a. ***Arius***, priest of Alexandria, said Father and Son could not be equal
 - b. Emperor Constantine called Council to end dispute
 - c. ***Nicene Creed*** adopted, Arianism branded a heresy
3. Church liturgy defined
4. Church fathers, ***St. Jerome***, ***St. Ambrose***, ***St. Augustine***, blended Greek philosophy, Christianity

H. The Regular Clergy

1. Lived by a rule within monasteries
 - a. Monks, nuns sought seclusion from world to purify, prepare for next
 - b. Differed from extreme asceticism practiced in East by such people as St. Simeon Stylites
2. ***St. Basil*** (c.330-379) laid foundation for eastern monasticism
3. ***St. Benedict*** (c. 480-543) wrote “The Rule”
 - a. Maintained order, discipline, moderation
 - b. Required vows of poverty, chastity, obedience to abbot
4. Benedictine monasticism became dynamic civilizing force in medieval Europe

VIII. THE OFFICIAL RECOGNITION AND ACCEPTANCE OF CHRISTIANITY

A. Official Recognition and Acceptance of Christianity

1. Galerius legalized faith in east, 311
2. Constantine granted freedom of worship in Edict of Milan, 313
 - a. Biographers claimed he saw cross in sky before he won decisive battle
 - b. Christians composed sizable minority, 20% of Empire
3. **Julian “the Apostate”** (361-363) made last try to revive paganism
4. Emperor **Theodosius I** (379-395) made Christianity official religion of the Empire
 - a. Pagans persecuted, Olympic Games suppressed
 - b. **Hypatia**, pagan philosopher, killed by mob

IX. THE ROMAN CRISIS OF THE THIRD CENTURY

A. The Roman Crisis

1. Anarchy and invasion weakened Empire
 - a. Emperors became absolute despots
 - b. Decline seen in Commodus reign, 180 C.E.
2. Political, economic, social conditions deteriorated during **Severan Dynasty**
 - a. Government became pawn of military
 - b. Twenty-six “emperors” in 50 years (235-85), only one died natural death
 - c. German tribes penetrated imperial frontiers
 - d. Economy stagnated; inflation raised prices
 - e. Land concentrated in hand of a few
 - f. **Latifundia, coloni** increased; small independent farmers decreased
3. **Diocletian** (285-305) restructured Empire
 - a. Established oriental despotism in east
 - b. Strengthened currency, froze prices, wages
4. **Constantine** (306-337)
 - a. Overcame rivals in brief civil war
 - b. Biographer claimed he won Battle of Milvian Bridge after seeing cross
 - c. Issued **Edict of Milan** tolerating Christians throughout the Empire
 - d. Moved capital to old Greek colony of Byzantium (Constantinople)

X. THE GERMANIC TRIBES

A. The Germanic Tribes

1. Diverse, less advanced than Romans, entered Empire in waves in 3rd and 4th centuries
 - a. Franks, Angles, Saxons achieved settled agricultural life
 - b. Goths, Vandal, Lombards remained largely nomadic
2. Germanic restlessness largely due to land hunger
3. Germanic traditions

- a. Payment of compensation to settle disputes, avoid blood feuds
- b. Oath-helpers to swear innocence in trial
- c. Trial by ordeal to determine guilt or innocence
- d. **Comitatus** emphasized personal ties between war band and leader

XI. THE GERMANIC INVASIONS

A. The Germanic Invasions

- 1. Approach of Huns, nomadic horsemen, fighters, late 4th century
 - a. Intensified German movement
 - b. Crossed Volga, 373, conquered **Ostrogoths**
- 2. **Visigoths** received right to enter Empire, 376
 - a. Conflict between Roman officials, tribe
 - b. Visigoths defeated Romans at **Adrianople**, 378; Emperor Valens killed
- 3. After 395, Visigoths under **Alaric** went on rampage
 - a. Ravaged Balkans
 - b. Sacked Rome, 410
 - c. Expanded into southern Gaul, Spain
- 4. Romans pulled troops from Rhine frontier, Britain
 - a. Invasions reached flood level
 - b. **Vandals** through Spain in North Africa
 - c. **Franks** to northern Gaul
 - d. **Angles, Saxons, Jutes** to Britain
- 5. Huns pushed into Europe under **Attila**
 - a. Reached Rome, 451
 - b. Tribe disintegrated after 453

XII. THE END OF THE WEST ROMAN EMPIRE (395-476 C.E.)

A. The End of the West Roman Empire, 395-568

- 1. Empire split after death of Theodosius I (395)
 - a. Divided between two sons, followed by series of incompetent emperors
 - b. Some sought safety at Ravenna
- 2. Last emperor, **Romulus Augustulus**, son of German commander of Roman troops
 - a. Sworn in 475, deposed by **Odovacar**, 476
 - b. Date symbolized fall of Rome
- 3. **Theodoric** led Ostrogoths, set up Kingdom of Italy, c. 454-526
 - a. East Rome asked him to re-impose imperial power
 - b. Entered Rome, 488, took Odovacar, killed him
 - c. Ruled kingdom from Ravenna
 - d. Kept classical culture on high level
 - e. Died heirless; civil war followed
- 4. Justinian re-took Italy briefly, 535-555

- a. Peninsula devastated by fighting
 - b. Classical civilization set back
- 5. The **Lombards**, most brutal Germanic group, entered Italy 568
 - a. In stalemate, Constantinople kept south Ravenna, Venice
 - b. Pope ruled Rome, Italy split until 19th century

XIII. THE LEGACY OF ROME

A. The Roman Spirit

- 1. Romans, unlike Greeks, not gifted in abstract thought
 - a. No original philosophical, literary forms
 - b. Excelled in government
- 2. Spirit made up of many factors
 - a. Republican virtues, plain living
 - b. Discipline, duty
 - c. Capable of cruelty, arrogance, lack of mercy

B. Evolution of Roman Law

- 1. Law greatest gift, base for modern Western law
 - a. At first law unwritten
 - b. Written Law of Twelve Tables
 - c. Later, codes expanded by Senate and assembly
 - d. By 2nd century C.E. emperor sole source
- 2. Emperors depended on ***jurisprudents***
 - a. Law based on idea of equity, law of nature
 - b. Law codified by specialists in 6th century

C. Roman Engineering and Architecture

- 1. Based on needs for communications systems
 - a. Roads, bridges, aqueducts
 - b. Set standards not seen until 19th century
- 2. Made major contributions to architecture, building techniques
 - a. Concrete
 - b. Barrel vault, cross vault, dome
 - c. Triumphal arch, bath, basilica, amphitheater, multistoried apartment house
 - d. Pantheon, Colosseum

D. Sculpture and Painting

- 1. Keyed on Greek models
- 2. Developed own styles

E. Literary Rome

- 1. Turned to Greeks for models, derivative
- 2. Began 3rd century B.C.E.

- a. Livius Andronicus, Greek slave, translated Homer's *Odyssey*
 - b. Plautus wrote comedies
- F. The Golden and Silver Ages of Latin Literature
 - 1. Golden Age, 1st century B.C.E.
 - a. Cicero, master of Latin prose, stood as major influence
 - b. Virgil's *Aeneid* glorified work of Augustus, asserted Rome's destiny to conquer, rule
 - c. Horace, Ovid notable
 - 2. Silver Age, 1st century C.E.
 - a. More critical, negative spirit
 - b. Moral emphasis seen in works of Tacitus, Plutarch, Seneca, Juvenal
- G. The Writing of History
 - 1. Livy used history to support Augustus' program of moral and social regeneration
 - 2. Tacitus critical of his contemporaries, idealized German tribes, early Roman Republic
- H. Religion and Philosophy
 - 1. Romans sought spiritual satisfaction after upheavals of the late Republic
 - 2. Lucretius interpreted Epicureanism
 - a. Wrote *On the Nature of Things*
 - b. Urged pleasures of the mind and spirit rather than material gain
 - 3. Stoicism fit nicely with Roman emphasis on just life, duty, and courage in Empire
 - a. Seneca wrote moral essays, tragedies
 - b. Epictetus, ex-slave, valued patience, equanimity
 - c. Emperor Marcus Aurelius described all-powerful World Spirit
- I. Science in the Roman Empire
 - 1. Used Hellenistic discoveries for practical ends
 - 2. Pioneered in public health services
 - 3. Compiled huge encyclopedias, such as Pliny's *Natural History*
 - 4. Ptolemy, geographer, wrote the *Almagest*, described geocentric theory of universe
 - 5. Galen, physician, summarized medical knowledge of antiquity

CONCLUSION

- 1. Rome rose from humble villages to world empire
- 2. Rome's expansion caused devastation and suffering, but brought order
- 3. Rome preserved and transmitted Greek legacy
- 4. Rome excelled in political theory, governmental administration, jurisprudence
- 5. Empire's infrastructure facilitated peace, wealth, spread of Christianity

CONCEPTUAL HOOKS

TIMELINE: 753 B.C.E. - 180 C.E.

DEFINITIONS

- forum:*** The center of Rome, dominated by governmental buildings, arenas, palaces.
- Latins:*** Indo-European tribes that settled in the plain of Latium, in the lower valley of the Tiber River.
- Etruscans:*** Non-Indo-European people, probably from Asia Minor, who brought the first city-state civilization to Italy. Language has not been fully deciphered.
- Virgil:*** Roman writer, 70-19 B.C.E., who discussed the legendary founding of Rome in the *Aeneid*. The epic glorifies the work of Augustus and asserts Rome's destiny to conquer and rule the world.
- Romulus and Remus:*** Legendary twin brothers, saved from death by she-wolf who sheltered and suckled them. Romulus' ancestor was Aeneas, a Trojan, who after fall of Troy founded a town in Latium.
- imperium:*** Name for king's executive civil and military power.
- fascies:*** Symbol of power: an ax bound by a bundle of rods.
- senator:*** Member of council of nobles, Senate, patricians.
- patricians:*** Members of ancient or noble Roman families.
- plebeians:*** Commoners.
- republic:*** From Latin *res publica*, or commonwealth.
- Tarquin the Proud:*** Last Etruscan king, expelled 509 B.C.E.
- consuls:*** Roman magistrates.
- tribunes:*** Plebeian leaders who presided over the *Concilium Plebis*, the gathering of the commoners.
- plebiscites:*** Resolutions of the *Concilium Plebis*, binding on plebeian community.

- veto:** The tribunes' power to block Senate acts, literally, "I forbid."
- Law of the Twelve Tables:** Formerly unwritten customary laws inscribed on twelve tables of bronze and set up in the Forum.
- Concilium Plebis:** "Gathering of the commoners." Body of plebeians in early Republic. Passed *plebiscites* binding only on plebeians. Later gained recognition as Tribal Assembly, passing laws (*leges*) binding on all citizens.
- Latin League:** Rome and its Latin neighbors in Latium united against Etruscans and other outsiders. Rome imposed its will on the League in 338 B.C.E. after a brief war.
- maniple:** Small, maneuverable units of 120 men armed with javelins, contributed to strength and flexibility in Roman army.
- Pyrrhic victory:** Costly victory, not worth the expense and effort. Greek King Pyrrhus defeated Romans in southern Italy, but left by 270 B.C.E., realizing he could not achieve peace.
- Punic Wars:** From Latin, *punicus*, Phoenician. Three wars between Rome and Carthage (264-241 B.C.E.; 218-201 B.C.E.; 149-146 B.C.E.). Rome won, dominated western Mediterranean, laid foundation for future empire-building, led to social and political turmoil in Rome.
- Hannibal:** Young Carthaginian general who led forces in second Punic war across the Alps, inflicting massive damage on Rome, without having the power to gain total victory. Recalled to Carthage, he lost the Battle of Zama. Hannibal then fled to the Seleucid Empire, tried to fan anti-Roman sentiment, and finally committed suicide to avoid Roman capture.
- Cannae:** Hannibal's 50,000 Carthaginians wiped out a larger army of 70,000 Romans. Often described as a "perfect battle," combining surprise, economy of force, leadership.
- Scipio:** Roman general who eventually defeated Hannibal at Zama.
- Corinth:** Greek city leveled by Romans in punishment for its anti-Romanism.
- proletariat:** Unemployed, discontented city population, name comes from Latin *proles*, children, which this group added to Rome.

latifundia: Large slave plantations owned by rich aristocrats. Featured improved farming methods, more competitive than small farms.

Tiberius and Gaius Gracchus: Aristocratic brothers who attempted reforms designed to restore the small landowners. Tiberius was killed and Gaius was pushed to suicide.

Marius and Sulla: In the first civil war, Marius created a professional Roman army in his anti-Senatorial drive. Sulla, supporter of the Senate, defeated him in 79 B.C.E.

Pompey: Headed faction that overthrew Sulla's system, was in turn defeated by Caesar in 45 B.C.E.

Caesar: Ambitious politician. Gained military appointment to Gaul, where he excelled as a military leader, sent reports (*Commentaries*) of his successes to Rome, subdued the Gauls, and amassed a fortune. When the Senate recalled him, Caesar returned with an army. By "crossing the Rubicon" River, he embarked on the irrevocable decision to challenge Pompey and the Senate. After defeating Pompey's factions, he realized that Republic was dead and instituted series of reforms. Several opponents assassinated him on March 15, 44 B.C.E., the "Ides" of March.

dictator: Sole ruler in time of war, for six months in early Roman Republic. Caesar became dictator for life.

Octavian: Caesar's grandnephew who defeated ***Mark Antony*** in 30 B.C.E., became ***Augustus*** ("the revered"), and ***imperator*** (emperor).

Pax Romana: Roman peace, the two centuries of imperial greatness following Octavian's victory. Characterized by peace, prosperity, trade and commerce, cultural achievement.

princeps: "First citizen," title Octavian preferred to describe his disguised dictatorship.

Severan Dynasty: Ruled from 193-235, marked end of Augustan style of emperor. Senate ignored. Army dominated.

Diocletian: Ruled 285-305, changed focus, nature of Roman government after 50 years of anarchy. Made emperor an oriental despot, veritable god. Re-cast administrative structure, fought economic decay through price and wage freezes, persecuted Christians.

Constantine: Ruled 306-337, after winning civil war, carried on Diocletian's work of remaking, stabilizing Empire. Used Christian faith to strengthen position, ordered families frozen in their occupations, homes, and moved capital to Constantinople.

Edict of Milan: Constantine's decree tolerating Christians in the Empire (312). It ended persecutions.

Theodosius I: Ruled 379-395. Made Christianity the official religion of the Empire.

Torah: God's Law given to Moses, first five books of Bible, supplemented by the writings, teachings of prophets and scholars.

Sanhedrin: High court for enforcing Torah-based law.

Diaspora: Scattering of the Jews.

Synagogue: (Greek = assembly) center for Diaspora Jews.

Saducees: Aristocratic, pro-Greek Jewish faction favored by Seleucids in 2nd century B.C.E. Later dominated office of high priest, advocated strict interpretation of written Law.

Judas Maccabaeus: Led pious faction of Jews, rebelled against Seleucids, who had re-dedicated temple to Zeus, won and in 142 B.C.E. rededicated temple to Yahweh.

Masada: Fortress near Dead Sea where Jewish Zealots held off the Romans for two years, until 72 C.E.

Pharisees: More numerous, more liberal interpreters of the Law. Believed in personal immortality, kingdom of heaven. Source for rabbis, scholars who wrote commentaries on the Law, the **Talmud**.

Essenes: Radical Jewish sect described in Dead Sea Scrolls. Wanted a new covenant with God, waited for Him to wield His power.

Paul: Born Saul, a Roman citizen of Jewish ancestry from the city of Tarsus, Asia Minor. Strict Pharisee, well educated in Greek culture, went to Damascus c. 33 C.E. to persecute Christians. Summoned on road to Damascus, converted to Christianity, took name of Paul, became greatest Christian missionary. Beheaded in Rome, 65 C.E., after having spread Christianity throughout East and Rome.

mystery religions: Sects from Greece, Near East that provided spiritual solace not found in Roman rituals. Worshiped tender female, agents of sun, divine savior who promised everlasting life.

Second Coming: End of world, arrival of Lord, Last Judgment.

Church hierarchy: *Presbyters*, elders, became *priests* who administered churches. *Bishops*, seen as direct descendants of Apostles, leaders of groups of churches, dioceses. *Archbishop* or *metropolitan*, ruled over group of dioceses, province. A group of provinces was a *patriarchate*, ruled over by patriarch.

Leo I: Pope from 440-461, expanded powers of papacy during political decline of Rome, helped convince Attila not to take Rome, and propounded Petrine Theory.

Petrine Theory: Stated that since Peter, whom Christ had made leader of the Apostles, was the first bishop of Rome, his authority passed naturally to his successors.

Arius: 256-336, Alexandrine priest who stated that Christ was not fully God, being a created being. Condemned as a *heretic*, a person guilty of holding an opinion or doctrine contrary to the official teachings of the church at Council of Nicea in 325.

Nicene Creed: Official definition of the faith, affirmed in later councils, stating that Christ was of the same substance as God, part of the coeternal, uncreated Trinity.

St. Jerome, St. Ambrose and St. Augustine: Church fathers who refined church dogma. Intellectuals who held that Christianity and Greek philosophy were compatible. St. Jerome (340-420) made possible the Vulgate translation of the Bible into Latin. St. Ambrose (340-397) left government position to become bishop of Milan, and asserted the church's superiority over the state in spiritual matters. St. Augustine (354-430), most important of church fathers, provided most of foundation of church theology.

St. Basil: 330-379, established regulations for Eastern monastic life.

St. Benedict: 480-543, established regulations for Western monastic life, based on order, discipline, and moderation. "The Rule" required vows of poverty, obedience, and chastity. Benedictines became the most dynamic civilizing force in West for next 600 years.

jurisprudents: Scholars "skilled in the law" assisted emperor define law after 2nd century C.E.

DISCUSSION

Although Hannibal won all his battles on the Italian peninsula, why was he unable to defeat Rome?

Consider the outrageous behavior of Nero and Caligula. Why do you think that their excesses apparently made so little difference in the overall functioning of the Empire?

Discuss the economic status of Rome during the *Pax Romana*. What were the elements of weakness? Do you see any comparison with United States' economy in the late 20th century?

Examine the experience of the Jews as a minority under Greek and Roman occupation. To what extent did they reach a *modus vivendi*, to what extent did they come into conflict?

Almost two millennia ago a carpenter's son spoke publicly for a brief three years in a remote Roman province. He offended the wealthy, was despised by the social elite, was found guilty in a court of law, and was executed with common criminals. Ordinarily such an individual would have fallen into historical obscurity, yet the life and teachings of Jesus formed the basis of a movement that eventually became the official religion of the Roman Empire. How can this be explained?

PRIMARY DOCUMENT / CRITICAL THINKING EXERCISES

Read the passage by Columella about Roman Farm Women. What responsibilities did the farm forewoman have? What does this document reveal about operations and concerns on a Roman farm? What can you infer about the status of women from this description? Why would a slave hold a position of responsibility?

Read the passage by Plutarch. List the chain of events that led to Tiberius' assassination. How did hearsay, rumor, and misinterpretation contribute to the outcome? Was the assassination inevitable? What was the significance of the assassination to the Roman Republic? Under what circumstances can politics become violent?

TESTING

What factors enabled the early Roman Republic to avoid civil war, carry on reform, and unite against the common foe? How did the Romans differ from the Greeks in this regard?

"Caesar killed the Republic." Do you agree with this statement? If so, why? If not, state the factors you believe led to the effective end of the Republic.

Discuss the political solution Octavian imposed on Rome in 27 B.C.E. Analyze its strengths and

weaknesses. What alternatives did he have other than to carry on the Republic rhetoric while imposing a dictatorial control?

Do you find the use of the expression “true democracy” to characterize life during the *Pax Romana* to be ironic? What price in freedom did the individual have to pay for this stability?

Trace the development of Christian doctrine in the West. Discuss the teachings of Jesus, the contributions of Paul, Petrine Theory and the ideas of the church fathers, Jerome, Ambrose, and Augustine.

Would Christianity have been able to spread so rapidly: (a) without the road systems and infrastructure of the Roman Empire, (b) had the Roman Empire been at full strength, (c) without an organized clergy?

What is the legacy of the Romans? Discuss political, legal, literary, philosophical, artistic, and engineering contributions.

LECTURE LAUNCHER

The legendary figure of Lucius Quinctius Cincinnatus symbolized the nature of the early Roman Republic. This patriot and consul in 458 B.C.E. came from his farm, leaving his plow in the field, to defeat the Aequi and the Volsci who attacked Rome. After leading his fellow citizens to victory, he went back to his farm. Nineteen years later he returned to accomplish a similar task.

As Rome grew in strength and absorbed neighboring regions, the “citizen-farmer” basis of the defense force remained. As Rome grew and perfected its political organization, its military structure changed. By 325 B.C.E. the republic of Rome had formed the legion. The various tribes contributed both soldiers and weapons to the army. Usually, each man armed himself with javelin-like spears, short broadswords, a helmet and armor, and a shield. At first the Romans formed great units of three to four thousand men bearing spears, in eight close-packed rows. Strategy was simple: hit swiftly and knock the enemy out cleanly. Nobody thought of flanking movements and reserve forces in the rear.

After suffering a defeat by the Samnites, the Romans broke their large lines into a formation known as a manipular legion, a rather smaller phalanx in a twelve-by-ten-man format. Breaking up the large lines allowed more maneuverability. The same number of people, thus used, could be effectively focused on the enemy. This permitted the flexibility to respond to different terrains and changes in the enemy’s tactics.

Until the Punic Wars against Carthage (265-241; 218-201; 146-143 B.C.E.) the army reflected the society, its tribal makeup, and the *paterfamilias*-dominated family. The citizen soldiers followed the lead of the Senate, complete with its safeguards against tyranny. There was no professional army, *per se*. This all changed during the Punic Wars, as the military, social, and economic pressure of continual warfare in Italy, especially Hannibal’s campaigns during the

Second Punic Wars, inflicted severe damage on the Republic. The Battle of Cannae, August 2, 216 B.C.E., saw 70,000 Romans perish. Rome remained true to its institutions, however, and Hannibal, unable to take walled cities, finally had to withdraw. But Rome had changed.

Initially, after 146 B.C.E., the Romans tried to govern their expanded holdings with the same old Republican system, but this led to massive corruption in the provinces ruled by Proconsuls. At home, the wrenching social and economic changes that afflicted the Republic produced masses of urban poor and slaves. As revolts spread throughout the land, ambitious men sought to take advantage of widespread discontent by forming and supplying private armies. The former Republican principle that only men with certain amounts of property could serve was abandoned, and the legions more and more became loyal to a particular general, and not to the Republic, or Rome. Mercenaries, not patriots, staffed the forces. The nature of the legion also changed. Less sophisticated cohorts replaced the maniples.

A new style of leader, Julius Caesar, took advantage of the opportunities presented by a society in flux. He made good use of what would later come to be known as “campaign biographies,” a classic literary form that produces a positive impression of the main figure, in this case, himself. His book, *Conquest of Gaul*, and his charismatic appeal ensured the loyalty of his troops and the affection of the Roman public. He successfully played traditional power games against the Senate to put an end to the Republic.

Over a 500-year period the armies of the Republic had gone from the simple patriotism of the legendary Cincinnatus to the effectively mobilized citizenry of the middle Republic, to the professional mercenary forces of the post-Punic Wars era. Throughout, the Republican soldiers made a record as some of the finest soldiers in world history, especially in their engineering and logistical accomplishments.

THE INSTRUCTOR’S TOOL KIT

AUDIO CASSETTES

Sound tape Resources from Caedmon

G. Valerius Catullus, *Selected Poetry*, translated by Horace Gregory

Classics of Latin Poetry and Prose (in Latin)

COROLLARY READING

Mark A. Kishlansky, ed. *Sources of the West*, I

Cicero, *The Trial of Aulus Cluentius Habitus* (66 B.C.E.)

Virgil, *Aeneid* (30-19 B.C.E.)

Juvenal, *Satires* (c. 116 C.E.)

Plutarch, *The Life of Cato the Elder* (c. 116 C.E.)

Suetonius, *The Life of Augustus* (c. 122 C.E.)

The Sermon on the Mount (c. 28-35 C.E.)
St. Paul, *Epistle to the Romans* (c. 57 C.E.)
Augustine of Hippo, *The City of God* (413-26 C.E.)
Benedict of Nursia, *Rule of St. Benedict* (c. 535-540 C.E.)

Peter Stearns, Stephen S. Gosch, Erwin P. Grieshaber, *Documents in World History, I*
Principles of Roman Political Virtue:
Plutarch, *Moralia (Precepts of Statecraft)*
Global Contacts: Precious Commodities and Cultural Interchange: Rome, Arabia, India,
and China
Suetonius; Strabo; Pliny; Fa-hsien

COURSE ENHANCEMENT

Each chapter in the textbook includes extensive lists of supplementary material:
Films and videos
Web destinations
Literature from the period
Suggestions for further reading

COMPANION WEBSITE – www.ablongman.com/brummett

Additional resources are available at the Companion Website for both the instructor and the student. Instructor's resources include PowerPoint slide presentations, electronic versions of maps, graphs, and tables, Web resources, as well as links to Longman resources. For the student, you can direct them to the Companion Website to take quizzes, or for online links to further research or reading for each chapter.

CHAPTER 6

Byzantium and the Orthodox World: Byzantium, Eastern Europe, and Russia, 325-1500

CHAPTER OUTLINE

I. BYZANTIUM: THE EAST ROMAN SHINING FORTRESS

A. The Latin Phase, 325-610

1. **Constantinople** had a perfect geographic setting
 - a. Defended by cliffs, water on three sides, walls on the fourth
 - b. Dominated East-West highways and north-south water access between Asia and Europe
 - c. Security and commercial wealth assured stability
2. City became political, financial center
 - a. Served as trade center; maintained moneyed economy
 - b. Kept high standard of living: sewage, water systems, abundant food
 - c. Produced luxury goods, military supplies, hardware, textiles
 - d. Governed by effective bureaucracy
 - e. Protected by well-financed, advanced army
 - f. Enjoyed advanced cultural, intellectual life
3. Constantinople survived Germanic migrations
 - a. Had greater military, economic strength
 - b. East leaders tried, failed to keep rule in West
4. **Justinian** (527-565), tried to restore old Empire
 - a. Aided by strong wife **Theodora**, excellent staff, full treasury
 - b. Domestically carried on major re-building program, governmental and legal reforms
 - c. Momentarily re-established Mediterranean realm after devastating warfare, especially in Italy
 - d. Successes barely survived **Nike Rebellion**, 532
 - e. Reign doomed by over-extension, religious disputes, popular discord
 - f. Major legacies **Justinian Code**, **Santa Sophia**, last major Latin emperor in East
 - g. By end of century, waves of Germanic, **Slavic**, and Moorish tribes strained ties of empire

B. The Greek Phase: **Heraclius** and the Empire Redefined

1. Perilous situation when Heraclius arrived from North Africa, 610

- a. Considered moving capital to Carthage
- b. Persians took Near Eastern, Egyptian holdings
- c. Pirates, bandits cut sea, land communications
- 2. Heraclius abandoned Diocletian state structure
 - a. Defined Anatolia as foundation of state
 - b. Based defense, economy on free peasants
 - c. Established **Theme** (District) system
- 3. *Theme* system assumed need for defense a constant
 - a. Free peasants were core of defense force
 - b. Ended dependence on mercenaries
- 4. *Theme* system also served administrative function
 - a. Government, defense for half the previous cost
 - b. *Theme* system furnished basis for strength of Byzantine state for next four centuries
- 5. Heraclius defeated Persians, took back all losses
 - a. However, Muslim advance after 632 wiped out all Heraclius's gains in Near East and Egypt
 - b. Byzantium held off Islamic advance for 70 years, through two major sieges
 - c. Survived thanks to superior military technology (**Greek Fire**) and strength of Theme system

C. Iconoclasm and Schism

- 1. Started by **Leo the Isaurian** (717-741)
 - a. Fought off Arab, Avar, **Bulgar** siege
 - b. Rebuilt, extended *theme* system
 - c. Reformed laws
- 2. Continued active imperial role in church life
 - a. Close association between church and state, religious issues easily became political issues
 - b. Leo attacked heretics, ordered compulsory baptism for Jews, attacked wide use of **icons** in Byzantine life
- 3. **Iconoclasm** ordered in 726, army to destroy icons
 - a. Leo affected by Islamic, Old Testament prohibition against use of images
 - b. Eastern part of empire supported iconoclasm
 - c. Western part, led by monks, fought policy
 - d. Leo mercilessly persecuted opponents
- 4. Iconoclasm split empire in two parts
 - a. East-West fault lines existed for centuries
 - b. Single-centered Byzantine society made isolation of religious issues impossible
 - c. **Pope Gregory II** (731) condemned iconoclasm
 - d. **Pope Stephen II** (754) turned to **Pepin** for help
- 5. **Iconophiles** made brief comeback under **Empress Irene**
 - a. Took power after blinding, expelling son
 - b. Failed to gain support or make marriage tie with Charlemagne in the West

- c. Deposed 802, I
 - d. Iconoclasm returned after *Nicephorous*' defeat in 811
- 6. **Theophilus** last iconoclast emperor (829-842)
 - a. Like Leo, deeply impressed with Islamic culture
 - b. Byzantium benefited from Abbasid culture
- D. Byzantium's Golden Age: 842-1071
 - 1. Period of political, cultural dominance
 - a. Coincided with rule of *Macedonian* dynasty
 - b. Western Europe pounded by invaders
 - c. Arabs had lost momentum of 8th century
 - d. Byzantium expanded influence into Slavic areas
 - 2. Orthodox, Catholic forces competed for Bulgarians
 - a. Mirrored Rome-Constantinople competition
 - b. Patriarch Photius vs. Pope Nicholas
 - 3. **Cyril and Methodius** converted Moravians, devised alphabet, grammar for Slavs
 - 4. Empire held off Arabs, beat Bulgarians at battle of *Balathista*, 1014
 - 5. Rich legal and cultural contributions
- E. Western and Turkish Invasions: 1071-1453
 - 1. State declined, *theme* system fell, and inflation rose
 - a. Free peasant soldiers lost out to rich, land-buying magnates and overwhelming tax burden
 - b. Peasants went under control of magnates, removing substantial tax source from state
 - c. Amount of church-controlled land and number of people serving church rose, reducing tax base
 - 2. Civil aristocracy believed eternal peace achieved
 - a. Weakened army, ignored provinces
 - b. Left empire vulnerable
 - 3. **Alp Arslan** led band of Seljuq Turks into empire
 - a. Multilingual mercenary army fled in terror at Manzikert, 1071
 - b. Turks took Asia Minor, heartland of Byzantium, source of soldiers, leaders, taxes, food
 - 4. Weakened state caught up in Crusades
 - a. **Comnenians** weak, asked West for help
 - b. 1095, Pope Urban II proclaimed Crusade to liberate Holy Land
 - 5. Catholic, Orthodox worlds in state of mutual excommunication since 1054
 - a. West viewed Byzantines with envy, hatred
 - b. Byzantium viewed West as barbarians
 - 6. **Fourth Crusade** (1204)
 - a. Venetians, seeking trade monopoly in east, persuaded Crusaders to attack trade rival Zara, Christian city on Dalmatian coast
 - b. Next, Crusaders devastated, looted Constantinople
 - c. Byzantium fell to Western rule until 1261

7. ***Paleologus Dynasty*** (1261-1453) ruled in final phase
 - a. Constantinople struggled to survive despite inflation, doctrinal disputes, Bulgarian, Serbian threats
 - b. Free peasants declined, aspects of feudalism seen
8. Ottoman (Osmanli) Turks expanded into Balkans after 1354
 - a. Defeated Bulgarians
 - b. Ended South Slav (Serbian) rule after battle of ***Kosovo***, 1389
 - c. Allowed monotheists to retain religion, established *millet* system, network of religious ghettos
 - d. Tamerlane, (Timur the Magnificent), Turco-Mongolian ruler, defeated Ottoman army, 1402, gave Constantinople and Europe temporary breathing space
 - e. Ottomans took Constantinople, 1453

II. EASTERN EUROPEAN AND RUSSIAN ROMES

A. Geography

1. Geographic factors contributed to diversity of Eastern Europe
2. Russia history shaped by geography
 - a. Vast land with small population, landed interests dominated peasants
 - b. Lack of access to sea stunted growth of merchant class; Russians tended to look inward
 - c. River routes led to contact with Constantinople, Byzantine culture
 - d. Major activity in early Russian history occurs at conjunction of steppe and forest regions

B. The Peoples of South Eastern Europe to 1500

1. Slavs followed in wake of Germanic migrations
 - a. Hunted, traded forest products (furs, honey, wax), farmed using “slash and burn” method
 - b. Generally male-dominated peasant tribal units
 - c. Primitive, often dominated by outsiders (Byzantines, Germans, Magyars, Mongol, Turks) who imposed distinctive traits
2. Roman sphere included Poles, Czechs, Slovaks, Hungarians, Slovenes, Croats
 - a. Latin language, belief in papal authority
 - b. German priests and monks, followed by Germanic population movement
 - c. Hungary, Bohemia, Poland experienced golden age, 14th century
 - d. Hungarians lost much land after defeat by Ottoman Empire at Mohacs, 1526
 - e. People in Roman Catholic orbit shared formative developments of Renaissance, Reformation, scientific, intellectual advances, 15th-19th centuries
3. Byzantine, Orthodox orbit included Bulgarians, Serbs, Montenegrins, Romanians, Russians
 - a. Slavic language, decentralized religious structure
 - b. Mongol, Turkish overlords permitted Orthodox religion, but controlled political behavior

- c. Byzantine autocracy and oriental despotism led to growth of authoritarian states, discouraged pluralistic societies, creativity

C. Kiev Rus' and Vladimir

1. **Varangians** (Vikings) imposed order on Slavic trading towns
 - a. Either through invitation or invasion
 - b. Established key seat at Kiev
2. **Vladimir** (980-1015) most important ruler of Kiev
 - a. Converted to Orthodox Christianity, 988
 - b. Married sister of Byzantine Emperor, brought country into Byzantine orbit
 - c. Accepted many Byzantine governmental theories
3. **Yaroslav the Wise** (1019-1054) exception to trend toward Kievan political fragmentation
 - a. Kievan state reached its high point
 - b. Engaged in building projects, law code revision, growth of church
 - c. Put in **seniority system**, led to breakup of Kiev
4. Kiev's decline stemmed from many factors
 - a. Economic, political fall of Constantinople
 - b. Attacks from east and west
 - c. Rise of competing Russian centers
 - d. Feeble remnant by time of Mongols

D. Novgorod, Moscow, and the Mongols

1. Genghis Khan united all Mongols, launched them on world conquest gaining dominance over much of Asia and Russia for two centuries
 - a. Conquered Kiev by 1240, went on to Central Europe
 - b. Advance halted only by death of Khan
 - c. Cut off Russia from West
 - d. Led to decline of Kiev, rise of Moscow
 - e. New internal markets developed; Orthodox Church grew
2. Novgorod and **Alexander Nevsky**
 - a. City controlled by Varangians in 9th century
 - b. 977, self-government set up in the **veche**
 - c. Aggressive, prosperous merchants dominated town
 - d. Alexander Nevsky in mid-13th century fought off Teutonic Knights and Swedes, placated Mongols
 - e. Oligarchy ruled Novgorod during Mongol dominance
 - f. City eventually taken by Moscow, 1478, harmed by need for imported grain, social strife
3. Grand Duchy of Moscow
 - a. Obscure town, first mentioned 1147, profited from Slavic migration north, east, helped by protected location
 - b. Moscow princes got right to collect taxes of **khans**
 - c. Used position as leverage over other princes
 - d. Became center of Orthodox churches

4. Ivan the Great and the Third Rome
 - a. **Ivan III** (1462-1505) established basis of modern Russian national state
 - b. Conquered Novgorod, no longer paid homage to Mongols
 - c. Married niece of last Byzantine Emperor
 - d. Espoused theory that Moscow was **Third Rome**
 - e. Used title of **tsar** (*caesar*), adopted two-headed eagle as symbol of Russian throne
 - f. Established diplomatic relations with West, brought architects and craftsmen to Russia

CONCLUSION

1. Political, economic, military and social instability weakened Rome in 3rd century
2. Byzantine Empire preserved, enlarged heritage of Western civilization, Christianized much of eastern Europe, held off Persian and Arab onslaughts
3. Slavs moved into eastern Europe, fell into either Roman or Byzantine orbit
4. After two centuries of Mongol domination, Russians redefined their polity in Roman and Christian terms
5. Christianity served as bridge between classical and modern worlds

CONCEPTUAL HOOKS

TIMELINE: 200 - 1600

DEFINITIONS

Severan Dynasty: Ruled in Roman Empire, 193-235. Marked end of Augustan style emperor. Army dominated.

latifundia: Large estates, run like plantations during Roman Empire.

coloni: Sharecroppers who worked on *latifundia*.

Diocletian: Roman emperor, ruled 285-305. He restructured the Empire after 50 years of anarchy. He made the emperor into an oriental despot, redesigned the administrative structure, fought economic decay through price and wage freezes, and persecuted Christians.

Constantine: Roman emperor, ruled 306-337. After winning Battle of Milvian Bridge, he triumphed in civil war. Carried on Diocletian's work of remaking and stabilizing the Empire. Used Christian faith to strengthen his political position. Moved capital to Byzantium (Constantinople). Called Council of Nicaea (325) to resolve controversy over the nature of Christ.

Edict of Milan: Constantine's decree (313) granted Christians the right to worship throughout the Empire.

Julian "the Apostate": Roman Emperor, ruled 361-363. Tried to restore paganism in Roman Empire.

Theodosius I: Roman Emperor, ruled 379-395. Made Christianity the official religion of the Roman Empire, 395.

Hypatia: Pagan philosopher, killed by a Christian mob in Alexandria, 415. Archbishop Cyril, who resented her popularity and beauty, incited a mob to abduct and kill her.

Adrianople: 378, battle in which Visigoths defeated Roman Emperor Valens. Set stage for virtually unopposed Germanic migration into the Empire. Ended legend of Roman invincibility.

comitatus: Latin word for Germanic war band, provided basis for medieval feudalism, which was based on personal bond between knights and their lord.

Germanic tribes: Not much is known of the Germans prior to when Tacitus wrote his *Germania* in 98 C.E. These more than 25 diverse tribes, knit together by language and custom, represented a wide range of development. The **Franks**, **Angles**, and **Saxons** lived a settled, agricultural life. The **Vandals**, **Goths (Ostro-east and Visi-west)**, **Jutes**, and **Lombards** were largely nomadic. Each of them was affected by their cultural contact with the Romans. They lived for centuries on the periphery of the Empire, until in the 3rd century a combination of demographic pressures and fear of eastern invaders, such as the Huns, drove them ever more strongly into the eroding defensive perimeter of the Empire.

Alaric: 370-410, led Visigoths against Romans, through Balkans, to sack of Rome in 410.

Attila: 406-453, led the militarily superior Huns, who subjugated Ostrogoths in area east of Volga, forced Visigoths west, across the Rhine in 451, turned south and plundered northern Italy before turning back from taking Rome.

Romulus Augustulus: Ruled 475-476, the last Western Roman Emperor, teenaged son of Orestes, German commander of Roman troops. When Orestes failed to satisfy demand of **Odovacar**, a Germanic mercenary soldier who had entered Roman service and demanded one-third of Italy for his colleagues, he was killed, his son deposed. Odovacar then ruled for 13 years, along the lines of the imperial regime until he was killed.

Theodoric: 454-526, sent by Constantinople authorities to expel Odovacar, restore imperial rule. He killed Odovacar, set up a kingdom at Ravenna, and maintained classical culture and political rule on a high level until his death.

Byzantine Empire: The name usually applied to East Rome after the 6th century, when Latin gave way to Greek as the official language.

Constantinople: Constantine placed his capital on the site of the ancient Greek city of Byzance. It sat astride the East-West land and north-south sea routes between Asia and Europe.

Justinian: Ruled 527-565, the last emperor with a truly Roman perspective, who tried to restore Roman Empire to its former size and grandeur. Despite temporary military successes, he did not attain this goal. His lasting contributions include the Justinian Code and Hagia Sophia.

Theodora: Controversial wife of Justinian, former actress. Immortalized in Procopius' *Secret Histories*.

Nike Rebellion: Uprising in 532. Justinian's ambitious, costly military and building projects triggered violence among the gangs of Constantinople. Factions came from different neighborhoods, held differing views on the nature of the Trinity, and supported different chariot-racing teams at the Hippodrome (Blues-Orthodox; Greens-Monophysite). Theodora convinced the vacillating Justinian to stay and suppress the rebellion.

Code of Justinian: A published digest of Roman and church law, texts, and other instructional materials. Provided the foundation for most Western law codes. Justinian's greatest gift.

Santa Sophia: Magnificent church built in Constantinople in the 530s. Served as center for Greek Orthodox life until 1453, when it was converted into a mosque. Now a museum.

Slavic tribes: Spreading from the Pripet Marshes, the Slavs followed in the wake of the Germanic invasions in the 6th century to the tip of Greece, western Germany and the Urals.

Heraclius: Former leader of Byzantine North Africa, saved the empire in 610, restructured empire with *theme* system, defeated Persians, and briefly reclaimed Near East and Egypt.

theme system: Heraclius had governed in North Africa using free peasants living in territory for defense and taxes. Installed *theme* system in Anatolia first and gained improved defense for half the cost. System basis for Byzantine rule until 11th century.

Greek fire: Powerful chemical mixture containing saltpeter propelled by siphons across the water and ignited on contacting the Arabs' wooden-hulled boats.

Leo the Isaurian: Ruled 717-741, Anatolian leader who saved the empire from the Arab siege (717). Rebuilt ruined areas, sponsored law reform, and launched the iconoclasm campaign.

Bulgars: Asian tribes that entered Russia and Balkans in 7th century. A continual threat to the Byzantines until 1014.

icons: Images or representations of Christ and other religious figures, produced by monks or other holy people.

iconoclasm: The breaking of images, the policy begun by Leo the Isaurian in 726.

Pope Gregory II: Ruled 715-731, condemned iconoclasm, began open break between Rome and Constantinople.

Pope Stephen II: Ruled 752-757, appealed to the Frankish king Pepin for support in 754. This widened the gap between East and West.

iconophiles: Supporters of the use of icons.

Empress Irene: Ruled 797-802, first woman to rule the empire in own name. Took throne after blinding, exiling son. Tried to restore use of icons.

Nicephorous: Ruled 802-811, tried to restore stability to empire after Irene's rule. Captured in battle with Bulgarians in 811, decapitated, and his skull was made into a drinking mug.

Macedonian Dynasty: Ruled Byzantium during the golden age. Emperors of Armenian lineage, some of greatest in empire's history.

Cyril and Methodius: Brothers, monks from Thessalonica, mastered the Slavic language, were sent to Moravia and established the basic alphabet and structure of the modern Slavic language in the 9th century.

Balathista: 1014, Basil the Bulgar Slayer's overwhelming victory that removed the Bulgarians as a factor for a century.

Alp Arslan: “Victorious Lion,” leader of the band of Seljuq Turks that won the non-battle at Lake Van / Manzikert in 1071, marking the end of the dominance of Byzantium.

Comnenian Dynasty: 1081-1185. Ruling Byzantium after the Seljuq Turks took the eastern provinces, they were forced to play subtle diplomatic game. **Alexius Comnenus** appealed to Pope for help to win back land lost to Turks. **Anna Comnena**, his daughter, wrote *The Alexiad*, an engaging, insightful history of the period.

Fourth Crusade: 1204, the Venetian-run Crusade that worked to eliminate Christian trading competition in the Adriatic and Aegean. Constantinople looted, empire ruled by West until 1261.

Paleologus Dynasty: Saw Byzantium through its tragic end when the Ottoman Turks took Constantinople in 1453.

Kosovo: Battle in 1389, Ottoman Turks defeated South Slavs, marking the end of the Serbian Empire.

Varangians: Vikings, traveled Russian river system, imposed order over Slavic villages along the way.

Vladimir: Ruled 980-1015, defeated brothers in bloody civil war, deftly balanced various political factions while carrying out skillful foreign policy. Chose Greek Orthodoxy for his people.

seniority system: Yaroslav the Wise’s (1019-1054) unwise solution to the problem of succession. Instead of the unity of inheritance implicit in primogeniture, the seniority system fragmented and politically paralyzed Kievan Russia.

Mongols: The fragmented nomadic peoples around Lake Baikal were brought together at the beginning of the 13th century. In the next hundred years they gained substantial control over much of the Eurasian landmass. Only a succession question kept them from reaching the Atlantic.

Alexander Nevsky: 13th century Prince of Novgorod, repelled Teutonic Knights and Swedes, paid homage to Mongols, saved the city.

veche: The assembled citizens of a town, who participated in its government. In Novgorod, the veche elected the city’s rulers, and could show them “the way out” as well.

khans: Leaders of the Mongol Golden Horde.

- Ivan III:*** Ruled 1462-1505, “the Great,” the ruler who brought the political, religious, economic, and social factors together to make Russia a participant in the European state system.
- tsar:*** Russian for “Caesar,” a title Ivan III adopted, along with the Byzantine two-headed eagle and other Roman paraphernalia.
- Third Rome:*** Theory that Moscow became center of Christianity after the fall of Rome and Constantinople.

DISCUSSION

Look at the pictures of Hagia Sophia (Church of the Holy Wisdom). Describe its architecture. Explain its symbolic significance to Byzantine subjects, Orthodox Christians, Crusading Latin Christians and Ottoman Turks.

Why did the Iconoclastic controversy, based on a theological dispute, have such an immense political and diplomatic impact?

As we look at the difficulties in the Balkans after the end of the Soviet Union, discuss the historical importance of a given region’s choice to convert to Catholicism or Orthodoxy.

PRIMARY DOCUMENT / CRITICAL THINKING EXERCISES

Read the selection by Anna Comnena, “On Peter the Hermit and the First Crusade.” Who was Peter the Hermit? What did he do on the First Crusade? How does Anna Comnena characterize his conduct? Does she reveal any bias in this passage?

The “Russian Primary Chronicle’s” account of Vladimir’s conversion is a good example of the problems involved in using contemporary or biased accounts. Given that we know that Vladimir was a vicious and bloodthirsty warrior and a cunning and deceitful ruler, do these accounts seem true? Who do you think wrote this?

TESTING

Compare and contrast the reigns of the major Byzantine rulers: Justinian, Heraclius, Irene, Basil II, Alexius Comnenus. What religious controversies and foreign aggression did they face? What solutions did they find?

J.B. Bury once wrote that the Crusades were, for the Byzantines, “a barbarous invasion of a most embarrassing kind.” With reference to the Fourth Crusade, is that an accurate statement?

Although the Western Roman Empire “fell” in 476, the Eastern Roman (Byzantine) Empire survived until 1453, almost a thousand years longer. Discuss the political, economic, social, geographic, and military factors that contributed to the Empire’s longevity.

Compare the culture and concerns of Kievan Rus’ under Vladimir (10th c.), Novgorod under Alexander Nevsky (13th c), and the duchy of Moscow under Ivan III (15th c.).

LECTURE LAUNCHER

The theological thunderbolts--and accompanying excommunications--hurled back and forth between Rome and Constantinople in the 8th through 11th centuries had a permanent impact on Eastern Europe. The roots of the tragic events in Yugoslavia in the 1990s can be traced directly back to the consequences of missionary competition between Rome and Constantinople for the people caught in between.

The Orthodox church in the 9th and 10th centuries converted the Russians and Slavs south of a line formed by the Danube and Sava rivers and the South Carpathian Mountains. Thanks to the effort of Orthodox missionaries, such as Cyril and Methodius, the Bulgarians, Serbs, Montenegrins, and Russians received the liturgy in their native language. These people worshiped under a decentralized religious structure, and remained culturally separated from western Europe. The cultural, political, legal, and social examples of Byzantium deeply affected these people, and provided a fabric of identity at odds with that found in the pluralistic west.

The Bulgarians, originally a Finno-Ugric group, came into the Balkans in the late 7th century. They militarily challenged the Byzantine state from the first, defeating the Emperor Nicephorus in battle in 811. In the 860s, as missionaries from Rome and Constantinople set out to convert the Bulgarians, their Khan Boris--as cunning and shrewd as either Patriarch Photius or Pope Nicholas--knew he had to make a choice. He wanted his own patriarch and church and dealt with the side that gave him the better bargain. Between 864 and 866 he changed his mind three times over the issue of which version of Christianity to turn to. Finally, the Byzantines gave the Bulgarians the equivalent of an autonomous church, and in return the Bulgarians entered the Byzantine cultural orbit. This did not bring peace between the two nations. Not until Basil the Bulgar-Slayer conquered his ancient foe at the battle of Balathista in 1014 did the first Bulgarian empire come to an end. The Byzantine emperor captured 14,000 Bulgarians, divided them into groups of 100, and then blinded 99 out of each 100-man group. He spared one eye of the hundredth man so that he could guide his sightless colleagues home.

The work of the Byzantine missionaries Cyril (a.k.a. Constantine, d. 869) and Methodius (d. 885) was more important than Bulgarian ambitions or Rome-Constantinople competition. The two, who were brothers, were natives of Thessalonica, a city at the mouth of the Vardar-Morava waterway that gave access to Slavic lands. They learned the Slavic language and led a mission into Moravia in 863, which was ruled by King Rastislav. The king, no doubt, wanted to convert to Orthodoxy and enter the Byzantine orbit in order to preserve as much independence for his

land as he could, in the face of pressure from his powerful German neighbors. Cyril and Methodius went north, teaching their faith in the vernacular Slavic language. Cyril devised an alphabet for the Slavs, adapting Greek letters. The two brothers translated the liturgy and many religious books into Slavic. Although Germanic missionaries eventually converted the Moravians by sheer force, the efforts of Cyril and Methodius profoundly affected the Slavic people, whose languages are rooted in the work of the two brothers.

THE INSTRUCTOR'S TOOL KIT

COROLLARY READING

Mark A. Kishlansky, ed., *Sources of the West*, I
 The Sermon on the Mount (c. 28-35 C.E.)
 St. Paul, *Epistle to the Romans* (c. 57 C.E.)
 Tacitus, *Germania* (98 C.E.)
 Eusebius, *In Praise of Constantine* (336 C.E.)
 Augustine of Hippo, *The City of God* (413-26 C.E.)
 Benedict of Nursia, *Rule of Saint Benedict* (c. 535-540 C.E.)
 The Burgundian Code (c. 474 C.E.)
 Gregory of Tours, *History of the Franks* (c. 581-591 C.E.)
 Justinian, *Code* (529-565 C.E.)
 Procopius, *Secret History* (c. 560 C.E.)
 Michael Psellus, *Chronographia* (c. 1070 C.E.)

Peter N. Stearns, Stephen S. Gosch, Erwin P. Grieshaber, *Documents in World History*, I
 The Early Stages of the Byzantine Empire
 Procopius on Justinian
 Russia Converts to Christianity
 Russian Primary Chronicle

COURSE ENHANCEMENT

Each chapter in the textbook includes extensive lists of supplementary material:
 Films and videos
 Web destinations
 Literature from the period
 Suggestions for further reading

COMPANION WEBSITE – www.ablongman.com/brummett

Additional resources are available at the Companion Website for both the instructor and the student. Instructor's resources include PowerPoint slide presentations, electronic versions of maps, graphs, and tables, Web resources, as well as links to Longman resources. For the student, you can direct them to the Companion Website to take quizzes, or for online links to further research or reading for each chapter.

CHAPTER 7

Islam From its Origins to 1300

CHAPTER OUTLINE

INTRODUCTION

1. Arabia, with its deserts, entrepôts, and oases, was the birthplace of Islam.
2. Islam, based on the recognition of a single, all-powerful, universal God, provided a system of law, guide for social organization, and framework for a highly diverse cultural synthesis.
3. The Islamic world view of a community of believers both challenged and reflected the social order of Arabia.
4. Islam spread rapidly to North Africa, Spain, and the Middle East, transfiguring the religious, intellectual, and political patterns of societies in those regions.

I. ARABIA BEFORE THE PROPHET

A. Arabian Peninsula

1. One-third the size of continental U.S.
2. Mostly desert: little rainfall, vegetation, farming
3. In southwestern corner (Yemen), land was fertile, supported agriculture
 - a. Small kingdoms flourished, including *Saba'* (biblical Sheba)
 - b. Benefited from domestication of camel, trade in frankincense, spices
 - c. Formed part of commercial network
4. In northern Arabia, Nabataeans and Lakhmids traded with Byzantine, Persian Empires
5. In interior, vast desert had few oases; some nomads survived through herding

B. The *Bedouins*

1. Nomads (Bedouins) formed bulk of population
 - a. Followed ancient tribal patterns
 - b. Tribe run by elders, *shaykh*, elected by and consulted by heads of related families
 - c. Weak economy, herding supplemented by plunder
2. Bedouins had high degree of personal freedom
 - a. Bound by *muru'a*, code of manly virtue
 - b. Tribe shared corporate spirit, *asabiyya*
 - c. Women also had high degree of independence

- d. Extended unqualified hospitality to strangers
- 3. Bedouins had no binding religion
 - a. Lived as well as possible in difficult circumstances
 - b. Worshiped large number of gods, spirits

C. Early *Mecca*

- 1. Located at one of oases of the *Hijaz*
 - a. Junction of two major caravan routes
 - b. Site of *Kaaba*, holy place of annual pilgrimage
- 2. Controlled by *Quraysh* tribe
 - a. Wealth from African, Byzantine, Persian trade
 - b. Controlled large number of commercial fairs
- 3. Quraysh wanted to keep control of Kaaba shrine, a potent revenue producer for the local merchants

II. MUHAMMAD, PROPHET OF ISLAM

A. A Revolutionary

- 1. Muhammad (c. 570-632) from Quraysh tribe
 - a. Parents, grandfather died when he was a child
 - b. Brought up by uncle, a merchant
- 2. Muhammad worked in caravan trade
 - a. Respected for honesty, diligence
 - b. Married wealthy widow, *Khadijah*
- 3. Story of prophet in *Sira*
 - a. Introspective, spent time alone meditating
 - b. Heard the call to recite *Qur'an* (Koran)
 - c. Collected heavenly revelations for 20 years
- 4. Announced existence of *Allah*, the God
 - a. Preached *Islam*, submission to God
 - b. *Muslims*, those who submit to God

B. Muhammad's Message and Early Followers

- 1. A message of Allah's strength, demands of compassion, ethics, justice
 - a. At first converted only family, friends
 - b. Strong religious, commercial opposition
- 2. Mecca leaders unsuccessfully tried to convince, bribe, persecute Muhammad to stop preaching

C. The *Hijra*

- 1. Followers, then Muhammad fled to *Yathrib* (Medina)
 - a. Town more favorable to monotheism
 - b. Town not dependent on pilgrimage profits

2. Hijra (migration) took place September 622
 - a. Year One of the Islamic calendar
 - b. Muhammad turned Medina into major power center
- D. The Community at Medina
1. Muhammad set up persecution-free, pressure-free community
 - a. Medina had many Jews, Christians
 - b. Some converted to Islam, others well-treated
 2. Muhammad became more aggressive to spread faith
 - a. **Jihad** used to win converts
 - b. First battle, 624, defeated Meccan forces
 3. Muslims became dominant force in Arabia
- E. Return to Mecca
1. Muhammad returned to, took control of Mecca, 630
 - a. Cleansed Kaaba, made it supreme center of Islam
 - b. Became essential pilgrimage site
 2. Muhammad asked all to join **Umma**
 - a. By 632 Islam dominant in Arabia
 - b. Sent ambassadors to Byzantium, Persia
- F. The Death of Muhammad
1. Died of fever, 632, in Medina
 - a. **Abu Bakr**, early convert, first **caliph**, took lead
 - b. Became head of **Umma**
 2. Transformed Arabia, Arabs
 - a. Legacy preserved in **hadith**
 - b. **Sunna** grounded in **hadith**

III. ISLAMIC FAITH AND LAW

- A. The ***Qur'an*** (*Koran*)
1. Islam teaches obedience to God's law and faith
 - a. Qur'an ultimate source of knowledge
 - b. Contains both theology, code of conduct
 2. Qur'an seen as actual word of God, as revealed to Muhammad over 20-year period
 - a. Before 632, memorized revelations written down
 - b. Complete draft finished soon after Prophet died
 - c. Text virtually unchanged for 14 centuries
 3. Qur'an intended to be recited aloud
 - a. Never to be translated from Arabic for worship
 - b. Qur'an basis of Muslim civilization

B. The Tenets of Islamic Faith

1. Monotheism central principle of Islam
 - a. Prayers five times daily assert belief
 - b. Allah responsible for all
2. Recognition of prophets who came before
 - a. Qur'an mentioned 28 prophets from Abraham to Jesus as predecessors
 - b. Muhammad last, greatest of Allah's messengers, although not held to be divine
3. Humans can obey or reject Allah's message
 - a. Will face judgment on day of resurrection
 - b. Paradise, hell graphically portrayed

C. *The Five Pillars*

1. Five essential duties of all Muslims
 - a. Profession of faith (*shahada*): belief in One God, Muhammad as His Prophet
 - b. Prayer (*salat*) five times a day
 - c. Almsgiving (*zakat*): 1/40 of one's income to help poor, assist spread of Islam
 - d. Fasting (*siyam*) during Ramadan from sunrise to sunset
 - e. Pilgrimage (*hajj*) to Mecca at least once in a lifetime
2. Unite Muslims everywhere

D. Islamic Law

1. Cannot separate law and religion
 - a. Islam a way of life based on **Sharia**
 - b. Sharia, path, gives perfect pattern
 - c. **Ulama** study, interpret Qur'an
 - d. Family law based on tribal patterns
2. Qur'anic law penetrates all parts of human life
 - a. Law universal, equally applied
 - b. Theocratic state
3. No priesthood

IV. THE EXPANSION OF COMMUNITY AND STATE

A. Expansion under the First Four Caliphs

1. Rapid growth through conversion, military conquest
 - a. Muhammad precedent, 622-632
 - b. Abu Bakr continued to fight paganism
 - c. United Arabic merchant elite solidified power, launched forays into Syria
2. Islam spread rapidly under first four caliphs
 - a. Use of **jihad** extended faith to infidel
 - b. "Defense" of Islam became aggressive at times
3. Expansion aided by external upheavals
 - a. Byzantine-Persian wars exhausted both Empires
 - b. Byzantine misrule, Orthodox religious controversies alienated Syria, Egypt

- c. Arab armies effectively used camels for long-distance travel, horses for attack
 - d. Took Byzantine areas: Syria (636), Jerusalem (638)
 - e. Took Persian land: Iraq (651)
 - f. Took Egypt (646), Maghrib
 - 4. Effective, efficient government in new areas
 - a. Unbelievers converted or paid tax to keep faith
 - b. Considerable toleration shown Jews, Christians
 - 5. Islam removed race, national barriers, attracting peoples of different colors, religions
- B. Defining the Community
- 1. All Muslims share belief in unity of God, practice of Five Pillars of Faith
 - 2. First three caliphs from Quraysh tribe
 - a. Abu Bakr (632-634), Umar (634-644), Uthman (644-656)
 - b. Chosen in consultation with elders, leaders of Islamic community
 - 3. **Shiites**, followers of fourth caliph Ali
 - a. Believed only descendants of Prophet could lead Islamic state
 - b. Believed first three caliphs gained power illegally
 - 4. **Sunnis** believed caliph attained position by consent of the community
 - a. Accepted authority of *sunna*, as well as Qur'an
 - b. 85% of Muslims currently Sunnis
- C. Umayyad Rule
- 1. **Muawiyah** proclaimed self caliph, from Damascus, founded Umayyad Dynasty, lasted until 750
 - 2. Umayyad military campaigns successful
 - a. Victory throughout Mediterranean, Near East
 - b. Challenged Constantinople, 674-78
 - c. Expanded west to France, east to Central Asia
 - 3. Strength found in Arab military aristocracy
 - a. Aided by non-Arab converts, **mawali**
 - b. Trade and culture controlled by non-Muslims
 - c. Lesser status, higher taxes upset *mawali*
 - d. Brought down Umayyads (750) following massacre of Husayn, second son of Ali

V. THE ABBASIDS, ZENITH OF ISLAMIC CIVILIZATION

- A. Trade, Industry, and Agriculture
- 1. **Abbasids** defeated Umayyads, 750, ruled most of Muslim world from Baghdad to 1258
 - a. Based their strength on non-Arab Muslims
 - b. Traditional Arab tribal patterns gave way to new military organization
 - c. Fostered economic prosperity, growth of city life

- d. Abbasids sponsored scholarship, arts, far surpassed existing civilization in Europe
 - e. Abbasids marked high point of Islamic power
 - 2. Based dominance on economic prosperity
 - a. Bridge to Europe, Asia, Africa
 - b. Absence of trade barriers, tolerance
 - c. Cairo, Cordova, Baghdad main trade centers
 - 3. A true world trade economy as seen in goods
 - a. Joint stock companies flourished
 - b. Branch banks, checks cashed throughout empire
 - c. Produced excellent fabrics, steel, papers
- B. The Spectacular rule of *Harun al-Rashid*
- 1. Charlemagne's contemporary, ally
 - 2. Bitter relations with Byzantium
 - 3. Wealth and splendor equaled that of Constantinople
 - 4. Cosmopolitan spirit of Abbasid rule contributed to synthesis of culture, scholarship
- C. Challenges to Abbasid Authority
- 1. *Seljuq Turks* invaded, gained control of Baghdad, 1055, but permitted Abbasids nominal rule
 - 2. *Ottoman Turks*, vassal state of Seljuqs until end of 13th century
 - a. Name taken from that of *Osman*
 - b. Osmalis active in holy war
 - 3. Soon invaded Europe, major factor until 1900

VI. ISLAMIC CULTURE

- A. Advances in Medicine
- 1. Muslims contributed superior intellectual and artistic accomplishments
 - a. Based on Arab, non-Arab Muslim genius
 - b. Based also on using legacy of classical world
 - 2. 900-1100, golden age of Muslim learning
 - a. Major medical advances, far superior to Europe
 - b. Cities boasted excellent pharmacies, hospitals
 - 3. Great Muslim physician, the Persian *al-Razi* (d. 925)
 - a. Wrote more than 100 medical treatises
 - b. Most famous work, *On Smallpox and Measles*
 - 4. Most influential work, *Ibn Sina's* (Avicenna's) *Canon of Medicine*
 - a. Systematic presentation of medical knowledge
 - b. Translated into Latin

B. Progress in Other Sciences

1. Progress in physics
 - a. Optics, Alhazen of Cairo source for West
 - b. Astronomy, Muslims built observatories
2. Work in alchemy, produced first chemical laboratories
 - a. Alchemists made substances, such as sulfuric acid
 - b. Distillation process produced *alkuhl*
3. Muslims profited from Hindu, Hellenistic mathematics
 - a. Introduced Arabic numerals
 - b. Introduced algebra

C. Islamic Literature and Scholarship

1. Muslims featured elegant, extravagant expression
 - a. *Arabian Nights*
 - b. ***Omar Khayyám***, *Rubáiyát*
 - c. Literature meant to be read aloud
2. Greek-based philosophy developed by secular scholars
 - a. Ibn Sina (Avicenna) attempted to express truths of Islam in terms of Aristotelian logic
 - b. ***Ibn Rushd*** (Averroës) wrote commentaries on Aristotle
 - c. Lively interaction among Christian, Jewish, Muslim scholars in Spain
3. ***Ibn-Khaldun*** best Islamic historian
 - a. Emphasized human social organization
 - b. Saw history as process, constant change

D. The Sufis

1. Practiced physical, spiritual discipline to attain mystical communion with Allah
 - a. Originally lone ascetics
 - b. Later followed spiritual master, *shaykh*
2. Sufi practices considered extreme, blasphemous by Orthodox Islam
 - a. Jalal al-Din Rumi, mystical poet
 - b. *Dhikr* (repetition accompanied by rhythmical movement)
 - c. Al Hallaj (martyr)
3. Sufism effectively spread Islam into South and Southeast Asia

E. Art and Architecture

1. Because portrayal of human beings forbidden, Islamic art tended to stylized, geometrical designs
 - a. Artistic debt owed to Byzantines, Persians
 - b. Active in decorative arts
2. Major architectural contributions
 - a. Often monumental building
 - b. Typical features domes, arcades, minarets, horseshoe arch
 - c. Alhambra, outstanding example

CONCLUSION

1. Muhammad's teaching brought diverse Arabs together, provided basis for monumental expansion
2. Umayyads, with their Arab hierarchy, spread Islam initially
3. Abbasids took Muslims to apogee in all areas
 - a. Traders, scholars, *sufis* spread Islamic worldview
 - b. Abbasid rule provided framework for cultural synthesis, international trade
 - c. Prosperity built on successful agriculture, trade, industry
4. Islamic worldview challenged and integrated worldviews of other people
 - a. Muslim scholars participated in rediscovery of Greek learning
 - b. Transmitted learning of other cultures
5. Message of faith and unity under Islam continues as powerful force

CONCEPTUAL HOOKS

TIMELINE: 500-1300

DEFINITIONS

- Saba'*:** Ancient kingdom in Yemen, flourished in 8th c. B.C.E., known as Sheba in Bible.
- Bedouins*:** Nomads living in accord with ancient tribal patterns, moving in search of pastures to sustain their flocks.
- shaykh*:** Elder, leader, elected and advised by the heads of related families of the tribe, limited by advice, consent of fellow elders, and freedom of tribesmen.
- Mecca*:** An oasis in the Hijaz (barrier), a line of mountains that rises 50 miles inland, that was the junction point of Central Asian-African and India-Mediterranean caravan routes.
- Kaaba*:** "Cube," a square temple, major religious shrine in Mecca, containing the sacred Black Stone, probably a meteorite. Muhammad rededicated it to Allah, 630.
- Quraysh*:** Tribe that controlled all commercial aspects of Meccan life. Muhammad's family belonged to the Quraysh tribe.
- Khadijah*:** Wealthy widow Muhammad married when he was 20. Produced two children who survived infancy, the most famous of whom was Fatima. Khadijah was a strong supporter, one of the earliest converts to Islam.

<i>Sira:</i>	Traditional biography of the Prophet.
<i>Allah:</i>	Literally “the God.”
<i>Islam:</i>	Surrender and submission to the will of God.
<i>Muslim:</i>	One who submits to the will of God.
<i>Hijra:</i>	“Migration,” the flight Muhammad made from Mecca to Medina in 622, Year One of the Islamic calendar.
<i>Yathrib:</i>	“Medina,” town north of Mecca more favorable to Muhammad’s message. The Prophet re-organized the community based on his messages from God. Medina profited from his work.
<i>jihad:</i>	“Struggle,” the early effort to win converts, later used in the sense of a holy war.
<i>umma:</i>	A “genuine” community based on God’s law.
<i>Abu Bakr:</i>	One of Muhammad’s first converts, a leading merchant of the Quraysh tribe who stayed by the Prophet’s side and later became the first caliph (“leader”) of Islam.
<i>hadith:</i>	The collection of Muhammad’s activities and sayings compiled after his death.
<i>sunna:</i>	The custom or practice of the Prophet, a guide based on the hadith, basis for Sunni Islam, followed by around 85% of the world’s Muslims.
<i>Qur’an:</i>	Muslims believe that the Qur’an is the actual word of God as revealed to Muhammad.
<i>The Five Pillars:</i>	The five essential duties of Islam are: (1) profession of faith (<i>shahada</i>); (2) prayer (<i>salat</i>) five times a day; (3) almsgiving (<i>zakat</i>); (4) fasting (<i>siyam</i>); (5) pilgrimage to Mecca (<i>hajj</i>).
<i>Sharia:</i>	“The path,” the law provided by Allah as a guide for a proper life. The law must be followed, for the Sharia is greater than human reason.
<i>ulama:</i>	“Those who know” study and interpret the <i>Sharia</i> .
<i>Umayyads:</i>	Dynasty that dominated Islam during its expansion phase, from 661 to 750.
<i>mawali:</i>	Non-Arab Muslims, who became outraged with prejudicial treatment by Umayyads and eventually brought down the dynasty.

- Sunnis:*** Muslims who follow the customs and practices of the Prophet as grounded in the *hadith* (see above), the pattern for a model way of life. Represent roughly 85% of contemporary Islam, so-called Orthodox Islam, who believe that the caliph owed his position to the consent of the community.
- Abbasids:*** Named after Abu al-Abbas, descendant of Abbas, Prophet's uncle. Dynasty that overthrew Umayyads and ended Arab domination within Islam. Abbasids moved capital to Baghdad (built 762) and oversaw the golden age of Islam, to 1258. They owed their initial success to the discontent of the *mawali*.
- Harun al-Rashid:*** 768-809, the most impressive reign in the Abbasid dynasty.
- Seljuq Turks:*** Asiatic nomads began filtering into the Abbasid sphere of influence at the beginning of the 11th century. Eventually, Seljuqs gained control of Baghdad and took control of the Near East.
- Ottoman Turks:*** Turkish groups in northwest Asia Minor, named after their chieftain Osman (d. 1324), who took over from the faltering Seljuqs to extend their power from the Atlantic Ocean to Central Asia.
- al-Razi:*** 1149-1209, Persian, greatest Muslim physician, who wrote more than 100 medical treatises in which he summarized Greek medical knowledge and added his own observations. Gave first clear description in most famous work *On Smallpox and Measles*, of those ailments.
- Avicenna (Ibn Sina):*** 980-1037, Persian, major communicator of medical knowledge from the Greeks and Arabs. His *Canon of Medicine* systematically organized medical information. It went through many Latin editions and remained a standard medical text for centuries.
- Omar Khayyam:*** c. 1038-1131, Poet whose *Rubáiyát* is widely known.
- Averroës (Ibn Rushd):*** 1021-1070, Famous for commentaries on Aristotle. Maintained that parts of Qur'an are metaphorical.
- Ibn-Khaldun:*** 1332-1406, Tunisian who was the finest Islamic historian. Because of his originality and approach, he is also considered the father of sociology.
- Sufis:*** Mystical sect of Islam. Practiced physical and spiritual discipline to seek special closeness with God.

DISCUSSION

One of the historian's most pleasant quandaries is to debate whether the time makes the man or the man makes the time. Was Muhammad a product of or a producer of his time?

How do you account for the victory of a visionary merchant, leading a group of social outcasts, over the overwhelming Meccan forces? How did Muhammad's example and doctrine help his cause?

What are the advantages and disadvantages of a theocratic form of government? Think about the total interpenetration of all life by the Qur'an and accompanying works in Islamic society. How is religion integrated into your daily life? In your opinion, which approach allows for a higher ethical and creative level of existence?

One of the key problems facing human institutions—political as well as religious—is that of the transfer of power or authority. Compare and contrast the transition of Christianity from 33 C.E. to the time of Constantine with the transition made from the death of Muhammad to the rise of the Abbasids.

Consider the roots of the Shiite and Sunni branches of Islam. How have the conflicts between these two branches manifested themselves in the past 20 years?

How did the spread of Islam lead to a cultural synthesis?

PRIMARY DOCUMENT/CRITICAL THINKING EXERCISES

The excellent translation of the Qur'an in this chapter should be read aloud. After you have done this, how do you think the believer in Islam differs from the believer in Christianity? Using this extract as a point of departure, how do the two faiths resemble each other, and how are they different?

What can you infer about warfare in the 7th century by reading Abu Bakr's "Rules of War" and Khalid ibn al-Walid's "Letter to the Persians"? Are these policies practical today? Are they followed today?

Paraphrase the verses from Omar Khayyám's *Rubáiyát*. Can you think of any popular songs that convey a similar message? Is this a satisfying outlook?

Ibn Sina describes his very rigorous education. What did he learn? Is there anything he did not learn?

TESTING

What geographic, economic, social, and religious elements existed in Mecca that made it the setting for the birth of Islam?

What are the basic tenets of Islam? Compare and contrast the basic views of Islam with the other monotheistic religions, Judaism and Christianity.

Describe and analyze the economic foundations for Abbasid power.

For four centuries the Islamic empire led the world in virtually every aspect of scientific endeavor. Then, for all intents and purposes, it fell behind. What was there in the Abbasid leadership that promoted such creativity?

Compare and contrast the Seljuq and Ottoman Turks in terms of their origins, accomplishments, and ultimate impacts on the history of the Muslim world.

Describe and list, in order of importance, the factors that allowed the Muslims to expand from Arabia to a world empire in one century.

LECTURE LAUNCHER

A. Unified Life

1. Islam teaches obedience to God's law and faith.
 - a. The Qur'an is the ultimate source of knowledge: it is seen as the actual word of God, as revealed to Muhammad over a 20-year period.
 - b. The complete draft was finished soon after the Prophet died.
 - c. The text has remained virtually unchanged for 14 centuries.
 - d. The Qur'an was intended to be recited aloud and never to be translated from Arabic for purposes of worship.
2. Islamic Religion and Law are inseparable.
 - a. The Sharia, "the path," is the law provided by Allah as a guide for a proper life; it is greater than human reason.
 - b. Qur'anic law penetrates all parts of human life.
 - c. Politics naturally produce a theocratic state, in which there is no priesthood in the western sense of the word.

3. Monotheism is the central principle of Islam.
 - a. Prayers are to be made five times daily to assert belief.
 - b. The Five Pillars of the faith, the essential duties of Islam, unite Muslims everywhere.
 - shahada*: the profession of faith
 - salat*: prayer five times a day
 - zakat*: almsgiving
 - siyam*: fasting
 - hajj*: pilgrimage to Mecca
4. There is recognition of the prophets who came before.
 - a. The Qur'an mentions 28 prophets, from Abraham to Jesus, as predecessors.
 - b. Muhammad is seen as the last, greatest of Allah's messengers, although he is not held to be divine.
5. Humans can obey or reject Allah's message and way of life.
 - a. All people will face judgment on the day of resurrection.
 - b. Paradise and hell are graphically portrayed.

THE INSTRUCTOR'S TOOL KIT

AUDIOCASSETTES

The Rubáiyát of Omar Khayyám (the fourth translation). Caedmon

COROLLARY READING

Mark A. Kishlansky, ed., *Sources of the West*, I

The Koran (7th c.)

Ibn Al-Qalanisi, *The Damascus Chronicle* (c. 1150)

Peter N. Stearns, Stephen S. Gosch, Erwin P. Grieshaber, *Documents in World History*, I

The Koran and the Family

Koran

The Islamic Religion

The Hadith

Religious and Political Organization in the Islamic Middle East

Al-Mawardi: Ordinance of Government

COURSE ENHANCEMENT

Each chapter in the textbook includes extensive lists of supplementary material:

- Films and videos
- Web destinations
- Literature from the period
- Suggestions for further reading

COMPANION WEBSITE – www.ablongman.com/brummett

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CHAPTER 8

The African Beginnings: African Civilizations To 1500

CHAPTER OUTLINE

INTRODUCTION

1. Earliest civilizations developed in Egypt, Nubia
2. African cultures emerged, adapted to unique circumstances
3. Interregional networks to exchange goods: salt, iron, pots
4. Trade links to Mediterranean, Indian Ocean, Near East, Asia

I. THE AFRICAN ENVIRONMENT

A. Physical Environment

1. **Savanna**, grassland, suitable for long distance trade, agriculture
2. Rain forest, poor soil, soil erosion, insects, only 7% of land
3. Coping with harsh, fragile environments, Africans developed knowledge of food crops, cultivation methods
 - a. **Slash and burn**, clear land, use for a few years, move on
 - b. **Bush fallow** lets field rest, restore fertility
 - c. **Intercropping**, growing plants that complement each other
 - d. Rain forest areas: root crops (yams, cassava)
 - e. Savanna (grasslands): cereal grains (sorghum, millet)

B. African Cultural Patterns

1. Extended family, primary social unit, may include several generations, network of wives, relatives
 - a. Most patrilineal
 - b. 15% matrilineal, often found in forest areas with poor soils
2. Marriages united families, involved strict rules
 - a. Husband gave **bridewealth** (money, goods, services, cattle) to in-laws, gained domestic rights
 - b. Wife's family had vested interest in preserving marriage
3. Some men practiced **polygyny** to provide manpower for farming, express status, wealth
4. Lineage, clans basis for more complex political units
 - a. "Stateless" societies, elders made decisions by consensus

- b. Chiefdoms, kingdoms involved larger populations, hereditary rulers often with religious powers
 - c. Women influential as rulers, officials, advisers, religious leaders, even soldiers
- 5. Value system showed sense of human interdependence, appreciation of communal peace, land held in trust by community
- 6. Religion permeated daily life
 - a. High god, creator, other divinities
 - b. Political leaders might engage in religious rituals
 - c. Ancestors important for good fortune
 - d. Misfortune attributed to witches
- 7. Skilled, sensitive artists used various techniques
 - a. Carved wood, ivory, soapstone
 - b. *Cire perdue* (lost wax) method used for bronze statuary in Benin

II. THE PEOPLING OF AFRICA

A. Plant and Animal Domestication

- 1. Plant domestication developed independently in four areas: Ethiopian Highlands, central Sudan, West African savanna, West African forests
 - a. Ethiopian grasslands, 3000 B.C.E., teff, finger millet, *noog* (oil plant), sesame, mustard, forests, *ensete* (banana-like plant), coffee
 - b. After 1000 B.C.E., wheat, barley imported
 - c. Central Sudan, 4000 B.C.E., sorghum, millet, rice, cowpeas, root crops
- 2. Cattle, sheep, goats, pigs introduced from Western Asia
 - a. Evidence of livestock in Egypt, 8,000 B.C.E.
 - b. Disease-carrying *tsetse fly* in rain forest area restricted herds to drier areas

B. Iron Technology

- 1. Iron production in Egypt, Nubia by 6,000 B.C.E., Meroë (Kush) important site
- 2. *Nok* (central Nigeria), 700-400 B.C.E.
- 3. Iron craftsmen highly respected
- 4. Iron tools (hoes, knives, sickles, spear heads, axes) used to clear forests, cultivate land, wage war, migrate to new areas
- 5. Knowledge of iron working contributed to population growth, craft specializations, trade between communities

III. BANTU DISPERSION

A. Origins

- 1. Niger-Congo language group came from Cameroon area near Nigeria
- 2. Migrations possibly in response to environmental changes, possibly as result of availability of iron tools to clear new lands (less likely)
 - a. Some moved south to Angola, Namibia
 - b. Some moved east to Lake Victoria, then south along rivers to Congo, Zambia

- B. Bantu acquired knowledge from other groups
 1. Began cultivating bananas and yams, new foods brought to Africa from Malaysia, Polynesia, via Madagascar
 2. Interacted, intermarried with hunter-gatherers

IV. ETHIOPIA AND NORTHEASTERN AFRICA

A. Early Contacts

1. After 2500 B.C.E., Egyptian traders went to Ethiopia (“Land of Punt”) to seek frankincense, myrrh, aromatic herbs, ebony, ivory, gold, wild animals
2. After 800 B.C.E., traders from Saba’ (Yemen) settled on Eritrean coast, founded kingdom of Da’amat, engaged in ivory trade

B. Aksum

1. Dominated Red Sea trade, after 4th century, ties with Egypt, Roman Empire, Sri Lanka
 - a. Exported ivory, tortoise shells, rhinoceros horns, slaves
 - b. Imported cloth, glassware, wine
 - c. Aksum, capital, entrepôt for trade with interior
 - d. Adulis, seaport for Red Sea-Indian Ocean routes
2. Conquered Meroë on Nile, replaced Rome as dominant trading power in Red Sea area
3. Minted coins with Greek inscriptions
4. Christianity established by 4th century
 - a. **King Ezana** (320-350) converted, made Christianity state religion
 - b. Frumentius and Aedisius, Syrian brothers, influential
 - c. Old and New Testaments translated into **Ge’ez**
 - d. “Nine Saints,” Syrian Monophysite monks spread Christianity to rural people
5. Aksum wanted to maintain control of Red Sea trade; invaded Yemen, 6th century
6. Islamic people took over Red Sea trade, in 8th century, forced Aksumites to migrate to interior highlands

C. *Zagwe Dynasty*

1. Aksumites and Agaws (Cushitic-speaking people) mixed, formed new nobility, stressed descent from Moses
2. King Lalibela (c. 1185-1225) oversaw construction of 11 churches carved out of volcanic rock at Roha

D. *Solomid Dynasty*

1. Claimed ties to Aksum, Makeda (Queen of Sheba /Saba)
 - a. Makeda visited Solomon, bore son, **Menelik**
 - b. Menelik brought Ark of Covenant to Ethiopia, sign of God’s blessing
2. Set strict rules to ensure orderly succession to throne, princes lived in isolation
3. Emperor Amde-Siyon (c. 1314-1344) began expansive wars, east, west, south
4. Reign of **Zara Yakob** (1434-1468) marks high point

- a. Fought Muslims, eradicated doctrines opposing Christianity, strengthened Ethiopian church
- b. Reorganized bureaucracy
- c. Tentative alliance with pope against Muslims
- d. Ruled as absolute monarch, subjects forbidden to look at him
- 5. Kingdom held together despite ethnic, linguistic, religious diversity
 - a. Strong feudal relationship with nobles
 - b. Important role of Ethiopian church
 - c. Mobile court enabled emperor to show off power, encourage trade, collect tribute
 - d. Strategically placed military garrisons throughout country
- 6. Emperor owned all land
 - a. Could grant *gults* (fiefs) to loyal subjects, seize land of opponents
 - b. Required tribute for land, taxes on trade
- 7. Emperors promoted Church
 - a. Granted land, sponsored monastic schools
 - b. Church closely identified with royal power, failed to develop deep roots with common people
- 8. Significant cultural output: biblical translations, theological treatises, hagiography, historical chronicles, illuminated manuscripts, mural paintings
- 9. Dynasty declined after 15th century
 - a. Nobles, officials asserted independence
 - b. Oromo, pastoral people, challenged Ethiopian control of highlands
 - c. Muslim states resisted, Ahmad al-Ghazi Ahmad Gran of Adal fought holy war, 1527-43

V. EMPIRES OF THE WESTERN SUDAN

A. Camel Caravans and Trade

- 1. 1st century B.C.E. camels introduced to trans-Saharan trade, organized by Berbers
 - a. Carried loads of 250-300 pounds, needed little water
 - b. Slow, inefficient, 20-30 miles per day, required two months to cross the desert
- 2. North Africans brought salt, West Africans traded gold
- 3. Villages in Niger River area by 9th century B.C.E., engaged in interregional trade
- 4. Jenne-jeno, early urban settlement on Niger River, became trade center
- 5. Major caravan routes
 - a. Libya, Tunisia through Fezzan
 - b. Morocco to Mauritania
- 6. Trade tapered off with decline of Western Roman Empire (4th century), revived with contact with Byzantines, Arabs

B. Ghana

- 1. Meant “chief,” area also known as Aoukar or Wagadu
- 2. Loose federation of village-states, inhabited by Soninke farmers
- 3. Made iron tools, weapons, formed larger political systems

4. Soninke acted as middlemen for the trans-Saharan trade
5. King controlled gold supply, taxed traded goods
6. Salt, essential for preserving food, skins
7. Kola nuts, grown in forest areas, used to quench thirst
8. Slavery took many shapes and forms
 - a. Family member might temporarily serve in another household to pay debt, obligation, raise food in time of famine
 - b. Slave might work as servant, farm laborer, porter, trader, soldier, concubine
 - c. Children of slaves remained free
 - d. Slaves kidnapped or captured in raids
 - e. North African states sought slaves through trans-Saharan trade
 - f. High demand for slaves due to mortality rate, manumission, few born into slavery
9. King powerful
10. Kumbi-Saleh, capital, population over 15,000
11. Ghana conquered Adogha, Sanhaja Berbers united around Islamic revivalist movement (Almoravid), attacked, weakened Ghana, 1076

C. *Mali*

1. Sumaguru (c. 1200-1235), of the Sosso, led uprising, toppled Ghana
2. ***Sundiata***, of Malinke Keita clan, allied with chiefs, overthrew Sumaguru, conquered much of Ghana's land
3. Mali gained control of desert gold trade and gold-producing areas (Wangara, Bambuk)
 - a. Europe began to use gold currency in 13th century, increased demand
 - b. Mali exported several tons of gold annually
4. ***Mansa Musa*** (1307-1337) legendary king of Mali
 - a. Consolidated control over vast domain
 - b. Ruled efficiently, ministries for finance, justice, agriculture, foreign relations
 - c. Made lavish pilgrimage to Mecca, 1324-1325
 - d. Visited Egypt, brought back architects to design mosques
 - e. Sent students for Qur'anic studies, later they founded Islamic schools in Mali
5. ***Ibn Battuta***, Berber geographer, traveler, wrote laudatory account of Mali
6. Malian trading cities: Walata, Adogha, Kumbi-Saleh, Gao, Timbuktu
7. Islam spread as Mali grew
 - a. Unifying element among political, commercial elite
 - b. People in countryside retained traditional religious beliefs
8. Mali declined after 14th century due to dynastic disputes, raids by nomadic Tuaregs, Sanhaja

D. *Songhai*

1. Largest of Sudanic empires
2. ***Sunni Ali*** (1464-1492)
 - a. Armies engaged in almost constant campaigns
 - b. Captured trading centers: Timbuktu, Walata, Jenne-Jeno

3. **Askia Muhammad** (1493-1528)
 - a. Once slave officer in Sunni Ali's army
 - b. Reorganized empire, created centralized bureaucracy
 - c. Patronized Islamic scholarship, important schools at Timbuktu, Walata, Jenne-Jeno
 - d. Made pilgrimage to Mecca, famous for generosity, gained favorable recognition among Muslims
 4. King Ahmad al-Mansur of Morocco invaded Songhai, 1591
 - a. Wanted to prevent European rivals from gaining access to goldfields
 - b. Moroccans with guns overcame Songhai's soldiers
- E. Kanem-Bornu and the Hausa States
1. Kanem
 - a. Muslim, Sayfuwa Dynasty
 - b. Wealth from control of the Saharan trade: ivory, ostrich feathers for horses
 - c. Built large cavalry, raided neighbors
 - d. Mai (king) Dunama Dibalemi (1210-1248) powerful
 2. Bornu
 - a. Sometimes tributary of Kanem, sometimes independent
 - b. Ottoman military advisors, firearms
 3. Hausa city-states: Kano, Katsina, Zazzau, Gobir, etc.
 - a. Villages built wooden stockades for protection
 - b. Centralized rule, kings, councils
 - c. Cavalries raided to obtain slaves
 - d. Some paid tribute to Songhai, Kanem-Bornu
 - e. Queen Amina of Zazzau led armies; conquered Kano, Katsina; built earthen walls

VI. WEST AFRICAN FOREST KINGDOMS

- A. Environment
1. Forests between savanna and Atlantic Ocean
 2. Rainforests home of tsetse fly, carrier of sleeping sickness
 3. Cultivated root crops, cassava
- B. Ife
1. Yoruba city-state in southwestern Nigeria
 2. Kings traced ancestry to Oduduwa, emissary of sky god
- C. **Benin**
1. Edo kingdom
 2. Traded food, ivory, kola nuts for copper, salt
 3. Fishing communities on Niger delta
 4. Ruled by hereditary kings (*obas*), who were advised by council (*ozama*) of Edo leaders

5. Oba Ewuare
 - a. Killed younger brother, usurped throne
 - b. Noted for magical, healing powers
 - c. Rebuilt capital, with large royal palace
 - d. Army conquered 200 towns

D. *Oyo*

1. King (*alafin*) presided over elaborate organization
 - a. Power limited by prime minister (*basorum*), council of ministers (*oyo mesi*)
 - b. In rare cases, conflict between *alafin* and council led to suicide
2. Wealth built on tolls collected from traders
3. Permanent officer corps and cavalry enabled Oyo to dominate militarily
 - a. Horses did not survive in tsetse-infested forests
 - b. Horses did better in savanna areas

E. Art

1. Forest states produced fine artwork
2. Most artwork used in religious observations
3. Yoruba artisans famous for sculptures in bronze, copper, brass, terra-cotta

VII. SWAHILI CITY-STATES IN EAST AFRICA

A. East African Swahili Coast

1. Part of Indian Ocean trading system
2. Bantu immigration, 100 B.C.E. to 300 C.E.
3. *Swahili*, Bantu language, spoken on Kenyan coast
4. Greek navigation guide of 1st century, *The Periplus of the Erythrean Sea*, describes area
5. Muslims from Arabia, Persian Gulf traded, settled, intermarried
6. Dhows, Arab boats, with lateen sails, could navigate monsoon winds
 - a. Sailed southwest in winter to Africa
 - b. Sailed northeast in summer to Arabia, Persia
 - c. 2000-mile journey took about one month
7. As many as 100 city-states, islands flourished, 1000-1500 along 1800-mile coast
8. Best known: Mogadishu, Sofala, Malindi, Pemba, Pate, Mombasa, Mafia, Kilwa

B. *Kilwa*

1. Wealthiest state, near monopoly over gold from interior
2. Good harbors, fresh water
3. Exported gold, iron ore, mangrove tree poles, slaves
4. Matrilineal succession: queen's brother inherited throne
5. Archaeological excavations reveal huge Husuni Kubwa palace and trade emporium

C. Political features

1. Swahili city-states competed with each other
 - a. Federation possible in time of war
 - b. Cooperation difficult at other times
2. Muslim commercial elite controlled institutions
 - a. Sultans/kings, assisted by merchant councils, advised by holy men, relatives
 - b. Succession followed matrilineal rules

D. Trade with Europe, Asia

1. Main exports: gold, ivory, slaves
2. Other exports: hides, skins, rhinoceros horns, spices, grain, iron ore, mangrove poles
3. Imports: cloth, beads, porcelain, incense, glass, cloth, perfume
4. Chinese Admiral Zheng visited in 1400s
 - a. Brought porcelain, silk, lacquerware
 - b. Took back African ivory, wood, animals, envoys

VIII. KINGDOMS OF CENTRAL AND SOUTHERN AFRICA

A. Early developments

1. Bantus migrated into area 3rd century B.C.E., developed more complex societies by 1000 C.E.
2. Wealth demonstrated by size of cattle herd
3. Built walls, dwellings, palaces, religious centers made of stone
4. Over 150 political centers, e.g., Mapungabwe

B. *Great Zimbabwe* (“houses of stone”)

1. Impressive granite buildings covering 60 acres on well-watered plateau north of Limpopo River
 - a. Built over several centuries
 - b. Probably 18,000 residents
 - c. Great Enclosure, residence of royal family, walls 12-feet thick, built without mortar
2. Maintained vast cattle herds, controlled trade in copper, gold
3. Flourished 1290-1450
4. Sudden collapse possibly due to environmental degradation, rise of powerful neighboring states: Torwa, *Mutapa*

C. Kongo

1. Fertile agricultural area to mouth of Congo River
2. Wene, petty prince, married into local ruling family, formed loose confederation of states, took title of *Manikongo* (“lord of the Kongo”)
3. By 15th century developed centralized state, maintained army, controlled interregional trade

CONCLUSION

1. By 1500, Africans successfully adapted to harsh challenges of Africa's environment.
2. Introduction of agriculture, herding, ironworking represent critical turning points that led to population growth, migration, craft specialization, trade, more complex political, economic systems.
3. Most Africans lived in scattered homesteads, small communities.
4. Early kingdoms developed: Egypt, Kush, Aksum, Ethiopia, Ghana, Mali, Oyo, Benin, Great Zimbabwe.
5. Exchange of trade, commerce, technology, ideas with Europe, Near East, Mediterranean, Indian Ocean regions.
6. Most Africans retained traditional beliefs, some converted to Christianity, Islam.

CONCEPTUAL HOOKS

TIMELINE: 1000 B.C.E. - 1500 C.E.

DEFINITIONS

savanna: Grassland; approximately 40% of African terrain.

slash and burn: Farming method found in areas with poor soils. Land is cleared, used for a few years, then abandoned.

bush fallow: Farming method that allows a field to rest for a number of years to restore its fertility.

intercropping: Farming method in which plants that complement each other are grown side by side.

bridewealth: Husband's payment of money, goods, services or cattle to new wife's family. This practice brought domestic rights and cemented ties between families.

polygyny: Practice of a man marrying more than one wife to provide more labor for farming, to express status or wealth.

cire perdue: "Lost wax" method used in Benin to create bronze statues. Cast of wax is covered with clay, then wax is melted and replaced by molten bronze.

- tsetse fly:*** Insect that could infect animals with diseases, like sleeping sickness, in rain-forest areas. Difficult to raise herds, used pack animals in wetter regions.
- Bantus:*** Sub-Saharan peoples, originating in west central Africa, speaking the diverse but related Bantu languages. They began migrating after about 1000 B.C.E., moving south and east, displacing the indigenous peoples into the southern jungle or extreme south Africa. Bantu migrants provided most of sub-Saharan Africa with a common cultural identity.
- Nok:*** Representative Bantu culture that flourished in central Nigeria after 1000 B.C.E. Skilled farmers, artists, produced iron by 500 B.C.E.
- community:*** The key focus of the Bantu cultural and social pattern, traditional rules governed an individual's social functions and activities.
- kinship:*** The typical organizational principle of societies, whose nature shifted as they underwent economic and political change. Ancient matrilineal clans gave way to patrilineal groups in which male elders governed and women did most of the work.
- Kush:*** Black Nubian kingdom, once an Egyptian province, became independent in 8th century B.C.E., kings ruled Egypt before the 600s, continued to rule upper Nile. Skilled iron smelters, international traders, finally conquered by Axumites in 4th century. Two Christian Nubian states taken by Arabs in 1400s.
- Aksum:*** Wealthy and powerful African kingdom between the 1st and 6th centuries C.E. that converted to Coptic Christianity, had strong trade and cultural ties to the Near East, populated by non-Bantus. Aksum had a gold coinage, merchants did business speaking Greek. Muslims drove Aksumites inland where they successfully fought for centuries to keep their culture and faith.
- Ezana:*** Reigned 320-350. Ethiopian king who converted to Christianity after contact with two Syrian monks, Frumentius and Adisius.
- Coptic Christianity:*** Monophysitic variant of Christianity (believing that Christ had one, not two natures), shares much with the Syrian Orthodox theology. Church dates from 3rd century in Egypt, Scriptures translated into Coptic in 4th century.

Zagwe Dynasty: Took over Ethiopia in the 12th c.; claimed descent from Moses. **King Lalibela** (c. 1185-1225) commissioned the construction of 11 churches carved out of red volcanic rock at Roha. These churches became pilgrimage sites when Jerusalem was cut off.

Solomonid Dynasty: Took over Ethiopia in 13th c.; claimed descent from **Menelik**, the son of Sheba (Makeda) and Solomon. According to tradition, he visited Solomon and brought back the Ark of the Covenant to Ethiopia. Emperors used title *negus*, “King of kings.” Fought wars with Muslims to expand.

Zara Yakob: Ruled 1434-1468, most outstanding emperor of medieval Ethiopia, brought unity to his realm, fought heresy.

Western Sudan: Area based on native African traditions, tied by trade to the Mediterranean lands to the north, based wealth on caravans (10,000 pack animals), gold and salt trade.

Ghana: State that arose on upper Niger in 4th century, Berber rulers overthrown, c. 700 C.E., reached peak in 11th century. Developed irrigation agriculture to complement trade.

Mali: Replaced Ghana in controlling gold trade, converted to Islam, and by 14th century kings of Mali ruled more than 40 million people.

Sundiata: Regarded as founder of Mali. Gained control of areas formerly under Ghana.

Mansa Musa: Ruled in Mali, 1313-1337. Well known to Eurasian world, great soldier, promoted Islamic learning, famous for 1324 pilgrimage to Mecca. It is said that the gold that he spent in Cairo alone caused a ruinous inflation that plagued Egypt for a generation.

Ibn Battuta: 1304-1368. Berber geographer and traveler who visited numerous Muslim lands. The accounts of his travels provide a rich source for historians.

Songhai: Replaced Mali in controlling trade. Became largest of the Sudanic empires; flourished in the 15th and 16th centuries.

Sunni Ali: Reigned in Songhai, 1464-1492. Led armies of conquest, captured trade centers of Timbuktu, Walata, and Jenne-jeno.

Askia Muhammad: Reigned in Songhai, 1493-1528. Created a centralized bureaucracy, built up a professional army, and supported Islamic scholarship.

- Benin:** Located on coast of southern Nigeria, powerful kingdom c. 1300, wealth came from overland trade with Sudan, kings (Obas) lived in huge palace, assisted by many advisors.
- Oyo:** Yoruba state began building tributary empire north and west of Benin, would become strong rival in 16th century.
- alafin:** King in Oyo. Claimed absolute power, but was limited by a kind of prime minister (*basorum*) and council (*oyo mesi*). If the *alafin* abused his authority, the prime minister would reprimand him, and the *alafin* had to commit suicide. A member of the council would also commit suicide.
- Mossi kingdoms:** Along the upper Volta, formed a federation of subkings, each recognizing one ruler as overlord.
- Swahili civilization:** Cosmopolitan civilization that found its high point between 1200 and 1500 along the east coast of Africa. Trade-based civilization featured free intermarriage, spoke language that was mainly Bantu with Arabic, Persian, and various Indian elements mixed in. A variant of Islam was the religion for this synthesis of African and Middle Eastern cultures. *Swahili* derives from the Arabic word *sawahil*, “coast.”
- Kilwa:** Representative Swahili city.
- Mutapa:** Controlled 700 miles of the upper Zambezi in the 1400s, ruled by king with sophisticated, complex court.
- Zimbabwe:** Reached peak between 1250-1450, marked by extensive stone ruins indicating considerable wealth, power.
- Kongo:** 14th-century bureaucratic monarchy with rich tax and tribute systems, located near mouth of Congo River.

DISCUSSION

Part of the interest in studying world history is in finding patterns. Consider the spread of the Bantu peoples and make comparisons with the spread of the Germanic and Slavic peoples in Europe.

Food and technology have influenced culture. Consider the impact of these factors on African communities. A discussion might include mention of salt, bananas, yams, kola nuts, iron smelting, camel caravans, lateen sails, guns.

PRIMARY DOCUMENT / CRITICAL THINKING EXERCISES

As we will notice in later chapters, one of the prime considerations for European kings in the 15th and 16th centuries was concern for control and/or reform of the church. After reading “Zara Yakob’s Coronation and His Concern for the Church,” what do you believe was the Ethiopian ruler’s purpose in paying such close attention to the functioning and establishments of Christianity? What was the Catalan Atlas? What was the purpose? What geographical locations does it identify?

Read the description of the Ghanaian capital of Kumbi-Saleh written by the Muslim geographer and theologian Al-Bakri. Sketch a map of the city and its key locations. Identify the unique customs of the king’s court. In what ways do Muslims act differently from the king’s other subjects? What do you learn about the author by reading this passage?

TESTING

The Sahara Desert formed both a protective belt and an isolating curtain for the peoples to the south. Is this an advantage or a disadvantage? Is the optimum condition one in which a culture and a civilization can develop free of intrusive influences, or is constant outside stimulation to be desired?

Compare and contrast the Empires of the Western Sudan (Ghana, Mali, Sudan). Discuss political structure, economy, and culture. What factors contributed to the rise of these states? What factors contributed to their decline?

Discuss the spread of Christianity and Islam in Africa. Where and how did these religions take root? In what ways did rulers support religious practice?

Compare and contrast the civilizations of Ethiopia, Mali, and Kilwa. Discuss their unique geography, natural resources, organization, religion, strengths, weaknesses, and decline.

LECTURE LAUNCHER

Some of our earliest descriptions of the kingdoms and culture of Africa come from travelers. Al-Bakri, an 11th-century Spanish-Arab geographer, wrote *A Book of Roads and Kingdoms*, which detailed court ceremonies of the King of Ghana. Ibn Battuta, a 14th-century Berber scholar and theologian from Tangier, described the splendor of Mali and the wealth of Mansa Musa. Leo Africanus (Hassan Ibn Muhammad) was a Spanish Muslim who visited Gao and Timbuktu during the Songhai Empire. He was later captured by Christian pirates and taken to Rome, where he delighted Pope Leo X with tales of his travels. Abraham Cresques, a 14th-century

Jewish cartographer from Majorca, drew a map of the “unknown continent,” showing a mighty African lord on his throne and a veiled merchant on a camel. Their insightful descriptions of Gao, Timbuktu, Katsina and Kano intrigued contemporaries and left a valuable record for later historians.

INSTRUCTOR’S TOOL KIT

COROLLARY READING

Peter N. Stearns, Stephen S. Gosch, Erwin P. Grieshaber, *Documents in World History, I*
African Kingdoms and Islam
Ibn Battuta

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CHAPTER 9

The European Middle Ages: 476-1348 C.E.

CHAPTER OUTLINE

INTRODUCTION

1. Unity, security of old Roman Empire collapsed; German chieftains claimed lands.
2. Christian Church survived; converted Europe; preserved knowledge, learning of ancient world.
3. Franks, Carolingians gave northern Europe an interim of stability, peace.
4. Charlemagne's unified empire lasted only a brief time.
5. Feudalism, based on formally stated agreements, provided social stability and military security when central government virtually disappeared.
6. Manorial system provided stability to the rural economy.

I. THE CHURCH IN THE EARLY MIDDLE AGES

A. The Early Medieval Papacy, 500-1000

1. Church became one of the mainstays of civilization
2. **Gregory I, the Great** (590-604) went beyond papal primacy, began to lay groundwork for political power of Rome
 - a. First pope to act as temporal as well as religious leader of Papal States
 - b. Laid foundations for papal government

B. Missionary Activities of the Church

1. Christian missionaries fused Germanic, classical culture as they spread the faith
2. **Ulphilas** (c. 311-383), an Arian, one of first major missionaries, converted Visigoths, translated most of Bible into Gothic
3. Missionaries established numerous monasteries in Ireland
 - a. Irish missionaries went to Scotland, northern England, Frankish kingdom, Italy
 - b. Irish monks pursued scholarship, collected manuscripts

C. The Preservation of Knowledge

1. Kept classical knowledge, skills alive
 - a. **Boethius** translated Plato, Aristotle into Latin
 - b. **Cassiodorus** established *scriptoria* to copy, preserve manuscripts
2. *Book of Kells*, outstanding example of illuminated manuscript copied in Ireland

3. **Venerable Bede**, 8th century scholar in northern England, wrote history

II. A NEW MEROVINGIANS AND CAROLINGIANS

A. The kingdom of the Franks under **Clovis**

1. Franks merged Germanic, Roman cultures
 - a. Moved into Empire late 4th century
 - b. Occupied northern Gaul by 481
2. By 511, Clovis, a **Merovingian**, united Franks
 - a. Kingdom reached to Pyrenees
 - b. Converted to Roman Christianity (in contrast to Arian Christianity), led to close alliance between Franks and papacy

B. Decline of the Merovingians, Rise of the Carolingians

1. By end of 6th century, Clovis's empire decayed
 - a. Inheritance laws produced continuous discord, division
 - b. Merovingian kings incompetent, ineffectual, "do-nothing kings"
2. Frankish state broke into three kingdoms, with power in hands of noble, the **mayor of the palace**
3. **Charles Martel**, "the Hammer," effectively strengthened Franks
 - a. Recruited mounted soldiers to stop Muslim cavalry
 - b. Defeated Moors at **Poitiers** (Tours), 732, stirrup used
 - c. Rewarded soldiers with land to support family, equipment, war horses
4. **Pepin the Short** elected king of the Franks
 - a. With pope's blessing, he displaced Merovingian ruler
 - b. 754, pope anointed Pepin, began practice of church approval of king
 - c. Alliance of Franks, papacy forced Lombards to retreat
 - d. Papal States created after "Donation of Pepin"
 - e. Papacy could rely on Frankish alliance, less dependent on Byzantines for protection, deepened split with Byzantines

C. **Charlemagne** and His Achievements

1. Took Franks, **Carolingians** to peak of power
2. Appreciated and promoted revival of learning, arts and letters, known as Carolingian Renaissance
3. Charlemagne extended borders of his kingdom
 - a. Crossed Pyrenees, drove Muslims back, established **Spanish March**
 - b. Conquered Bavarians, Saxons
 - c. Fought six campaigns against Avars, nearly eliminated them, set up **East March** (later *Ostmark*, Austria)
 - d. Defeated Lombards, with pope's backing, took over as their king
4. Restored pope to power after pontiff had been ousted by Roman nobles
5. Pope placed crown on Charlemagne's head as he knelt in prayer, Christmas Day, 800
6. Wanted to revive West Roman Empire

- a. Capital at Aix-la-Chapelle (Aachen)
- b. Land included much of old West Roman Empire
- 7. Set up administrative system
 - a. 300 divisions, each ruled by a **count** (*graf*)
 - b. Marches (marks) along border, each ruled by a **margrave** (*markgraf*)
 - c. **Duke**, local military official, assisted
 - d. **Missi dominici**, emperor's envoys, traveled in pairs to check local officials

D. Charlemagne's Legacy

- 1. One of key figures in European history
 - a. Extended Christian civilization
 - b. Set up defensive perimeters
- 2. Created new Europe, centered north of Alps
 - a. Law and order returned after three centuries
 - b. Began a cultural revival
- 3. Empire did not last, too vast, divisive
 - a. No standing army, old Germanic war bands
 - b. Administrative structure inadequate
 - c. Economy agricultural, localized, backed by weak fiscal and tax structures
- 4. Louis the Pious, Charlemagne's only surviving son, split lands among his sons
 - a. Wars broke out among brothers (Charles the Bald, Louis the German, Lothair)
 - b. **Strasbourg Oath** and **Treaty of Verdun** gave shape to modern division of Europe
 - c. Carolingians faded from power

E. Europe Under Attack

- 1. As Carolingian power declined in 9th, 10th centuries, Europe faced new attacks
- 2. Magyars, new band of Asiatic nomads, raided central Europe, northern Italy
- 3. Muslim adventurers plundered coasts of Italy, France, Sicily
- 4. Vikings from Scandinavia launched destructive raids along coasts and waterways
 - a. Outstanding sailors, ships, navigation skills
 - b. Reached Greenland, North America, Russia, Britain, France, Spain, Germany
 - c. Occupied eastern Britain, Normandy

III. FEUDALISM AND MANORIALISM

A. Europe's Response to Invasions

- 1. Safety, security primary concerns of most individuals
- 2. Variety of local arrangements for protection
- 3. **Feudalism** involved three basic elements
 - a. Personal: lordship, **vassalage**
 - b. Property: **fief**
 - c. Government: private exercise of governmental functions over vassals, fiefs

B. Feudal Society

1. King, in theory, controlled all land
 - a. Kept large areas for personal use (royal, crown land)
 - b. Gave rest to nobles in return for service
2. Dukes and counts repeated process at lower level
 - a. **Subinfeudation** continued down to lowest vassal
 - b. Bottom of scale, single knight with small fief
3. Tradition of monarchy retained

C. Relation of Lord and Vassal: The Contract

1. Act of **homage** tied lord (suzerain) and vassal
 - a. Vassal promised to be lord's "man"
 - b. Swore **oath of fealty**, on Bible, to be "true"
 - c. In **investiture** lord gave gift symbolic of fief
2. Contract obligations
 - a. Lord gave protection, justice
 - b. Vassal gave military service, assisted lord rendering justice, made money payments (**aids**) under certain circumstances
 - c. Lord's rights (feudal incidents) provided for administration of fief if vassal died (wardship) or failed to meet his feudal obligations (forfeiture)

D. Feudal Warfare

1. Frequent warfare between nobles to gain land, power, riches, glory
2. Medieval society consisted of three classes
 - a. Nobles: primarily fighters
 - b. Clergy
 - c. Peasantry: freemen, serfs

E. The Church and Feudalism

1. Viking, Magyar attacks in 9th c. led to rise of feudalism
 - a. Church needed protection
 - b. Abbots, bishops often became vassals
2. Papacy became political prize sought by Roman nobles in 10th c.
3. Church sought to exercise moderating influence on feudal warriors
 - a. Pressed for Christian virtues included in code of chivalry
 - b. Called for limits on feudal warfare through **Peace of God, Truce of God**

F. **Chivalry**

1. Code of conduct to govern behavior of all knights
 - a. In 11th c., stressed warrior virtues: courage, loyalty
 - b. By 13th c., emphasized more refined qualities of settled, secure Europe
2. Chivalry combined three elements
 - a. Warfare: knight must fight faithfully for his lord
 - b. Church: knight must champion the Church, aid the humble
 - c. Reverence toward women: knight must honor women

3. Chivalry represented an ideal, not always practiced
4. Training for knighthood involved many skills
 - a. At age 7, boy went to live at another household to serve as a page; learn manners, hawking, hunting, religious fundamentals
 - b. At age 15, he became a squire; learned to ride, handle sword, shield, lance; waited on his lord and lady; learned music, poetry, games
 - c. At age 21, he became eligible for knighthood, if not knighted on battlefield
5. Knighthood ceremony to instill moral virtues, loyalty to his overlord and God
 - a. Purifying bath
 - b. All-night vigil to confess sins, commit to worthy conduct
 - c. Solemn Mass
 - d. Blessing sword by priest
 - e. Candidate knelt, received light blow on neck or shoulder (*accolade*)

G. The Lives of the Nobles

1. Castles designed for defense; castle building techniques improved
 - a. In 9th c., merely wooden block houses
 - b. In 13th c., massive stone buildings
2. Castle contained several features for protection, utility
 - a. Donjon: central tower, focal point, quarters for lord's family
 - b. Open space for storehouses, workshops, chapel
 - c. Turrets for defense: to shoot arrows, pour boiling oil against attackers
 - d. Moat: steep-sided ditch filled with water to deter enemy
 - e. Drawbridge to cut off castle from surrounding land
 - f. Portcullis: heavy iron grating to protect entrance
 - g. Thick outside walls
3. Medieval castle was not comfortable
 - a. Dark, gloomy interior; no large windows
 - b. Tapestries used to reduce drafts, dampness
 - c. Fireplace provided only warmth
4. Nobles engaged in hunting, jousting, tournaments to maintain skills when not fighting
 - a. Falconry: hunting with predatory birds
 - b. Indoor games: backgammon, dice, chess
 - c. Troubadors, wandering minstrels visited castles to entertain
5. Noble women assumed responsibility for maintaining castle when husband absent

IV. THE EARLY MEDIEVAL ECONOMY: MANORIALISM

A. *Manorialism* based on manors

1. Small communities, with 12-50 families, 350-5000 acres
2. Village, center of manor, included church, peasant cottages

B. Distribution of the Land

1. Made up of arable, non-arable land

- a. ***Demesne***, one-sixth to one-third of arable land, belonged to lord
 - b. Non-arable land, meadow, woods held in common
 - 2. Villagers' land allotted by open-field, strip system
 - a. An attempt at equal granting of good, bad soil
 - b. Limits placed on rights in common lands
- C. Medieval Farming Methods
- 1. Variety of methods, using crude tools (plow, harrow, sickle, beetle); low yields
 - 2. Use of ***three-field system*** evolved
 - 3. Peasant women engaged in backbreaking labor
 - a. Cooking, cleaning, making clothing
 - b. Tending animals; milking cows; making butter, cheese; brewing beer, ale
 - c. Helping men with planting, harvesting
- D. Administration of the Manor
- 1. Usually run by steward, bailiff, reeve
 - a. Steward general overseer, ran manor
 - b. Bailiff oversaw farming of lord's land, collected funds, supervised peasants
 - c. Reeve was villagers' foreman, chosen by them
 - 2. Freeman, small portion of population
 - 3. ***Serfs***, bound to land, hereditary status, could not leave without lord's permission
- E. The Life of the Peasants
- 1. Thin margin between life and death
 - a. Afflicted by famine, plague, war, disease
 - b. Wretched living conditions
 - 2. Few pleasures for peasant families
- F. The Medieval West by 1000
- 1. European society seemed unprogressive, conservative, change-resistant
 - 2. International Church spread unity of Christianity
 - 3. European kingdoms ineffective; feudal nobility, assertive
 - 4. Trade and commerce limited to local area

V. REVIVAL OF TRADE AND TOWNS

- A. Trade Routes and Trade Fairs
- 1. Opening of Mediterranean key factor in trade growth
 - a. Normans, Italians broke Muslim dominance
 - b. Italians transshipped goods from Near East
 - 2. Early 1300s, two more trade routes to north opened
 - a. All-sea from Mediterranean through Gibraltar
 - b. Trans-Alpine land route
 - 3. Trade fairs set up, such as Champagne fairs in France

B. Factors in the Revival of Towns

1. Trade resurgence sparked growth of towns
2. Population grew rapidly, 1000-1350
3. Food production increased as wastelands cultivated, forests cleared, marshes drained

C. Merchant and Craft Guilds

1. Guilds sought to create monopoly, regulate quality, quantity, set “just price”
2. Merchant guilds maintained monopoly of trade in given area
3. Craft guilds also trained artisans, recognized three classes
 - a. Apprentice learned craft, received no wages
 - b. Journeyman worked for master, received wages
 - c. Master accomplished craftsman
4. Women engaged in crafts
 - a. Women (usually widows) admitted to guilds
 - b. Wives, daughters assisted guildsmen
5. Guilds engaged in charitable, social activities
6. Towns won independence from feudal lords

VI. THE CHURCH IN THE HIGH MIDDLE AGES

A. Monastic Reforms

1. Cluniac reforms began in Benedictine abbey of Cluny, spread to affect entire church
 - a. Aimed to free Church from secular control
 - b. Cluniac reforms created *College of Cardinals*
2. Pope Gregory VII (1073-85) claimed unprecedented power for papacy
 - a. Prohibited lay investiture, 1075
 - b. Clashed with German Emperor Henry IV
3. Cistercians adopted high standards, strict discipline

B. The Papacy's Zenith: *Innocent III*

1. Lawyer trained in *canon law*
2. Claimed both temporal and spiritual supremacy

C. Church Administration

1. Church had most highly organized administrative system in West
 - a. Papal legates carried pope's directives, superior to local clergy
 - b. Church courts and canon law highly developed
2. Pope's chief weapons spiritual penalties
 - a. *Excommunication* used against individuals
 - b. *Interdict* used against realm of disobedient ruler

D. *Heresy*

1. Numerous spiritual ideas flourished in social, political *milieu* of newly revived towns
2. Innocent III launched crusade against heretical movement (Albigensians) in Toulouse
3. ***Inquisition***, church court, established 1233, to deal with rise in heresy

E. Franciscans and Dominicans

1. ***Friars*** left monasteries, moved in society
2. ***Franciscans*** founded by ***St. Francis of Assisi***, ministered to poor in cities
3. ***Dominicans*** founded by ***St. Dominic*** dedicated to teaching, preaching, converting heretics

VII. THE CRUSADES

A. The Call for Crusades

1. Seljuq Turks, new fierce converts to Islam, took over Jerusalem from more tolerant Arabs
2. 1095, Pope Urban II called for crusade

B. The Crusading Expeditions

1. First most successful, took Jerusalem, created Latin Kingdom of Jerusalem
2. Third came when Muslims under Saladin re-took Jerusalem, three kings participated
3. Fourth Crusade attacked Christian cities Zara, Constantinople, religious disaster
4. After seven major crusades, crusading movement ended with fall of Acre, 1271
5. Overall, Crusades failed to achieve goals

C. The Crusader State

1. Initially four crusader states along Mediterranean coast
2. Defended by semimonastic military orders: Templars, Hospitalers, Teutonic Knights

D. Significance of Crusades

1. Crusading fervor continued against Muslims in Spain, Slavs in eastern Europe
2. Weakened Byzantine Empire
3. Diminished respect for papacy
4. Increased European exposure to eastern civilizations
5. Increased trade, commerce between western Europe and eastern Mediterranean

VIII. MEDIEVAL POLITICS, 1000-1300

A. Introduction

1. European monarchs struggled to emerge from decentralized feudal organization
2. Church rose to great heights of power and authority

3. Revival of trade, rebirth of towns altered economy, manorialism
 4. Developments in art, architecture, literature
- B. The Capetians and the Beginnings of France
1. More than thirty feudal princes in France by 900
 - a. Vassals did not give king much support, wanted weak monarchy
 - b. After last Carolingian king died, they elected **Hugh Capet** to rule France, 987
 2. Capetians kept crown, continued to rule
 - a. Gradually extended power over powerful neighbors
 - b. Always had male heir to inherit throne
 3. **Philip II** (Augustus) became more powerful than vassals, made France strongest continental monarchy
 - a. Harassed English, tripled size of realm
 - b. Strengthened administrative structure
 4. **Louis IX** (St. Louis) believed God gave him power to save his realm from sin
 - a. Just, sympathetic, peace-loving, beloved by subjects
 - b. Convinced subjects that monarchy was agency to assure happiness, well-being in realm
- C. Height of Capetian Rule Under **Philip IV**
1. Crafty, violent king
 - a. Expelled Jews, took possessions
 - b. Humiliated **Pope Boniface VIII** to counter sweeping claims of papacy
 2. Increased power and efficiency of royal government
 - a. Recruited civil servants from middle class
 - b. Enlarged feudal council to include nobles, clergy, burghers to obtain popular support for policies
- D. England to 1348
1. Anglo-Saxon monarchy ruled most of England by 1000
 2. Danes, under King **Canute** conquered Britain, ruled until 1035
 - a. Wise, civilized king, respected rights and customs
 - b. Empire fell apart after his death
 3. **William the Conqueror** and the Norman Invasion
 - a. William (duke of Normandy) claimed throne on questionable grounds
 - b. Defeated Anglo-Saxon opposition at Battle of Hastings, 1066
 - c. Introduced Norman-style feudalism to England
 - d. Kept some land as royal domain, gave rest in fiefs to royal vassals (tenants-in-chief)
 - e. Demanded oath of loyalty from all landholders
 - f. Set up **Curia Regis** (king's court, Great Council) as court of justice and advisory body

E. **Henry II** (1154-1189)

1. Founded **Plantagenet** dynasty
2. Extended realm through marriage to **Eleanor of Aquitaine**
3. Increased jurisdiction of royal courts at expense of feudal courts
 - a. Itinerant justices traveled court circuit
 - b. Jury system developed
 - c. Stimulated growth of common law

F. **Thomas à Becket**

1. Henry faced challenge of Church courts
 - a. Henry appointed his friend Becket, archbishop of Canterbury to bring church into line
 - b. Becket, instead, upheld Church, was murdered
2. Becket martyred, Henry lost chance to dominate

G. The Successors of Henry II

1. **Richard the Lion-Hearted** spent only five months of ten-year reign in country
2. **John**, unscrupulous, conflicted with powerful Philip II of France, Pope Innocent III
 - a. Barons rebelled, forced John to observe feudal rights, privileges, 1215
 - b. **Magna Carta** states law is above the king, king can be compelled to obey law

H. The Origins of **Parliament**

1. Term applied after 1265, when *Curia Regis* (Great Council) expanded in baronial struggle with Henry III
2. Parliament gained influence during reign of **Edward I**
 - a. “Model Parliament,” 1295, king invited representatives of towns and shires
 - b. King wanted to build consensus; did not want to share power
3. Division into House of Commons, House of Lords came in 1300s
 - a. Lower house, Commons, controlled “power of the purse”
 - b. Power to petition gradually led to power to legislate
4. Edward I sought to unite whole island of Great Britain (England, Wales, Scotland)
 - a. Succeeded in imposing English rule on Wales
 - b. Despite several campaigns, he failed to conquer the Scots

I. Spain to 1348

1. Customary rivalry between Christian feudal lords and royal authority complicated by religious fervor
 - a. Belief that unification required expulsion of Muslims
 - b. Religious zeal associated with shrine of **Santiago de Compostela**
2. **Reconquista**, reconquest of Spain from Muslim control
 - a. Christians won significant battle at Las Navas de Tolosa, 1212
 - b. Christians captured Cordova, Seville
 - c. Muslims’ political control confined to Granada area until 15th century
 - d. Muslims allowed to maintain religion, traditions, culture

J. Disunity in Germany and Italy

1. After last Carolingian ruler died (911), German dukes elected weakest duke as king
2. **Otto I**, “the Great” (936-973) wanted to establish German empire
 - a. Founded Saxon dynasty
 - b. Appointed relatives, friends to responsible positions to control other dukes
 - c. Established mutually beneficial ties with Church
 - d. Appointed German bishops, abbots (*lay investiture*)
 - e. Wanted to set up empire based on Roman, Carolingian models
 - f. Conquered Italian peninsula; proclaimed self “king of Italy”
 - g. Pope crowned him emperor, 962
 - h. Empire later known as “Holy Roman Empire”
 - i. Ended Magyar invasions with decisive victory at Lechfeld, 955

K. The Salian Emperors

1. Salians replaced Saxons, ruled 1024-1125, tried to establish centralized monarchy
2. **Henry IV** (1056-1106) acted boldly to assert imperial power, centralize government
 - a. Clashed with Pope (Gregory VII) over Investiture Controversy
 - b. Had to “*go to Canossa*” to beg pope’s forgiveness in order to avoid revolt of nobles
 - c. German monarchy suffered: nobles insisted on their “inborn rights,” German church less supportive of Emperor

L. The Hohenstaufen Emperors

1. **Frederick I Barbarossa** (“Redbeard”) wanted to force power over German nobles
 - a. Sought money from northern Italian cities
 - b. Pope encouraged cities to join together in Lombard League, intermittent warfare for 25 years
 - c. Son married heiress of Kingdom of Naples and Sicily
2. **Frederick II** sacrificed Germany in efforts to unite Italy under his rule
 - a. Ward of pope, elected emperor with pope’s support
 - b. Brought progress to Italy, good administration to Sicily
3. After 1250, Holy Roman Emperors acted less boldly
 - a. Interfered less in Italy
 - b. Stopped going to Rome to be crowned by pope
 - c. Did not try to assert authority over German nobles

CONCLUSION

1. In the Early Middle Ages (1000) the Roman church provided some unity, security; spread Christianity to most of Europe through missionaries, monasteries.
2. France became political center as Clovis, Pepin, Charlemagne forged alliance with the Church.

3. Feudalism arose through a system of personal agreements to ensure safety and security when central government could not provide protection.
4. Medieval society blended Germanic and Roman customs under influence of Christian ideals.
5. Three classes (nobles, peasants, clergy) sought to survive in hostile environment.

CONCEPTUAL HOOKS

TIMELINE: 476-1348 C.E.

DEFINITIONS

Gregory the Great: Ruled 590-604, took church beyond its strictly religious role and laid base for its temporal power. Was active in missionary, organizational, and theological work.

Ulfilas: c. 311-383, one of earliest Christian missionaries to Germans. The Arian monk translated the Bible into Gothic and helped bring the Visigoths into the Arian Christian fold.

Boethius: c. 480-524, 6th-century Roman scholar and servant of Theodoric the Ostrogoth, who, seeing the decline in the ability to read Greek, translated all of Plato and most of Aristotle into Latin. Wrote *Consolation of Philosophy* while awaiting execution.

Cassiodorus: c. 490-585, also served Theodoric, devoted most of his life to the collection and preservation of classical knowledge. Encouraged monks to copy classics.

scriptoria: Following Cassiodorus's example, monasteries established departments dedicated exclusively to copying manuscripts.

Venerable Bede: 672-735, English monk who followed Irish tradition of learning, wrote *Ecclesiastical History of the English People*, a chief source for early British history.

Merovingian Dynasty: Ruled Franks until 741, claimed descent from Merovech, leader against Attila at Châlons. After Clovis, division and weak leadership.

mayor of the palace: The chief official in each of the three kingdoms of the post-Merovingian state. The mayor of the palace was a powerful noble, ruling in the name of a puppet king.

Charles Martel: Dominant Carolingian Frank, mayor of the palace who ruled united Frankish realm, with Merovingian figurehead. Defeated the Muslims at symbolically important battle of Tours (*Poitiers*), organized powerful proto-feudal cavalry.

Pepin the Short: Ruled 741-768, son of Charles Martel, gained papal sanction for power in own name, crowned by pope, major participant in Italian affairs, helping Papal States.

Charlemagne: Ruled 768-814, greatest European ruler in five centuries after the fall of Rome. Successful warrior, earnest governor, sponsor of education and learning in a backward time.

Carolingians: 751-987 (from Latin *Carolus* = Charles), Frankish family descended from Charles Martel, actually took power in own name 751, with Pepin the Short.

Spanish March: After taking land from Muslims, Charlemagne set up defensive frontier zone, centered near Barcelona. French immigrants moved into the area, later called Catalonia, giving it a culturally distinct character.

East March: One of seven marks (marches) set up by Charlemagne as defensive provinces. Present day *Ostmark* (Austria).

count: German “Graf,” ruler of one of 300 Carolingian administrative divisions.

margrave: Ruler of a mark.

duke: Local official assisting a count.

missi dominici: The king’s envoys, usually traveled in pairs, usually a bishop and a noble, to inspect local government.

Strasbourg Oaths: 842, oaths sworn in early French and German by Charles the Bald and Louis the German, showing split of Empire.

Treaty of Verdun: 843, treaty splitting Carolingian empire into France, Germany, central portion (Lothringia). Written in early forms of French and German.

feudalism: A type of government in which political power is exercised locally by private individuals rather than through the bureaucracy of a centralized state.

vassalage: The personal element of feudalism, in which one noble, the vassal, became the loyal follower of a stronger noble.

- fief:** The property element of feudalism, a grant by the lord to the vassal in order to enable him to fulfill his obligations.
- subinfeudation:** The process by which vassals, in their turn, parceled out portions of their fiefs to lesser nobles.
- homage:** A ceremonial act in which a vassal knelt before his lord and declared himself to be his “man.”
- oath of fealty:** An oath sworn by a vassal on a Bible or other sacred object to remain true to his lord.
- investiture:** The transfer of a symbolic item (glove, lance, clump of dirt) by a lord to a vassal to signify his jurisdiction over a fief.
- aids:** Money payments vassal made under certain circumstances. One example is a ransom, if the lord were captured.
- Peace of God:** In an effort to reduce feudal warfare, the Church banned from sacraments all who pillaged sacred places of harmed noncombatants.
- Truce of God:** In an effort to reduce feudal warfare, the Church established “closed seasons” on fighting: from sunset on Wednesday to sunrise on Monday and certain longer periods, such as Lent and Advent. This measure was hard to implement.
- chivalry:** Code of conduct to govern the behavior of all knights. In the 11th c. it stressed warrior virtues (courage, loyalty); by the 13th c. it emphasized the more refined virtues (courtesy, respect, justice) of a more settled society.
- manorialism:** The economic and social system based on manors, the great estates whose origins went back to the Roman *latifundia*. Manors were self-contained economic units of from 500 to 5000 acres with from a dozen to 50 families.
- demesne:** The land on the manor reserved for the lord’s use and worked by the peasants.
- three field system:** Farmers traditionally planted one field and left one field fallow each year. By the 9th c. farmers learned that wheat or rye could be planted in autumn as well as in spring. They then divided land into three fields, one planted in the fall, another in the spring, and the third left fallow.
- serfs:** Peasants who were bound to the manor and who could not leave without the lord’s consent. Serfdom was a hereditary status. Serfs had to pay fees and perform services, had some legal rights.

DISCUSSION

What accounts for the rise and decline of the pope's power in the Middle Ages? Are there any parallels to modern kings and presidents?

Medieval feudalism involved personal ties, service, loyalty, justice, and private armies at a time when people could not depend on the central government for protection. Is it possible to find any modern equivalents of this system?

Young men who trained for knighthood learned many skills: horsemanship, waiting on the lord and lady, hunting, fighting, religion, poetry, music. Would a person with these skills fare well today? What does a modern college education offer that was not available in the Middle Ages? Does the college curriculum lack any valuable skills a young squire might have gained in the Middle Ages?

What principles of effective government did Charlemagne seem to understand?

PRIMARY DOCUMENTS / CRITICAL THINKING EXERCISES

Read the excerpt from "The Rule of St. Benedict." Why is humility essential to Christian monastic life and religious life in general? Why is obedience a prime element in monastic life? What accommodations are made for individual needs?

In Einhard's "Life of Charlemagne," what physical qualities suggest his regal bearing? What intellectual qualities does Einhard admire? How did these qualities make Charlemagne a 9th-c. leader? Compare these descriptions with the image of modern political figures.

What assumptions did Einhard make about health, physical fitness, education, and leadership skills?

After reading the extract from Einhard's "Life of Charlemagne," do you believe the author to be an objective observer? Compared to the reports issued by "spin doctors" in recent years, do you think you are receiving an honest representation of the man, "warts and all"?

What blood-curdling descriptions are recounted in the Muslim and Christian perspectives on the Crusades? Why would rational people engage in such behaviors? Who are the writers and who are their intended audiences? Do these accounts shed any light on current Middle Eastern issues?

TESTING

Discuss the educational and missionary activities of the early church.

Discuss the reign of Charlemagne. How did he unify his kingdom? What was his relationship with the Church? What happened to the empire after his death?

Feudalism has been described as “public power in private hands.” Is this an apt description? Explain how feudalism arose. Identify its component parts. Discuss its strengths and weaknesses as a defense system.

LECTURE LAUNCHER

The Medieval Church in the West had the capacity to inspire, enlighten, and civilize. Initially a persecuted religion in the Roman Empire, Christianity survived and ultimately triumphed, becoming the official religion of the Empire. As the Empire declined, the Church took on new functions. Monasteries arose to channel Christian energy toward constructive activities. Taking a vow of poverty, obedience, and chastity, monks prayed, meditated, worked hard, and succeeded in their endeavors. They opened up new land, served as missionaries, cared for the sick and elderly, offered hospitality to travelers, kept records, copied manuscripts, preserved learning, and trained the youth. Christian thinkers from Augustine to Aquinas offered structured, rational explanations to fundamental human questions. The Church produced Gregorian chants, illuminated manuscripts, and awe-inspiring cathedrals. It provided meaning and solace in a frightening and uncertain environment.

As the Church entered the world, the world entered the Church. Materialism, abuses, changing times, anticlericalism, and anti-sacerdotalism challenged the mission and direction of the Church. Each issue required reassessment and redirection. The Church responded, reinventing itself for each successive generation.

THE INSTRUCTOR’S TOOL KIT

COROLLARY READING

Mark A. Kishlansky, ed., *Sources of the West*, I
Benedict of Nursia, *Rule of Saint Benedict* (ca. 535-540)
The Burgundian Code (ca. 474)
Gregory of Tours, *History of the Franks* (ca. 581-591)
Bede, *The Ecclesiastical History of England* (781)

Einhard, *The Life of Charlemagne* (ca. 829-836)
Feudal Documents (11th-13th centuries)
Bernard of Angers, *Miracles of St. Foy* (ca. 1010)
The Song of Roland (ca. 1100)

COURSE ENHANCEMENT

Each chapter in the textbook includes extensive lists of supplementary material:

- Films and videos
- Web destinations
- Literature from the period
- Suggestions for further reading

COMPANION WEBSITE – www.ablongman.com/brummett

Additional resources are available at the Companion Website for both the instructor and the student. Instructor's resources include PowerPoint slide presentations, electronic versions of maps, graphs, and tables, Web resources, as well as links to Longman resources. For the student, you can direct them to the Companion Website to take quizzes, or for online links to further research or reading for each chapter.

CHAPTER 10

Culture, Power, and Trade in the Era of Asian Hegemony, 220-1350

CHAPTER OUTLINE

INTRODUCTION

1. Asian high cultures flourished, 300-1300
2. Asians affirmed, built on past achievements
3. Major Asian civilizations spread to fringe areas
4. Considerable cultural diffusion

I. INDIA IN THE CLASSICAL AND MEDIEVAL ERAS

A. The Classical Age

1. Guptas ruled 4th, 5th centuries, classical age
 - a. After century of upheaval, Guptas re-established unity
 - b. Hindu culture spread throughout Southeast Asia
2. Began rise with *Chandra Gupta I*
 - a. Expanded state ruled along Mauryan lines
 - b. Raised money through tribute, used feudal forces
 - c. Marriage alliances aided Gupta's rise to power
3. Economic productivity rose, brought great prosperity
 - a. Trade with Rome, Burma, Cambodia
 - b. Agricultural productivity increased
4. Favored Hinduism, Brahmins, practiced religious pluralism
 - a. Hinduism became dominant over Buddhism
 - b. *Puranas*, series of religious books, emphasized compassion of personal gods
5. *Fa Hsien*, Chinese Buddhist monk, excellent source for Gupta period

B. Gupta Art and Literature

1. Sophisticated subject matter
 - a. Temples at Ajanta hewn out of rock cliff
 - b. Classical brilliance, erotic subject matter
2. Golden age of Sanskrit literature
 - a. *Panchatantra*, manual on political wisdom

- b. **Kalidasa**, poet-dramatist, wrote *Shakuntala*, tale of star-crossed lovers

C. Gupta Scholarship and Science

1. Guptas encouraged learning
2. **University of Nalanda** founded 5th century
3. Most famous scientist, **Aryabhatta**
 - a. Wrote in verse
 - b. Described quadratic equations, solstices, equinoxes
4. Other Hindu mathematicians used sign for zero
5. Major advances in medicine, practical skills (soap, cement, dyes, tempered steel)

D. New Political and Religious Orders

1. Huns weakened Guptas, stimulated migrations of central Asian tribes into India
2. **Rajputs**, fierce warriors, carved out states in northern India
 - a. Harsha temporarily united northern India, 7th c.
 - b. Northern India disintegrated into regional kingdoms
 - c. Shankara (c. 788-820) developed non-dualist mystical philosophy based on the Upanishads
3. Tamil literature developed in south
4. Brahmins, Buddhists carried religious, cultural ideas to Southeast Asia, China
5. **Chola** kingdom on southwestern coast, important in trade, cultural exchanges

E. Muslims in India

1. Arab Muslim forces seized Sind, 712, Muslim states in Persia, central Asia
2. Mahmud of Ghazni launched series of invasions, beginning in 1000
 - a. Notable for pillage, bloodshed
 - b. **Firdawsi**, al-Biruni, famous scholars at his court
3. **Delhi Sultanate**
 - a. Qutb ud-Din Aibak, Afghan Muslim warrior, seized Delhi from Rajputs, 1192
 - b. Iltutmish, son-in-law, consecrated as sultan, representative of Abbasid sultan
 - c. Ala ud-Din, invaded Deccan Plateau as “second Alexander,” 13th century
 - d. Delhi emerged as culturally rich area, resisted Mongols
 - e. **Timur** (Tamerlane), Turco-Mongol warrior, destroyed Delhi, 1398
4. Muslim rule brought some cultural integration
 - a. Islam, with no caste, lower taxes, won some Hindu converts
 - b. Sikhism synthesized parts of Islam, Hinduism
 - c. Spread of **Urdu**
5. Despite some cultural synthesis, Hindus and Muslims deeply divided over issues of monotheism/polytheism, religious images, closed castes

II. CHINA: CULTURAL AND POLITICAL EMPIRES

A. Period of Division

1. China, unlike India, Europe, had cultural and political continuity in 500s through 1200s
 - a. **T'ang Dynasty** (618-906) saw flowering of culture
 - b. Survived invasions, civil wars
2. After 220, Turks, Huns pillaged northern China
 - a. Administered by Chinese, through whom invaders absorbed Chinese culture
 - b. Central and southern China escaped Huns, Turks, enjoyed relative prosperity, population growth
3. During difficult times, Confucian stability seemed distant, Buddhism spread rapidly
4. **Sui Dynasty** (589-618) reconquered all of China
 - a. Re-established order
 - b. Laid groundwork for subsequent progress under T'ang Dynasty

B. Political Developments Under the Rising T'ang Dynasty, 618-756

1. During early T'ang to 756, China gained new glory
 - a. T'ang took central Asia, Tibet, North Vietnam (Annam)
 - b. Key ruler the **Empress Wu**, took Korea
2. T'ang perfected centralized government
 - a. Complex bureaucracy, effective local bureaucracy
 - b. Military supervised tribute collections
 - c. Featured Confucianist scholar-bureaucrats
 - d. Had national land registry

C. T'ang Economy and Society Changes

1. Government carefully regulated economy
 - a. Salt, liquor, tea state monopolies
 - b. Gave licenses to discourage undesirable firms
 - c. Made basis for paper money
 - d. Built roads with post houses and canals, including **Grand Canal**
 - e. Provided public granaries to ensure against famine
2. Productivity rose, more sophisticated manufacturers
 - a. Introduced tea, wet rice to Yangtze area
 - b. Developed papermaking, iron casting, porcelain production, silk processing
 - c. Foreign trade increased, especially along overland silk route
 - d. Used sea trade for porcelains
3. Extremely dynamic and flexible society
 - a. **Chang'an**, capital, one million people, largest city in world
 - b. Made use of new foreign stimuli
 - c. Dynamic urban life
4. Women subject to restrictive laws
 - a. Severe punishments for disobedience, infidelity to husbands

- b. Restrictions on women's rights to divorce, inheritance, remarriage
- 5. **Mulan**, 9th-c Tang ballad typifies genre that depicted women as strong, active fighters
- D. T'ang Religion and Culture
 - 1. Flowering culture, new technology for expression
 - a. New paper techniques, block printing
 - b. Craft of history grew: *The Understanding of History* published
 - 2. Poetry chief form of literature, *Li Po*
 - 3. T'ang sculpture and painting
 - a. Notable advances in religious, secular sculpture
 - b. Nature painting developed in sophistication, *Wu Tao-tzu*
- E. T'ang Decline and the Transition to Premodern China
 - 1. Uighur Turks gained control of Mongolia
 - a. Military rose, fiscal base declined
 - b. Seven-year rebellion broke T'ang power
 - 2. 907 T'ang emperor deposed, *eunuchs* killed
- F. Political Developments During the Sung Era, 960-1279
 - 1. Fifty years of anarchy after T'ang fall
 - a. Five Dynasties in north, Ten Kingdoms in south
 - b. **Sung** line consolidates power, but never recovered extent that T'ang had amassed
 - 2. Sung, northerners, deferred to southern magnates
 - a. Gained economic support from south
 - b. Used civil service exam to choose bureaucrats
 - 3. Faced serious problems of invasions from north
 - a. Internal economic problems also serious
 - b. **Wang An-shih** tried state economic controls
 - 4. Invaders led Chin Dynasty in north, Sung ruled south
- G. Sung Economic and Social Conditions
 - 1. Though militarily weak, Sung economically strong
 - a. Water projects, agriculture policies, doubled rice production in a century after 1050
 - b. Industry increased
 - c. Technical advances: water clock, paddleboat
 - d. Foreign trade now carried on by Chinese
 - 2. Population almost doubled, social tension increased
 - a. Merchants retained social stigma
 - b. Lower-class women gained opportunities, upper-class women saw limitations increased
 - c. Binding girls' feet, female infanticide common

H. Sung Philosophy, Literature, and Art

1. Considerable philosophical turmoil among Buddhists, Taoists, and Confucianists
 - a. **Chu Hsi** tried to synthesize three schools
 - b. Said people are shaped by experience, education
2. **Neo-Confucianism** led to scientific advances
 - a. Chinese used inoculation against smallpox
 - b. Schools, hospitals superior to Western equivalents
3. Similar advances in arts, literature
4. Spreading Chinese influence abroad
 - a. Sung had more impact on outside world than T'ang
 - b. Technical advances spread through commerce

III. THE MONGOL IMPACT

A. Nomads of Central Asia

1. Mongols, steppe nomads, had complex system
 - a. Savage soldiers, democratic equality
 - b. Superior cavalry forces
2. Turks, present a thousand years before Mongols, noted changing times
 - a. In 500s fought with Chinese for steppes
 - b. Turks absorbed parts of Buddhism, Islam
 - c. Set up **Uighur** and **Tangut** states

B. Formation of the Mongol Empire

1. About one million Mongols began Eurasian expansion at beginning of 13th century
2. Victorious from Pacific to Danube, largest empire ever known
3. **Pax Mongolica** permitted peace, trade, travel across Eurasia
4. Key leader **Temujin**, or **Genghis Khan**
 - a. Son of minor chieftain who was assassinated
 - b. Vengeful, ambitious, cunning, courageous, brutal, patient
 - c. United Mongol tribes
 - d. Conquered northern China, central Asia
5. Mongol Empire extended far beyond administrative centers, weakened but survived
6. Mongol Empire fragmented after Ogedei (1229-1241)
 - a. Möngke conquered eastern Tibet (1252), Korea (1258)
 - b. Hülegü (1217-1265) dominated Persia, Palestine, Syria, suppressed Abbasids, ended classical era of Islamic rule
 - c. Yuan Dynasty in China
 - d. Chagatai khanate in western Turkestan
 - e. Golden Horde in Russia
 - f. Ilkhans in Persia, Iraq
7. Often relied on terror, mass murder, torture, destruction, resettlement of people

C. The Mongol Imperial Structure

1. 12th-century nomads became rulers of largest imperial state in 13th century
 - a. Great ethnic diversity, many languages
 - b. Used bureaucrats from conquered areas
 - c. Cavalry force of 130,000, augmented by troops from native people
2. Möngke, grandson of Genghis Khan, ruled 1251-1259, adopted reforms to centralize administration, maintain stability
 - a. Accommodated native cultural differences
 - b. Minted coins, issued paper currency, collected taxes in money
 - c. Took census for tax and military purposes
3. Mongols used vassal monarchs to maintain empire
 - a. Vassals submitted to khan, sent hostages, paid annual tribute, sent troops for military campaigns
 - b. Khan sent Mongol agent who oversaw local policies, sent some occupying troops, guaranteed political security, lavished gifts

D. China Under the Mongols

1. **Kublai** ruled as Grand Khan 1260-1294
 - a. Moved capital from Karakorum to Peking
 - b. Founded **Yuan Dynasty**, ruled unified China
 - c. Interested in eastern China
 - d. Failed to take Japan (1281), Java (1293)
2. **Marco Polo**, Venetian traveler, described court of Kublai
3. Land ruled by Mongols and Central Asians at top, northern Chinese at next level, then southern
4. Mongol law influenced by Chinese precedents
5. Followed Chinese cultural traditions
6. Developments in the arts
 - a. Interest in drama encouraged development of Chinese opera
 - b. Influential painters
 - c. Novel depicted Chinese concerns, e.g., *Romance of the Three Kingdoms*

E. *Pax Mongolica*: Relinking East and West

1. For century after 1250, East and West in closer contact than ever before
2. Travelers, merchants throughout Eurasia
3. Missionaries, such as **John of Piani Carpini**
4. Commerce grew rapidly

F. The Mongol Legacy

1. Stability, trade, transmission of technology
 - a. West learned of explosives, printing, eastern medicine, shipbuilding, navigation
 - b. Mongols furthered art, architecture, historical writing in Middle East
 - c. China gained knowledge of Persian astronomy, ceramics; obtained sorghum from India

2. Awareness of wider world

IV. KOREA: FROM THREE KINGDOMS TO ONE

- A. Geographic Background
 1. Korea's neighbors (China, Japan, northern tribes) influenced cultural growth
 2. Korea influenced development of Japan
- B. Three Kingdoms Period, 4th-7th c.
 1. Three expansionist kingdoms: Koguryo, Silla, Paekche
 2. Silla first united Korea in 668
- C. Chinese Influence in Korea
 1. Buddhism, Confucianism brought to Korea
 - a. Traveling monks spread Buddhism
 - b. Government encouraged these belief systems to unite Korea
 2. Chinese examination system adopted
- D. **Koryo Dynasty**, 913-1392
 1. Centralized bureaucracy
 2. Concentrated power in capital, Kaesong
 3. Increased social stratification
 - a. *Yangban*: those in control of the military and bureaucracy
 - b. Commoners: peasants, merchants
 - c. Outcasts: butchers, tanners, performers, slaves (*ch'onmin*)

V. THE EMERGENCE OF JAPAN IN EAST ASIA

- A. Geographic, Ethnic, and Historical Backgrounds
 1. Rose after 6th century
 - a. Representative "third round" civilization, adopted ideas, values, patterns from more highly developed civilizations
 - b. Borrowing brought compromises
 2. Geographic factors of prime importance
 - a. Harsh but secure setting
 - b. Subject to natural disasters: earthquakes, typhoons
 3. Japanese of mixed ethnic origins
 - a. Prehistoric migrations from mainland via Korea, Southeast Asia
 - b. Language derived from basic Altaic of northern Asia
 - c. Encountered, killed, displaced *Ainu*
 4. Mountainous environment aided growth of tribal states
 5. Japanese legend relates that **Jimmu**, descendant of sun goddess, began current line of emperors, 660 B.C.E., probably **Yamato clan**

6. **Shinto**, religion of Japan
 - a. Worshipped natural forces, ancestral spirits
 - b. No organized priesthood or ethical system
 7. Continued close ties with Korea
 - a. Missionaries from Paekche introduced Buddhism to Japan, 552
 - b. Yamato rulers accepted Buddhism, with accompanying Chinese values (calendar, notions of statecraft)
- B. The **Taika Reforms**: Monarchy and Bureaucracy
1. Japanese feared possible attack from new rulers in Korea, 7th c.
 - a. Sought reforms to protect Japan
 - b. Established centralized absolutism modeled after T'ang China
 - c. Yamato ruler named "Tenno" ("Heavenly Emperor"), given absolute power
 2. Japanese differences changed nature of Chinese model
 - a. Bureaucratic posts hereditary, not exam-based
 - b. No direct taxation, root of feudal system grew
 - c. Capital built at Nara, modeled on T'ang city of Chang'an
 3. Japanese historians recorded in Confucian terms myths, legends about past, emperor's descent from sun goddess
 - a. *Kojiki (Records of Ancient Matters)*
 - b. *Nihon Shoki (Chronicles of Japan)*
 - c. *Manyoshu (The Collection of Ten Thousand Leaves)*
- C. A Time of Splendor: The **Heian** Politics of Consorts and Samurai, 794-1185
1. New system, taken from many sources, in Heian period
 - a. 794, Confucian-trained emperor built new capital at Heian-kyo to free self from Buddhist power
 - b. Imperial court stayed there 1000 years
 - c. Heian period characterized by stability
 2. **Fujiwara family** dominated emperor's post, political power taken by provincial nobles
 - a. Feudal relationships developed
 - b. **Bushi** lords, **samurai** warriors emerged
 - c. **Bushido**, code of honor
- D. Culture of the Heian Period
1. Chinese dominated, largely imposed culture until 10th century, then Japanese perspective seen
 - a. Japanese less scholarly than Chinese
 - b. Emphasized "cultivation of the little," balance, restraint, delicate precision
 2. Chinese influence in temples, painting
 - a. Horyuji temples at Nara, has world's oldest wooden buildings (670)
 - b. Phoenix Hall of the Byodoin at Uji, harmonizes building, pond, reflection
 3. Buddhism of Tang China took on Japanese forms; included Shinto, folk practices
 4. Two major Buddhist sects emerged

- a. Tendai: based in Mt Hiei, supported by Fujiwara leadership, emphasized universal salvation, stressed “Buddha” nature of each person, permitted Shinto deities in worship; conflict with Shinto priests
 - b. Shingon: Indian in origin, involved secret rituals, words, formulas, belief in power of images
 - 5. Japanese literature more independent
 - a. Japanese men trained in Chinese characters that did not portray their syllables, thought well
 - b. Japanese women wrote in phonetic script, equipped to portray Japanese sensitivities
 - c. **Lady Murasaki** wrote *The Tale of the Genji*
 - 6. Upper-class women enjoyed some status, but led restricted lives
 - a. Could inherit property
 - b. Could live with their own parents for first part of married life; avoid in-laws
 - c. Protected against physical violence of men
 - d. Valued for marriage alliances
 - e. Engaged in complex courtship rituals through poetry
- E. The Kamakura Shogunate
- 1. Fujiwara regency replaced by Minamoto clan
 - a. **Yoritomo** forced emperor to give him **shogun** title
 - b. Shoguns paid respect to emperor, ran country
 - 2. Superfeudal order emerged
 - a. Based on web of personal obligations
 - b. Lived according to Bushido code

CONCLUSION

- 1. Cultural revivals, culture banks for West
- 2. Third wave of civilizing, Japan
- 3. Mongols helped prepare way for modern world

CONCEPTUAL HOOKS

TIMELINE: 300-1300

DEFINITIONS

Guptas: Indian dynasty of 4th and 5th centuries that brought the subcontinent to a cultural and political unity and development not matched until the 16th century.

Chandra Gupta I: Took power in 320, set in motion line that governed most of northern India in accord with Mauryan precedents.

Fa-Hsien: Chinese Buddhist monk who traveled in India for 14 years in the 5th c. His accounts provide historians with an important image of Gupta society.

Kalidasa: Poet-dramatist of Gupta period, wrote in Sanskrit, often compared with Shakespeare for the depth of characters and beauty of language, wrote *Shakuntala*.

University of Nalanda: Founded in the 5th century. Although Buddhist in its orientation, tolerated all creeds and attracted students from throughout Asia.

Aryabhata: 5th century, most famous Gupta scientist, who discussed in verse, quadratic equations, solstices and equinoxes, along with the spherical shape of the earth and its rotation.

Rajputs: Fierce warriors, descendants of invading Central Asian tribesmen. Carved out kingdoms in northern India in 7th c.

Chola Kingdom: Located on southwestern coast of India, engaged in commercial and cultural exchanges with China and Southeast Asia.

Firdawsi: (940-1020) Scholar/poet at the court of Mahmud of Ghazni. Wrote the great Persian poem, the *Shahnamah*.

Delhi Sultanate: Muslim center for control of India. Reached peak in 13th century. Noted for patronage of the arts.

Timur: (Tamerlane) Turco-Mongol warrior, suppressed Delhi Sultanate, 1398.

- Urdu:** An example of the cultural integration achieved under the Muslims. Urdu is a language that incorporates Persian, Arabic, and Turkish words, with Hindi grammatical construction and Arabic script.
- T'ang Dynasty:** Ruled 618-906, a political consolidation of China that, despite repeated invasions and threats, saw a flowering of Chinese culture and economy.
- Sui Dynasty:** Ruled 598-618, barbarian monarchs of the north who put an end to three centuries of relative disorder and converted to Buddhism. Cruelty, oppression cut reign short.
- Empress Wu:** Concubine of second and third T'ang emperors who controlled the government at the turn of the 8th century, consolidated dynasty, expanded territory, overthrown, 712.
- Grand Canal:** Impressive 650-mile canal between Hangchow and Tientsin. Built during T'ang Dynasty, facilitated trade and commerce.
- Chang'an:** T'ang capital, eastern terminus of silk route. Covering 30-square miles, Chang'an was the largest planned city in the world. Designed in a grid pattern, it had wards, surrounded by walls. "West Market" dealt in foreign goods, offered foreign entertainers and magicians; "East Market" sold domestic items.
- Mulan:** 9th-c. T'ang ballad, typical of a genre that depicted women as strong, active, and ready to fight against convention. The original Mulan story told of a loyal daughter who dresses as a man and goes off to war, in order to save her father from conscription. Twelve years later, after fighting the barbarians, she returns to her village and appears before her soldier-colleagues, surprising them with her true identity. The ballad portrays her as taking initiative, mastering the world of men, but ultimately remaining the Confucian daughter.
- The Understanding of History:** A T'ang-era study that stressed the need for analysis and evaluation in the narration of events.
- Li Po:** Perhaps the most famous of the 3,000 recognized poets of the era, lover of pleasure.
- Wu Tao-tzu:** Landscape painter of T'ang Dynasty.
- eunuchs:** Later T'ang emperors effectively ceded their power to eunuchs, castrated males who were formerly harem servants.

Sung Dynasty: Line founded by a military leader of the northern Chou in 960 that reunited China and ruled until 1279.

Wang An-Shih: 1021-1086, carried on thoroughgoing economic and social reform to cut budget, make for efficiency. He enforced state controlled interest rates on agricultural loans, fixed prices, provided unemployment benefits, established pensions, reformed examination system. Evoked fanatic opposition from conservatives. Reforms lasted one generation.

Chu Hsi: 1129-1200, founded new philosophic school bringing together mystical popular faiths of Buddhism and Taoism with Confucian practicality. Believed in disciplined reason.

Neo-Confucianism: Chu Hsi's synthesis, which helped spark significant advances in experimental and applied science.

Koryo Dynasty: Ruled united Korea, 913-1392. It increased centralization of the bureaucracy and social stratification.

Ainu: Indigenous inhabitants of Japan. Migrating Japanese tribes expanded, killed, and displaced native Ainu. This process of pushing the Ainu to the margins of society has continued into the modern era.

Jimmu: Chieftain of tribal state, described as descendant of sun goddess, c. 660 B.C.E., who began the current line of Japanese emperors.

Shinto: Japanese religion, "Way of the Gods," a simple worship of natural forces and ancestral spirits with no organized priesthood or ethical system. Chieftains served as both priests and war leaders.

Yamato Clan: Probably the most powerful ruling group, 200-600, from which the line of Japanese emperors has derived.

Taika Reformers: Reform group that seized power in 645 and instituted the absolute authority of the emperor, centralized bureaucracy, legal code, standing army, and land tax.

Heian Period: 794-1185, marked move of capital to Kyoto, where it would remain until the 19th century. Brought c. 350 years of stability, growth, "peace and tranquility."

Fujiwara Family: By 10th-century source of hereditary regents who ruled the country for figurehead emperors, established system that has continued, in various forms, to the present.

bushi: Warrior lords who controlled network of feudal relationships that sprouted after

1000. Their value system, ***Bushido***, stressed courage, endurance, discipline and loyalty unto death.

samurai: Mounted warriors who served the bushi. Rough equivalent of European knights. Earliest samurai were probably members of the hereditary Heian aristocracy who organized their own bands of social outcasts and outlaws, including hunters and criminals in order to fight the Northeastern tribes along with pirates and bands of bandits. Refined codes of behavior emerged later.

Lady Murasaki: Wrote *The Tale of Genji*, c. 1000, example of specifically Japanese literature that breaks through the barriers to personal emotion seen in Chinese literature.

Yorimoto: Leader of the Minamoto clan who forced the emperor to grant him the title of shogun in 1185. Established capital at Kamakura.

shogun: “Generalissimo,” leader who paid symbolic tribute to emperor, actually governed country after 1185.

Uighur Empire and Tangut State: Two major Turk states, partially urbanized but with large nomad populations. The Tanguts succeeded the Uighurs in the 9th century. Both states prospered from overland trade.

Mongols: Empire that rose in first half of 13th century to establish by 1350 the largest empire in world history. Steppe nomads who came together under superior leadership to dominate Eurasia from the Pacific to the Danube.

Pax Mongolica: Period of Mongol domination in the 13th and 14th centuries, characterized by peace, trade, commerce, and travel throughout Eurasia.

Temujin or Genghis Khan: “Man of iron” or “unquestioned leader.” After struggling to survive in the face of his enemies, became Khan of all the Mongols in 1206. Ruled until assassination in 1227.

Kublai Khan: Ruled 1260-1294, grandson of Genghis Khan. Moved capital from Karakorum to Peking, proclaimed self founder of the Yuan Dynasty. By paying attention primarily to Chinese affairs, weakened overall Mongol unity.

Yuan Dynasty: Ruled 1260-1368, Mongol rule in China.

Marco Polo: c. 1254-1324, Venetian traveler who spent 17 years in Kublai Khan’s court, dictated story to fellow prisoner of war in Genoa on return.

John of Piani Carpini: Missionary sent by the Council of Lyons in 1245 with the Pope's blessing to Karakorum to convert Mongols.

DISCUSSION

Why was the Gupta period known as a “golden age” of Indian art and literature?

Consider the pattern of northern invaders thrusting themselves on the civilized, slightly corrupt south. Can one make the argument that an occasional barbaric infusion produces renewed cultural growth?

What was the impact of the disorderly times from the 3rd to the 6th century in promoting the spread of Buddhism in China?

T'ang rulers, especially the concubine Empress Wu, perfected a highly centralized government with a renewed documentary base. Why didn't it last? In this regard, consider especially the role of eunuchs in Chinese government.

Discuss the areas of Chinese scientific and technical advances during the T'ang and Sung dynasties. Do you find any correlation between superiority in this area with the advanced state of commercial development?

Consider the evolution of Japanese society and culture, especially after it began to consciously adapt Chinese models. After your overview, especially taking Lady Murasaki's work into account, do you think the Japanese are a purely derivative society?

PRIMARY DOCUMENT/CRITICAL THINKING EXERCISE

Fa-Hsien, a Chinese Buddhist monk, visited Gupta India, noting Buddhist practices there in the 5th century. Summarize his impressions. Which observations might apply universally to any religious community? Which ones are unique to India, Buddhism, or the 5th century?

Read the account of “A Mamluk Officer in Hülegü's Camp.” What does Al-Malik al-Ashraf ask for, and why? How do Hülegü and Doquz Khatun respond? What evidence of deference is noted in the story?

Look at the Ebstorf Mappamundi. What do the terms “Gog and Magog” mean? How are they depicted in the map? What does the wall in the map symbolize? Are any other symbols recognizable?

TESTING

The Gupta period was a Golden Age for India, not to be matched for a thousand years. What achievements made it a Golden Age? Why were the Guptas unable to continue their rule?

Discuss T'ang economic growth. How can you account for the growth of commercial activity, even though the merchant class remained at the bottom of the social ladder?

Compare and contrast the governmental, societal, and economic systems of the T'ang Dynasty in China and the Heian period in Japan. What did the Japanese accept from China? What did they reject?

How could little more than one million Mongols, of which one tenth were soldiers, impose their control over such a vast area? Briefly discuss the administrative structure of the Mongols at the peak of their Eurasian dominance.

LECTURE LAUNCHER

It is well worth re-emphasizing the “Memorial on the Crop Lands Measure” from this chapter. It shows the continual problems governments face, in any civilization, in terms of allocating resources and rewards to the people at large. The parallels of the ongoing concerns of any government in ensuring food production and supply in both good times and bad are striking. Whether talking about the policies of the United States Department of Agriculture, especially during the Great Depression of the 1930s, or China in 1069 during the reign of the Emperor Shen-tsung, the problems remain the same: how to deal with feeding the citizenry. Wan-An-Shih wrote the “Memorial on the Crop Lands Measure” in 1069. This is taken from *Sources of Chinese Tradition*, compiled by William T. De Bary, Wing-tsit Chan, and Burton Watson. (New York: Columbia University Press, 1963), pp. 475-476.

The cash and grain stored in the Ever-Normal and the Liberal-Charity granaries of the various circuits, counting roughly in strings of cash and bushels of grain, amount to more than 15,000,000. Their collection and distribution are not handled properly, however, and therefore we do not derive full benefit from them. Now we propose that the present amount of grain in storage should be sold at a price lower than the market price when the latter is high; and that when the market price is low, the grain in the market should be purchased at a rate higher than the market price. We also propose that our reserves should be made interchangeable with the proceeds of the land tax and the cash and grain held by the Fiscal Intendants, so that conversion of cash and grain may be permitted whenever convenient.

With the cash at hand, we propose to follow the example set by the crop loan system in Shensi province. Farmers desirous of borrowing money before the harvest should be granted loans, to be repaid at the same time as they pay their tax, half with the summer payment and half with the autumn payment. They are free to repay either in kind or in cash, should they prefer to do so if the price of grain is high at the time of repayment. In the event disaster strikes, they should be allowed to defer payment until the date when the next harvest payment would be due. In this

way not only would we be prepared to meet the distress of famine, but, since the people would receive loans from the government, it would be impossible for the monopolistic houses to exploit the gap between harvests by changing interest at twice the normal rate.

Under the system of Ever-Normal and Liberal-Charity granaries, it has been the practice to keep grain in storage and sell it only when the harvest is poor and the price of grain is high. Those who benefit from this are only the idle people in the cities.

Now we propose to survey the situation in regard to surpluses and shortages in each circuit as a whole, to sell when grain is dear and buy when it is cheap, in order to increase the accumulation in government storage and to stabilize the prices of commodities. This will make it possible for the farmers to go ahead with their work at the proper season, while the monopolists will no longer be able to take advantage of their temporary stringency. All this is proposed in the interests of the people, and the government derives no advantage therefrom. Moreover, it accords with the idea of the ancient kings who bestowed blessings upon all impartially and promoted whatever was of benefit by way of encouraging the cultivation and accumulation of grain.

THE INSTRUCTOR'S TOOL KIT

AUDIO CASSETTES

Bhagavad-Gita. The Song of God. Caedmon

COROLLARY READING

Peter N. Stearns, Stephen S. Gosch, Erwin P. Grieshaber, *Documents in World History*, I

“Unfit to Draw the Bow”: Peasants and Poets in Tang China

Tu Fu; Po Chü-Yi; Liu Tsung-Yüan; P'i Jih-Hsiu

“The Noble and Magnificent City of Hangzhou”: Marco Polo in China

The Travels of Marco Polo

Valor and Fair Treatment: The Rise of the Samurai

The Tale of the Heike; Hojo Shigetoki

Chinggis Khan and the Rise of the Mongols

Juvaini; Russian Chronicles; Rashid al-Din; William of Rubruck

Global Contacts: Travelers to Holy Places

Buddhist, Christian, and Muslim Pilgrims

Egeria; Shaman Hwiu-Li; Ibn Jubayr; al-Umari

Global Contacts: Sailing to Calicut
Chinese and Portuguese Voyages
Ma Huan; Journal of the First Voyage of Vasco da Gama

COURSE ENHANCEMENT

Each chapter in the textbook includes extensive lists of supplementary material:

- Films and videos
- Web destinations
- Literature from the period
- Suggestions for further reading

COMPANION WEBSITE – www.ablongman.com/brummett

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CHAPTER 11

The Americas to 1492

CHAPTER OUTLINE

INTRODUCTION

1. American civilizations followed same developmental sequences as did Africa and Eurasia.
2. Mayans, Aztecs and Incas attained high level of accomplishment without iron, draft animals, alphabet, or known contact with other high civilizations.

I. ORIGINS OF AMERICANS AND THEIR CULTURE

- A. Nomadic migrations from Asia to Alaska across Bering Strait land bridge, 40,000-20,000 B.C.E.
 1. Land bridge disappeared due to global warming which melted ice, raised water levels
 2. Possibly other migrations by sea from Iceland, Greenland, across Pacific
- B. According to recent archaeological research, humans settled in America earlier than previously believed
 1. Lived in North America about 20,000 years ago
 2. Reached Chile by 10,500 B.C.E.
 3. Founded Caral (Peru), first city, c. 2600 B.C.E.
 4. Branched into 8 major ethnolinguistic groups, hundreds of subgroups
 5. Reached population of 75 million by 15th c., but then suffered sharp decline due to climatic change and foreign diseases
- C. Agriculture developed later than in Near East
 1. Maize cultivated in Tehuacán valley of Mexico c. 5000 B.C.E.
 2. Became staple crop from Mississippi Valley to Argentine pampas, 1000 B.C.E.
- D. Variety of cultures among *Amerindians*
 1. Mound Builders of Mississippi Valley, Pueblos of southwest, Iroquois Confederacy of eastern woodlands
 2. Mature civilizations: Mayans, Aztecs, Incas
 3. Hunter-gatherer groups: Eskimos, Iroquois
- E. African, Eurasian, Amerindian cultures followed similar development patterns
 1. Paleolithic hunting and food-gathering
 2. Mesolithic semi-fixed communities
 3. Neolithic food production

4. Settled communal life, urban centers, political states
5. Theocratic systems, sun cults, human sacrifice, monarchy

II. EMERGING CIVILIZATIONS IN MESOAMERICA

A. Formative Period (to 150 C.E.)

1. **Mesoamerica** includes Mexican and Central American cultures after 1200 B.C.E.
 - a. Faced different environments, tied by economic interdependence
 - b. Shared many aspects, including complex calendar, hieroglyphic writing, chocolate bean money, team games with hard rubber ball, common legends
2. **Olmec** civilization
 - a. Began c. 1200 B.C.E. near Vera Cruz, covered five regions in Mexico
 - b. Remarkable for its wealth, technical efficiency, artistic sensitivity
 - c. Produced great stone buildings, pyramids, stone heads, jade carving
 - d. Little evidence of war, violence
 - e. Priestly classes ruled, merchants held high position
 - f. Laid foundations for religion, art, architecture, ball games, and possibly calendars, mathematics, writing systems of later Mesoamerican civilizations

B. The Classical period in Northern Mesoamerica (150-900 C.E.)

1. Golden, classical age marked by achievements
 - a. Written communication across region
 - b. Complex time reckoning
 - c. Interregional trade
 - d. Population explosion
2. **Teotihuacán**, world's sixth largest city, c. 500 C.E.
 - a. Population over 125,000
 - b. Pyramid of the Sun: base 650 feet, height 213 feet, terraces, ceremonial staircases
 - c. Wealthy city with elite of priests, officials, military leaders, merchants
 - d. Dominated other states
3. Monte Alban in Oaxaca valley, like Teotihuacán, remained independent

C. Classical **Mayan Civilization**

1. Mayan people in Yucatan, Guatemala produced highest achievements of classical era
 - a. Adopted many ideas and practices from Teotihuacán
 - b. Built temples, palaces, observatories
 - c. Overcame barren soil through irrigation and terracing
 - d. Grew squash, chili peppers, maize
 - e. Produced and traded metalwork, cotton cloth, chipped stone tools
 - f. Media of exchange for trade included cocoa beans, polished beads, salt, cloth
2. Mayan society rigidly stratified
 - a. Governed by hereditary priest-king, considered descendant of sun god
 - b. Merchants, craftsmen privileged

3. Religion permeated all aspects of life
 - a. Some human sacrifice
 - b. Law, taxation had religious purpose
 - c. Education to train priests
 - d. Mayans more ritualistic than scientific
4. Important achievements
 - a. **Writing system**
 - b. **Calendar**
 - c. Sophisticated mathematics based on 20
 - d. Magnificent art, architecture: sculpture, mural painting
 - e. Fine crafts: weaving, ceramics, jewelry

III. THE POSTCLASSICAL ERA IN MESOAMERICA

A. The *Toltecs*

1. Widespread upheavals ended classical Mesoamerican civilization, 9th century C.E.
 - a. Causes not fully understood: overpopulation, internal struggles, barbarian invasions (Chichimec)
 - b. Trade continued, interstate competition, militarism, war
2. Toltecs arose in Valley of Mexico
 - a. Topiltzin, legendary king, credited with founding capital Tollan
 - b. Expanded holdings by trade, conquest, to include everything from Gulf of Mexico to Pacific
 - c. Used cistern technology to combat dry conditions in northern Yucatán

B. The *Aztecs*

1. Borrowed culture, religion, technology of neighbors
2. Developed hydraulic agriculture; led to population explosion
3. **Tenochtitlán**, center of Aztec culture, now Mexico City
 - a. Causeways connected islands with mainland
 - b. Dam controlled lake level; aqueduct brought fresh water
 - c. Food grown in irrigated fields on artificial islands
 - d. Impressive avenues, temples, monuments
4. Aztecs built a confederacy of neighboring city-states
 - a. Began as tributary of Atzacapotzalco
 - b. Joined with Tecoco and Tlacopán to break away from Atzacapotzalco
 - c. Power shifted from old clan leaders to military aristocracy
 - d. Tenochtitlán dominated area, conquered others, made trading agreements
5. Itzcoatl (1427-40), **Moctezuma I** (1440-68) centralized government, expanded
6. Social structure
 - a. *Calpulli* (clans) identified largely by occupational specialties
 - b. Peasants worked plots, served in army
 - c. Merchants, craftsmen had guilds, exempt from military service
 - d. Nobles (*pipiltin*) and priests controlled land
 - e. Priests at top of society

- f. Numerous slaves
- 7. Recent archaeological evidence reveals burgeoning society
 - a. Population explosion, 1150-1519
 - b. Farmers built dams, canals, terraced hillsides, drained swamps to increase food supply
 - c. Adobe brick houses
 - d. Woven cloth garments used as tribute
 - e. Paper made from bark of wild fig tree
- 8. Aztecs shaped by war, conquest
 - a. Emperor, war leader, hereditary despot, seen as incarnation of sun god
 - b. Realm split into provinces, ruled by governors
 - c. Vassal states kept own laws, but resident Aztec officials watched them
- 9. Aztec religion involved worship of animistic spirits, symbolizing natural forces
 - a. Huitzilopochtli (sun god) believed to require human blood to sustain life
 - b. Tlateloco (god of rain)
 - c. Pyramids built to honor gods, conduct ceremonies with human sacrifices
 - d. Need for sacrifice victims led to further conquests
- 10. Aztecs were like Romans
 - a. Borrowed heavily from earlier civilizations
 - b. Showed less imagination than Mayans, Greeks
 - c. Emphasized discipline, practicality, force
 - d. Excelled in engineering
 - e. Exhibited militaristic spirit, kept large standing armies

C. The Inca

- 1. Political system surpassed Mayan and Aztec structures
 - a. Ruled from Andes highlands, extended 3500 miles from Ecuador to Chile
 - b. Capital at Cuzco
 - c. Population of 10 million included 200 ethnolinguistic groups
 - d. System more centralized than any in Europe
- 2. ***Inca Empire*** developed rapidly in 15th century
 - a. Built on cultural roots of earlier Peruvian kingdoms
 - b. Dynamic leadership of Viracocha (d. 1438), Pachacuti (1438-1471), Topa Yupanqui (1471-1493), Huayna Capac (1493-1527)
- 3. Culture marked by thorough integration
 - a. Unprecedented internal cohesion in harsh setting
 - b. Remarkable engineering: canals, aqueducts, roads, suspension bridges
 - c. Sophisticated organizational skills held empire together
 - d. Communication system featured state-built roads, runners, rest houses, smoke signals
 - e. Common official language, cult of divine monarchy
- 4. State-controlled economy with highly defined class structure based on kinship
- 5. Women filled many roles
 - a. Upper class women had social status, widows could inherit, subordinate to men
 - b. Female commoners worked in fields

- c. Concubines, surplus wives
 - d. “Virgins of the sun” served as nuns, weavers in temple workshops
- 6. Authority rested with hereditary divine emperor
 - a. Regulated all aspects of life
 - b. Powerful army with compulsory service
- 7. Inca religion appropriated gods, ceremonies of conquered people
- 8. **Pachacuti** (1438-1471) laid foundations for Inca Empire
 - a. Established control over Cuzco area, Titicaca basin
 - b. Adopted **Quechua** as administrative language
 - c. Reformed calendar
 - d. Promoted terracing, irrigation to increase crop production
 - e. Expressed belief in universal creator (Viracocha)
- 9. Inca had no written records
 - a. Relied on oral tradition, largely lost after Spanish conquest
 - b. **Quipu**, knotted strings, used to keep accounts, records
- 10. Greatest achievements: engineering, massive architecture

IV. THE AMERINDIANS OF NORTH AMERICA

- A. Amerindians exhibited great diversity in North America
 - 1. Over 200 distinct languages
 - 2. Small bands to well-organized states
 - 3. Paleolithic, Neolithic societies
 - a. Did not create large cities, massive technological, governmental achievements as Mesoamericans did
 - b. Hunting, fishing, some agriculture
- B. The **Iroquois** of the Northeast Woodlands
 - 1. Lived in area of upper New York State, created distinctive culture by 1000 C.E.
 - 2. Formed confederation, known as **League of the Five Nations**, with Oneida, Onondaga, Cayuga, Seneca, and later Tuscarora
 - 3. Subjugated nomadic, food-gathering Algonkians
 - 4. Cultivated crops: maize, beans, squash, tobacco
 - 5. Used smokehouses to preserve meat
 - 6. Longhouse, traditional community dwelling
- C. The **Adena** and **Hopewell** Cultures of Ohio Valley
 - 1. Included area from Missouri River to Appalachians, Great Lakes to Gulf of Mexico
 - 2. Adena built circular houses using poles, mats, thatching; Hopewell built oval houses, with roofs of skin, bark, thatch, and clay
 - 3. Had sophisticated view of afterlife
 - 4. Built mounds as burial sites
 - 5. Made tools, pottery, copper jewelry

- D. The Mississippian Culture located in Mississippi and Plains areas
1. Wattle-and-daub houses made of thin pieces of wood (laths), covered with clay
 2. Grew maize, beans, squash
 3. Religion tied to planting, harvesting, became increasingly complex
 4. Distinctive burial mounds
 5. Site at Cahokia, Illinois
 - a. Has village 6 miles long, with 80 burial mounds
 - b. Probably largest city in North America in 13th c.
- E. The Mogollon, Hohkam, and Anasazi Cultures of the Southwest
1. Produced advanced levels of technology in response to environment
 - a. Adobe brick homes
 - b. Artistic pottery
 2. **Mogollon** culture (300 B.C.E. to 1350 C.E.), around southwestern New Mexico
 - a. Large underground buildings
 - b. Developed diversified economy due to threat of drought
 3. **Hohokam** culture, around valleys of Salt and Gila Rivers
 - a. Homes built low to ground
 - b. Impressive network of canals
 - c. Substantial social organization
 - d. Adopted religion, burial practices, games of Mesoamericans
 4. **Anasazi**, appeared 300-1300, covered area from Utah to Gulf of California
 - a. Built homes in shape of beehived domes made of logs with mud-like mortar
 - b. Grew maize, made pottery
 - c. Innovative forms of irrigation: runoff, subsoil
 - d. Architectural achievements: cliff dwellings with 500 units, largest residential building prior to 1882 apartment house in New York
 - e. Drought, internecine conflict, arrival of Navajo probably contributed to Anasazi disappearance
- F. The Navajo, the Apache, the Mandan
1. **Navajo**, largest tribe in US, appeared in 11th century, borrowed from indigenous cultures
 2. **Apache**, arrived in late 16th century, influenced by cultures of southeast
 3. **Mandan**, inhabited Missouri River Valley in late 14th century
- G. The Far North: Inuit and Aleut
1. Inuits and Aleuts similar, probably split apart 4000 years ago
 2. **Aleuts**
 - a. Lived in Aleutian Islands, Alaskan Peninsula
 - b. Fished, hunted sea lions, otters, seals
 - c. Used *kayaks*, small, wooden framed boats, covered with skins
 3. **Inuits** (Eskimos)
 - a. Lived in area south of Arctic Circle, across northern Canada
 - b. Fished, hunted caribou, musk-ox, walruses, whales

- c. Used *kayaks*, canoes, dogsleds, *umiaks* (boats for whale hunting)
- d. Early settlement near Nome

CONCLUSION

1. Amerindians produced a rich variety of highly sophisticated, complex civilizations.
2. Mexican, Central and South American agriculture supported growing population.
3. North American environment had harsher conditions, fewer agricultural surpluses.
4. Some Indians remained hunter-gatherers.
5. Climate changes, pandemics reduced population (perhaps by 80% by 1650).

CONCEPTUAL HOOKS

TIMELINE: 1000 B.C.E. - 1500 C.E.

Amerindians: The peoples who crossed the Bering Strait land bridge over 10,000 years ago, who spread all the way to the tip of South America. In the process, they split into hundreds of ethnic and linguistic groups as they adjusted to their surroundings.

Mesoamerica: The related post-1200 B.C.E. Mexican and Central American cultures that developed in a bewildering diversity of climates. Tied by economic interdependence, a complex calendar, hieroglyphic writing, bark paper deerskin books, team games, large markets and common legends. Three eras: formative (to 150), classical (150-900), postclassical (900-1492).

Olmec: Complex civilizations that emerged c. 1000 B.C.E., that lasted until the end of the 4th century B.C.E. Noted for large building projects, colossal sculptured stone heads. Basis for later Mayan and Aztec civilizations.

Teotihuacán: Center of most notable early classical culture, peaked c. 500 C.E. with population between 125,000-200,000 people, largest man-made structure in New World, Pyramid of the Sun.

Mayan civilization: Based in south Yucatán, Guatemala, the most splendid cultural achievement of the classical era, and perhaps of native American societies in any time. Many Mayan centers possessed great temples, observatories, ball courts. Built on strong economy of agriculture, handicrafts, and long-distance trade. Typical ruler, hereditary priest-king, considered descendant of sun god, aided by massive bureaucracy.

- Writing systems, calendar:*** Based around demands of the Mayan religious hierarchy to honor heavenly deities. Perfected a solar calendar with 18 months of 20 days each and a 5-day period for religious festivals. Used a 20-based number system, pictographic and glyphic symbols.
- Toltecs:*** After 9th-century collapse of Mesoamerican classical civilization, semi-civilized group known as Toltecs came into Valley of Mexico, spread to Central America.
- Aztecs:*** A somewhat recent and crude version of previous, more developed civilization. Major contribution they made was irrigation, a development that increased the population around Tenochtitlán to more than 400,000. Aztec power supreme until destroyed by Cortés in 1521.
- Tenochtitlán:*** Center of Aztec civilization, site of present-day Mexico City. Established c. 1325 on island in Lake Texcoco, with causeways to mainland. Aztecs built dam, aqueduct, floating islands for crops, beautiful avenues, canals, temples, and monuments.
- Moctezuma I:*** Ruled 1440-1468, defined extended Aztec Empire. Set up extremely centralized economy and social structures, complete with government regulated horticulture, strong priesthood.
- Inca Empire:*** Began forming c. 600 C.E., reached peak at time of Spanish arrival in early 1500s, extended 2700 miles along Pacific coast line from Ecuador to Chile, an area six times the size of France. An ultimately centralized and regulated country that rivaled Rome for administrative complexity and efficiency.
- Pachacuti:*** Ruled 1438-1471, greatest Incan king, consolidated power in realm, perfected integration of all aspects of culture to achieve sufficiency in extremely harsh environment.
- Quecha:*** Most widely spoken Indian language in Americas. Pachacuti adopted it for administrative purposes in 15th century.
- quipu:*** Knotted strings used by Incas to keep records.
- Iroquois:*** Indians of northeast woodlands, developed distinctive culture by 1000 C.E. Warlike, subjugated or allied with neighbors, dominated area from Great Lakes to Atlantic.

League of the Five Nations: Confederation of Indians in eastern North America, including Iroquois, Oneida, Onondaga, Cayuga, and Seneca. Tuscarora joined in the 18th century, creating League of Six Nations.

Adena, Hopewell: Indians of the Ohio River Valley

Mogollon, Hohokam, Anasazis: Amerindians of Southwest, 300-1350.

Navajo, Apache: Amerindians of Southwest after 1000.

Mandan: Amerindians of Missouri River area.

Inuits: Eskimos, Amerindians of northern North America.

Aleuts: Amerindians of Aleutian Islands, Alaskan Peninsula.

DISCUSSION

Why were the peoples of Mesoamerica able to attain such sophisticated accomplishments in the realm of calendars and architecture, governmental competence over a broad area, and complex religions, and yet be successively eradicated so quickly, including the final impact of the Europeans?

How were the Incas able to build such a complex, centralized empire in a mere century?

Compare and contrast the achievements of the Amerindians of North America, Mesoamerica, and South America. What common characteristics did they share, and how were they unique?

PRIMARY DOCUMENT/CRITICAL THINKING EXERCISES

Read Father Bernabé Cobo's "Pachacuti, the Greatest Inca." What accomplishments are noted? What were the foundations of his majesty? Terror? Intelligence? Cruelty? Why would Father Bernabé Cobo be so favorably impressed with Pachacuti?

Identify the different types of clothing, buildings, animals, and activities in the "Toltec Map of a Mayan City." What do these differences suggest?

Explain the significance of various religious practices in early Amerindian cultures. Discuss specifically the worship of the sun, human sacrifices, pyramid building, burial of the dead.

TESTING

Compare and contrast the religious, political, economic, and social structures of the Mayans, Aztecs, and Incas. Discuss their cultural achievements and contributions. As you look at the diversity of these peoples, how do you account for the differences? How much does environment play a role in societal development?

Compare and contrast the achievements and concerns of the Iroquois, Anasazi, and Inuit. How did environment affect their cultures?

LECTURE LAUNCHER

About 1200 B.C.E., the Greek city-states engaged in the Trojan Wars, ancestors of the Celts roamed northern Europe, the Shang Dynasty ruled in China, and the New Kingdom of Rameses II's successors began to wane in Egypt. At the same time, the Olmec civilization developed in Mesoamerica. Farmers cultivated maize, beans, and squash. Workmen transported basalt boulders, then sculpted them into thrones and massive head, without the metal tools.

In the 5th century C.E., as the Roman Empire declined, Clovis became King of the Franks, and the Guptas produced beautiful temple cave paintings in India, the huge city-state of Teotihuaca flourished in Mexico. A city of pyramids eight miles square, it had 23 temples. The people worshiped Quetzalcoatl, a feathered serpent god. A little later the Mayans thrived under rulers who traced their ancestry to the gods. They developed a hieroglyphic system of writing, the concept of zero, and an elaborate calendar.

In the mid-14th century, when the Hundred Years' War and Black Plague were breaking out in Europe, Mansa Musa was making his famous pilgrimage to Mecca, Osman I was founding a Turkish Empire, and Chu Yuan-Chang was founding the Ming Dynasty in China, the Aztecs were settling Tenochtitlán. The majestic island city with its many dikes and causeways became the home of 200,000 people.

THE INSTRUCTOR'S TOOL KIT

AUDIO CASSETTES

Pre-Colombian Instruments. Folkways FE 4177 (presents the sounds of authentic Aztec instruments taken from tombs).

Music from the Spanish Kingdoms (c. 1500). Ensemble CRD 3447

Traditional Music of Peru, rec. By Babs Brown and Samuel Marti, c. 1956. Folkways, FE 4456

COROLLARY READING

Peter N. Stearns, Stephen S. Gosch, Erwin P. Grieshaber, *Documents in World History*, I
The Mayan Creation Story
Popul Vuh
Tribute under the Aztecs
Oviedo y Valdés, Historia General y Natural de la Indias

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CHAPTER 12

The Islamic Gunpowder Empires, 1300-1650

CHAPTER OUTLINE

INTRODUCTION

1. Mongol invasions declined in 14th century.
2. “***Gunpowder empires***” (Ottoman, Safavid, Mughul) flourished in 16th century.
 - a. Built on Turco-Mongol military organization
 - b. Used gunpowder weapons
 - c. Crafted cultural synthesis on pre-existing civilizations
 - d. Formed part of trading network that reached from Atlantic to Pacific
3. Europeans had little influence on Asians, who regarded them with disdain.
4. Dominant Asian empires later challenged, supplanted by European states.

I. NEW POLITIES IN EURASIA

A. Overview

1. New Muslim world developed in Asia
 - a. Cultural center was Persia, ***Safavid Dynasty***
 - b. Center of wealth, ***Mughul Empire*** in India
 - c. Military might found in ***Ottoman Empire***
2. All shared Islamic faith, common steppe antecedents, Persian artistic tradition

B. Background: The ***Steppe Frontier***

1. Muslim strength rose as Mongols collapsed
2. Chaotic times, seen in rise of ***Timur the Lame*** (Tamerlane)
3. Armies with firearms gained advantage over tribal cavalries

II. THE OTTOMAN EMPIRE

A. Early Ottomans

1. Origin myth to legitimize kingship
 - a. Osman, valiant warrior, fell in love with daughter of Sufi *shaykh*
 - b. Ottomans falsified genealogy, linking them to Prophet Muhammad
2. Won independence from Seljuqs, took half century to recover from Timur’s blows
3. Expansion resumed under ***Mehmet II*** (Constantinople, Romania, Crimea), ***Selim I*** (Kurdistan, Northern Iraq, Syria, Egypt)

4. **Bayezid II** gained more power, prestige
 - a. Built powerful fleet
 - b. Control of Egypt brought Cairo, grain, wealth, trade
 - c. Claimed title “Custodian of the Holy Cities” (Mecca, Medina)
 - d. Dominated eastern Mediterranean trade
5. Ottoman power peaked under **Suleiman** (1520-1566)
 - a. Most-feared ruler of Renaissance generation
 - b. Took Belgrade, Rhodes, Hungary at **Mohacs**
 - c. Permitted former enemies to submit to Ottomans and retain posts
 - d. Expanded to Persian Gulf, moved toward India
 - e. Could be harsh, executed son, grandson
 - f. Lived in pomp and splendor
 - g. Known in Europe as “the Magnificent,” known at home as “the Lawgiver”
6. Sultan’s rule based on Persian ideal “circle of justice”
 - a. Justified strong army to secure kingdom’s prosperity, security
 - b. Justified taxation of citizens to provide money for army
 - c. Required sultan to provide security and justice for citizens

B. The Empire Under Suleiman

1. Mightiest state of 16th century, extended from Poland to Yemen, Persia to Tripoli
 - a. Multicultural, included Magyars, Armenians, Bosnians, Albanians, Greeks, Tatars, Kurds, Arabs, Copts, Jews, Turks
 - b. Grain surpluses gave Ottomans power in areas that faced shortages
 - c. Annual revenues higher than in European states
2. Sultan had to delegate authority in large empire, officials totally dependent on sultan
 - a. **Pashas**: top military-administrative officials
 - b. **Sipahis**: fief-holders, brought cavalry contingents for military campaigns, at other times lived on their lands (*timars*), looked after local affairs, taxes
 - c. **Pashas (beys)**: provincial governors, highest-ranking commanders
3. Sultan maintained central bureaucracy
 - a. **Vizir**: chief minister
 - b. **Divan**: advisory council, subordinate to sultan
4. Slave (**kul**) system, key factor to Ottoman success
 - a. Ottomans required annual levy (*devshirme*) of boys from non-Muslim subjects in empire, especially in Balkans
 - b. Boys brought to capital, converted to Islam, taught Turkish
 - c. Most went into **janissaries**, infantry corps armed with gunpowder weapons
 - d. Most talented rose to highest military, administrative positions
 - e. Produced cadre of expert, loyal administrators
 - f. “Slaves” through *kul* system controlled much wealth, power
 - g. Domestic and agricultural slaves also prevalent
 - h. Islamic law forbade enslaving fellow Muslims
5. **Harem**, sacred area of palace, forbidden to outsiders
 - a. Most women worked in fields, towns

- b. Only elite were veiled, secluded
 - c. Sultan's mother (*valide sultan*) influential, active in court politics
- 6. Religion integral part of society, but did not run government
 - a. Religious authorities (*ulama*) subordinate to sultan, government
 - b. *Grand mufti*, chief advisor to sultan, claimed authority over all Muslims
 - c. Sultan approved religious appointments
 - d. Religious scholars represented sultan as judges (*kadis*), dispensers of charity, teachers
- 7. Non-Muslims (*dhimmis*) regarded as inferior, but granted legal, religious toleration
 - a. Religious leaders responsible for community's civil obedience
 - b. Paid additional tax
- 8. Ottoman society divided roughly into categories, crossing gender, race, religion
 - a. *Reaya* (flock): tax-paying citizens
 - b. *Askeri*: military-administrative class
- 9. Politics revolved around access to sultan
 - a. Contention possible among mother, wives, sons
 - b. Eldest son did not automatically inherit throne
 - c. New sultan often had brothers executed to ensure stability
- 10. Several factors contributed to decline of Ottoman power
 - a. Enormous empire, difficult to communicate, govern
 - b. Long wars, failure to pay troops led to rebellion
 - c. Religious contention stemming from rise of Shiite Safavids in Persia

C. Artistic Production

- 1. Cultural renaissance, urban renewal under Mehmet II
 - a. Faith Mosque
 - b. Topkapi Palace: three courts reflected Ottoman concepts of power, space
- 2. Calligraphy highly decorative, creative

D. Challenges to Ottoman Supremacy

- 1. Cheap silver from Americas, population growth resulted in inflation, rebellions, mutinies
- 2. Less capable sultans, with exception of ***Murad III***
- 3. Reorganization, retrenchment, some military successes after 1566

III. THE SAFAVID EMPIRE IN PERSIA

A. Safavid Origins

- 1. Safi al-Din (c. 1252-1334), an Islamic Sufi, founded Safavid Dynasty
- 2. ***Shah Ismail*** (ruled 1501-1524)
 - a. Raised army, united Persia, conquered Iraq, challenged Ottomans
 - b. Only 14 when he won first victories
 - c. Head of Shiite Muslim sect
 - d. Troops known as "redheads" wore red headgear with 12 folds to honor 12 Shiite imams

- e. Sent missionaries, agitators to provoke Ottomans
- f. Launched campaign to convert Sunni Muslims, Persia became Shiite
- 3. Rulers used envoys to intimidate, placate, or try to gain information about foreign powers
- 4. Ottomans, with more and better gunpowder weapons, prevailed over Safavids
- 5. Later Safavid kings consolidated power, patronized arts, explored diplomatic, commercial ties with Europe

B. The Reign of Abbas the Great

- 1. Reign of **Shah Abbas** (1588-1629) considered “golden age”
 - a. Ascended throne at 17
 - b. Pragmatic politician, brilliant strategist, sensitive patron of arts
 - c. Persia wealthy, secure, creative
- 2. Built magnificent capital at Isfahan
- 3. Persia prospered
 - a. Government employed thousands
 - b. Government monopolies, especially silk, promoted crafts
 - c. Roads, bridges, irrigation projects promoted trade, encouraged agriculture
- 4. Worked with English to expel Portuguese from Ormuz
 - a. Facilitated exports to Europe by sea, bypassing Ottoman tolls
 - b. Silk trade extremely lucrative
- 5. Sufi Muslims carried religion to South and Southeast Asia
- 6. Persia unquestionably cultural center of Islam
 - a. Persian fine arts (ceramics, tapestries, carpets) prized
 - b. Persian literature contained rich imagery
 - c. Persian painting realistic
 - d. Khwaja Abdus Samad, Mir Sayyid Ali went to India to found Mughul school of painting

IV. THE MUGHUL EMPIRE IN SOUTH ASIA

A. Origins

- 1. After 7th century, Muslim rulers continued to spread eastward
 - a. Turkic warrior, Mahmud of Ghazna (c. 971-1030), controlled parts of Persia, Afghanistan, northern India
 - b. Muslim sultanates established on west coast of India
 - c. Muslim Delhi Sultanate ruled in 13th, 14th centuries until Timur
 - d. By 16th century subcontinent culturally, politically split
- 2. **Babur** “the Tiger” (1483-1530) attracted to weakened Delhi Sultanate
 - a. Turco-Mongol ruler of Kabul
 - b. Descendant of both Timur and Genghis Khan
 - c. Wrote memoirs, describing his talent, enjoyments
 - d. Used Turkish artillery in decisive victories over Afghan Sultanate at Delhi, Rajput Confederacy
 - e. Held dim opinion of Indian culture

3. Humayun, Babur's son, ruled 10 years, expanded holdings
 - a. Overthrown by vassal, Sher Khan
 - b. Sought refuge at shah's court in Persia
 - c. Shah helped Humayun return to power

B. The Reign of **Akbar** (1542-1605)

1. Succeeded his father Humayan when only 14 years old
2. United northern India, moved against Rajputs
3. Mughul Empire had 100-150 million subjects, more populous than Ottoman or Safavid
4. Concerned with morality, social justice
5. Tolerant toward non-Muslims, promoted cultural synthesis
 - a. Appointed Hindus to government positions
 - b. Married Rajput princess
 - c. Abolished *jizya*, head tax on non-Muslims
 - d. Forbade Muslims to kill or eat cows
6. Forbade Hindu child marriages, *suttee*
7. Held religious discussions with Muslims, Christians, Jews, Jains, Hindus, Zoroastrians
8. Proclaimed new religion, *Din-I Ilahi* (**Divine Faith**)
 - a. Eclectic, combined elements of all religions
 - b. Gained few adherents

C. The Mughul State and Its Culture

1. Highly organized, intrusive central administration
 - a. Purpose: supply taxes, troops
 - b. Used foreign-born Muslims, Hindus as military administrators (*mansabdars*)
 - c. Dependence on emperor promoted loyalty
2. Mughul Empire, wealthiest state in world
3. Muslim-Hindu cultural synthesis in early years of empire
 - a. Cosmopolitan intellectual realm
 - b. Emperors considered selves poets, scholars, bibliophiles
4. Beautiful illustrated manuscripts (e.g., *Hamzanamah*)
5. Mughul architecture fused Persian, Indic features: mosaics, bulbous domes, cupolas, slender spires, lofty vaulted gateways, formal gardens
6. **Taj Mahal**
 - a. Built by Shah Jahan as a tomb for his wife, Mumtaz Mahal, who died giving birth to 15th child
 - b. Best example of Mughul architecture

D. Akbar's Successors: Contesting the Hindu-Muslim Synthesis

1. Decline began after Akbar
2. Jahangir (1605-1627), learned, artistically sensitive, indecisive, wastrel, lost land
3. **Shah Jahan** (1628-1658) tried to regain lost land, raised taxes, oppressed peasants
4. Dara Shikoh (1659), Sufi, mystic, strove for cooperation with Hindus, alienated Muslim factions
5. **Aurangzeb** (1659-1707) brutal, intolerant
 - a. Seized power from brother, imprisoned father
 - b. Restored Sunni orthodoxy
 - c. Reimposed *jizya*
 - d. Enforced Sharia
 - e. Policies alienated Hindus, weakened Mughul hold on its diverse empire

E. The Mughul Social Order

1. Hierarchical society: Hindu caste system, military-administrative status
2. Position of women
 - a. Patriarchal societies predated Islam in India
 - b. Islamic influence improved position of women by forbidding female infanticide, allowing women to inherit
 - c. By social convention, women needed protection
 - d. Woman joined husband's family
 - e. Hindu woman expected to throw herself on husband's funeral pyre
 - f. Most people illiterate, few women received education

F. Networks of Trade and Communication

1. Remarkable flow of goods, knowledge, information despite hardships of travel
2. Scholars, artists, craftsmen traveled from court to court
3. Although Ottoman, Safavid, Mughul empires derived most of their income from agriculture, they prospered from trade
 - a. Boundaries flexible, indistinct
 - b. Rulers taxed traffic on key trade routes
4. Trading communities developed to facilitate flow of goods
5. Traders, travelers, scholars, artisans, envoys conveyed information vital to rulers
 - a. Sometimes only source of information
 - b. Sometimes months, years elapsed before information arrived

CONCLUSION

1. Asian empires of 16th century more impressive than European states
 - a. More manpower, resources
 - b. Toleration for dissenting religious minorities
 - c. Planned cities, adorned with artwork, water, sewage facilities
2. Europe possessed technological advantages (field artillery, oceangoing ships) important for future
3. “Gunpowder empires” dominated 1300-1650

CONCEPTUAL HOOKS

TIMELINE: 1300-1650

DEFINITIONS

gunpowder empires: Ottomans, Safavids, Mughuls built large, impressive empires in the 16th century. They incorporated gunpowder weapons in their armies, built on pre-existing civilizations, participated in Asian trading networks, and followed Islam.

steppe frontier: The grasslands/highway from near Lake Baikal to near Vienna, traveled by Asian nomads until 1500 C.E.

Safavid Dynasty: Persian, Shiite dynasty founded by Shah Ismail, ruled 1499-1524, that reigned from 1502 to 1736.

Mughul Empire: 1526-1858, dynasty that ruled India, established by the Turco-Mongol ruler of Kabul, Babur.

Ottoman Empire: c. 1300, ruled from Constantinople 1453-1920, after replaced the Seljuq holdings, the line of Osman began its expansion, which went on with few exceptions until 1566, dominated the Balkans and Near East until 1920.

Timur the Lame: c. 1336-1405, Turk claiming descent from Genghis Khan, led whirlwind campaign through western steppe, the Crimea, Persia, and parts of the Levant. Crushed Ottomans, northern India, and planned to advance on China.

Osman: 1280-1326, tribal leader, legendary founder of Ottomans, began to consolidate hold on northwestern Anatolia.

- Mehmet II:*** Ruled 1451-1481, Ottoman sultan who took Constantinople and expanded into the Balkans and Mediterranean. Erected magnificent Faith Mosque, Topkapi Palace.
- Selim I:*** 1512-1520, expanded Ottoman holdings to north and east and took Egypt.
- Bayezid II:*** Son of Mehmet II, late 15th century, built fleet, claimed title “Custodian of the Holy Cities,” increased control of trade, wealth, gain in Empire.
- Suleiman:*** 1529-1566, The “Magnificent,” took the Ottoman realm to its peak of power. The most feared monarch in Europe at the time of Ivan the Terrible, Henry VIII, and Charles V.
- Mohacs:*** 1526, battle in which Suleiman defeated the Hungarians and advanced toward Vienna.
- sipahis:*** “Fief” holders, expected to bring cavalry units to Ottoman campaigns. When not engaged in military activities, they returned to land, administered local affairs, collected taxes, kept order. Dependent on sultan for position.
- pashas:*** Provincial governors, dependent on sultan for status, favors.
- vizir:*** Chief minister.
- janissaries:*** Famed Turkish infantry, which was the nucleus of the standing army, an elite slave force that supported Ottoman sultans against the nobles. By the 18th century, janissaries had become corrupted and were destroyed in the 19th century.
- kul system:*** “Slave” system, Ottomans required non-Muslim subjects, especially in Balkans, to send a number of boys annually to serve in the army or administration. They were brought to Constantinople, converted to Islam, learned Turkish, and usually served in the janissary corps. Separated from families, they were entirely dependent on sultan, and often rose to the highest military or administrative positions.
- Murad III:*** 1623-1640, regained Iraq, only effective sultan of the nine succeeding Suleiman.
- Shah Ismail:*** 1499-1524, Shiite nationalists revolted, Ismail won first victories at age 14. Came to throne, established Safavid Dynasty. Charismatic leader, rumors of quasi-divine prowess.

- Shah Abbas:*** Ruled 1588-1629, equaled Suleiman in overall impact. Cruel, pragmatic Safavid politician who promoted cultural developments, gave Persia security and economic prosperity.
- Babur:*** 1483-1530, The “Tiger,” Turco-Mongol ruler of Kabul who claimed to be descendant of Timur and Genghis Khan. Defeated the Delhi Sultanate, laid foundations for Mughul Empire.
- Akbar:*** Ruled 1556-1605, greatest Mughul leader, powerful warrior who subdued five Muslim states plus Rajput Confederacy, and four Deccan sultanates, and thereby consolidated India north of the Vindhya mountains. Luxury loving, scholarly, superb administrator.
- Divine Faith:*** Akbar’s blend of major tenets of all of the great religions with himself as leader. Not widely accepted.
- Taj Mahal:*** Mausoleum for Shah Jahan’s wife, one of the architectural marvels of the world.
- Shah Jahan:*** 1628-58, Akbar’s grandson, built Taj Mahal, tried to regain lost land, raised taxes, oppressed peasantry.
- Aurangzeb:*** 1659-1707, executed brother, restored Sunni orthodoxy, showed growing intolerance of Hindus, reimposed *jizya* (head tax on non-Muslims), enforced Sharia.

DISCUSSION

How essential was conquest to the continuation of the Ottoman, Safavid, and Mughul empires? Can great empires maintain their vitality without an occasional conquest to occupy their armies?

Compare and contrast the personal qualities of Sultan Suleiman, Shah Abbas, and Akbar. What made them great rulers? Why did their empires suffer from severe problems of succession?

Shah Ismail seized territory when only 14. Shah Abbas ascended the throne at 17. Akbar became king at age 14 and began to conquer land by the time he was 20. How do you account for the exploits of these teenagers? Do teens today make a comparable impact on history?

PRIMARY DOCUMENT / CRITICAL THINKING EXERCISES

In Evliya Çelebi’s description, “An Ottoman Official’s Wedding Night,” why is Malek Ahmed Pasha apprehensive about his marriage to Fatima Sultan? What does he dislike about her

personality? What did her list of expenses include? What would these items cost in today's dollars? What was the purpose of this marriage?

In "The Coming of Ismael Safavi Foretold," Dede Mohammad, a Sufi mystic, encountered the Twelfth Imam and the teenage Ismail Safavi. Describe the scene. What happens? What is the significance of the "veiled one," scarlet cap, belt, and sword? Why was this a meaningful story?

What activities does Lady Nurjahan engage in? In what ways does her husband Emperor Jahangir show her respect?

TESTING

The powerful and talented 16th-century European rulers are known as Renaissance despots. Yet, they all were overshadowed by Suleiman the Magnificent. Discuss the extent of the Ottoman Empire's holdings, its power structure, and the institution of the sultanate as you explain Turkish dominance.

Islam was an integral factor in the Ottoman, Safavid, and Mughul empires. Compare the religious policies of these governments. Consider topics such as the role of women, succession to the throne, missionary activity, role of *ulama*, and foreign relations. Discuss policies toward Muslim and non-Muslim minorities, such as taxation and toleration.

Discuss the importance of trade to the "gunpowder" empires. Describe the location and operation of some of the networks of east-west trade. What were the main commodities of the trade? Why was control of the trade routes important? How did empires exercise control of the trade routes when borders were often indistinct? What additional functions did traders, travelers, scholars, artists provide to rulers?

LECTURE LAUNCHER

The Chinese first concocted a formula for gunpowder in the 9th century. The mixture of saltpeter, sulphur, and charcoal exploded with a big bang. When placed under a gate, these firecrackers could blast an opening. By the 12th century, Sung armies experimented by filling metal pots with gunpowder. A recently discovered sculpture in a cave temple, finished in 1128, confirms this early use of bombards.

Arabic and European sources mentioned such technology by the 14th century. Marcus Graecus offered several recipes for a sodium nitrate explosive in his 13th-century *Book of Fire*. Walter de Milamete illustrated an early bombard in a manuscript in 1327. Accounts of the English siege of Berwick-upon-Tweed in 1333 describe a firestick. The English also used a gunpowder weapon at the Battle of Crécy (1346), though their bowmen gained credit for the victory by inflicting a "feathered death" upon the French nobles in the first stages of the Hundred Years' War. New

tactics using gunpowder weapons appeared in Hussite Wars (1419-1436) when the Bohemians laid their firesticks on armored wagons set in a circle.

Early cannon were dangerous and unpredictable. A Scottish king was killed when he stood too close to an exploding weapon. Cast iron guns were extremely heavy, difficult to transport, and hard to manage. In 1497, 100 workmen were needed to move and position the 15-ton “Mons Meg” outside Edinburgh. The Turks had a 19-ton monster cannon that fired enormous stones, but could fire only seven shots per day because of the recoil.

Gunpowder weapons changed warfare in the 15th century. They were expensive. The cost of war rose. They made most defenses (walls, castles) obsolete. They gave an immediate advantage to the side with the new technology. The Ottomans, Safavids, and Mughals quickly integrated gunpowder weaponry into their traditional military systems.

THE INSTRUCTOR’S TOOL KIT

COROLLARY READING

Peter N. Stearns, Stephen S. Gosch, Erwin P. Grieshaber, *Documents in World History*, I
Suleiman the Lawgiver and Ottoman Military Power
Suleiman; Ambassador Busbecq
Babur and the Establishment of Mughal Rule in India
Memoirs of Babur

COURSE ENHANCEMENT

Each chapter in the textbook includes extensive lists of supplementary material
Films and videos
Web destinations
Literature from the period
Suggestions for further reading

COMPANION WEBSITE at www.ablongman.com/brummett

Additional resources are available at the Companion Website for both the instructor and the student. Instructor’s resources include PowerPoint slide presentations, electronic versions of maps, graphs, and tables, Web resources, as well as links to Longman resources. For the student, you can direct them to the Companion Website to take quizzes, or for online links to further research or reading for each chapter.

CHAPTER 13

East Asian Cultural and Political Systems, 1300-1650

CHAPTER OUTLINE

INTRODUCTION

1. Chinese culture influential; other Asian nations developed own traditions, identities
2. Movement of people; diffusion of belief systems; synthesis of ideas, customs
3. Chinese historians tended to view their history as series of dynastic waves
 - a. Impact might be brutal at times
 - b. Underlying rhythm of China undisturbed
4. Another view emphasizes impact of outside forces, cultures on China
 - a. Peoples, ideas, technologies, institutions filtered into China through contacts, trade, invasion
 - b. China adapted, synthesized
 - c. China reinvigorated, strengthened
5. Mutual influence between China, Korea, Japan, Southeast Asia

I. CHINA: THE MING DYNASTY

A. The Early Ming

1. Mongol regime overthrown, following wave of inflation and bureaucratic chaos
2. **Hung-wu** aided by **Empress Ma** restored imperial authority, built efficient regime
3. **Yung-lo**, son, continued to strengthen China
 - a. Returned capital to Peking
 - b. Restored civil service examination system, traditional law
 - c. Promoted local autonomy, traditional education, reforestation, water projects
4. Early Ming fought Mongols successfully
 - a. Encouraged foreign trade
 - b. Launched naval expeditions under Cheng Ho to Indian Ocean, East Africa, Southeast Asia
 - c. Exchanged porcelains and pottery for ivory, ostrich feathers, exotic animals
5. Later Ming wanted to recover past more than to pioneer for future
 - a. Played on popular prejudices against Mongols, Chinese collaborators
 - b. Tried to build welfare state, worked through eunuchs, “soaked the rich”
 - c. Moderate economic revival, revenues declined, expenses rose
 - d. Resistance to change; “do nothing” emperors
 - e. European visitors impressed with Chinese courtesy, respect for law, confidence, stately ceremonies

B. The Ming and the 16th Century

1. Official status of women declined under Ming
 - a. Women stayed inside house
 - b. Widow not supposed to marry, continued to live with husband's family
 - c. Footbinding considered desirable
 - d. Ban Jao described ideal Confucian woman
 - e. Legal recognition of concubinage encouraged traffic in young virgins
 - f. Increased suicides, self-mutilations among widows to show grief
2. Considerable literary output: multivolume collections
 - a. 1500 local histories
 - b. Medical book: *The Outline of Herb Medicine*
 - c. *Yongle Encyclopedia*, over 2000 scholars took material from over 7000 works
3. Wang Yang-ming countered Neo-Confucianism
 - a. Taught that knowledge is intuitive
 - b. Held that thought is inseparable from action
4. Novels written in colloquial language
 - a. Dealt with ordinary life
 - b. *Monkey*: semi-satirical tale about Buddhist monk traveling to India with pig, monkey that had led an earlier human life
 - c. *Jin ping Mei*: erotic novel about pharmacist's romantic adventures
 - d. *All Men Are Brothers*: story of outlaw band that robbed the rich, gave to poor
5. Plays, sometimes with 10 acts, had intricate plots; music incorporated in drama
6. Artists, architects produced many high-quality, low-originality works
 - a. Horizontal lines of Forbidden City (15th c.) show balance, formalism
 - b. Painters included Shen Chou, Wen Cheng-ming, Tung ch'i-ch'ang
 - c. Outstanding porcelains decorated in "Ming blue"

C. Ming Decline

1. Steadily weakened after mid-15th century
 - a. Emperor, courtiers ignored changes, tried to restrict foreign contact
 - b. Decadence, eunuchs controlled state apparatus, played off clans
 - c. Scholar-bureaucrats lost influence
2. Population growth overwhelmed resources
 - a. Population doubled from 75 million to 150 million (1400-1600)
 - b. Many immigrated to Southeast Asia
 - c. Trade expanded
 - d. Portuguese allowed into Macao, 1557
3. Urban unrest, inflation, corruption grew; technical progress lagged
4. Assaults from many directions
 - a. Pirates, Mongol attacks, battles with Japanese who used gunpowder weapons
 - b. Local forces, rather than central government, resisted attacks
 - c. Ch'in Liang-yu, famous female general
5. European influence grew
 - a. Portuguese ships, traders

- b. Jesuit missionaries, like *Matteo Ricci*, won some converts, disseminated widely read literature on medicine, technology
- 6. Last Ming emperor, Ch'ung-cheng (1627-1644), committed suicide

II. KOREA: THE MAKING OF A CONFUCIAN SOCIETY

- A. Korea, traditionally Chinese defensive satellite, clung to its own identity
 - 1. Survived for centuries paying tribute to China
 - 2. Adapted imported Chinese culture
 - 3. United under *Koryô Dynasty* (918-1392)
 - a. Adopted imperial bureaucracy, examination system from Sung China
 - b. Promoted Neo-Confucian learning, printed scholarly treatises
 - c. Monarchs became puppets of Yuan (Mongol) emperors
 - d. Many resented heavy Yuan taxes, manpower levies
- B. The Early Years of the *Chosôn Dynasty*
 - 1. Korean military leaders carried out measures against old power structure
 - a. Dispossessed landed aristocrats
 - b. Redistributed land to scholar-bureaucrats
 - 2. *Yi Song-gye*, first king, ruled dynasty that lasted, 1392-1910
 - a. Ended Buddhist privileges, made Confucianism state religion
 - b. Set up new land register, abolished feudal relations
 - 3. Expanded into Manchuria
 - 4. Economic growth
 - a. Improved communications, agricultural production
 - b. New inventions in crafts brought productivity
 - c. Cotton cloth manufactured, exported
 - 5. Corruption set in by 16th century
 - a. Corrupt, inefficient, overbearing, entrenched bureaucrats
 - b. High taxes, popular uprisings
 - c. New laws restricted women's legal rights
 - 6. Cultural developments
 - a. Scholarly literature dull, but showed respect for rational learning
 - b. Korean alphabet
 - c. Metal-casted type for printing
 - d. Poetry dealt with themes of love of nature, personal grief, romantic love
 - e. Painting, calligraphy, sculpture, architecture followed Chinese models
 - f. Fine ceramics
 - 7. Fall of Ming dynasty in China brought bad times to Korea
 - a. Factionalism in government
 - b. Japanese invasions repulsed by Korean armored "tortoise" boats, 1592, 1597
 - c. Manchus ravaged land, 1637

III. JAPAN: THE ERA OF SHOGUNS AND WARRING STATES

A. Warring States

1. In 15th century, imperial government lost almost all power to great feudal lords, *daimyo*
 - a. Daimyo fought among themselves
 - b. Daimyo fostered trade to obtain supplies, firearms, stimulated trade somewhat
 - c. Civil war broke out among rival factions of Ashikaga Shogunate
2. Civil war period brought political instability, economic growth, social change
 - a. Daimyo needed money, arms; sought to foster trade, build towns, help industry
 - b. Food production increased, population increased
 - c. Cities grew, social mobility followed
3. Turbulent times spurred growth of mystical religions, like Zen Buddhism
4. Portuguese traders important to daimyo; gained special commercial privileges
 - a. Supplied efficient firearms
 - b. Traded Japanese silver, copper for Chinese silks
 - c. Built Nagasaki into major port
5. Missionaries followed traders to Japan
 - a. **Francis Xavier**, Jesuit missionaries, converted 300,000
 - b. Worked with Portuguese merchants

B. Economic and Social Changes: The Western Factor

1. Economy strengthened
 - a. Official system of levies, canals, dams to irrigate new arable lands
 - b. Network of roads, post houses, messengers, facilitated communication, transport of food to cities
 - c. Production of consumer goods, like cotton cloth
 - d. Osaka became trade, financial center
 - e. Japan's major imports: silk yarn, cloth; Japan's major exports: silver, copper
2. Population rose 32% in 17th century (22 to 29 million)
 - a. Greatest growth in cities (Osaka, Kyoto, Edo)
 - b. Rising merchant class gained power, wealth
 - c. Daimyo retained prestige, lacked purpose, sometimes fell into debt
 - d. Peasants burdened with taxes, labor services, strict discipline in villages
 - e. Noble women relegated to inferior position under Neo-Confucian code
3. Peasants were heavily taxed, recruited for labor services, subject to heavy discipline
4. Women were expected to exhibit neo-Confucian ideals: gentle obedience, chastity, mercy, quietness
5. Early Tokugawa curtailed European influence
 - a. Ieyasu disenchanted with foreign trade
 - b. Forbade Japanese to travel abroad
 - c. Ended tolerance of Christians: thousands martyred, others went into hiding
 - d. Expelled all Europeans

- e. Allowed only one Dutch station in Nagasaki

C. Art and Culture in Medieval Japan

1. Japanese culture continued to accent its uniqueness within Chinese forms
2. Japanese society embraced both desire for calm serenity, zest for lustiness
3. **Zen Buddhism** spread
 - a. Emphasized elegant simplicity, contemplation, discipline
 - b. Influence seen in flower arranging, landscape gardening, tea ceremony
4. **Noh drama** combined mimetic dancing, music, song
5. Evangelical Buddhist cults spread among commoners
 - a. Engaged in street preaching, congregational worship
 - b. Emphasized salvation in the next world, egalitarian outlook
 - c. Buddhist leaders included Hōnen, Shinran, Ippen Shōnin
6. Advent of **Momoyama** period in Japanese art
 - a. Comparable to European baroque
 - b. Massive, flamboyant
 - c. Fortress as Osaka, prime example
7. Matsuo Bashō (1644-1694) considered Japan's greatest haiku poet

D. The Tokugawa Shogunate

1. **Oda Nobunaga** and **Toyotomi Hideyoshi** defeated daimyo, 1560-1598
 - a. Removed Ashikaga shoguns
 - b. Put down Buddhist military orders
 - c. Drove out rival clan in central Japan
2. Hideyoshi began to consolidate power
 - a. Disarmed people
 - b. Reduced power, independence of feudal lords
 - c. Peasants forced to give 2/3 produce to state
 - d. Courted merchant classes for support, taxes
 - e. Nationalized samurai
 - f. Launched unsuccessful invasions of Korea, China
3. **Tokugawa Ieyasu** prevailed in civil war, began Tokugawa shogunate in 1615
 - a. Defeated other warlords at battle of Seikigahara, 1600
 - b. Shrewd, patient, sometimes cruel, ruthless
4. **Tokugawa Shogunate**, model of centralized feudalism, ruled Japan for over 250 years
 - a. Emperor remained nominal head of government
 - b. Shogun held real power, commanded unified forces, in case of invasion
 - c. Daimyo controlled local government, paid tribute, complied with shogun's directives
 - d. Daimyo attended court, left relatives at court as hostages when returning home

IV. SOUTHEAST ASIA: STATES WITHIN A REGION

A. Southeast Asian Region

1. Important location on main sea route between East Asia, Indian Ocean
2. Escaped prolonged, direct Mongol occupation
3. Strong cultural influence from China, India
4. Each country fiercely committed to own interests, usually contempt for neighbors
5. Khmer Empire, centered at Angkor, declined by 1300
6. Many petty wars, usually Hindu-Buddhist conflicts
7. Muslim regimes began to take hold

B. Burma and the Thais

1. Burma
 - a. Ethnically diverse, small principalities, under Chinese dominance
 - b. Began to unify, 1050; process interrupted during Mongol period
 - c. Tongoo kingdom dominant, 15th, 16th centuries
2. Thais
 - a. Originally from Yunnan, strongly influenced by Chinese culture
 - b. Later absorbed richness of Indian civilization
 - c. Sukhothai state (1220-1349)
 - d. Thais assimilated diverse ideas from many places: divine monarch (Khmer), principles of law (Burma), Theravada Buddhism (Burma), alphabet (India)
 - e. Ayutthaya kingdom (1350-1782) controlled most of Indochina by 15th century
3. King Bayinnaung of Burma dominated Laos, Siam (Thailand) in mid-16th century

C. Vietnam

1. Le Dynasty strong in 15th century
 - a. Drove out Chinese
 - b. Challenged Laos, Cambodia, Burma
2. Vietnamese, Thais controlled Indochinese peninsula in 15th century
3. Le Thanh Tong (1460-1497) adopted Confucian approach to national wealth: emphasized agriculture; considered commerce “peripheral”

D. Maritime Southeast Asia

1. Islam expanded into Indonesia
 - a. Sufi missionaries active
 - b. Local rulers adopted Islam to gain independence from Hindu state of Majapahet on Java, also to enhance commercial ties
2. Muslim sailors, pirates, traders, controlled straits between islands
3. Islam spread
 - a. Inter-marriage between Muslims, local families
 - b. Muslim concept of equality of all people appealed to lower-caste Hindus
 - c. Muslim clerics adapted practices to meet local customs, beliefs
4. Malacca, busiest port in Asia

- a. Rulers became Muslims
- b. Controlled crucial link between China, India

E. Arrival of the Europeans

1. Portuguese came as missionaries, traders, mercenary soldiers
 - a. Served in Southeast Asia
 - b. Political influence in Cambodia, Laos
 - c. Active in Indonesia until Muslim confederacies pushed them back to Moluccas
2. Spain, with Portuguese approval, gained foothold in Philippines
3. Dutch made rapid inroads in Indonesia in 17th century
 - a. Expelled Portuguese from Moluccas in 1641
 - b. Gained commercial monopoly after war with sultans
 - c. Dutch plantation agriculture began undermining Indonesian economies
 - d. Dutch replaced Muslims as most powerful merchants
 - e. Spice, rice, key commodities

CONCLUSION

1. Asia on the move, 1300-1650: social, cultural, political changes
2. Ming Dynasty brought stability to China, but did not keep pace with waves of new invaders, merchants.
3. Korea, Japan retained Chinese cultural influence while establishing unique identities.
4. Indian, Chinese, Muslim influence in Southeast Asia
5. Peoples, systems of belief, objects for trade circulated throughout China, Korea, Japan, Southeast Asia prior to era of European domination

CONCEPTUAL HOOKS

TIMELINE: 1300-1650

DEFINITIONS

Ming Dynasty: Ruled 1368-1644.

Hung-wu: Ruled 1368-1398, young Buddhist monk who led popular revolt against failing Mongol regime in China and founded Ming Dynasty. With son, **Yung-lo**, restored stability to China, strengthened imperial authority and national pride. Restored examination system, traditional law.

Empress Ma: Consort of Hung-wu who played an important role in the early Ming dynasty.

Matteo Ricci: 1552-1610, Jesuit who founded Christian mission movement in China. Accepted by Chinese because of his fascination with things Chinese and his mastery of the language. Served as adviser at Ming court.

Koryô dynasty: Ruled in Korea, 918-1392. Korea derived its name from this dynasty. Kings adopted many features from China, including the examination system. During Mongol period Korean monarchs acted as virtual puppets of Yuan dynasty.

Chosôn dynasty: After the Yuan regime was overthrown in China, Korean military leaders took power and redistributed lands to scholar-bureaucrats. **Yi Song-Gye** was recognized as first king in 1392. Dynasty continued until 1910.

daimyos: “Great feudal lords” in 15th-century Japan, imperial government lost almost all of its powers to the daimyo, who in turn, fought among themselves for control of the country.

Francis Xavier: Jesuit missionary to Japan.

Oda Nobunaga: 1534-1582, powerful Japanese warlord who, with his commander, gained control of the daimyo, overthrew Ashikaga shoguns in 1573, became military dictator. Destroyed power of Buddhist clergy, worked closely with Jesuits before his assassination.

Toyotomi Hideyoshi: 1536-1598, son of a woodcutter who became Nobunaga’s commander, became military dictator and put down last of clans, and for first time united empire under a central government by disarming populace, ending all feudal grants of authority, and separating the samurai from their lands, making them a national force. Made war against Korea and China, began persecution of Christians.

Tokugawa Ieyasu: 1542-1616, Hideyoshi’s deputy for eastern Japan, became strongest warlord after his death, won battle of Seikigahara in 1600, became shogun in 1603, establishing Tokugawa Shogunate. Notable for his iron will, cruelty, and treachery.

Tokugawa Shogunate: Model of efficient centralized feudalism. Emperor was figurehead. Shogun held real power, like a military dictator. Daimyo, served as local governors, cooperated with shogun, attended court, left relatives as hostages when they returned home.

Zen Buddhism: Religious movement that emphasized restraint, discipline, contemplation. Influenced Japanese styles, flower arranging, landscape gardening, tea ceremony, painting. Demonstrated principle that “less is more.”

Noh drama: Popular art form, especially in cities in Tokugawa period. Combined mimetic dancing, music, and song.

Momoyama: Style during the period of Nobunaga and Ieyasu, marked by ostentation and flamboyance, similar in its own context to the European baroque. Marked by massive stone castles.

Khmer Empire: From its base in present-day Cambodia, at its peak in around 1200, it controlled territories in Burma and the Malay Peninsula, plus everything in between. Possessed great centers of Buddhist and Hindu learning, prosperity, and superb monumental architecture, such as Angkor Wat.

Malacca: Muslim trading center founded in 1400 on the Malay coast opposite Sumatra, under the protection of the Chinese. Before 1511, when the Portuguese took it, Malacca was the busiest port in Asia.

DISCUSSION

Compare and contrast the “outward looking” aspects of the Song and Ming Dynasties. Why did the Ming abandon overseas voyages?

Describe the civil service examination system that came to be implemented during the Song Dynasty. What were its political, social, and cultural contributions? Why did it last until 1905? Ultimately, do you consider the system to be a source of strength for China or a restrictive, limiting force?

The Portuguese seemed to have contact with most of the Asian civilizations before 1600. Sometimes they were welcomed, sometimes they were forcibly ejected. What could the Portuguese offer Asians? Why were they expelled?

In the 14th through 17th centuries in Asia several new regimes rose to power and displaced the previous rulers. Examine the experiences of the Ming in China, the Yi in Korea, and the Tokugawa Shogunate in Japan. How did they consolidate power? How did they minimize the potential of a return of the previous regime?

PRIMARY DOCUMENT/CRITICAL THINKING EXERCISES

Read “A Censor Accuses a Eunuch.” According to the document, what has been the role of eunuchs in the past? Why is the accused eunuch Wei Zhongxian considered dangerous to this emperor? How does the author Yang Lien justify his decision to approach the emperor with this accusation? What are Wei Zhongxian’s major offenses? Why did eunuchs command such high positions in China?

In “A Traveler’s Account of Siam,” what observations about Siam seem to interest the author Ma Huan? What does he note about the dress and behavior of men and women? Which customs seem to have surprised him? Who in China would be interested in reading these descriptions?

TESTING

Compare and contrast the role of women in Chinese and Japanese societies from 1100-1600. In which country did women lose more rights? Why did this decline occur?

What factors led to the Ming decline? What role did the Europeans play in the process?

The Tokugawa Shogunate has been described as “centralized feudalism.” Explain how the feudal system operated in Japan. Are there any factors that made it different from European feudalism?

Describe the cultural legacy of the Ming dynasty in China, the Chosôn dynasty in Korea, and the Tokugawa period in Japan. Discuss the arts, crafts, literature, and drama of the period.

LECTURE LAUNCHER

The Ming Dynasty set the tone and precedents for Chinese government and culture after the 14th century. China survived the Yuan Dynasty, and then an indigenous dynasty, the Ming, gained power. Perhaps, like the Russians, they had learned some new aspects of centralized power under the foreign dynasty. In any event, they were much more organized and autocratic than ever before.

The Ming based their power on a network of local elites, the bureaucratic class, and a growing dependence on the use of eunuchs in the Forbidden City. The first Ming emperor, Hung-wu, sought to establish a stable agrarian society, radically different from the commercial economies of the Song and Yuan dynasties. He oversaw a reforestation project in which 100 million trees were planted. The autocratic Ming government was, at the same time, more despotic and less efficient than the Song government had been. They oversaw maritime expansion on a large scale, sending massive voyages throughout the Indian Ocean and Southeast Asia. Although the Chinese had technical navigational skills superior to those of the Europeans at the same time they did not use them after 1433.

The agricultural economy under the Ming expanded in the 16th century from a concentration on rice, cotton, hemp, and mulberry to crops from the new world, such as corn, peanuts, soybeans, potatoes, and sweet potatoes. These new crops provided the caloric base for a massive population increase. A distinctly urban culture, with the widespread use of printing, developed by the 16th century. This urban culture supported and encouraged new advances in the arts and literature. Unfortunately, imperial corruption and incompetence also flourished, the typical symptom of a regime in its final stages.

THE INSTRUCTOR'S TOOL KIT

COROLLARY READING

Peter N. Stearns, Stephen S. Gosch, Erwin P. Grieshaber, *Documents in World History, I*
Global Contacts: Sailing to Calicut: Chinese and Portuguese Voyages
Ma Huan; Journal of the First Voyage of Vasco da Gama

COURSE ENHANCEMENT

Each chapter in the textbook includes extensive lists of supplementary material
Films and videos
Web destinations
Literature from the period
Suggestions for further reading

COMPANION WEBSITE at www.ablongman.com/brummett

Additional resources are available at the Companion Website for both the instructor and the student. Instructor's resources include PowerPoint slide presentations, electronic versions of maps, graphs, and tables, Web resources, as well as links to Longman resources. For the student, you can direct them to the Companion Website to take quizzes, or for online links to further research or reading for each chapter.

CHAPTER 14

European Cultural and Religious Transformations: The Renaissance and the Reformation 1300-1600

CHAPTER OUTLINE

INTRODUCTION

1. Italian thinkers and artists in the 1300s and 1400s saw themselves as part of re-birth (*Renaissance*) of classical values after the *Dark Ages*.
2. *Classical Revival* explored Greek, Roman literature with its emphasis on man, worldliness.
 - a. *Humanists* reclaimed Latin, Greek texts
 - b. Artists inspired by study of classic art
3. Renaissance humanists set stage for modern world.
 - a. Believed in worth of individual
 - b. Widened horizon of human interests
4. Renaissance key turning point in Western civilization
 - a. Medieval intellectual world in decline
 - b. Northern Italian cities stage for new systems

I. THE ITALIAN RENAISSANCE

- A. Emergence of the Italian City-States
 1. Renaissance did not develop in a vacuum
 - a. Italian cities bustled with trade, commerce, monetized economy, population growth, affluent townspeople
 - b. Towns self-governing; feudalism died out in Italy
 - c. Italian nobles moved to cities, joined merchants to form a patrician ruling class
 - d. By 1300 profit-seeking urban citizens owned most land in northern Italy
 - e. Engaged in “putting out system” to produce wool cloth for export
 - f. Merchant-capitalists gained wealth; engaged in money-lending, banking

2. Material success made Italian upper class self-confident, aggressive defenders of their cities
 - a. Patronized writers, painters, sculptors
 - b. Humanists gave them a secular, individual-based ideology

B. Renaissance Patrons

1. The wealthy displayed importance by patronizing artists and humanists with commissions
2. **Medici family** of Florence, Renaissance's most lavish patrons
3. Popes of the 15th, 16th centuries made Rome a center of art, learning

II. HUMANISM AND THE CLASSICAL REVIVAL

A. The Classical Revival

1. During the Middle Ages, classics interpreted within Christian framework; used to support church dogma
2. In 1300s new group set up **studia humanitatis**, term Romans used for liberal, or literary, education
3. Humanists rejected scholastic curriculum of logic, science, and professional training
 - a. Believed it inadequate to deal with problems and values of human living
 - b. Both groups looked to past, sought diverse goals
4. Scholastics saw classics as parent; humanists saw classics as friend, equal

B. Petrarch and Boccaccio

1. **Petrarch**, "father of humanism"
 - a. First to make people aware of classics
 - b. Disliked intellectual, social conditions of age (empty logic of Scholasticism)
 - c. Sought escape in Latin classics
 - d. Wrote sonnets, inspired by his love for Laura
 - e. Acknowledged worldly interests as well as his loyalty to Christian ideals
2. **Boccaccio** established reputation with *Decameron*
 - a. Wrote earthy, entertaining work in vernacular
 - b. Spent rest of time studying, saving classics, searching for "lost" manuscripts

C. Civic Humanism

1. **Civic humanists** pursued studies not only for learning's sake, but also to educate leaders
2. Studied ancient historians for political weapons

D. Classical Revival and Philosophy

1. **Platonism** and Neo-platonism attracted humanists
 - a. Offered alternative to Aristotelian dominance in Church

- b. Stressed moral purpose, religious values
 - c. Revival came with study of Greek at Medici-backed Platonic Academy, led by **Marsilio Ficino**
 - 2. Ficino tried to fuse Plato and Christianity, much as Aquinas had done with Aristotle and Church
 - 3. **Pico della Mirandola**, Ficino's disciple, loved knowledge, extolled glory, potential of man
- E. Aristotelianism
- 1. Influenced by Averroës' notion of "double truth," that truth in philosophy need not be valid in religion
 - 2. Dominated teaching in Italy, especially Padua
 - a. Provided stage for scientific advances
 - b. Copernicus, Vesalius, Galileo studied there
- F. Evaluation of Humanism
- 1. Humanists dismissed science as sterile, did not teach it
 - 2. Sought to cultivate the mind, so one could attain happiness, contribute to society
 - 3. Gave concept of "complete man"
 - a. Well-rounded, versatile, accomplished
 - b. **Baldassare Castiglione** described these qualities in *The Courtier*
 - c. Aristocratic women often highly educated, produced literature
 - d. Sofonisba Anguissola (1531-1625) first female painter in Renaissance
 - 4. Revived ancient ideal of sound mind, sound body
 - 5. Reintroduced classics to West; insisted on Greek/Roman classics
 - a. Did not appreciate works of Middle Ages
 - b. Became snobbish regarding Ciceronian Latin
 - c. Vernacular reaction set in
 - 6. Offered nothing new to science, but contributed indirectly to later scientific revolution
 - a. Quest for authenticity inadvertently encouraged research, scientific methods
 - b. Critical, objective methods led to new techniques, new findings

III. ITALIAN RENAISSANCE ART

- A. Transitional Period in Painting
- 1. Gothic art continued north of the Alps; **High Renaissance** art flowered in Italy
 - 2. **Giotto** made the transition from old to new art
 - a. Gave life to Byzantine-style art
 - b. Humanized painting as Petrarch humanized thought
- B. **Quattrocento** Painting, Sculpture, and Architecture
- 1. **Masaccio** completed movement begun by Giotto
 - a. Mastered perspective, anatomical naturalness

- b. Used *chiaroscuro* (dramatic use of light and dark) to shape figures
 - c. First to paint nude figures since ancient times (*Expulsion from Eden*)
 - 2. **Andrea Mantegna** and **Piero della Francesca** developed perspective, restraint
 - 3. **Sandro Botticelli** abandoned straightforward approach for more sensitive line seen in *Birth of Venus*
 - 4. Progress made in sculpture
 - a. **Lorenzo Ghiberti**'s baptistery door
 - b. Donatello's *David*, *Gattamelata*
 - c. Andrea del Verrocchio's *Colleoni*
 - 5. Architecture reflected influence of ancient Rome
 - a. **Filippo Brunelleschi**'s Florentine cathedral
 - b. Successful recreation of Roman domes, arches, arcades, pediments, columns
- C. The High Renaissance, 1500-1530
 - 1. Shift from Florence to Rome
 - a. Popes more lavish patrons
 - b. **Donato Bramante**'s design for Saint Peter's
 - 2. High Renaissance painters eliminated nonessentials to achieve "classic" effect of seriousness
- D. **Leonardo da Vinci**, **Raphael**, and **Michelangelo**
 - 1. Leonardo genius in many areas of arts and sciences
 - a. Skilled draftsman, deep psychological insight
 - b. *La Gioconda* (Mona Lisa), *The Last Supper*
 - 2. Raphael master of design, composition
 - 3. Michelangelo superhuman, temperamental
 - a. Sistine Chapel, finished Saint Peter's
 - b. Considered self to be sculptor, inspired by Hellenistic sculpture
- E. The Venetian School
 - 1. After sack of Rome, 1527, Venice became center of art
 - a. Art marked by secular sensuousness, rich costumes, radiant light, color
 - b. Little regard for religious motifs
 - 2. **Giorgione**, **Titian** classic Venetian painters
- F. **Mannerism**: The "Anti-Renaissance" Style
 - 1. Italian Renaissance ended by French invasions in 1494 and Spanish invasions in 1527
 - a. Peninsula a battlefield until 1559
 - b. Protestant Reformation changed cultural life
 - 2. Optimism replaced by belief in man's evil nature
 - a. Mannerism a response to stresses of the age
 - b. Parmigianino, Tintoretto characterized art
 - c. **Benvenuto Cellini**, egotistical, masterful sculptor
 - d. Mannerists developed Jesuit style, which resembles baroque style of 17th century

G. Renaissance Music

1. Medieval plain song replaced by polyphony
2. Josquin des Prés master of form

IV. THE NORTHERN RENAISSANCE

A. The Influence of Printing

1. In 1400s many northern Europeans went to Italy to study law, medicine; returned home with manuscripts, books, appreciation of classics, humanist outlook
2. Development of printing in Europe led to diffusion of ideas
 - a. Paper, block printing in China (8th century), Muslim Spain (12th century)
 - b. **Johann Gutenberg** and others cut up printing blocks, formed individual letters, thus creating movable type
 - c. Gutenberg printed first Bible, 1454
 - d. By 1500 more than 40,000 titles published
3. Books, pamphlets, tracts circulated to wide audience
 - a. Cost of books dropped, more people could buy them
 - b. Ideas spread rapidly

B. Humanism in France, Germany, Spain, and England

C. **Sir Thomas More's** *Utopia*

1. More most important English humanist
 - a. Wrote *Utopia*, first description of ideal state since Plato's *Republic*
 - b. Criticized contemporary life from a medieval collectivist point of view
2. Executed for treason under Henry VIII

D. **Rabelais' Gargantua and Pantagruel**

1. Brilliant, earthy lover of life
2. Satirized society, attacked Church, hypocrites

E. **Von Hutten:** German humanist, patriot

F. **Montaigne's Essays**

1. Retired at 38 to go to estate to study, write
2. Developed essay, new literary form
3. Advocated open-mindedness, tolerance in an age of civil, religious strife

G. **Cervantes' Don Quixote**

1. Best portrayal of transition from feudal knight to Renaissance courtier
2. Contrasted Don Quixote's outmoded chivalric ideals with peasant wisdom, common sense of Sancho Panza

H. Secular Drama Appears

1. Medieval drama developed from religious ceremonies
2. Italians performed ancient Roman comedies
3. *Commedia dell'arte*, improvised slapstick portrayal of everyday life, people
4. First public theater built in London, 1576
5. French, Italians followed rigid conventions of classical drama; English, Spanish presented more variety

I. **William Shakespeare**

1. Queen Elizabeth's reign climaxed the English Renaissance, spawned galaxy of great writers
2. Shakespeare supreme figure in all literature
 - a. Rich vocabulary, poetic imagery, turbulent imagination, profound insight
 - b. Wrote 37 plays, numerous poems

J. Northern Painting

1. Flemish Jan van Eyck (c. 1385-1440), realistic, perfected technique of oil painting
2. Albrecht Dürer (1471-1528), spent time in Italy, known for drawings, engravings, combined realism, symbolism
3. Hans Holbein (1497-1543), famous for portraits
4. Pieter Brueghel the Elder (1525-1569), painted detailed scenes of peasant, village life
5. Hieronymus Bosch (1480-1516), stern moralist, lived in own mental universe

K. Erasmus, Thomas More, and Northern Humanism Erasmus

1. Most widely known scholar in Europe
 - a. Wrote *The Praise of Folly*, most influential work, satirized foibles of his age
 - b. Northern humanists active critics, in comparison with southern humanists
2. Published Greek edition of New Testament
3. Emphasized morality, rational piety as basis of Christianity, rather than ceremonies, dogma

C. **Sir Thomas More's Utopia**

1. More most important English humanist
 - a. Wrote *Utopia*, first description of ideal state since Plato's *Republic*
 - b. Criticized contemporary life from a medieval collectivist point of view
2. Executed for treason under Henry VIII

V. THE MEDIEVAL CHURCH IN CRISIS, 1300-1500

A. **Boniface VIII, 1294-1303**

1. Papal power threatened by growth of nation-states, rulers opposed papal interference
2. Boniface VIII, outspoken advocate of papal authority, asserted that kings are subject to pope, in papal bull *Unam Sanctam*

3. King Philip IV of France tried to kidnap, humiliate pope, who died one month later
- B. The **Avignon Papacy**, 1305-1377
1. Papacy moved to Avignon, France
 - a. Time of so-called Babylonian Captivity
 - b. English, Germans, Italians protested
 2. Critics increased attacks on papacy
 - a. Avignon pope built bureaucracy, added new taxes
 - b. New calls for reform emerged
- C. Wycliffe and Hus
1. 1300s a time of protests against Church corruption
 2. **John Wycliffe** attacked Church abuses, doctrines
 - a. Believed Church should be subordinate to state
 - b. Stated salvation an individual matter between person and God
 3. **John Hus** harnessed Czech resentment of Germans
 - a. Learned Wycliffe's doctrines, attacked clerical abuses of power, backed priesthood of all believers headed only by Christ, not pope.
 - b. Excommunicated by Church
 - c. Tried for heresy; burned at stake during Council of Constance, 1415
 - d. Became martyr to Czechs who rebelled against German emperor, church
- D. The **Great Schism** of the Roman Catholic Church, 1377-1417
1. Papacy returned to Rome, 1377
 - a. College of Cardinals elected Italian pope at Rome
 - b. French cardinals called election invalid, elected French pope at Avignon
 - c. Result: two popes with separate structures
 2. Each pope excommunicated the other, and his followers
 - a. Nations gave allegiance based solely on politics
 - b. Further diminished prestige of Church
- E. The Conciliar Movement
1. Professors at University of Pisa proposed general council to resolve schism
 2. Cardinals met at **Council of Pisa**, 1409
 - a. Deposed both popes
 - b. Elected new pontiff
 - c. Deposed popes did not quit; three men claimed papal throne
 3. Holy Roman Emperor chaired **Council of Constance**, 1414
 - a. Electors both bishops and lay people
 - b. Schism resolved, 1417, with rise of Martin V
 4. Conciliar effort tried to reform, democratize Church
 - a. Failed, despite pledge to convene regular councils
 - b. Popes ruled to call council without papal consent was heretical
 5. By 1450 conciliar movement discredited

6. Popes did not engage in timely reforms
 - a. Did not call another church council until mid-16th century
 - b. Concerned with Italian politics, patronage of arts

F. *Scholasticism*

1. Acknowledging that truth already existed in Christian, pagan writings, scholars applied reason (logic or dialectic) to understand, express ideas
2. **Thomas Aquinas** brought scholasticism to its peak in *Summa Theologica*
 - a. Reconciled Aristotle with Church dogma
 - b. Argued that there could be no contradiction between faith and reason, since all truth comes from God
 - c. In case of apparent contradiction, one should trust faith since human reasoning could err

VI. LUTHER AND THE GERMAN REFORMATION

A. The Search for Salvation

1. **Martin Luther**
 - a. Son of successful miner, studied law at Erfurt University
 - b. Entered Augustinian monastery against his father's wishes
 - c. Tormented with sense of sinfulness, fear of damnation, but overcame despair after reading passage in Romans about justification by faith
 - d. Disturbed by abuses, new doctrines, trends in Catholic Church
2. Sale of **indulgences** sparked debate that initiated Protestant Reformation
 - a. **Johan Tetzel**, Dominican friar, came to Wittenburg to sell indulgences, thereby raising money to finance building of St. Peter's Cathedral in Rome
 - b. Luther wrote **Ninety-five Theses** and posted them on door of Wittenburg Cathedral to call for debate on indulgences, points of theology, abuses
3. Luther's views generated support
 - a. Many Christians sought simpler, more meaningful faith
 - b. Humanists fought against Church's abuses, irrationality
 - c. People in German-speaking areas distrusted, resented Roman orientation of Church
 - d. Princes sensed opportunity for greater political independence
4. In debate with theologian **John Eck**, Luther asserted his position
 - a. Denied infallibility of pope, church councils
 - b. Declared Bible as sole authority
 - c. Stated salvation gained only by faith
 - d. Reconciliation failed; pope excommunicated Luther
5. Emperor Charles V caught in difficult situation
 - a. Gave Luther chance to recant at **Diet of Worms**
 - b. Luther refused, Diet condemned him
6. Luther detained by **Elector Frederick of Saxony**, hidden in Wartburg Castle

B. The Two Kingdoms: God and the State

1. Luther formulated doctrine, practices distinct from those of Roman Church
 - a. Based on doctrine of salvation by faith, not faith and good works
 - b. Dropped most of Catholic ritual
 - c. Recognized only two sacraments mentioned in New Testament (baptism, communion), rejected other five adopted by Lateran Council
 - d. Rejected role of priest in transforming bread and wine in communion service
 - e. Church seen as “priesthood of all believers”; each person could approach God directly
 - f. Allowed clergy to marry
 - g. Used vernacular language (German) for church services instead of Latin
2. Luther translated Bible into German, composed sermons repeated in Lutheran churches
3. Luther married ex-nun **Katherine von Bora**, offered new perspectives on women
 - a. Stressed importance of women as marriage partners
 - b. Condoned divorce in cases of adultery, desertion
 - c. Women attracted to Lutheran doctrines
 - d. Some Lutheran women became wandering preachers
4. Luther emphasized obligation to God, loyalty to earthly governments
5. Luther backed political authority, *status quo*
 - a. Against rebellious knights, 1522-23
 - b. Against **peasant revolt**, 1524-1525, in which 100,000 died
6. New religion stressed submission of subjects, strength of rulers
 - a. Princes gained properties of Catholic church
 - b. Princes gained liberation from foreign lands
7. Germany soon split between empires, Lutheran princes
 - a. After rejections of **Augsburg Confession**, Lutheran leaders formed **Schmalkadic League**
 - b. Charles V had to fight Turks, French, could not crush Lutherans
8. **Peace of Augsburg** (1555) ended first phase of Reformation
 - a. Princes could opt for either Catholic or Lutheran state church, increasing their independence of Emperor
 - b. Lands taken before 1552 kept by Lutheran
9. Lutheranism embraced by Scandinavian states
 - a. Rulers liked Lutheran religious ideas and chance to acquire Catholic properties
 - b. Gustavus Vasa (1523-1560) used Lutheranism to seek Swedish independence from Denmark

VII. HENRY VIII AND THE ANGLICAN REFORMATION

A. The Annulment Issue

1. England was “Atlantic state”
 - a. Differed from central Europe
 - b. Characterized by national monarchy, centralized authority, greater

- independence from papacy
- 2. English Reformation took political form
 - a. Primary goal: preserve Tudor dynasty
 - b. Secondary opportunity: gain access to Church wealth
- 3. **Henry VIII** needed legitimate male heir
 - a. **Catherine of Aragon** and he had a daughter, Mary, but no living sons
 - b. Henry wanted papal annulment so he could marry again, have male heir
- 4. Issue a crisis for **Pope Clement VII**
 - a. Annulment theologically prickly
 - b. The armies of Catherine's nephew, Charles V, occupied Rome
- 5. Henry chose a national solution to the issue

B. The Political Reformation

- 1. **Thomas Cranmer** and Parliament worked with Henry VIII to carry out English Reformation
 - a. King became head of English church
 - b. Cranmer declared marriage to Catherine invalid, legalized marriage to Anne Boleyn
 - c. Pope excommunicated Henry
- 2. Anti-Catholic campaign began
 - a. State took, distributed Church property, dues
 - b. Opponents, including Sir Thomas More, executed
- 3. Strong Protestant movement existed in England before Henry VIII
 - a. John Wyclif, Oxford professor, active in theological debates in 14th c.
 - b. **William Tyndale** translated Bible into English, reflected Lutheran influence
 - c. English Bible available to all literate English-speaking people
- 4. English church made very little doctrinal change
 - a. **Six Articles**, Parliament's declaration of new creed, ceremonies
 - b. Reaffirmed Catholic theology, except for papal supremacy
- 5. Henry VIII grew suspicious of popular Protestantism
 - a. Refused to legalize clerical marriage
 - b. Criticized Protestants like Anne Ayscough

C. The Turmoil of Extremes

- 1. **Edward VI** (1547-1553) frail, teenage son of Henry VIII and Jane Seymour
 - a. Staunchly Protestant regents introduced more Protestant features to Church
 - b. Catholics alarmed
- 2. **Mary I** (1553-1558) daughter of Henry VIII and Catherine of Aragon
 - a. Catholic, tried to restore Catholic church service, papal authority
 - b. Persecuted Protestants, burned 300, including Cranmer, called "Bloody Mary"
 - c. Married Philip II, died without heirs, succeeded by half-sister Elizabeth

VIII. PROTESTANTISM IN SWITZERLAND AND FRANCE: ZWINGLI AND CALVIN

A. Early Reformation in Switzerland

1. Economic, social conditions favored growth of Protestantism in Switzerland
 - a. Swiss craftsmen, merchants suffered under Habsburg overlords, papal policies
 - b. Confederation of Swiss cantons won independence from Holy Roman Empire, Habsburgs, 1499
2. **Ulrich Zwingli** first Protestant leader
 - a. Agreed with Luther on many issues
 - b. Exceeded him in seeing baptism, communion as only of symbolic importance

B. *John Calvin*

1. Originally from France, trained as a lawyer, fled to Basel, later went to Geneva
2. Wrote *Institutes of the Christian Religion*, rational, systematic synthesis of Protestant doctrines
3. Dominated Geneva through theocratic-type government
 - a. Strict moral rules affected every aspect of private life
 - b. Consistory (church committee) punished slightest offenses
 - c. Torture, execution, banishment for serious offenses
 - d. Heretics, like **Michael Servetus**, burned at stake

C. Calvinism and Its Impact

1. Accepted most of Luther's principles, but emphasized God's omnipotence, doctrine of predestination
2. Congregations elected ministers, regions elected *synods* (councils) to decide common policy
3. Calvin expressed ambivalent views on government
 - a. Recognized Christian duty of obedience to secular authority
 - b. Tended to favor representative government
4. Calvin stressed women's rights to read Bible, participate in church services, but believed women are subordinate to husbands
5. Before 1555 Calvinism had little official standing
 - a. Spread to France, followers called **Huguenots**
 - b. Appealed to businessmen, aristocrats
 - c. Women influential in spreading Calvinism
 - d. John Knox spread Calvinism to Scotland

IX. THE CATHOLIC COUNTER-REFORMATION

A. Catholic Reform and Rededication

1. Protestant Reformation energized Catholics
 - a. Reforms based on long-standing tradition
 - b. Desire to counterattack as a united church
2. Before 1520, most reform ideas had been stated

- a. Erasmus, Sir Thomas More, *Savonarola*
- b. *Cardinal Ximenes* in Spain
- 3. **Pope Paul III** initiated reform policies within Catholic Church
 - a. Appointed commission to investigate abuses, suggest remedies
 - b. Managed to call church council despite stubborn opposition for 10 years
 - c. Appointed worthy members to College of Cardinals

B. New Troops of the Faith

- 1. New clerical orders reflected spirit of reform, regeneration
 - a. Theatines: order of priests who ministered to clergy
 - b. Capuchins: Franciscan order, preached, ministered to poor, sick
 - c. Sisters of the Common Life: charity, nursing
 - d. Beguines: charity, nursing
 - e. Ursulines: order of teaching nuns, founded by St. Angela Merici
 - f. Carmelites: order of nuns, founded by St. Teresa of Avila
- 2. **Ignatius Loyola**
 - a. Spanish nobleman, soldier, wounded in battle, had spiritual experience while recovering
 - b. Wrote *Spiritual Exercises*, disciplined approach to spiritual growth
 - c. Founded Society of Jesus (Jesuits), order of priests, organized along military lines
 - d. Jesuits effective as preachers, teachers, confessors, organizers, diplomats, spies, missionaries
 - e. Jesuits defended Catholicism, helped check spread of Protestantism after 1560s

C. The Council of Trent

- 1. Held in three sessions, 1545-1563, addressed internal problems, challenge of Protestants
- 2. Reformed policies to eliminate abuses
 - a. Forbade absenteeism, false indulgences, selling church offices
 - b. Required higher standards, more education, more supervision of clergy
- 3. Reaffirmed basic tenets of Catholic doctrine
 - a. Necessity of good works, as well as faith for salvation
 - b. Authority of church law, traditions, as well as Bible
 - c. Sanctity of all seven sacraments
 - d. Mass in Latin, essential role of priest in Mass
 - e. Spiritual value of indulgences, pilgrimages, veneration of saints, cult of Virgin
- 4. Had effect of strengthening papacy
- 5. Reinvigorated Catholic response to Protestantism

CONCLUSION

1. Renaissance saw the individualist and secular spirit replace communitarianism of Middle Ages
2. Humanism sought to recapture learning, culture of Greece, Rome, laid foundations for modern scholarship
3. Renaissance, Mannerist artists developed new visions
4. Ideas, styles of Italian Renaissance spread to northern Europe, enriching, stimulating intellectual, artistic development there

CONCEPTUAL HOOKS

TIMELINE: 1300-1600

DEFINITIONS

Renaissance: 14th- to 16th-century intellectual revival first in northern Italy and later north of the Alps. Participants self-consciously reacting against “Dark Ages.”

Dark Ages: Renaissance portrayal of thousand years after the Fall of Rome as a time of stagnation and ignorance.

Classical Revival: An intensification of interest in the literature of classical Greece and Rome, which led to the search for Latin and Greek manuscripts.

humanists: Scholars who looked back to the culture of classic Greece and Rome to find how “man should live.” Through their research they set new standards for scholarship.

Medici family: The most famous of the Renaissance patron families, ruled Florence for 60 years (1434-1494) behind a facade of republicanism. Lorenzo the Magnificent epitomized Renaissance spirit and patronage.

studia humanitatis: Humanistic studies. Successors to a small group of medieval teachers of grammar and rhetoric, the “humanists” advocated a curriculum of humanistic studies (history, grammar, rhetoric, poetry, and moral philosophy) to counter the scholastics’ traditional curriculum.

Petrarch: Francesco Petrarca, 1304-1374, commonly known as the “father of humanism” because he was the first to play a major role in making people conscious of the attractions of the classics. A thoroughly modern man who sought the past because of the dreadful nature of his times, fell in love with Laura, for whom he wrote fine sonnets, and consciously made the intellectual transition from contemplation of the next world to dedication to this one.

Boccaccio: Giovanni, 1331-1375, wrote the *Decameron* in Italian vernacular, dealing with a group of young people who sought refuge from the plague in the countryside and told vivid stories. He then spent the rest of his life in humanistic pursuit of old Greek and Latin manuscripts.

civic humanists: Scholars who applied lessons of the ancients to contemporary issues.

Platonism: Philosophy of Plato. Some Renaissance humanists were attracted to Plato's idealism, finding moral purpose, religious, even mystical values there. Neoplatonists revived Plato's ideas and applied them to contemporary concerns. Plato's concepts of beauty, harmony, and perfect models inspired artistic and scientific quests of the 15th and 16th centuries.

Marsilio Ficino: 1439-1499, leader of the Platonic Academy, sought to synthesize Christianity and Plato in *The Platonic Theology*.

Pico della Mirandola: 1463-1494, Ficino's disciple, claimed to know everything in the world by the age of 23. In "Oration on the Dignity of Man" he expressed his belief in the glorious possibilities of the individual, who can "have whatever he chooses, to be whatever he wills."

Baldassare Castiglione: 1478-1529, author of *The Courtier*, the most famous book on Renaissance manners and expectations. Established the need for a person to be a well-rounded individual in all areas.

quattrocento: Italian for "four hundred," an abbreviation for the 1400s, a period of great artistic achievement.

Giotto: 1266-1336, Florentine painter who made the transition from Byzantine to more modern, believable forms.

Masaccio: 1401-1428, mastered problems of perspective, anatomical naturalism, first to paint nude figures since antiquity. Painted *Expulsion from Eden*.

Andrea Mantegna: 1431-1506, painted realistically.

Piero della Francesca: c. 1420-1492, had scientific and intellectual, ultra-rational approach to painting.

Sandro Botticelli: 1447-1510, used sensitive, vivid lines, avoiding straightforward presentation of people, views. Painted *Birth of Venus*, *Primavera*.

Lorenzo Ghiberti: 1378-1455, sculpted magnificent baptistery doors in Florence.

Filippo Brunelleschi: 1377-1446, mastered Roman architecture to perfect dome on Florentine Cathedral.

Donato Bramante: 1444-1514, designed Saint Peter's.

Leonardo da Vinci: 1452-1519, Renaissance man, skilled in areas as diverse as military technology and fine arts. His *La Gioconda* (Mona Lisa) and *Last Supper* reveal the sense of beauty, composition, and psychological insight associated with the High Renaissance.

Raphael: 1483-1520, master of design and composition, famous for portraits of serene madonnas.

Michelangelo Buonarroti: 1475-1564, superb artist, sculptor, architect, famous for painting the Sistine Chapel, sculpting *David*, completing the Dome of St. Peter's.

Giorgione: 1477-1564, and **Titian**, c. 1477-1576, prime examples of sensuous, sophisticated work of Venetian school.

Mannerism: Avoiding classical serenity of Renaissance art, Mannerists sought to express their inner vision with dramatic force, movement, and artistic tension. It was similar to the later baroque style and in some ways prefigured modern abstract expressionism.

Benvenuto Cellini: 1500-1571, sculpted intricately designed objects, such as the *Saltcellar of Francis I*. In his *Autobiography* he boasts of his talent and exemplifies extreme individualism.

Johann Gutenberg: c. 1397-1468, printer in Mainz who invented movable type by cutting up old printing blocks to form individual letters. Published first printed Bible in 1454.

Erasmus: Desiderius Erasmus of Rotterdam, 1466-1536, the preeminent intellectual of his day. Noted for his satire *The Praise of Folly* (1511) and his Greek edition of the New Testament. Condemned hypocrisy, advocated Christian piety based on the Sermon on the Mount.

Sir Thomas More: 1478-1535, close friend of Erasmus, wrote *Utopia*, a sharp critique of the values and tendencies of his day. A significant moral force in England, one who submitted to execution, rather than compromise on his moral position.

Rabelais: 1494-1553, best known French humanist who turned a penetrating eye on his society and produced penetrating satires, such as *Gargantua and Pantagruel*.

Ulrich von Hutten: 1488-1523, outstanding German humanist who worked for both religious reform and German national unity.

Michel de Montaigne: 1533-1592, lawyer who retired to his country estate at the age of 38. Contemplating and exploring topics of interest, he developed a new literary form, which he named the “essay.” Advocated open-mindedness and toleration in an age of religious civil wars.

Magill de Cervantes: 1547-1616, prolific Spanish humanist whose satire *Don Quixote de la Manchu* depicts the inadequacies of medieval chivalry by juxtaposing the idealism of the knight Don Quixote with the peasant wisdom and practicality of his squire, Sancho Panza. It captures the theme of ideals and compromises in a real world.

William Shakespeare: 1564-1616, the supreme figure in English literature, perhaps in world literature. Wrote poetry and 37 plays, with great insight into human nature, rich vocabulary, poetic imagery.

Martin Luther: 1483-1546, Augustinian monk who triggered the Protestant Reformation by posting his *Ninety-five Theses*, on October 31, 1517. The son of a strict, upwardly-mobile peasant family, Luther abandoned a study of the law to become a monk. From there, offended by the abuses he saw around him, Luther spoke out.

indulgences: The notion that the Popes could dispense grace through the sale of indulgences, drawn upon the inexhaustible treasury of merits accumulated by Christ and the saints. Although the practice of indulgence is based in Saint Augustine, the practice of granting them became perverted in order to raise money to pay off debts of political or spiritual politicians or to aid in building Saint Peter’s.

Johan Tetzel: 1464-1519, Dominican monk commissioned to sell indulgences who drew Luther’s wrath.

Ninety-five Theses: Luther announced his protests, publicly stating his concerns about indulgences and other theological questions. The Theses spread quickly through Germany, eventually his efforts split Christendom.

John Eck: 1486-1543, theologian who had the easy job of drawing Luther into making heretical statements at the Leipzig debates.

Diet of Worms: After Luther had refused to recant, and after his statements in the debate with Eck, Pope Leo X had excommunicated him. Charles V gave him the chance to make his case before the Diet of the Holy Roman Empire in April 1521. Once again, he refused to back down in private and public interviews. Diet declared him to be a heretic and an outcast.

Elector Frederick the Wise of Saxony: Kidnapped Luther after Diet of Worms, put him under his protection at Wartburg Castle.

Katherine von Bora: 1499-1552, former nun who married Luther, bore him six children, raised his nieces and nephews, managed his household and supported him.

peasant revolt: 1524-1525, as economic conditions worsened in Germany, peasants petitioned for religious autonomy and abolition of serfdom, tithes, enclosure of common lands and harsh punishment. The peasants appealed to Luther who, once the movement became violent, wrote a pamphlet against them entitled "Against the Thievish and Murderous Horde of Peasants." The revolt was eventually put down at the cost of 100,000 lives.

Augsburg Confession: 1530, the statement of principles of the Lutheran princes submitted to the Imperial Diet.

Schmalkadic League: The defensive alliance of the Lutheran princes against the empire, engaged in a sporadic war until 1555.

Peace of Augsburg: 1555, ended first phase of the Reformation, recognized princes' rights to be either Catholic or Lutheran, gave princes increased rights, Catholic properties taken by Lutherans before 1552 would remain in their hands.

Henry VIII: Ruled 1504-1547, carried out his own Reformation for his own political purposes. A Renaissance prince who achieved his goals through manipulating Parliament and national sentiment.

Catherine of Aragon: 1485-1536, aunt of Charles V, wife of Henry VIII's brother Arthur, later wife of Henry. Intelligent and loving partner with whom Henry failed to produce a legitimate male heir.

Clement VII: Ruled 1523-1534, Pope who faced the unhappy challenge of ruling on Henry VIII's request for annulment of his marriage with Catherine while Charles V's army occupied and sacked Rome. Eventually forced to excommunicate Henry VIII, who had earlier been proclaimed "Defender of the Faith" for his denunciation of Luther.

Thomas Cranmer: 1489-1556, servant of Henry VIII who became archbishop of Canterbury and in 1533 declared Henry's marriage to be invalid. Worked with Parliament to end ties with Pope.

William Tyndale: 1494-1536, translated Bible into English. Reflected Lutheran influence. Killed as a heretic.

- Edward VI:** Ruled 1547-1553, sickly son of Henry VIII and his third wife, Jane Seymour, who was a figurehead while the Regency Council ran affairs. Radical shift toward extreme Protestantism.
- Mary I:** Ruled 1553-1558, daughter of Henry VIII and Catherine of Aragon, wife of Philip II of Spain, who carried out harsh persecutions of Protestants, burning 300 of them. Restored Catholic service, proclaimed papal authority. Died rejected.
- Ulrich Zwingli:** 1484-1531, Swiss Renaissance man who controlled Zurich. Affirmed biblical authority, simplified services, preached justification by faith, opposed clerical celibacy, saw baptism and communion as being only symbolic acts.
- John Calvin:** 1509-1564, Frenchman who imposed rational frame on general Lutheran doctrines. Briefly in Geneva 1536, returned in 1541 to set up a theocracy. Calvin's God distant, omniscient, omnipotent. God's will shown in predestination: God knows even before one's birth if one is saved or damned.
- Michael Servetus:** 1511-1553, Spanish theologian-philosopher and refugee from the Spanish Inquisition who Calvin burned at the stake because he denied the doctrine of the Trinity.
- Huguenots:** French Calvinists.
Lashed out at sinful living, criticized Pope and clergy, called a Catholic Calvin.
- Cardinal Ximenes:** 1437-1517, disciplined, improved clergy, encouraged biblical scholarship, instilled new spirit of dedication in Church.
- Pope Paul III:** Ruled 1534-1549, struggled to reverse corrupt legacy of Renaissance predecessors and restore integrity to the papacy. Wanted to clean up internal problems before attacking Protestants. Called Council of Trent.
- Council of Trent:** Met in three sessions between 1545 and 1563 in northern Italian city of Trent. Attacked issues of Protestants, sought to eliminate internal church abuses, oversaw creation of new religious orders, rejected all doctrinal compromise with the Protestants while strengthening role of papacy.
- Society of Jesus:** Initiated 1524, approved Pope 1530, served as the Pope's elite guard against the Protestants. Organized along military lines with Pope as general and leader as general, Jesuits worked in education, missionary work, governmental work, both open and clandestine.
- Ignatius Loyola:** 1491-1556, Spanish nobleman and soldier who founded the Society of Jesus, one of the most effective and most imitated organizations in history.

DISCUSSION

Even though the humanists looked back to ancient Greece and Rome for their inspiration, there is no denying that a new spirit was abroad in northern Italy in the 14th and 15th centuries. Discuss the new point of view regarding the individual, the worth of life in this world, and attitudes toward learning.

Why is Petrarch called the “father of humanism”? Discuss his career and indicate the nature of the transition he supposedly made from the medieval to the modern age.

Discuss the interrelationship between “market demands” and artistic output in the careers of Bellini, Michelangelo, and da Vinci.

After briefly characterizing the 14th- and 15th-century political life of Italy, do you think that Machiavelli was merely describing reality or creating new ways of political analysis? In your answer discuss Machiavelli’s humanistic ties to the classics.

A common criticism of the Reformation was that it unleashed a myriad of faiths, making Christian unity forever impossible. Consider the religious ferment from Geneva up the Rhine to the North Sea and judge whether the criticism has validity.

PRIMARY DOCUMENT/CRITICAL THINKING EXERCISES

Examine five Renaissance paintings and describe the quality of thought, mood, or insight into human nature that you find there. Do the works of Renaissance artists have meaning for us today?

Read the passage “On Cruelty and Mercy” from *The Prince* by Machiavelli. Is it better for the prince to be feared or loved? What cynical assumptions does Machiavelli make about men? What historical experiences could Machiavelli use to substantiate these views?

Read the passages by Anne Ayscough on the eve of her execution. How does she see her relationship with God? How does she see her relationship to the king? Does she make any statements that the king, the pope, a Lutheran, or a Calvinist might take exception to? What religious positions made her dangerous to the state?

TESTING

There is no doubting that the Renaissance was one of the most creative times in world cultural history. What were the factors that liberated this creative spirit?

Although Petrarch, Boccacci, and Machiavelli wrote on vastly different topics, they are all prime examples of the Italian Renaissance. Summarize their major ideas/contributions. Do they share any qualities in common?

Greek and Roman models inspired many artists of the Renaissance. Examine the work of three artists. Cite how they consciously imitated works of the past or developed their own styles.

Consider the tone and content of the works of More, Erasmus, Rabelais, and Cervantes. How do you explain the sharpness of the criticism and satire, especially when compared to the works of the Italian humanists? Was the north's situation so drastic? Or were the Italians afraid of offending their patrons?

"Luther gave the Reformation its heart and soul. Calvin gave it its mentality and structure." Compare and contrast the roles and contributions of Luther and Calvin as you explain what the quotation means.

Compare and contrast the intermixing of political and religious motives in the post-1522 Lutheran Reformation and Henry VIII's creation of the Anglican church.

Characterize the tone and extent of the Catholic Reformation. To what degree did the single-mindedness of Ignatius Loyola dominate the Roman response? Can you identify any residual humanist elements in the Council of Trent's program?

Who were the Huguenots? Characterize their geographical, social, and economic roots.

LECTURE LAUNCHER

Johan Huizinga was born in Groningen, Holland, in 1872, and died near Arnhem in 1945, a few weeks before the Allies liberated his country from Nazi domination. As a historian he studied his native land and its accomplishments and made judgments from that study of local history of universal validity, especially about the history of culture and civilization. In 1920, he published an essay entitled "The Problem of the Renaissance" in a Dutch journal. In it he notes the seductive, and often confusing, nature of the epoch.

At the sound of the word "Renaissance" the dreamer of past beauty sees purple and gold. A festive world is bathed in mild clarity, rustling with sonorous tones. People move with grace and solemnity, untroubled by the distress of time and the beckonings of eternity. Everything is one ripe, full exuberance. The questioner says: Explain it in more detail. And the dreamer stammers: the Renaissance is altogether positive and it is undoubtedly in the key of C major....The Renaissance was the emergence of individualism, the awakening of the urge to beauty, the triumph of worldliness and *joie de vivre*, the conquest of mundane reality by the mind, the revival of a pagan zest for life, the developing consciousness of the personality in its natural relation to the world....

The Renaissance cannot be considered as a pure contrast to medieval culture, not even as a frontier territory between medieval and modern times. Along the basic lines dividing the older and the more modern intellectual culture of the peoples of the West there are some that run between the Middle Ages and the Renaissance, others between the Renaissance and the 17th century, still others straight through the heart of the Renaissance, and more than one as early as through the 13th century or as late as through the 18th.

The picture displayed by the Renaissance is one of transformation and hesitation, one of transition and of intermixture of cultural elements. Anyone seeking in it a total unity of spirit capable of being stated in a simple formula will never be able to understand it in all of its expressions. Above all, one must be prepared to accept it in its complexity, its heterogeneity, and its contradictions, and to apply a pluralistic approach to the questions it poses. Whoever casts out a single schema as a net to capture this Proteus will only catch himself in the meshes. It is a vain ambition to want to describe *the* man of the Renaissance. The numerous types offered by that rich period are divided by other characteristics much more basically than any individualism can unite them....(Johan Huizinga, *Men & Ideas*, New York: Meridian Books, 1960, pp. 243. 286-287).

THE INSTRUCTOR'S TOOL KIT

AUDIO CASSETTES

Giovanni Boccaccio, *Five Tales from the Decameron*. Caedmon
John Osborne's *Luther*
The Elizabethan Consort of Viols
John Donne, *Sermons and Meditations of John Donne*
William Shakespeare, *Songs from the Plays of Shakespeare* From Caedmon

COROLLARY READING

Mark A. Kishlansky, *Sources of the West*, I
 Francesco Petrarca, *Letters* (ca. 1372)
 Leon Battista Alberti, *On the Family* (1435-1444)
 Giorgio Vasari, *The Life of Leonardo da Vinci* (1550)
 Niccolò Machiavelli, *The Prince* (1513)
 Desiderius Erasmus, *In Praise of Folly* (1509)
 Sir Thomas More, *Utopia* (1516)
Mark A. Kishlansky, ed., *Sources of the West*, I
 Martin Luther, *The Freedom of a Christian* (1520), *Of Marriage and Celibacy* (1566)
 John Calvin, *Institutes of the Christian Religion* (1534), *Catechism* (ca. 1540)
 Ignatius Loyola, *Spiritual Exercises* (1548)

Teresa of Avila, *The Life of Saint Teresa* (1611)
Anonymous, *Lazarilla de Tormes* (1554)
The Twelve Articles of the Peasants of Swabia (1524)
Martin Luther, *Admonition to Peace* (1525)
Marguerite de Navarre, *Heptameron* (1558)
Magdalena and Balthasar Paumgartner, *Letters* (1592-1596)
Anonymous, *The Debate About Women: Hic Mulier and Haec Vir* (1620)
François Hotman, *Francogallia* (1573)
Henry IV, *The Edict of Nantes* (1598)
William of Orange, *Apology* (1580)
Cardinal Richelieu, *The Political Testament* (1638)
Hans von Grimmelshausen, *Simplicissimus* (1669)

COURSE ENHANCEMENT

Each chapter in the textbook includes extensive lists of supplementary material

- Films and videos
- Web destinations
- Literature from the period
- Suggestions for further reading

COMPANION WEBSITE at www.ablongman.com/brummett

Additional resources are available at the Companion Website for both the instructor and the student. Instructor's resources include PowerPoint slide presentations, electronic versions of maps, graphs, and tables, Web resources, as well as links to Longman resources. For the student, you can direct them to the Companion Website to take quizzes, or for online links to further research or reading for each chapter.

CHAPTER 15

The Development of the European State System: 1300-1650

CHAPTER OUTLINE

INTRODUCTION

1. Europe experienced a period of transition from the medieval epoch to the modern world
 - a. Growth of national identity
 - b. Rise of modern capitalism
 - c. Emergence of modern state
2. Major movements led to restructuring
 - a. Rise of Protestantism
 - b. Dynastic rivalry
 - c. Religious warfare

I. POLITICS IN AN AGE OF CRISIS: 1300-1500

- A. England and France: *The Hundred Years' War*
 1. English and French monarchies conflicted
 - a. English kings wanted to keep holdings in France
 - b. French kings wanted them out; sought centralized French state
 - c. Vied over economic interests in Flanders
 2. War broke out as dispute over succession to French throne
 - a. Fought intermittently, 1337-1453
 - b. English won battles at Sluys, Crécy, Poitiers, Agincourt, but lost war
 3. English armies superior to chaotic French knights; used *longbow* to good effect
 4. French rallied by *Joan of Arc*, 1429
 - a. Though burned at stake, remained symbol
 - b. French artillery outmatched longbow by 1453
 5. England kept only Calais in France
- B. England After the Hundred Years' War
 1. England exhausted after war; Parliament, people discontented with monarchy
 2. Baronial fighting broke out over control of throne in *Wars of the Roses*, 1455-1485
 - a. House of York symbolized by white rose
 - b. House of Lancaster symbolized by red rose

- c. Civil war lasted 30 years
- 3. **Henry VII** triumphed after victory at Bosworth Field
 - a. Began Tudor dynasty
 - b. Became popular, effective monarch
 - c. Brought national unity, security to English people

C. France After the Hundred Years' War

- 1. After 1453 France had new nationalism, stronger royal power than before war
- 2. **Louis XI**, "universal spider," continued consolidating royal power
 - a. Used intrigue, violence, bribery, treachery
 - b. Forged new subject-sovereign relationship to replace old feudal ties of personal fidelity

II. SPAIN: **FERDINAND AND ISABELLA**

- A. Brought together Castile and Aragon, most of Iberian peninsula through joint rule
- B. Sought to establish royal control over all Spain
 - 1. Used Spanish Church to further powerful monarchy
 - 2. Gained papal approval to appoint church officials, set up Inquisition
- C. **Spanish Inquisition**
 - 1. Confiscated property of Jews, Muslims
 - 2. Terrified Christian clergy, laity into accepting royal absolutism, religious orthodoxy
 - 3. Caused people to flee Spain, e.g., Sephardic Jews
- D. Ruled as absolute monarchs
 - 1. Believed in "one king, one law, one faith"
 - 2. Intentionally neglected representative assemblies (**Cortes**)

III. THE HOLY ROMAN EMPIRE

- A. **Count Rudolf of Habsburg** acquired crown of Holy Roman Empire, 1273
 - 1. German lands disunited, monarchy only symbolic
 - 2. Rudolf gained Austria through marriage, began major territorial growth
- B. **Golden Bull** (1356) stipulated method of electing Holy Roman Emperor
 - 1. Seven electors (3 archbishops, 4 lay princes) chose emperor
 - 2. German nobility resisted creation of powerful monarchy
 - 3. Feudal privileges gave them virtual independence
- C. Emperor could take no action without consent of Diet, which rarely met

IV. HENRY VIII AND THE ANGLICAN REFORMATION

A. The Annulment Issue

1. England was “Atlantic state”
 - a. Differed from central Europe
 - b. Characterized by national monarchy, centralized authority, greater independence from papacy
2. English Reformation took political form
 - a. Primary goal: preserve Tudor dynasty
 - b. Secondary opportunity: gain access to Church wealth
3. **Henry VIII** needed legitimate male heir
 - a. **Catherine of Aragon** and he had a daughter, Mary, but no living sons
 - b. Henry wanted papal annulment so he could marry again, have male heir
4. Issue a crisis for **Pope Clement VII**
 - a. Annulment theologically prickly
 - b. The armies of Catherine’s nephew, Charles V, occupied Rome
5. Henry chose a national solution to the issue

B. The Political Reformation

1. **Thomas Cranmer** and Parliament worked with Henry VIII to carry out English Reformation
 - a. King became head of English church
 - b. Cranmer declared marriage to Catherine invalid, legalized marriage to Anne Boleyn
 - c. Pope excommunicated Henry
2. Anti-Catholic campaign began
 - a. State took, distributed Church property, dues
 - b. Opponents, including Sir Thomas More, executed
3. Strong Protestant movement existed in England before Henry VIII
 - a. John Wyclif, Oxford professor, active in theological debates in 14th c.
 - b. **William Tyndale** translated Bible into English, reflected Lutheran influence
 - c. English Bible available to all literate English-speaking people
4. English church made very little doctrinal change
 - a. **Six Articles**, Parliament’s declaration of new creed, ceremonies
 - b. Reaffirmed Catholic theology, except for papal supremacy
5. Henry VIII grew suspicious of popular Protestantism
 - a. Refused to legalize clerical marriage
 - b. Criticized Protestants like Anne Ayscough

C. The Turmoil of Extremes

1. **Edward VI** (1547-1553) frail, teenage son of Henry VIII and Jane Seymour
 - a. Staunchly Protestant regents introduced more Protestant features to Church
 - b. Catholics alarmed
2. **Mary I** (1553-1558) daughter of Henry VIII and Catherine of Aragon
 - a. Catholic, tried to restore Catholic church service, papal authority

- b. Persecuted Protestants, burned 300, including Cranmer, called “Bloody Mary”
- c. Married Philip II, died without heirs, succeeded by half-sister Elizabeth

V. PROTESTANTISM IN SWITZERLAND AND FRANCE: ZWINGLI AND CALVIN

A. Early Reformation in Switzerland

1. Economic, social conditions favored growth of Protestantism in Switzerland
 - a. Swiss craftsmen, merchants suffered under Habsburg overlords, papal policies
 - b. Confederation of Swiss cantons won independence from Holy Roman Empire, Habsburgs, 1499
2. **Ulrich Zwingli** first Protestant leader
 - a. Agreed with Luther on many issues
 - b. Exceeded him in seeing baptism, communion as only of symbolic importance

B. *John Calvin*

1. Originally from France, trained as a lawyer, fled to Basel, later went to Geneva
2. Wrote *Institutes of the Christian Religion*, rational, systematic synthesis of Protestant doctrines
3. Dominated Geneva through theocratic-type government
 - a. Strict moral rules affected every aspect of private life
 - b. Consistory (church committee) punished slightest offenses
 - c. Torture, execution, banishment for serious offenses
 - d. Heretics, like **Michael Servetus**, burned at stake

C. Calvinism and Its Impact

1. Accepted most of Luther’s principles, but emphasized God’s omnipotence, doctrine of predestination
2. Congregations elected ministers, regions elected *synods* (councils) to decide common policy
3. Calvin expressed ambivalent views on government
 - a. Recognized Christian duty of obedience to secular authority
 - b. Tended to favor representative government
4. Calvin stressed women’s rights to read Bible, participate in church services, but believed women are subordinate to husbands
5. Before 1555 Calvinism had little official standing
 - a. Spread to France, followers called **Huguenots**
 - b. Appealed to businessmen, aristocrats
 - c. Women influential in spreading Calvinism
 - d. John Knox spread Calvinism to Scotland

VI. WARS OF RELIGION: THE SPANISH HABSBURGS' QUEST FOR EUROPEAN HEGEMONY, 1556-1598

A. Spain as the Model for Catholic Absolutism

1. Peace of Augsburg did not end religious strife
 - a. Much sectarian strife in evidence
 - b. Civil wars, Jesuit-led counterattack, Dutch religious rebellion dominated times
2. **Philip II** led Spain as strongest European power
 - a. Defender of Catholic faith, used Inquisition
 - b. Inherited range of problems for Charles V
3. Charles V divided his vast holdings between his brother Ferdinand and son Philip
 - a. Ferdinand took Austria, Bohemia, Hungary
 - b. Philip took Spain; gained world empire, conflict with Turks, Protestants
4. Philip austere, serious king, devoured by work
 - a. Defended Spanish interests, not tool of Pope
 - b. Faced serious internal infrastructure problems

B. The Revolt of the *Netherlands*

1. Philip's policies helped domestic unity, sparked disaster in Netherlands
 - a. Catholic conformity policy sparked resistance
 - b. Cities, commercial groups attracted by Calvinism
2. Philip's forces fought heresy, used Inquisition
 - a. Calvinist mobs fought back, attacked churches
 - b. Philip sent **Duke of Alva**, imposed martial law
 - c. His forces committed atrocities
3. **William of Orange** led resistance
 - a. After early defeats, gained success in north
 - b. Rebellion marked by atrocities, such as *Antwerp*
 - c. Alexander Farnese continued harsh Spanish rule, exploited differences between Dutch, Belgian provinces, split opposition
 - d. Dutch continued to resist, even after assassination of William of Orange

C. Religious Wars in France

1. Decline came after **Treaty of Cateau-Cambr sis**
 - a. Went into four decades of strife
 - b. Complex split between Calvinists, urban and business classes, some nobles, Huguenots and Court factions, Guise family, church
2. Key player in drama was **Catherine de M dici**
 - a. Had role in **Saint Bartholomew's Eve Massacre**
 - b. Finally led to **Henry of Navarre** becoming king

D. Elizabethan England

1. **Elizabeth I** helped England avoid civil war
 - a. Skillful at judging, manipulating factions

- b. A dominating diplomat
 - 2. Threat presented by *Mary Stuart*
 - a. *John Knox* blocked her in Scotland
 - b. Mary forced to flee to England
 - 3. Elizabeth skillfully defused religious problems
 - a. Failed to please both Catholic, Puritan extremes
 - b. Network of Jesuit priests operated in country
- E. The Futile Spanish Bid for Supremacy
- 1. Religious conflict became international, as Philip shifted from diplomacy to direct military action
 - 2. Philip could not control French or English policy
 - a. Angered by English piracy
 - b. Frustrated with Dutch uprising
 - 3. Emboldened by victory over Turks as *Lepanto*
 - a. Took control of Portuguese throne, 1580
 - b. Tried to work through Mary Stuart to expel Elizabeth
 - c. Mary's death convinced him of need for war
 - 4. Sent *Armada* in 1588, ended in debacle of defeat
- F. The Balance Sheet of Spanish Failure
- 1. No major shift in international balance, post-1588
 - a. Spain rebuilt fleet, gained no major victories
 - b. All major powers were exhausted, allowing Bourbons the French throne, Dutch their freedom
 - 2. Spain began slow, steady decline
 - a. Rebellions, conflict with Pope Clement VIII
 - b. Two more attacks on Britain failed
 - c. Forced to make peace with France
 - d. Philip bankrupted Spain three times in his rule
 - 3. England experienced similar problems
 - a. Sea raids failed to achieve grand projects
 - b. Armed action on three fronts drained treasury
 - c. Religious strife surfaced
 - 4. Dutch persevered toward independence by 1609
 - 5. France gained some stability
 - a. Henry of Navarre became King Henry IV
 - b. *Edict of Nantes* gave religious, political rights to Huguenots

VII. THE THIRTY YEARS' WAR, 1618-1648: THE AUSTRIAN HABSBURGS' QUEST FOR CENTRAL EUROPEAN HEGEMONY

- A. Background and Setting of the Conflict
 - 1. Religious-political strife intensified
 - a. Fear of Habsburg domination

- b. Religious enemies sought total victory
 - c. Europe worked crises out in Thirty Years' War
 - 2. European economy declined after 1600
 - a. Prices fell, trade declined, economies collapsed
 - b. Spanish bullion imports from Central and South America dwindled
 - c. Cooler weather shortened growing season, reduced agricultural output
 - d. Wages dropped for urban craftspeople
 - 3. Tension present throughout Europe
 - a. Worst in Germany, more militant
 - b. All royal houses somewhat insecure, as they tried to find absolutist solution
 - 4. Thirty Years' War culmination of all related religious and political problems
 - a. Began in Bohemia as religious war
 - b. Concluded in Germany as political struggle
- B. The Habsburg's High Tide to 1630: The Bohemian and Danish Phase of the Thirty Years' War
- 1. Bohemian Phase (1618-1620) saw last Habsburg revival
 - a. New Emperor, **Ferdinand II**, determined to wipe out Protestants
 - b. Bohemian leaders, fearing Ferdinand would renege on earlier promise to Protestants, ejected imperial officials from window (defenestration of Prague), offered throne to Protestant
 - c. Bohemians destroyed at **White Mountain**
 - 2. Danish Phase (1625-1629) also ended in Habsburg victory
 - a. Danish king, Christian IV, Lutheran, sought land, Dutch reopened naval war
 - b. Emperor Ferdinand's army under **Albrecht von Wallenstein** won decisively
 - c. Emperor issued Edict of Restitution (1629), restored to Catholics all property lost since 1552
 - d. Emperor seemed ready to eliminate Protestantism, centralize monarchy
- C. The End of Habsburg Supremacy, 1630-1648
- 1. In Swedish (1630-1635) and French (1635-1648) phases balance of power prevailed against Habsburgs
 - 2. Cardinal Richelieu, Louis XIII of France cooperated with German Protestants
 - 3. **Gustavus Adolphus**, Swedish king, defeated Wallenstein's imperial army at **Lützen**
 - 4. French defeated Spanish at **Rocroi**
- D. The **Peace of Westphalia**
- 1. One of key treaties in European history
 - a. Foundation of modern state system
 - b. Ended period of religious wars
 - 2. Political settlements redrew map
 - a. The Netherlands, Switzerland recognized as independent
 - b. New European state system confirmed: equality of all sovereign states
 - c. States shaped policy by power of neighbors

3. Religious implications of Westphalia
 - a. Catholics, Protestants realized neither one could destroy the other
 - b. Religion never again a serious political issue
4. Greatest legacy, desire for order, stability
 - a. Need to recover from carnage
 - b. Basis for politics changed

CONCEPTUAL HOOKS

TIMELINE: 1400-1648

DEFINITIONS

Charles V: Ruled 1519-1556, Hapsburg, Holy Roman Emperor who had the difficult task of fighting the Turks, blocking the French, and dealing with the Protestants.

John Wyclif: 1328-1384, Oxford professor who attacked abuses of the Church structure and espoused alternate theological positions. Stated, among other issues, that the Bible, which he translated into English, was the final authority in doctrine and that salvation was a matter between an individual and God. Organized “poor priests,” Lollards. Condemned as heretic.

John Hus: c. 1369-1415, Czech hero and martyr who was affected by Wyclif’s theology. Rector of university, preacher of Czech sermons in Prague, tapped resentment of Germans. Excommunicated, then burned at stake at Council of Constance.

Augustinians: Luther’s order, following the inspiration of Saint Augustine, believed that humans were depraved sinners who could only be saved through personal repentance and faith in God’s mercy. Augustinians, unlike Dominicans, accepted only the Scriptures as religious truth. Diminished role of clergy, condemned all deviations from early primitive Church.

Martin Luther: 1483-1546, Augustinian monk who triggered the Protestant Reformation by posting his *Ninety-five Theses*, on October 31, 1517. The son of a strict, upwardly-mobile peasant family, Luther abandoned a study of the law to become a monk. From there, offended by the abuses he saw around him, Luther spoke out.

indulgences: The notion that the Popes could dispense grace through the sale of indulgences, drawn upon the inexhaustible treasury of merits accumulated by Christ and the saints. Although the practice of indulgence is based in Saint Augustine, the practice of granting them became perverted in order to raise money to pay off debts of political or spiritual politicians or to aid in building Saint Peter’s.

John Eck: 1486-1543, theologian who had the easy job of drawing Luther into making heretical statements at the Leipzig debates.

Diet of Worms: After Luther had refused to recant, and after his statements in the debate with Eck, Pope Leo X had excommunicated him. Charles V gave him the chance to

Catherine of Aragon: 1485-1536, aunt of Charles V, wife of Henry VIII's brother Arthur, later wife of Henry. Intelligent and loving partner with whom Henry failed to produce a legitimate male heir.

Clement VII: Ruled 1523-1534, Pope who faced the unhappy challenge of ruling on Henry VIII's request for annulment of his marriage with Catherine while Charles V's army occupied and sacked Rome. Eventually forced to excommunicate Henry VIII, who had earlier been proclaimed "Defender of the Faith" for his denunciation of Luther.

Thomas Cranmer: 1489-1556, servant of Henry VIII who became archbishop of Canterbury and in 1533 declared Henry's marriage to be invalid. Worked with Parliament to end ties with Pope.

William Tyndale: 1494-1536, translated Bible into English. Reflected Lutheran influence. Killed as a heretic.

Edward VI: Ruled 1547-1553, sickly son of Henry VIII and his third wife, Jane Seymour, who was a figurehead while the Regency Council ran affairs. Radical shift toward extreme Protestantism.

Mary I: Ruled 1553-1558, daughter of Henry VIII and Catherine of Aragon, wife of Philip II of Spain, who carried out harsh persecutions of Protestants, burning 300 of them. Restored Catholic service, proclaimed papal authority. Died rejected.

Ulrich Zwingli: 1484-1531, Swiss Renaissance man who controlled Zurich. Affirmed biblical authority, simplified services, preached justification by faith, opposed clerical celibacy, saw baptism and communion as being only symbolic acts.

John Calvin: 1509-1564, Frenchman who imposed rational frame on general Lutheran doctrines. Briefly in Geneva 1536, returned in 1541 to set up a theocracy. Calvin's God distant, omniscient, omnipotent. God's will shown in predestination: God knows even before one's birth if one is saved or damned.

Michael Servetus: 1511-1553, Spanish theologian-philosopher and refugee from the Spanish Inquisition who Calvin burned at the stake because he denied the doctrine of the Trinity.

Huguenots: French Calvinists.

Anabaptism: Christian sect that repudiated infant baptism as a violation of Christian responsibility. Numerous along the Rhine River to the sea, basis for many American Protestant denominations.

John of Leyden: Dutch tailor, Anabaptist, established theocratic regime in Münster, confiscated property, installed polygamy, and laid plans to convert the world. Catholics and Lutherans cooperated to viciously suppress Münster in 1534.

Savonarola: 1452-1498, Dominican friar, puritan, mystic who ruled Florence 1494-1498. Lashed out at sinful living, criticized Pope and clergy, called a Catholic Calvin.

Cardinal Ximenes: 1437-1517, disciplined, improved clergy, encouraged biblical scholarship, instilled new spirit of dedication in Church.

Pope Paul III: Ruled 1534-1549, struggled to reverse corrupt legacy of Renaissance predecessors and restore integrity to the papacy. Wanted to clean up internal problems before attacking Protestants. Called Council of Trent.

Philip II: 1556-1598, ruled Spain and its world empire during the peak of its glory. In defending the faith and pursuing his political goals he conquered the Turks at Lepanto but failed to subdue the Dutch or British. Exhausted himself and Spain's wealth.

Netherlands: During Philip's reign included much of modern Holland, Belgium, Luxembourg. Area was characterized by diversity, strong local nobles, and relatively free peasants and townspeople.

Duke of Alva: 1508-1582, distinguished commander sent by Philip II in 1567 to put down the Dutch revolt. Responsible for atrocities such as the burning of 18,000 people. Recalled in 1573.

William of Orange: 1533-1584, known as the "silent," born of Lutheran parents, raised a Catholic at court of Charles V, became a rebel in response to Spanish abuses. Became strong Calvinist.

Treaty of Cateau-Cambrésis: 1559, France gave up claims in Italy and Netherlands after being worn down by Habsburgs.

Catherine de Médici: 1519-1589, true power behind the throne during most of the French civil wars. Wife of Henry II, manipulated three sons, Parisian court life.

St. Bartholomew's Eve Massacre: 1572, in which 10,000 Huguenots were murdered in Paris in a Guise/Catherine plot.

Henry of Navarre: 1553-1610, raised a Huguenot, skillfully navigated the religious turmoil of his day to proclaim self King Henry IV in 1589. In final conversion he is alleged to have said that “Paris is worth a mass.” Laid foundation for peace, stability, centralization.

Elizabeth I: 1533-1603, daughter of Henry VIII and Anne Boleyn, well educated, a survivor through the tumultuous reigns of Edward and Mary, took throne at a time of new fiscal and religious disasters. Brought England to one of its high points in history.

Mary Stuart: 1542-1587, queen of both France and Scotland, direct descendant of Henry VII, leading claimant to English throne and a rallying point for Catholic interests. Continual problem for Elizabeth, finally beheaded when implicated in Spanish plot.

John Knox: 1505-1572, Scottish Calvinist led revolt of Scottish nobles that broke ties with Rome, France. Thereafter established Presbyterian state church.

Lepanto: 1571, naval battle in which the Spanish-led fleet of the Holy League destroyed the Ottoman fleet of Ali Pasha. Ottoman sea power would never again be a serious threat to Christendom.

Armada: Spanish fleet, known as the “Invincible Armada,” was launched in 1588 to sail to Holland to pick up Spanish troops and ferry them to England. Dutch blocked ports and intrepid British navy, aided by favorable winds, defeated Spaniards.

Edict of Nantes: 1598, guarantees issued to the Huguenots by Henry IV to protect their religious and civil rights.

Richelieu: 1585-1642, cardinal and adviser to Louis XIII who helped construct absolutism and centralization of power and define French foreign policy in anti-Habsburg, anti-papal terms. Supported German Protestants against Habsburg emperor in Thirty Years’ War.

Ferdinand II: 1578-1637, emperor 1619-1637, zealous, Jesuit-trained ruler who tried to destroy Protestantism in central Europe.

White Mountain: 1620, battle in which Habsburgs devastated Bohemian armies, drove Czech civilization underground.

Albrecht von Wallenstein: 1583-1634, Lutheran-born, Jesuit-educated, personally ambitious leader of Emperor Ferdinand’s armies.

Gustavus Adolphus: 1594-1632, Swedish king and general who stopped Ferdinand's imperial forces at ***Lützen***, turning the tide of the Thirty Years' War against the Habsburgs/Catholics.

Rocroi: 1643, battle in which the French defeated the Spanish army and pierced the myth of their invincibility.

Peace of Westphalia: 1648, marked Europe's emergence from medievalism and prepared the way for the modern state system.

DISCUSSION

In your opinion, did the Renaissance despots, such as Philip II, in, for example, the Dutch policies, see religion as a means to gain political ends, or politics as a means to gain religious ends?

In his policies toward the Dutch, was Philip II moved more by the religious or the political aspects of his disagreement with the Low Countries?

PRIMARY DOCUMENTS/CRITICAL THINKING EXERCISES

Read the passages by Anne Ayscough on the eve of her execution. How does she see her relationship with God? How does she see her relationship to the king? Does she make any statements that the king, the pope, a Lutheran, or a Calvinist might take exception to? What religious positions made her dangerous to the state?

Read the description of Simplicissimus on the Horrors of the Thirty Years War. What items did the invading army take? What items did the invading army destroy? How did they deal with the people? What accounts for such barbarism? Are there any modern day equivalents?

TESTING

Compare and contrast the intermixing of political and religious motives in the post-1522 Lutheran Reformation and Henry VIII's creation of the Anglican church.

Characterize the tone and extent of the Catholic Reformation. To what degree did the single-mindedness of Ignatius Loyola dominate the Roman response? Can you identify any residual humanist elements in the Council of Trent's program?

Who were the Huguenots? Characterize their geographical, social, and economic roots.

How were the "new monarchs" after 1454 different from the earlier kings? Briefly characterize

Francis I's and Henry VIII's conduct and policies.

Briefly assess the causes and outcomes of the four phases of the Thirty Years' War. At which point did the conflict pass from having a primarily religious component to being more of a Balance of Power conflict?

Discuss the social, political, and cultural factors that prompted the Dutch and English to opt for a constitutional, limited, form of central power.

LECTURE LAUNCHER

Authorities look at the potential chaos of the post-Cold War world with horror. They fear that the rules of war and peace established at Westphalia (1648) may be abandoned, and that the world will return to the "pre-Westphalian order." They have reason to fear that.

In the 16th century, European society was an integrated whole, equally dependent upon monarchical, ecclesiastical, and civil authority for its effective survival. A European state could no more tolerate the presence of two churches than it could the presence of two kings. The result was a century and a half of war of the most awful proportions, culminating in the Thirty Years' War (1618-1648). These wars could be civil war, as in France.

Protestantism, the Huguenots, spread rapidly in France, and fed into the crisis resulting from the vacuum created when Henry II (1547-1559) died in a jousting tournament. His wife, Catherine de Médici, survived to muddy affairs in France for the following generations. The Guise family came to dominate the affairs of state by controlling the army and the church. They were strongly Catholic and attacked the Protestant Bourbon family. A civil war ensued, with several bloody incidents, most notably the St. Bartholomew's Eve massacre, which led to the deaths of thousands of Protestants. However, most of the Protestant leaders were spared. The response was revulsion against the Guises and the desire for a settlement of the conflict. Finally, the Protestant Henry of Navarre converted to Catholicism (reportedly saying, "Paris is worth a mass") and became Henry IV. He ruled until his assassination in 1610.

There were conflicts of a hegemonial nature, fomented by the Spaniards. By the middle of the 16th century, Spain was the greatest power in Europe. Philip II's dominions stretched from the Atlantic to the Pacific. Philip saw himself as the defender of the Church, and was hostile toward England where he had been briefly married to the Catholic Queen Mary I. Elizabeth I (1558-1603), staunchly Protestant, encouraged piracy against Spanish treasure ships and aided French and Dutch Protestants. In 1588 Philip sent the ill-fated 130-ship Armada to bring a final solution to the Dutch rebellion and the English heretics. The immense Spanish ships were defeated by the faster and more maneuverable, well-armed English ships and the unpredictable winds of the English Channel.

The Dutch engaged in the first War of National Liberation. With papal support, Philip tried to reclaim the Dutch for Spain and the Church. In response, the Calvinists attacked Catholic

property. Philip II saw this as open rebellion and sent in his troops under the Duke of Alba, who fulfilled his mission with a vengeance. By 1568 a surface calm had been gained, but for the next 80 years Spain and the Netherlands were at war. Alba's policies had driven Protestants into rebellion, and Spanish rule weakened all over the Netherlands. William of Orange ruled in the North, while Spanish troops committed atrocities known as the "Spanish Fury." Eventually the southern provinces split, creating Holland, which by the beginning of the 17th century was an independent state.

But the worst conflict was the Thirty Years' War, the most devastating war until World War I (1914-1918). It involved, on an international scale, all of the dynastic and religious conflicts, resulting in total war embroiling all of society. Ambition and faith were an explosive mixture as the French spent 40 years fighting a civil war, the Spanish fought 80 years with the Dutch, and in the east the Swedes, Poles, and Russians fought each other. All of these wars came together in 1618.

The Peace of Augsburg declared that the religion of the ruler was the religion of the state. This complicated the political life of the Holy Roman Empire in which Catholicism and Protestantism had gained a rough equality within the German states.

When Ferdinand Habsburg became Holy Roman Emperor, he violated previously made pledges to maintain Protestant rights in Bohemia. In 1618, to show their dismay, a group of Bohemian nobles threw two of Ferdinand's chief advisers out of an upper-storey window. This act became known as the Defenestration of Prague and sparked a Protestant counteroffensive across the Habsburg lands. Frederick V of the Palatinate, a Calvinist, accepted the Bohemian crown. He received no backing from the Dutch or the English or the Lutheran princes of Germany, however, and the Empire devastated the Bohemians at the Battle of White Mountain, 1620. Ferdinand declared a virtual total war against the people of Bohemia. The rest of the Protestant princes were forced to defend themselves because the Habsburgs saw their religious and dynastic interests as inseparable.

The Danes led the first counterattack against the Empire, and failed. Lutherans and Calvinists threatened by the Habsburg successes, united against Ferdinand. Gustavus Adolphus entered the conflict to protect his own interests as well. He defeated Wallenstein at Lutzen in 1632, but died in battle. The last stage of the war saw a resumption of the century-old French-Spanish conflict, as the Spaniards saw a chance to retake the Netherlands. The French, under Cardinal Richelieu, renewed their traditional hostility against the Austrians and the Spaniards. By 1643 the war had ground to a stalemate and a five-year search for peace began culminating in the Peace of Westphalia, which defined the political geography of Europe for the next century. After 1648 Protestantism's survival was assured, the Spanish empire declined, and Holland and Sweden took their places on the European stage. Poland, Muscovy, and Germany went through crises, the first to its ultimate demise, and the other two to emerge in new, stronger forms. Habsburg dominance was ended, and a new international order had begun: the Post-Westphalian order.

THE INSTRUCTOR'S TOOL KIT

AUDIO CASSETTES

The Elizabethan Consort of Viols

John Donne, *Sermons and Meditations of John Donne*

William Shakespeare, *Songs from the Plays of Shakespeare* From Caedmon

COROLLARY READING

Mark A. Kishlansky, ed., *Sources of the West*, I

Martin Luther, *The Freedom of a Christian* (1520), *Of Marriage and Celibacy* (1566)

John Calvin, *Institutes of the Christian Religion* (1534), *Catechism* (ca. 1540)

Ignatius Loyola, *Spiritual Exercises* (1548)

Teresa of Avila, *The Life of Saint Teresa* (1611)

Anonymous, *Lazarilla de Tormes* (1554)

The Twelve Articles of the Peasants of Swabia (1524)

Marguerite de Navarre, *Heptameron* (1558)

Magdalena and Balthasar Paumgartner, *Letters* (1592-1596)

Anonymous, *The Debate About Women: Hic Mulier and Haec Vir* (1620)

François Hotman, *Francogallia* (1573)

Henry IV, *The Edict of Nantes* (1598)

William of Orange, *Apology* (1580)

Cardinal Richelieu, *The Political Testament* (1638)

Hans von Grimmelshausen, *Simplicissimus* (1669)

COURSE ENHANCEMENT

Each chapter in the textbook includes extensive lists of supplementary material

Films and videos

Web destinations

Literature from the period

Suggestions for further reading

COMPANION WEBSITE at www.ablongman.com/brummett

Additional resources are available at the Companion Website for both the instructor and the student. Instructor's resources include PowerPoint slide presentations, electronic versions of maps, graphs, and tables, Web resources, as well as links to Longman resources. For the student, you can direct them to the Companion Website to take quizzes, or for online links to further research or reading for each chapter.

CHAPTER 16

Global Encounters: Europe and the New World Economy, 1400-1650

CHAPTER OUTLINE

INTRODUCTION

1. Navigation improved, trade expanded
2. Europeans linked globe through sea power.
3. Asians, Arabs extended trading networks.
4. Capitalist view emphasized monetary values, profit motive, investment institutions.
5. Europe's **Commercial Revolution** brought new products, economic expansion.
 - a. Pre-1600: Spain, Portugal opened new trade routes, built empires
 - b. Post-1600: the Netherlands, England, France built trade, finance, colonies

I. THE IBERIAN GOLDEN AGE

- A. Conditions Favoring Iberian Expansion
 1. Even though Iberian powers did not endure, their 16th-century activities transformed Europe
 - a. Portuguese cut commodity costs
 - b. Spanish bullion stimulated capitalism
 2. Iberians sailed to combat Turkish market control
 3. Portuguese, Spanish mastered new technology, techniques
 - a. Used compass, **astrolabe**; could venture farther from coasts
 - b. Learned to tack against wind
 - c. Produced more accurate maps, charts
 - d. Built bigger ships (broad bows, deep keels) to sail stormy Atlantic
 - e. Added brass cannons to attack enemy ships without ramming, boarding
 4. **Reconquista** provided fighting spirit
 - a. Hoped to work with Ethiopian, "**Prester John**"
 - b. War for cross merged with economic goals
 5. Growing population called for more wealth
 - a. **Avis Dynasty** in Portugal backed commerce
 - b. Spanish nobles sought conquest, plunder
 6. Iberians profited from immunities to diseases that devastated the Amerindian population

B. Staking Claims

1. Portugal gained lead on Spain in 1400s
 - a. Staked claims all along coast of West Africa
 - b. Led by **Prince Henry the Navigator**, took **Ceuta**
 - c. **Diaz** reached tip of Africa, 1488
2. Spain began to challenge Portuguese claims
 - a. Conflict resolved in **Treaty of Alcacovas**
 - b. Columbus asked Portuguese aid for Japan trip
 - c. Isabella's support led to West Indies trip
 - d. Threatened Portuguese monopoly on Atlantic
3. **Treaty of Tordesillas** set down Spain/Portugal line

C. The Developing Portuguese Empire

1. Built world empire, commercial supremacy by 1550
 - a. Posts around Africa, south, Southeast Asia
 - b. **Vasco da Gama** made rich, hard voyage to India
 - c. **Pedro Cabral** stumbled onto Brazil
2. Portuguese went to Indian Ocean, Southeast Asia
 - a. **Alfonso de Albuquerque** blocked Arabs at Ormuz, subjugated African sultanates, fortified trading posts (Mozambique, Zanzibar)
 - b. Gained base at Goa in 1510, Malacca in 1511
 - c. Less successful in working with Chinese
 - d. Traded Indian cloth, Indonesian spices, American silver with China
 - e. Sold guns, sent missionaries to Japan

II. THE PORTUGUESE AND AFRICA

A. The Portuguese in West Africa

1. Portuguese came as traders, not settlers
 - a. Initially interested in access to gold fields
 - b. Faced strong, independent states
 - c. Traded copper, textiles, cowrie shells for gold
 - d. Tied into African slave trade
2. Portuguese slaving built on contracts, local laws
 - a. Coastal rulers controlled commerce, used monopoly to deal profitably with Portuguese
 - b. Benin, ruled by **Obas**, major coastal enclave
 - c. Portuguese traded at many coastal states; traded copper, textiles in Benin to get slaves, which could be traded for gold with Akan states

B. The Portuguese and **Kongo Kingdom**

1. Portuguese made greatest success in Congo River area
 - a. King asked them to Christianize, modernize country, received Portuguese advisers

- b. Made Portuguese official language
 - 2. Portuguese abused position, alienated Kongo
 - a. Roamed country, captured everyone they could get as slaves for expansion of sugar plantations in Sao Tomé
 - b. Slave traders murdered king, *Nzinga Mbemba (Don Afonso)*
 - 3. Portuguese went to Angola, launched conquest drive
 - a. Drive combined military, slave trade goals
 - b. By 1650 Angola conquered, black cultures and states were virtually destroyed
- C. The Portuguese in East Africa
- 1. Similar exploits here as in West Africa
 - a. Native states weaker, fragmented
 - b. Swahili people scorned Portuguese, but could not successfully rebuff them
 - c. Portuguese settlers married Africans, adopted African culture
 - 2. Portuguese did business from fortified stations
 - a. Mozambique main port
 - b. Established ties with Ethiopia in 1520s
 - 3. Portuguese penetrated interior along Zambezi River
 - a. Prompted bloody battles, before prevailing
 - b. Eventually driven from plateau area
 - 4. Portuguese impact in Africa initially milder than Spanish impact on New World
 - a. Long-term impact disastrous
 - b. Slave trade distorted entire economy
- D. The Growth of New Spain
- 1. Spain set up American empire
 - a. Based in West Indies
 - b. *Conquistadores* conquered New World
 - 2. Aztec Empire weakened before Spanish arrival
 - a. Tribes had to give money, sacrifice victims
 - b. Legend of bearded, white savior spread
 - 3. *Hernando Cortés* came with 11 ships, 600 soldiers, 200 servants, 16 horses, 32 crossbows, 13 muskets, 14 mobile cannons
 - a. Aided by Indians; Malitzin (Doña Marina) served as interpreter, guide
 - b. At first welcomed by *Moctezuma*, who knew legend of *Quetzalcoatl*
 - c. Spanish defeated Aztecs after terrible struggle
 - d. Tenochtitlán, Mexico City, became capital of Spanish Empire, base for conquistadores
 - 4. Other North American ventures
 - a. Hernando de Soto, 1500-1542, explored area of U.S. southeast
 - b. Francisco de Coronado, 1510-1554, explored area of U.S. southwest
 - c. First colony established at St. Augustine, 1565
 - 5. Mexico vice-royalty base to colonize Philippines
 - a. *Ferdinand Magellan*, following *Vasco de Balboa*, led voyage to Philippines
 - b. Magellan killed by natives, but one ship sailed around globe, set claim to area

- E. Development of Spanish South America
 - 1. Small group destroyed complex civilization
 - a. Easily defeated weakened Inca state
 - b. **Francisco Pizarro** led 200 men
 - c. Set two decades of anarchy in motion
 - 2. Conquistadores took, plundered South America
 - a. Native, Spanish women played key roles
 - b. Vice-royalties in decline by mid-1600s

III. IBERIAN SYSTEMS IN THE NEW WORLD

- A. The General Nature of the Regimes
 - 1. Iberian period pre-1600 violent, ruthless
 - a. Highly organized states destroyed through disease, inhumane treatment
 - b. Populations wiped out
 - c. Demographic mix changed with influx of Iberian immigrants, African slaves
 - 2. Iberian regimes faced serious problems
 - a. Geographic barriers: vast territory, mountains, deserts, jungles hindered movement of supplies, communications
 - b. Native wars, rampant disease
 - 3. Empires meant to produce revenues
 - a. All Spanish lands belonged to king
 - b. **Council of Indies** directed **viceroy**s in Mexico City and Lima, who were aided by **audiencias**
 - c. Governors were responsible to viceroys, advised by *cabildos*, local councils
 - d. Most taxes collected by Indian chiefs (**caciques**)
 - 4. Brazil less directly ruled than Spanish lands; quasi-feudal system
- B. Iberian Economies in America
 - 1. Iberian states had limited trade, industry
 - a. Philosophy, social structure kept Iberians from productive labor
 - b. Commercial contacts limited to homelands
 - 2. Main pursuits: agriculture, herding, mining silver
 - a. Main crops: wheat, rice, indigo, cotton, coffee, sugar cane
 - b. Ranches bred cattle, horses, sheep
 - 3. Bureaucratic state systems, lack of capital hindered growth
 - 4. **Plantations** to produce cash crops developed in some regions
 - a. Required investment capital, skilled management, large labor force
 - b. Portugal set up sugar plantations in Madeira, Cape Verde, Sao Tomé
 - c. Introduced plantation system to Brazil by 1550
 - 5. Iberians initially used Amerindian labor; imported African slaves after epidemics
 - a. Spanish brought 3,000 slaves to work Peruvian mines by 1550s
 - b. African slaves in Spanish America numbered 75,000 (1600), 100,000 (1650)
 - c. Portuguese imported approximately 30,000 African slaves per year in 17th c.

6. Slaves worked in mines, on plantations
 - a. Served as teamsters, overseers, servants, artisans
 - b. Some earned freedom, opened businesses

C. Iberian Effects upon Amerindian Life

1. Spanish and Portuguese devastated Indians
 - a. Europeans destroyed religious structure; introduced Christianity
 - b. Demanded hard labor
 - c. Brought diseases to which Amerindians lacked immunity
2. Amerindian population dropped sharply: possibly by 90% in mid-17th c.
 - a. Columbus brought first epidemics, smallpox
 - b. Cortés carried plague to Mexico, spread to rest of Central and South America
 - c. Following smallpox, measles, Arawaks on Hispaniola died out
 - d. Indigenous population of Bahamas taken as slaves to Greater Antilles
3. **Encomienda** system required forced labor, brought horrendous abuses
 - a. **Bartolomé de Las Casas** decried harsh treatment of Indians
 - b. *Encomienda* phased out; contract labor used instead
4. Some Indians resisted Spanish
 - a. Mayas (Yucatan, Guatemala)
 - b. Chichimecs (Northern Mexico), relatives of Apaches
 - c. Incas (Peru), small remaining kingdom under Manco rebelled
 - d. Araucanians (Northern Chile), fiercest resistance

D. Spanish Colonial Society and Culture

1. A stratified but flexible Spaniard-run society
 - a. A few elite ruled over native policy, trade
 - b. Merchants, officials were beneath them
 - c. **Mestizos, mulattos, zambos** next in rank
 - d. Indians viewed as incompetent, wards of king
 - e. Black slaves beneath law, though some notable exceptions
2. Society also included some privileged Amerindians, free blacks
3. Iberian women had ambiguous role
 - a. Generally cloistered, subordinate to husband
 - b. Had property, dowry rights
 - c. Some widows operated businesses, held office
 - d. Women upheld religion, sponsored charities, instilled family values
4. Environment, mix of peoples shaped culture
 - a. Iberian aristocratic style, disdain for manual labor, Catholic Christianity
 - b. Amerindian food, art, architecture, legends, practical garments
 - c. African knowledge of agriculture, crafts, animal husbandry

IV. BEGINNINGS OF NORTH EUROPEAN EXPANSION

A. The Shifting Commercial Revolution

1. With decline of Iberian states, northern states emerged, led by Dutch, then French and British
2. New activity stemmed from commercial revolution
 - a. More products, foreign trade, bullion, new risk-taking managers sparked growth
 - b. Spain, Portugal lacked structure to absorb precious metals, which flowed north
3. European markets swamped by new products (silks, furs, ivory, carpets), new foods (potatoes, peanuts, maize, tomatoes)
 - a. Spices, sugar, coffee, tobacco entered market
 - b. Imported gold, silver flooded into Europe
 - c. Prices rose rapidly in 16th, 17th centuries
4. Economic power shared by Italians, Germans, Dutch merchants, moneylenders
 - a. North European capitalism flourished
 - b. **Joint stock companies** formed
 - c. Agriculture practices, technology changed

B. The Dutch Empire

1. By 1650 Dutch dominated in south Asia, Atlantic
 - a. Commercial empire, pragmatic, avoided conquest
 - b. Navy ousted Spanish, Portuguese, took over holdings in Africa
 - c. Engaged in slave trade
 - d. Developed holdings in Brazil
 - e. Transmitted sugar planting to West Indies
2. **Dutch East India Company** dominated Asian trade in 17th c.
 - a. Founder Jan Pieterszoon Coen wanted to control trade at its source
 - b. Company acquired Sumatra, Moluccas, part of Sri Lanka
 - c. Operated plantations to grow pepper, cinnamon, sugar, tea, tobacco, coffee
 - d. Built impressive trading colonies, few settlements
4. **Dutch West India Company** in 1621
 - a. Settled in Hudson River region, founded New Amsterdam on Manhattan
 - b. Let *patroons* develop large-tract farming
 - c. Profited from fur trade with Iroquois

C. The French Empire

1. Began early, did not set up permanent colonies until 1600s
2. Based claims to North American land on voyages of **Verrazzano, Cartier**
3. **Champlain** founded Quebec on behalf of a charter company
 - a. Fur trade important
 - b. City grew slowly due to bitter cold winters, skirmishes with Indians
4. Trapper-explorers penetrated Mississippi River area
5. French took advantage of declining Iberian Empire
 - a. Gained Réunion in Indian Ocean

- b. West African trade at mouth of Senegal River
- c. West Indian islands: St. Kitts, Martinique, Guadeloupe, Santo Domingo
- 6. Santo Domingo (later Haiti)
 - a. Maintained half the slave population in the Caribbean
 - b. Became largest sugar and coffee producer in 18th c.

D. The English Empire

- 1. Pre-1650, English expansion not large
 - a. Suffered from internal political conflicts
 - b. Stuart kings restricted expansion
 - c. Later growth came from population growth, religious persecution, entrepreneurs' work
- 2. In 1500s, British seamen explored, fished, smuggled, plundered
 - a. British looked for Northwest trade route to Russia
 - b. Built on voyages of *Cabot, Drake, Hawkins*
 - c. London Company organized trips
- 3. **Jamestown**, first permanent settlement in North American colonies, 1607
- 4. English Protestants, Dissenters determined to stay
 - a. Established English culture, political institutions
 - b. Founded colonies: Plymouth (1620), Massachusetts Bay (1629), Maryland (1632)
- 5. Anglo-American colonial women faced hardships
 - a. Legally dependent on husbands
 - b. Showed endurance, independent spirit
 - c. Anne Hutchinson founded Rhode Island; Anne Bradstreet wrote poetry
- 4. English fared better in India, East Indies Company

CONCLUSION

- 1. Europeans initiated new age of oceanic expansion.
- 2. Spain, Portugal led explorations in 15th, 16th c.
 - a. Spain declined due to inflation, lack of economic development at home
 - b. Iberian domination gave way to north European expansion
- 3. Dutch, English, French gained new vitality through financial organization, shipbuilding, metalworking, manufacturing.
- 4. Europeans encountered many societies around the world.
 - a. Interacted with established governments; respected their domains
 - b. Intervened more directly in smaller, less organized areas
- 5. Spanish, Portuguese expansion brought drastic change.
 - a. Disease drastically reduced indigenous population
 - b. Iberians generated new cultural synthesis in America
 - c. Atlantic slave trade brought disastrous consequences

CONCEPTUAL HOOKS

TIMELINE: 1492-1660

DEFINITIONS

commercial revolution: 16th, 17th centuries, marked by the shift in trade routes from the Mediterranean to the Atlantic and the rise of modern European capitalism.

astrolabe: Navigational aid that was used to fix location by determining the distance between two stars or between the horizon and a heavenly body.

Reconquista: 9th through 15th centuries, the Spanish expulsion of the Muslims from the Iberian Peninsula.

Prester John: Myth of a powerful Ethiopian king, somewhere on the other side of Africa who might link up with the Europeans for yet another Crusade against the Muslims.

Prince Henry the Navigator: 1394-1460, king most responsible for the brilliant oceangoing Portuguese exploits.

Ceuta: Muslim port on Moroccan coast, taken by Prince Henry, marked first stage in European global expansion.

Treaty of Alcacovas: 1479, settled issues surrounding Spanish-Portuguese conflict over the Canary Islands.

Treaty of Tordesillas: 1494, line drawn by Pope Alexander VI to distribute land in New World. Land east of line went to Portuguese, west, to Spaniards.

Vasco da Gama: 1469-1524, Portuguese explorer made perilous voyage to India, returned with profitable cargo.

Alfonso de Albuquerque: 1452-1515, founder of Portuguese empire in India, East Africa. Captured strategic sites, then fortified enclaves important to trade.

Obas: Kings of Benin from the 11th to the 15th centuries.

Kongo Kingdom: United kingdom at mouth of Congo River, steeped in African traditions, maintained a matriarchal system in which the king was heavily influenced by the queen mother. The Portuguese had their greatest success here.

Nzinga Mbemba (Don Afonso): 1506-1548, ruler of Kongo. Converted to Catholicism, encouraged European styles, made Portuguese the official language, but resisted Portuguese traders who ignored laws, seized excessive numbers of slaves. Portuguese slavers shot him during mass.

conquistadores: Spanish adventurers who repressed the indigenous population and conquered the New World.

Hernando Cortés: 1485-1574, Spanish conquistador who conquered the Aztecs and took Mexico in 1519. Brought 600 men, 16 horses, 14 cannons, scuttle ships so men would not turn back. Malinche, Amerindian woman, aided him in overcoming Moctezuma and the Aztecs.

Moctezuma: Aztec ruler at time of Spanish conquest. At first welcomed Cortés, then seized by Cortés. After uprising, Aztecs renounced Moctezuma as a traitor and stoned him to death.

Quetzalcoatl: Teotihuacán god, who had been exiled by the Toltecs in the 10th c. He forbade human sacrifices and had promised a return from across the sea to enforce his law. Initially the Aztecs considered Cortés and his men as representatives of this legendary figure.

Ferdinand Magellan: 1480-1521, Spanish explorer whose expedition made the first circumnavigation of the globe, even though he was killed by natives in the Philippines.

Vasco de Balboa: 1479-1519, European discoverer of the Pacific.

Francisco Pizarro: 1470-1541, Spanish conqueror of the Inca state. Bold, brutal, treacherous in treatment of Altahualpa. Assassinated by rival.

Council of Indies: Spanish governing body that directed policy in the New World and advised the king on colonial affairs.

viceroy: Spanish officials in Mexico City and Peru who were the highest-ranking figures in the New World.

audiencias: Aristocratic Spanish lawyers who aided, and sometimes limited, the viceroys.

caciques: Indian chiefs, collected taxes from Amerindians.

plantations: Large estates that used servile labor to grow crops mainly for export.

encomienda: A labor system used in the Spanish colonies that was similar to earlier, European serfdom. A grant was given that permitted the holder to take income or labor from specified lands and the people living on them.

Bartolomé de Las Casas: 1474-1506, Dominican friar who protested the cruel treatment of Indians, and lobbied Charles V to issue the “New Law” to aid them. It was later rescinded. Wrote *Apologetic History of the Indies*.

mestizos: Spanish-Indian population.

mulattos: Spanish-African population.

zambos: Indian-African population.

Joint stock companies: During the period from 1400-1700, joint stock companies were formed to maximize profit and minimize risk for trading and colonizing abroad. They generally gained a monopoly on trade and colonization in a certain region.

Dutch East India Company: chartered in 1602, given a monopoly on all operations between South Africa and the Strait of Magellan, made great gains under Jan Pieterszoon Coen between 1618 and 1629. Developed spice trade in Java, Sumatra, Moluccas.

Dutch West India Company: chartered in 1621 to overtake Spanish and Portuguese holdings in Africa and America. Took over a portion of the slave trade, occupied part of Brazil, developed sugar planting.

Giovanni da Verrazzano: 1485-1528, Italian sailor sent out by Francis I who established French claims to New World.

Jacques Cartier: 1491-1557, French explorer who made two voyages exploring the Saint Lawrence River and the Canadian coast.

Samuel de Champlain: 1567-1635, French explorer who founded Quebec on the Saint Lawrence River.

John Cabot: Active 1461-1498, Italian sailor who worked for the English and established that nation’s first claims to the New World in 1497-1498.

Francis Drake: c. 1540-1596, English sailor, pirate, first Englishman to circumnavigate the globe.

John Hawkins: c. 1562-1622, sailed under Drake and later led an expedition along the east coast of South America. Engaged in sporadic slave trade.

Jamestown: 1607, first English colony founded in New World. Its organization under the London company set precedent for all English colonies in North America.

DISCUSSION

Why was Portugal the first European country to begin the construction of a world market? Why couldn't the country maintain its advantage?

Trace the relationship between the growth in the sugar plantation system and the increase in slave trade, especially in Brazil.

After considering the impact of the Europeans on the Americas in demographic, political, military, social, cultural, and religious terms, do you think the indigenous population profited in any conceivable way from the Spanish and Portuguese presence?

Examine the pioneering voyages of Columbus, da Gama, Magellan, Albuquerque, Verrazzano, Cartier, Cabot, and Drake. Compare and contrast their goals, achievements, and success.

In what ways did the Spanish treatment of the Indians in the New World anticipate American treatment of native Americans in the 17th through 19th centuries? How do you account for the cruelty Christians inflicted on the Indians?

In your opinion, what were the main motivations for the generally dreadful treatment of Africans by the Portuguese? Do you believe this was racially based? Or was this simply a question of the profit motive dominating all aspects of life?

Identify the early colonial settlements of the Spanish, Portuguese, Dutch, French, and English. How are they alike; how are they different? Which areas did they seek? What kind of settlements did they make? What did they export? Did they bring wives? How did they treat the natives? How long did they remain in these colonies?

PRIMARY DOCUMENT/CRITICAL THINKING EXERCISES

In Sebastian Munster's Map of Africa, do you recognize any place names that would appear on a map of Africa today? Trace the mountains and rivers on Munster's 16th-century map. Are they accurate? How many crown and scepter symbols do you see? What does the symbol suggest? Find Monoculi and interpret its meaning. Who was Ptolemy and what was his connection with Munster?

Read "Portuguese Encounters with Africans." What threats and demands did Vasco da Gama make on King Ibrahim of Kilwa? What was the king's response? What requests did Don Afonso make to the King of Portugal? Compare the nature of temporary and long-term associations in the Age of Exploration.

Based on personal interviews, “Disease and the Spanish Conquest” describes the smallpox epidemic among the Aztecs. Why did the disease seem to be so devastating?

TESTING

Compare and contrast the Portuguese activities in the Indian Ocean and on the East and West coasts of Africa. Why did their trade zone in the East lack strength and staying power? What was the impact of the Brazilian sugar plantations on West Africa?

Why were the French and English so late in establishing colonies in the New World?

Compare and contrast the methods and structures of the French and the English in setting up their colonies.

As you look through the list of great explorers, each nation, with the exception, perhaps, of Portugal, made extensive use of Italian sailors. With such courage and excellence, why weren't the Italians able to form their own empire abroad?

Compare and contrast the conquests of Mexico and Peru. Why could so few Europeans conquer these immense lands?

Discuss the evolution of the slave trade in West Africa. What impact did the Portuguese have on its development? Discuss the overall impact of the slave trade on West Africa.

How did Europeans of the 16th and 17th centuries treat the indigenous people they encountered in Africa and the Americas? Did the Spanish, Portuguese, French, English, and Dutch have same goals and outcomes in their colonial ventures?

LECTURE LAUNCHER

As we go into the third millennium, the notion has once again emerged that the market is a positive force for development, an effective allocator of resources and labor. However, the market in its efficiency can produce human tragedies of unimaginable proportions, as could be seen by the opening of the Atlantic trade in the 15th century and after. The north and east coasts of Africa had long been frontiers of change. Until the 1400s the Atlantic coast had remained virtually unaffected by outsiders. Portugal, then Spain, England, Holland, and France soon visited the west coast pursuing, above all, the slave trade. This created new kinds of relations with, and among, the Africans.

The Portuguese pioneered in Africa in response to the demand for more spices, such as the “Grains of Paradise.” They wanted to eliminate the various middle-men who raised prices enormously. Portugal was a centralized state with a surplus of well-educated men looking for ways to make their fortunes. Genoese bankers provided the capital for overseas ventures. The Portuguese made substantial technological improvements under Prince Henry the Navigator. Innovations in sails and hulls opened the door to global exploration. The Portuguese encountered a number of different cultures and the gold of the region while seeking their passage to India.

But the main source of wealth for the Portuguese was the slave trade, tied to the Portuguese transplanting of the plantation economy to Africa. Sao Tomé became the world’s largest single producer of sugar. Pope Nicholas V answered the ethical questions involved in 1452 by issuing a bull sanctioning the enslavement of pagans and infidels. As in other precapitalist societies suffering labor shortages, slavery was a social institution in Africa. There were many ways one could become a slave, and a variety of ways slaves were treated in African society. However, once the slave passed into European hands, his fate was much worse. The Portuguese, as they moved down the West African coast, found the peoples along the Lower Guinea coast to be eager to trade slaves for European items.

The Portuguese expanded their presence in Mozambique to tap Zimbabwe’s gold. They were gradually forced into the interior by competition from Swahili merchants and renegade Portuguese (the *sertanejos*). The Portuguese government linked up with Mwene Mutapa in the 1570s to fight their competitors, and enlisted him and his elite for the next generation. When his successor tried to rid himself of the Portuguese alliance, Lisbon sent in a major force and took control of the Zambezi valley, securing it as a Portuguese colony until 1974. The Portuguese were successful, in their own terms. But the impact on the indigenous society and upon the Africans shipped to the New World as slaves cannot be calculated.

INSTRUCTOR’S TOOL KIT

AUDIO CASSETTES

Pre-Columbian Instruments. Folkways FE 4177 (presents the sounds of authentic Aztec instruments taken from tombs.)
Music from the Spanish Kingdoms (c. 1500). Ensemble, CRD 3447
Traditional Music of Peru, rec. By Babs Brown and Samuel Marti, c. 1956.
Folkways, FE 4456

COROLLARY READINGS

Mark A. Kishlansky, ed. *Sources of the West*, I
Christopher Columbus, *Letters from the First Voyage* (1493)
Ludovico di Varthema, *Travels* (c. 1508)

Bartolomé de Las Casas, *Apologetic History of the Indies* (1566)
Bernal Díaz, *The True History of the Conquest of New Spain* (1552-1568)

Peter Stearns, Stephen S. Gosch, Erwin Grieshaber, *Documents in World History*, II
Economy and Society in Latin America:
 Antonio Vásquez de Espinosa: Compendium and Description of the West Indies
Political Styles in Latin America: Colonial Bureaucracy:
 Jorge Juan and Antonio de Ullao: Discourse and Political Reflections on the Kingdom of Peru
Baroque Culture in Latin America
 Sister Juana Inez de la Cruz: Carlos de Sigüenza y Góngora

COURSE ENHANCEMENT

Each chapter in the textbook includes extensive lists of supplementary material
 Films and videos
 Web destinations
 Literature from the period
 Suggestions for further reading

COMPANION WEBSITE at www.ablongman.com/brummett

Additional resources are available at the Companion Website for both the instructor and the student. Instructor's resources include PowerPoint slide presentations, electronic versions of maps, graphs, and tables, Web resources, as well as links to Longman resources. For the student, you can direct them to the Companion Website to take quizzes, or for online links to further research or reading for each chapter.

CHAPTER 17

Politics in the First Age of Capitalism: 1648-1774 Absolutism and Limited Central Power

CHAPTER OUTLINE

INTRODUCTION

1. Europe's economic structure gradually transformed between 1648 and 1789.
 - a. Emergence of *burghers* or *bourgeoisie* who did business, ran banks
 - b. Capitalism became the basis of the economy
2. Most European states increased central power.
 - a. Britain, the Netherlands, Poland had limited central power
 - b. Other states pursued absolutism based on French model
3. Like Copernican universe, absolutism was considered by many "the natural order of things."

I. CAPITALISM AND THE FORCES OF CHANGE

A. Expanding *Capitalism*

1. Volume of trade grew rapidly
 - a. Eastern Europe, Baltic areas supplied grains, timber, fish, naval stores
 - b. Western Europe supplied manufactured goods
 - c. Caribbean sugar produced greatest profits
 - d. African slave trade became an integral part of the intercontinental system
 - e. New foods entered European diet: potatoes, lima beans, tapioca, peanuts
2. Government-chartered public banks replaced family banks
 - a. Bank of Amsterdam (1609), Bank of England (1694)
 - b. Created credit by issuing notes
 - c. Ready to provide large amounts of capital for big enterprises
3. Expanding markets produced commercial boom
 - a. Governments built standing armies, bought food, clothing, arms, ammunition
 - b. Population growth spurred consumption
 - c. Plantation agriculture stimulated foreign trade
 - d. Brazilian gold and diamond strikes raised prices, encouraged business
4. Partnerships and joint-stock companies began replacing individually owned companies
5. Inflation hurt workers, some landowners

- a. Food prices rose faster than wages
- b. Landowners who leased fields on long-term contracts lost
- c. Landowners who rented to short-term tenants profited
- 6. International trade soared; generated new European industries

B. The Growth of Free Enterprise

- 1. Prosperity challenged mercantilist systems
 - a. Opportunities for profit grew
 - b. Capitalists sought new ventures, often outside traditional, legal limits
- 2. Rising demand for food encouraged agricultural growth
 - a. Food prices soared, more capital went into land
 - b. Capitalist farming strove for efficiency, profits
 - c. New farming, breeding methods developed by **Jethro Tull, Charles Townshend, Robert Bakewell**
 - d. **Arthur Young** publicized new ideas
- 3. New agricultural techniques required complete control of land
 - a. Landlords used various means to acquire, fence land
 - b. **Enclosure** forced peasants off land, ended traditional common land
- 4. Displaced peasants went to cities, became hired farm laborers, or went to poor houses
- 5. Enclosure movement reached peak after 1750 in England and on the continent
 - a. French peasants' taxpaying role prevented scale of enclosure carried on in England
 - b. English enacted 2000 laws between 1760-1800
- 6. In industry, movement toward free enterprise produced **domestic system**
 - a. Handworkers contracted with capitalists
 - b. Performed work in homes, delivered to next stage
 - c. Used to make textiles, silk, paper, iron
 - d. Labor of children, women widely used
 - e. **Ambrose Crowley**, successful 18th-c. entrepreneur
- 7. British domestic system succeeded
 - a. No guilds, few legal obstacles
 - b. Some inflation, unemployment
 - c. Workers riots 1765, 1780
- 8. New business institutions arose to address needs of new economy
 - a. Dutch and English East India Companies pooled resources of many investors
 - b. Stock exchanges: London (1698), Paris Bourse (1724)
 - c. Maritime insurance companies: Lloyd's of London (1688)

C. Social Crises During The Capitalist Revolution

- 1. Absolutist regimes governed through local authorities, military officers, bureaucrats
 - a. Officials came from nobility, wealthy commoners
 - b. Ignored mass discontent, middle-class frustration
- 2. **Old Regime** characterized by legalized privilege

- a. Wealth, power given to elite
- b. Masses lived in grinding poverty
- c. System cut across financial lines
- 3. Old Regime run by high nobles and clergy
 - a. Two orders less than 2% of population
 - b. Great magnates no more than 5000 families
 - c. France prime example of system
 - d. Church owned 20% of land, collected rents, fees for upkeep of education, charities, higher clergy
 - e. Titled nobles held 20% of land, feudal tenure enabled them to collect fees
 - f. Conspicuous consumption typified nobles' goals
- 4. Commoners at all levels bore tax burden
 - a. Peasants 80%, most landless
 - b. Serfs, bound to villages in Russia, Poland, Prussia, Denmark
 - c. 3 million urban dwellers, 23 million peasants constituted French **Third Estate**
 - d. **Taille** (land tax), heaviest tax, fell on poorest

D. The Challenge of Population Growth

- 1. Population in Europe increased 58% in 18th c.
 - a. 1700: 118 million
 - b. 1800: 186 million
- 2. Accelerated growth rate due to
 - a. Lower mortality rate as a result of improved cleanliness, water, sewage
 - b. Rising fertility in response to better agriculture, food supplies
- 3. Population increased everywhere between 1650 and 1800
 - a. England: 5 million to 9 million+
 - b. Russia: 17 million to 36 million
 - c. France: 21 million to 28 million
 - d. Spain: 7.5 million to 11 million
 - e. Italy: 11 million to 19 million
- 4. Population growth fueled movements in all areas
 - a. Huguenots, Puritans moved for religious reasons
 - b. Swiss, Irish became mercenaries
 - c. Others became foreign workers, craftsmen
 - d. Massive movement to the Americas
- 5. Cities grew rapidly, especially in western Europe where 10% lived in urban areas
 - a. London (1789): 800,000
 - b. Paris (1789): 750,000
 - c. Berlin: 100,000+
- 6. Urban life exciting, dangerous, unpredictable
 - a. Ideas spread quickly through books, newspapers, coffeehouses, sailors, diverse populations
 - b. Violent spectacles
 - c. Criminal elements, potential for unruly mobs

E. Oppressive Conditions for Women

1. Rising capitalism reduced work opportunities for all women, especially poor widows
 - a. Depressed farm wages
 - b. Low wages as cook, maid in cities
 - c. Barred from most craft guilds
 - d. Prostitution in cities
2. Upper-class wives subordinate to husbands
3. Women regarded as child-like, irresponsible, passion-ruled

F. The Prevalence of Human Misery

1. Misery of burgeoning poor contributed to considerable popular discontent
2. Wars left misery, devastation
 - a. Ruined crops, cities
 - b. Created hordes of starving refugees, depopulated areas
 - c. Armies spread diseases like smallpox, typhus, malaria, caused sanitation problems
3. Malnutrition made disease more severe, reduced proficiency of workers, led to high mortality rates
4. Urban poor, 20-25% of population
 - a. Homeless, transient, worked at menial jobs
 - b. Begging, stealing, prostitution
 - c. Guild apprentices, journeymen worked hard for meager rewards
5. Most social problems based in rural poverty
 - a. Peasants suffered even with rising food prices
 - b. Agricultural specialization harmed peasants
 - c. Rising food prices drove owners to gouge workers
 - d. Peasants ceased to be assets of state, became dangerous, expensive liabilities
 - e. Landless peasants became rural vagrants

G. Protests, Riots, and Rebellions

1. Spirit of discontent emanated from many places
 - a. Injustice, misery of underprivileged
 - b. Dissatisfaction chaotic confusion, inefficiencies of most monarchies felt by lower middle class, lesser nobles
 - c. Aristocrats sought to defend privileges
 - d. Lawyers had many grievances
2. 73 peasant rebellions in 18th century
3. Urban riots sometimes violent, not politically significant
4. Middle class discontent arose from thwarted expectations
5. Aristocratic opposition from within, most dangerous to monarchies

II. LOUIS XIV, THE SUN KING: THE MODEL FOR EUROPEAN ABSOLUTISM

A. Foundations of Absolutism

1. Appeals to religion, science buttressed absolutism
 - a. **Bishop Jacques Bossuet** gave classic definition of “divine right” of kings
 - b. **Thomas Hobbes** saw order as primary social good, anarchy as greatest disaster
2. 17th c. monarchs sought to reshape old feudal structures into centralized states
3. French kings had sought to subordinate nobles, centralize administration
 - a. **Cardinal Richelieu** reduced power of nobles, independence of Protestants
 - b. Uprising of the **Fronde** (1649-53) showed nobles’ displeasure
4. As a young man, Louis XIV learned to be suspicious of nobles, distrustful of powerful ministers, like **Cardinal Mazarin**.
5. Louis XIV worked to project image of himself as the “Grand Monarch”
6. Claimed authority over French church, religion of his subjects
7. Conflicted with pope over revenues
8. Revoked Edict of Nantes (1685)
 - a. Ended Huguenots’ freedom to worship
 - b. Subjected them to torture, imprisonment
 - c. 300,000 fled to other countries, depriving France of their skills
9. Louis XIV worked hard, ruled shrewdly

B. The Functioning of French Absolutism

1. **Versailles**, enormous, awe-inspiring palace
2. Entrenched local authorities, legal structures in provinces could hinder enforcement of royal edicts, collection of revenues
3. Theoretically king made all major decisions
 - a. Supreme lawgiver
 - b. Chief judge
 - c. Commander of all military forces
 - d. Head of all administration
4. Aristocracy dominated France
 - a. Exempt from most taxes
 - b. Owned land
 - c. Exerted major influence in local assemblies
 - d. Held royal appointments, high positions in Church, army
5. **Mercantilism**, system of government regulation of economy to promote prosperity, increase revenues
 - a. Developed at time of expanding overseas empire, expensive wars, economic depression
 - b. Involved cooperation between royal government, wealthy merchant-bankers
6. **Jean Baptiste Colbert** ran mercantilist system
 - a. Created tariffs, tolls to restrict foreign imports
 - b. Promoted, subsidized, regulated special industries: silk, laces, woolens, glass
 - c. Built roads, canals

- d. Chartered overseas trading companies, granted monopolies
- 7. System built on theory of “**bullionism**”
 - a. Wealth measured by amount of precious metals held
 - b. Goal to achieve national profit through favorable balance of trade
 - c. State economic regulation through subsidies, monopolies, state enterprises tariffs, tolls
- 8. Colonial expansion deemed important to enhance competitiveness
 - a. Sought markets, cheap raw materials
 - b. Strong army, navy needed to acquire, police, protect colonies
- 9. The **Marquis de Louvois** improved French military
 - a. Expanded, strengthened, modernized army
 - b. Improved, expanded navy

III. THE GRAVITATIONAL PULL OF FRENCH ABSOLUTISM

A. Typical Satellites of France

- 1. Louis’ title, “Sun King,” symbolized his position in Europe, France’s influence
- 2. Royal authority seemed to meet most pressing needs: efficiency, security
- 3. Other countries imitated the French model

B. The Germanic Satellites

- 1. Over 300 sovereign states in Holy Roman Empire, recognized by Treaty of Westphalia
 - a. No serious responsibilities to Emperor
 - b. Many wealthy after confiscating church properties
 - c. Many sought ties with France against Hapsburg emperor
- 2. German mini-states imitated French model
 - a. Built impressive palaces
 - b. Kept standing army, state church, court officials, economic regulations

C. Scandinavia

- 1. Frederick III (1648-1670) of Denmark reduced power of nobles, claimed right to issue laws, impose taxes, centralized administration
- 2. Charles XI (1660-1697) of Sweden seized nobles’ lands, centralized government, built professional army, navy, national church, mercantilist economy

D. Spain and Portugal: Irregular Orbits

- 1. Some states could not successfully imitate France
 - a. Aristocratic forces defended rights
 - b. Local commercial interests also resisted
- 2. Spanish, Portuguese kingdoms weakened in 17th century
 - a. Spain, Portugal united 1580-1640, until Portugal revolted
 - b. Economic decay due to revolt, Thirty Years’ War
 - c. Inept kings: Alfonso VI of Portugal, Charles II of Spain
- 3. Nobility exploited opportunities, regained dominant position

4. 18th-century kings reasserted royal authority
 - a. Pedro II (1683-1706), John V (1706-1750) of Portugal benefited from Brazilian wealth, centralized administration, perfected mercantilism, controlled church
 - b. Philip V (1700-1746) of Spain, brought in French advisers, set up absolutist government
- E. The **Habsburgs**
1. Held Archduchy of Austria, several German areas, Bohemia, Hungary
 2. Blocked Turks in east, countered Louis XIV in continental wars
 3. **Leopold I** (1657-1705) succeeded in boosting imperial power
 - a. Modernized army
 - b. Centralized administration
 - c. Created new court nobles
 - d. Suppressed Protestants, controlled Catholic Church in Austria
 - e. Recognized as hereditary ruler in Hungary, as well as Austria, Bohemia
 4. **Maria Theresa** (1740-1780) maintained appearance of absolutism
 - a. Lacked money, military force when she inherited throne at age 22
 - b. Faced threats from Prussia, resurgent nobility
 - c. Religious, compassionate, known as “Her Motherly Majesty”
 - d. Count Haugwitz, reforming minister, imposed more royal control in provinces
 5. Habsburgs lacked economic base for dynamic absolutism
 - a. Agricultural economy, serfdom perpetuated power of nobles
 - b. Little revenue available to crown
 - c. Multiethnic holdings
 6. Habsburg regime combined absolutist theory, feudal fact
- F. Poland: The Last Medieval State
1. Agrarian, little trade or industry
 2. Nobles dominated serfs, avoided military service, taxes
 3. Diet, elected by local bodies, chose king
 4. King had no real authority
 5. Poland 50 small, independent feudal estates
- G. Absolutism in Prussia
1. Rise of **Hohenzollerns** key development of era
 - a. United scattered north German lands
 - b. Recovered from near-disaster in Thirty Years’ War
 - c. Succession of competent monarchs
 2. **Frederick William the Great Elector** (1640-1688) won land, tamed nobles, created tough army, built efficient administration
 3. **Frederick I** (1688-1713) continued trend, gained title “King of Prussia” for siding with France in war
 4. **Frederick William I** (1713-1740) had excellent civil service, built best trained army in Europe, strict disciplinarian

5. **Frederick II “the Great”** (1740-1786) ran perfectly functioning absolutist state
 - a. Raised tariffs to protect agriculture, industry
 - b. Subsidized industries
 - c. Ran efficient administration like an army
 - d. Honored Prussian nobles, gave them control over serfs
 - e. Sought economic self-sufficiency to finance army, wars
 - f. Acquired land through war

H. Russian Autocracy

1. Russia anticipated trend toward absolutism by two centuries
2. Ivan III (1462-1505) used title “tsar” (Russian for “Caesar”), asserted power
3. **Ivan IV “the Terrible”** (1533-84) began reforms to modernize Russia, subdue nobles
 - a. Issued new law code
 - b. Called *zemski sobor* (assembly of people) to reform administration of land
 - c. Launched war of terror (*oprichnina*) to suppress **boyars**
 - d. Accidentally killed son, left succession crisis
4. **Time of Troubles** (early 17th century) period of weak, uncertain leadership, end of Rurik line, famine, economic distress
 - a. Period of weak, uncertain leadership
 - b. Rurik line of tsars died out
 - c. Famine, economic distress, foreign invaders
 - d. Boris Godunov, clever, ambitious boyar could not restore order
5. **Romanov Dynasty** established
 - a. Early tsars, Michael, Alexis, integrated most aristocrats into state nobility
 - b. Russian nobles, tsar united by common control of serfs through Code of 1649
 - c. 17th-century Russia backward, stagnant, deficient
6. **Peter the Great** (1682-1725) solidified absolutism, brought Russia into new status
 - a. Difficult, dangerous childhood with half-sister Sophie, half-brother Ivan
 - b. Knew that to fight modern wars, he had to restructure country, modernize
 - c. Traveled incognito to the West, learned new technology, crafts
 - d. Returned to crush rebellion, install absolutism
 - e. Won land on Baltic, designated St. Petersburg, “window on west,” new capital
 - f. Replaced representative bodies with appointed councils, ministries
 - g. Chancery of Police maintained order, collected information, kept spy network
 - h. Replaced Orthodox patriarch with synod of bishops under secular procurator
 - i. Set up factories, mines, shipyards, brought in experts, workers from West
 - j. Raised protective tariffs, taxed everything
 - k. Strengthened, modernized, enlarged army
7. Until Catherine the Great (1762-1796) Russia tried to digest, recover from Peter’s rule
 - a. Period characterized by foreign domination of five weak monarchs in 37 years
 - b. Nobles recovered much lost power

IV. HOLLAND AND ENGLAND: LIMITED CENTRAL POWER

A. The Dutch Experiment

1. Dutch first to experience several modern trends
 - a. National liberation war, guerrilla war,
 - b. Republican form of government
 - c. Banks, insurance companies, stock markets
 - d. Capitalist agriculture
 - e. Recycling
2. Developed global trading network that gave them highest quality of life, "Embarrassment of Riches"
3. Lacking military power, they were dominated by English after 1660
4. Fluid Dutch power balance shifted in 17th century
 - a. Republicans (great urban merchants), sought religious toleration, limited central authority, peace
 - b. Monarchists (urban lower classes, nobles), wanted Calvinist state church, strong *stadtholder*, large army, aggressive stance against Habsburgs
5. Republicans held power until **John Oldenbarnveldt** overthrown, executed, 1619
6. Domineering stadtholders took over, 1619-1648
 - a. Conducted war with Spain
 - b. Ruled as virtual monarchs
7. Dutch Republic prosperous, powerful, culturally advanced
 - a. Major naval, commercial, colonial power in 17th c.
 - b. Too small, too vulnerable to compete with France, England
 - c. Pioneered in developing constitutional government
 - d. Liberal atmosphere attracted persecuted scientists, philosophers

B. The English Debate: Crown vs. Parliament

1. England carried on a debate about the nature of government, 1603-1688
2. **James I**, absolutist, managed to compromise, maintain stability
 - a. Rejected Puritan demands at Hampton Court Conference
 - b. Disagreed with Parliament, ruled without it for 10 years
 - c. Offended public opinion by arranging son's marriage to Catholic princess
3. **Charles I**, less politically astute, more stubborn than father
 - a. Reluctantly accepted Parliament's *Petition of Right*
 - b. Tried to rule without Parliament
 - c. Archbishop Laud forced religious conformity
 - d. Scots rebelled, invaded England, forced humiliating peace
 - e. To pay off Scottish invaders, raise money, Charles called Parliament
 - f. Charles left London
 - g. **(Long) Parliament** claimed authority over military
 - h. Charles raised troops, fighting broke out
4. Civil war lasted until 1649
 - a. Cavaliers, royalists fought for king

- b. Parliament's forces led by **Oliver Cromwell**
 - c. Parliament made alliance with Scots
 - d. Parliament's army defeated royalists at Marston Moor (1644), Naseby (1645)
 - e. Scots captured king, turned him over to Parliament
 - f. King escaped, defeated again
 - g. Col. Pride purged moderates from Parliament, remaining "Rump Parliament" voted to execute king, set up republic
 - 5. **Levellers** anticipated modern democratic theory
 - 6. Oliver Cromwell headed government during interregnum
 - a. Crushed resistance in Scotland, Ireland
 - b. Instrument of Government, written constitution
 - c. Contention among republican factions
 - d. Cromwell dismissed Parliament, ruled as military dictator
 - 7. Civil war, interregnum curtailed royal powers, confirmed Parliament's control of finances, expanded opportunities for business
- C. The Restoration and "Glorious" Revolution
- 1. **Charles II** recalled from exile, restored to throne, welcomed back
 - a. Clever, sly, worked with Parliament, but sought more royal independence
 - b. Manipulated English political system to get what he wanted
 - c. Later provoked clashes with Parliaments
 - d. Parliament forced resignation of king's minister, imprisoned another, excluded king's Catholic supporters from office, provided legal security against arbitrary arrest
 - 2. **James II** frightened Parliament
 - a. Catholic, absolutist, admired Louis XIV
 - b. Suspended laws passed by Parliament
 - c. Wife gave birth to son, regarded as potential Catholic king
 - 3. **Glorious Revolution** (1688)
 - a. Leaders of Parliament offered throne to **Mary** and husband **William** of Orange
 - b. James II fled to France
 - c. William and Mary accepted Parliament's conditions
 - d. Laid basis for limited monarchy, ended possibility of absolutism
 - e. **Bill of Rights** had strong influence on constitutional government elsewhere
 - f. Mutiny Act, Toleration Act, Act of Settlement supplemented Bill of Rights
 - g. Glorious Revolution limited English monarchy, protected legal rights, popularized the ideal of popular sovereignty
- D. Whigs and Tories
- 1. England after 1688 remained basically undemocratic
 - a. Landed gentry dominated House of Commons, English institutions
 - b. Whigs dominated
 - 2. **Cabinet system** developed
 - a. **Robert Walpole** dominated first two **Hanoverians** (George I, George II)
 - b. Insisted ministry act as unified body

- c. Established principle of ministerial responsibility
- d. Provided constitutional machinery to apply principles of Glorious Revolution without conflicting with royal authority
- 3. **George III** asserted a more direct role in political affairs
 - a. Opposed aggressive policies toward France, alienated commercial interests
 - b. Wanted to rule personally, unlike predecessors
 - c. Destroyed Whig power
 - d. Controlled Parliament through Tories, known as “the King’s Friends”
 - e. George III’s 12 years as head of government produced vocal opposition
 - f. **George Grenville** imposed new North American policies, leading to American Revolution

V. BREAKING THE BANK: DIPLOMACY AND WAR IN THE AGE OF ABSOLUTISM 1650-1774

- A. From Westphalia to Utrecht: The Dominance of France, 1648-1713
 - 1. France remained dominant power from 1648 to 1713
 - a. Louis XIV sought to expand boundaries to Rhine River
 - b. Then coveted Spanish crown
 - c. European states united to stop French expansion
 - 2. Russia under Peter the Great exception to trend
 - a. Sought expansion against Turkey, Sweden, ports on Black Sea, Baltic Sea
 - b. Won **Great Northern War** (1709-1721), defeated Swedish King Charles XII
 - c. Gained land on Baltic Sea, built new capital St. Petersburg there
 - 3. Anglo-Dutch wars ended by common fear of France
 - a. Louis fought to expand northeast to Rhine River, threatened Dutch survival
 - b. French and Dutch competed in commercial, colonial ventures
 - c. Dutch tacitly accepted British maritime supremacy
 - 4. **Treaty of Utrecht** ended **War of Spanish Succession** (1701-1713), ushered in generation of peace
 - a. Women involved behind the scenes: Queen Anne, Sarah Churchill, Mary of Modena, Madame de Maintenon, Princess des Ursins
 - b. Louis XIV pursued grandson’s claim to throne of Spain
 - c. British, Dutch, Austrians joined to counter French ambitions
 - d. Most participants (except Britain) lost more than they gained
 - e. Britain emerged as leading colonial power
- B. From Utrecht to Paris: An Unstable Balance, 1713-1763
 - 1. Polish, Turkish power vacuums attracted Russia, Prussia, Austria in 18th century
 - 2. England and France continued their colonial rivalry after 1713
 - a. Clashed in West Indies, North America India
 - b. “**War of Jenkins’ Ear**” began new series of wars that spread throughout Europe
 - c. France, Spain, Prussia, Saxony, Bavaria aligned against Britain, Austria, Netherlands, Hanover

- d. **War of Austrian Succession** (1740-1748) ended by **Peace of Aix-la-Chapelle**
- e. Prussia gained rich province of Silesia from Austria
- 3. **Seven Years' War** (1756-63) renewed global conflict
 - a. By 1763 Russia, Prussia seen as great powers
 - b. Austria forged alliance with Russia and France against Prussia; Queen Maria Theresa, Madame de Pompadour influential
 - c. Diplomatic realignment: Britain, Prussia vs. France, Austria
 - d. Conflict on three continents: Europe, Asia (India), North America (French and Indian War)
 - e. Frederick the Great (Prussia) saved from defeat when new Russian tsar suddenly withdrew
- 4. **Peace of Paris** (1763)
 - a. France lost colonial claims in India, North America
 - b. Turkey, Poland declined
 - c. Britain gained substantially in North America, Caribbean, India
 - d. Britain emerged as world's wealthiest, most powerful empire

VI. ECONOMIC CHALLENGES

A. The Failure of State Controlled Economies

- 1. In 16th c., kings and merchant-bankers found natural alliance in resisting traditional power of Church and nobility
- 2. In 17th c., mercantilism furthered interests of kings, merchant-bankers
- 3. In 18th c., monarchical states became more paternalistic; entrepreneurial interests sought more freedom from state control

B. Bureaucrats and Smugglers

- 1. Mercantilism showed varying degrees of success
 - a. Worked well in Prussia, Russia
 - b. Mercantilist states on continent less competitive on world market
- 2. French industry stymied by urban guilds, vested interests, local politics, corruption, bureaucratic confusion
- 3. French mercantilist laws favored luxury goods, not bulk commodities
- 4. French not competitive in world trade
- 5. Guilds ineffective enforcers of mercantilist regulations
- 6. Widespread smuggling to circumvent mercantilist restrictions
 - a. Difficult to stop, expensive to police
 - b. Exceeded legal trade in colonies

C. The Crisis in Public Finance

- 1. State debt rose drastically after wars in 18th c.
 - a. Financed by Bank of England
 - b. Scheme to finance debt with profits from South Sea Company stock failed
 - c. Debt contributed to internal political unrest
- 2. Monarchies tended to protect privilege, condone abuses, permit inefficiencies

- a. State churches wealthy, persecuted dissenters
- b. State enterprises, monopolies favored wealthy
- c. Military systems controlled by aristocrats, with purchased commissions, private armies
- 3. Overlapping legal systems, local customs led to inefficiency
 - a. Laws, complex mixture of local customs, feudal presumptions, royal decrees
 - b. Numerous tolls impeded trade
 - c. No uniform system of coinage, weights and measures
 - d. Overlapping authorities, jurisdictions
 - e. Bureaucratic delays, inaction, bribery, fraud

VII. LOUIS XV AND THE DECLINE OF EUROPEAN ABSOLUTISM: 1715-1774

A. French Decline

- 1. **Louis XV** exemplified “business as usual” manner of Old Regime
 - a. Failure to adapt to changing conditions
 - b. Misuse of power
 - c. Selfishness, unresponsiveness
 - d. Inflexible institutions, royal cynicism
- 2. High expectations for improvement stemming from material progress, Enlightenment writers
- 3. Chaotic government
 - a. Selling offices, major source of revenue, patronage
 - b. No outlet for registering opinion; Estates-General did not meet after 1614
 - c. Overlapping local authorities: bailiff, seneschals, governor, intendants
 - d. 360 different legal codes, 200 customs schedules
 - e. Localities resisted centralization, uniformity
- 4. Louis XV’s lack of attention harmed governance
 - a. Turned over rule to **Cardinal Fleury**
 - b. Court intrigues greatly affected government
 - c. “Mistress government” after 1745 by **Madame Pompadour** and **Madame Du Barry**
- 5. Rich living among court aristocrats caused huge debt
 - a. Developing capitalism made borrowing easier
 - b. Colonial, military expenses increased deficits
 - c. Dependence on international market for credit, resources kept kings from rule by brute force
 - d. Financial accountability seriously limited kings
- 6. French debt rose rapidly, imperiled government
 - a. French economy, fiscal institutions less strong
 - b. Wars exacerbated problem
 - c. France used half its annual income of \$33.8 million to pay interest on debt in 1780
 - d. Taxes tripled between 1715 and 1785

CONCLUSION

1. Capitalist Revolution was most important factor in period of 1648-1789.
2. Absolutism offered sense of stability and order through monarchical authority, control of economy, church, military establishment, rigid class distinctions.
3. Many European states copied Louis XIV's system of absolutism.
4. Structural weaknesses of absolutism became apparent by the mid-18th century.
 - a. Economic change and population growth came so quickly that absolutist governments could not keep pace
 - b. Corruption, inefficiency prevented effective administration
 - c. Overregulation of economy at time of changing economic conditions
 - d. Aristocracy not dedicated to absolute monarchical power
 - e. Rising debt due to warfare, court splendor
5. The Dutch and English developed limited central powers and fared better with the rapidly changing conditions of the 17th and 18th centuries.

CONCEPTUAL HOOKS

TIMELINE: 1648-1789

DEFINITIONS

capitalism: Economic system based on private ownership of property, individual risk-taking, and market determination of the prices of goods.

Jethro Tull: 1674-1741, English commercial landowner who carefully plowed the land, planted in neat rows, and used a drill he invented. He emphasized keeping plants well cultivated.

Charles Townshend: 1674-1738, English viscount who discovered the use of different varieties of plants in crop rotation, such as turnips, to restore soil fertility. Also experimented with applying clay-lime mixtures to increase fertility.

Robert Bakewell: 1725-1795, English farmer who, by careful breeding of his cattle, increased the size of meat animals and also the milk yields from dairy cows.

Arthur Young: 1741-1820, active publicist of the new agricultural techniques, lectured throughout Europe, edited a farm journal. Many of his works were translated into many languages.

- enclosure:** A movement to gain control of the common fields, a remnant of feudal land distribution. In order to use modern agricultural methods, landlords sought to fence or enclose their acres, and by outright purchase, foreclosure, suit, fraud, and law they tried to free the land from old manorial restrictions, especially the right of the community to use the commons. The enclosure movement hit its peak with 2000 enclosure laws pushed through Parliament between 1760 and 1800.
- domestic system:** An arrangement in which capitalists and handworkers established contracts under which capitalists would supply materials to workers for processing to a higher stage of production, at which time the products would be sent to the next stage of finishing or sold on the market. Freed capitalists from the restrictions of city guilds.
- Ambrose Crowley:** Archetypical British capitalist, who used the domestic system in the iron industry. Started as a blacksmith, accumulated some capital, built an establishment for the large-scale production of hardware. By 1700, village had become a town of 1500 workers. Crowley was knighted in 1706.
- Louis XIV:** 1638-1715, reigned 1643-1715, the “Sun King,” who dominated European affairs for more than half a century. He epitomized absolutism.
- Bishop Jacques Bossuet:** French churchman who made classic statement of divine right theory in *Politics Drawn from Scriptures*. Believed king is sacred, God’s agent on earth, accountable to God alone.
- Thomas Hobbes:** Offered best secular justification for absolutism in his *Leviathan*. Considered man brutish by nature. Believed man surrendered freedoms to the state and must always obey. Saw order as primary social good, anarchy as greatest disaster. Deemed monarchy most efficient way to maintain order and security.
- Cardinal Richelieu:** 1585-1642. Adviser to Louis XIII. Worked ceaselessly to increase the king’s powers over the nobles, build a dependable civil service, and develop strong military and naval forces. He saw the Habsburgs and the papacy as the main threats to French interests. Despite his Catholic affiliation, he arranged for French support of the Protestants in the Thirty Years’ War.
- Cardinal Mazarin:** 1602-1661, Italian-born chief minister for Louis XIV, and his mother’s lover, whose ambition alienated the young king and whose corruption enraged the country.
- Fronde:** The outbreak of resentments over Richelieu and Mazarin’s policies by the nobles that plunged France into civil war between 1649 and 1653. The nobles failed to bring down the central government. This experience contributed to Louis XIV’s belief that order is the primary social good, and anarchy is the greatest disaster.

mercantilism: The state control of all aspects of the economic structure that seeks to apply capitalist principles of profit-seeking in the management of national economies. Because mercantilists saw the market in terms of competing states, they sought expansion.

Jean Baptiste Colbert: 1619-1683, French comptroller of finance who sought to make his country economically self-sufficient. To that end constructed the infrastructure and policies of mercantilism, including revamped road and canal systems and an expanded navy.

bullionism: The principle maxim of mercantilism. Proponents sought to increase precious metals, the sole source of value, within a country by achieving a “favorable balance of trade” in which the monetary value of exports exceeded that of imports.

Marquis de Louvois: 1641-1691, revolutionized the French army by restructuring every aspect of the force and increasing it in size from 72,000 to 400,000.

Habsburgs: Dynasty ruled Austria and several other non-German areas, served as Holy Roman Emperors.

Leopold I: Ruled 1657-1705, primarily responsible for strengthening the Austrian imperial monarchy in last half of 17th century.

Maria Theresa: Ruled 1740-1780, faced the continual problems of maintaining rule in a multinational empire. Faced threats from Prussia and from nobles upset with rule by a woman. Became one of era’s outstanding rulers.

Hohenzollerns: Dynasty around which Prussia united, grew.

Frederick William the Great Elector: Ruled 1640-1688. Laid the basis for the rise of Prussia after the Thirty Years’ War.

Frederick I: Ruled 1688-1713, continued centralizing, militarizing tendencies, recognized as king in Prussia in Treaty of Utrecht.

Frederick William I: Ruled 1713-1740, molded army to be the strongest and most effective in Europe.

Frederick the Great: Ruled 1740-1786, absolute monarch who ruled Prussia effectively with efficient civil service, protective tariffs, subsidies to industries, and strong, successful army.

- Ivan IV:*** Ruled 1547-1584, “the Terrible,” the ruler who sought to construct a strong Russian state. Though he carried out several positive reforms, his pursuit of the boyars led to some of the most outrageous acts of brutality in history.
- oprichnina:*** Full-scale war against boyars under Ivan IV. Masked men (*oprichniki*) terrorized boyars, forcing 12,000 families from their homes in the dead of winter.
- boyars:*** Ancient noble families of Russia, seen as a threat by centralizing monarchs.
- Time of Troubles:*** Period in Russia in the first decade of the 17th century when the country fell into anarchy and chaos.
- Romanovs:*** Dynasty that ruled Russia from 1613 to 1917.
- Peter the Great:*** Ruled 1682-1725, seen by some as the most important figure in Russian history, sought to acquire land on the sea, introduce Western technology and styles to Russia, and make the tsar’s power absolute.
- stadtholder:*** Dutch official chief of state who, before 1620, basically served the function of military commander, dependent upon provinces for supplies, soldiers.
- John Oldenbarnveldt:*** 1547-1619, Dutch republican leader overthrown and executed by royalists.
- House of Orange:*** Dutch ruling family, helped transform Dutch republic into monarchy.
- James I:*** Ruled England 1603-1625, son of Mary Stuart, absolutist, cousin of Elizabeth, King of Scotland from 1567. Commissioned translation of the *Bible* into English. Often disagreed with Parliament, but managed to avert constitutional issues.
- Charles I:*** Ruled 1625-1649, less diplomatically astute than his father, pushed his absolutist and pro-Catholic views more openly, generated greater hostility. Executed during Civil War.
- Petition of Right:*** Presented by Parliament to Charles I in 1628, affirming ancient English rights: no taxes without the consent of Parliament, no arbitrary imprisonment, no martial law in peacetime, no quartering soldiers in private homes.
- Long Parliament:*** 1640-1660, sat in theory through constitutional debate, civil war, and interregnum. This Parliament began limiting the powers of the king: imprisoned his archbishop, abolished the superlegal Star Chamber court, insisted on regular meetings. Many members left, leaving the Rump Parliament, which voted to execute the king and declare England a republic.

John Pym: 1584-1643, English Puritan, leader of Long Parliament.

Archbishop Laud: 1573-1645, Charles' Anglican adviser, harshly, abusively forced absolute conformity.

Oliver Cromwell: 1599-1658, Puritan general who successfully led Parliament forces in war, sanctioned execution of Charles I, proclaimed republic (Commonwealth).

Levellers: Movement, led by John Lilburne, that favored democratic reforms for common people, wrote "Agreement of the People."

Charles II: Ruled 1660-1685, returned from exile to rule an exhausted kingdom that wanted peace and stability, a feeling that Charles took advantage of to try to establish absolute government.

James II: Ruled 1685-1688. James (formerly Duke of York) was Catholic and a more determined absolutist than his brother. He offended Parliament by marrying an ardent Catholic, attempting to dominate courts and maintain a standing army, appointing Catholics to high positions, and defying laws passed by Parliament. When his wife gave birth to a son, and Catholic succession seemed inevitable, Parliament acted.

Glorious Revolution: 1688, occurred when a group of aristocrats offered the crown to Mary Stuart and her husband William of Orange of Holland. William landed in England with an army, James fled, and England remained a limited monarchy.

Mary and William: Mary Stuart, daughter of James II by his first marriage, ruled England 1688-1694 with her husband William of Orange, who continued to rule until 1702.

Bill of Rights: Parliament's conditions, accepted by William, placing limits on the king, guaranteeing rights of Parliament, civil rights for citizens and religious restrictions on the king.

cabinet system: Governing system that developed pragmatically during the 18th century. In the cabinet system, the country is effectively ruled by leaders from the majority. The Whig politician **Sir Robert Walpole** (1676-1745) ran his party's machine and insisted that the entire range of minister (cabinet) should act as a unified body. Those who could not agree to this should resign. Later he learned the usefulness of resigning with his entire cabinet when he could not command a majority.

Hanoverians: German branch of English royal house whose rise to the throne was sanctioned by the Act of Settlement (1701). The first two Hanoverians, **George I** (ruled 1714-1727) and **George II** (ruled 1727-1760), were ignorant of English language and politics and had to rely on their prime ministers to govern.

George III: Ruled 1760-1820, controversial king who tried to rule directly, unlike his Hanoverian predecessors. Destroyed Whig power in Parliament, gained control of Parliament, opposed aggressive policy toward France, made powerful and determined enemies by his actions.

Great Northern War: 1709-1721, Russia, under Peter the Great defeated Sweden, led by Charles XII. Peter gained land on the Baltic Sea and used it to built a new capital, St. Petersburg, his “window on the sea.”

Treaty of Utrecht: 1713, put an end to the period of wars sparked by the ambitions of Louis XIV. Ended the War of Spanish Succession with the stipulation that Louis XIV’s grandson would inherit the throne of Spain, on condition that France and Spain would never be united. Spain gave up the Southern Netherlands (Belgium) and its Italian holdings (Naples, Milan, Sardinia) to the Austrian Habsburgs. Frederick I of Prussia was recognized as King in Prussia. Britain gained Newfoundland and Nova Scotia from France, naval bases taken from Spain in Gibraltar and Minorca, and the right to supply Spanish America with slaves and to land one shipload of goods each year at Porto Bello, Panama. Britain emerged the leading colonial power.

“War of Jenkins’ Ear”: Began 1739, conflict that sparked the next wave of global conflicts based on European-wide antagonisms.

War of Austrian Succession: 1740-1748, shortly after Maria Theresa ascended the throne, Frederick II of Prussia seized Silesia from Austria. Britain and France continued their colonial rivalry. France, Spain, Prussia, Saxony, and Bavaria aligned against Britain, Austria, Hanover, and the Netherlands.

Peace of Aix-la-Chapelle: 1748, brought an end to the wave of wars spawned by the War of Jenkins’ Ear and Austrian Succession. Prussia made gains in Silesia, while England and France maintained positions.

Seven Years’ War: 1756-63. Austria, under Maria Theresa, forged a new alliance with France and Russia against Prussia. Former allies switched sides in a diplomatic revolution. Britain and Prussia aligned against France, Austria, and Russia. Frederick the Great was saved from ruin when the new tsar Paul III suddenly withdrew from the war. The war was fought on three continents: Europe, Asia (India), and North America (where it was known as the **French and Indian War**).

Peace of Paris: 1763, Britain gained Canada, Mississippi Valley, Florida, Granada, Dominica, St. Lucia. France virtually lost its colonial hopes in North America and India. Russia’s and Prussia’s status as great powers maintained. Poland, Ottoman Empire declined.

Old Regime: The social structure and aristocratic way of life that prevailed in 18th-century absolutist society. System was marked by privileges, injustices, and political deficiencies.

Third Estate: Since Middle Ages French society had been defined by function: the first estate was the clergy, who prayed; the second estate was the nobility, who fought; the third estate, roughly 97% of the population, worked.

taille: The main land tax levied by the government that fell most heavily on the class least able to pay, the peasantry.

Louis XV: Reigned 1715-1774. Great-grandson of Louis XIV. Self-indulgent French monarch who ruled in a system of aging absolutism, with its privileges and inflexibility. He purportedly warned “*Après moi, le déluge*” (“After me, the flood”).

Cardinal Fleury: 1653-1743, former tutor, adviser and virtual governor of France during reign of Louis XV.

Madame Pompadour (Jeanne-Antoinette Poisson): 1721-1764, born to middle-class parents and married later to a royal tax collector, she became Louis XV’s favorite and dominated court life at Versailles, enriching herself in the process. Even after she ceased being Louis’ lover, she remained a trusted adviser.

Madame Du Barry (Jeanne Bécu): 1743-1793, illegitimate daughter of a seamstress, met Louis XV through a minor noble, and once she was elevated to a countess through a contrived marriage, became powerful at court, although lacking Pompadour’s drive.

rococo: An almost purely decorative style that emphasized the airy grace and refined pleasure of the salon and the boudoir in jewelry, porcelains and portraiture.

neoclassicism: A response to the full-blown and sometimes overly ornamented styles of the Baroque period. Neoclassicism sought balance, order, and formalism with its resurrection of Greek and Roman models.

Jacques Louis David: 1748-1825, perhaps the greatest French artist of the 18th century, who used the neoclassical motifs to express dissatisfaction with the existing order and his later, ardent support for the revolution.

Alexander Pope: 1688-1744, typical poetic voice of the Age of Reason, mirrored spirit of the time in his most famous work, *An Essay on Man* (1733), in which he expressed the optimism of the age.

Jonathan Swift: 1667-1745, sometimes savagely satirical English writer who ridiculed the pettiness of his fellow man in *Gulliver's Travels*.

DISCUSSION

“L'état c'est moi” (I am the state) is a statement attributed to Louis XIV. Does that sum up absolutism? Examine the strengths and weaknesses of absolutism in theory and practice. Could any states be described as absolute monarchies today? Would you feel comfortable in such a state?

Compare and contrast the Russian and Prussian variants of absolutism by the 18th century. What parallels do you see with the French system under Louis XIV?

Why were the rulers of Brandenburg/Prussia able to construct one of the most powerful states in Europe between 1648 and 1700? In your answer evaluate the resources available to the leaders of the country, the problems they faced, and the nature of their success.

Discuss the obstacles facing the Austrian monarchy as they attempted to centralize power in their empire. Assess the successes or failures of Leopold I and Maria Theresa as they dealt with these obstacles.

Define the contradictions developing in the 18th century between the rigid structure of the Old Regime and the turbulent European society with its rising productivity and expectations.

Why were England and Holland successful in rejecting most of the absolutist tide in their countries?

Consider the 17th-century contributions of the Dutch and English to contemporary democracies.

Describe the growth of cities in Western Europe in the 18th century. Who lived in the cities? Why did they migrate there? What did they do? What did they see around them?

PRIMARY DOCUMENT/CRITICAL THINKING EXERCISES

Louis XIV's memoir to his son on the job of being a king certainly takes away some of the illusions of grandeur and ease that come with the spectacle of nobility. What idea do you get of Louis XIV as a man of power, especially in regards to his views of the post of a Prime Minister?

Arthur Young's account of life in rural France just before the French Revolution is devastating in its grimness. He has the ability to characterize the general setting, and to focus an economic generality on an individual. Read his description of the woman with whom he spoke on July 12, and discuss the oppression of peasant women.

TESTING

Define absolutism. Give examples of three absolute monarchs and show how their specific actions and/or policies illustrate your definition.

Which group lost the most in the formation of the new autocratic states: the nobles, the peasants, or the urban classes? Describe the changes affecting the above three, using 17th-century France as an example.

How effective were the states in enforcing mercantile policies in the 18th century? What factors worked for and against the continuation of central domination of the economies?

Why were England and Holland successful in rejecting most of the absolutist tide in their countries?

Describe the reigns of James I, Charles I, Charles II, and James II. In what ways did they try to apply the policies of absolutism in England? How did the Bill of Rights and other parliamentary acts eliminate the possibility of an absolute monarch in the future?

Discuss the role, function, and importance of Sir Robert Walpole in the evolution of British politics.

Why were the French, with the most developed absolutist structure, unable to compete effectively by 1763?

Characterize the effectiveness of the Old Regime government by the mid-18th century. In your opinion, what were the most decisive flaws? Give examples.

Discuss the implications of a rapidly increasing population for the Old Regime. What problems did the demographic growth present, and what opportunities did it develop?

LECTURE LAUNCHER

In the state competition that characterized Europe in the century after Westphalia, absolutists such as Peter I of Russia felt that they had the power to change everything, even the calendar. On December 20, 1699, after returning from his trip to Europe, he issued the following decree:

The Great Sovereign has ordered it declared: the Great Sovereign knows that many European Christian countries as well as Slavic peoples are in complete accord with our Eastern Orthodox church, namely: Wallachians, Moldavians, Serbs, Dalmatians, Bulgars, and subjects of our Great Sovereign, the Cherkessy [Ukrainians] and all Greeks from whom we accepted our Orthodox faith—all these peoples number their years from eight days after the birth of Christ, that is from January 1, and not from the creation of the world. There is a great difference in those two calendars. This year is 1699 since the birth of Christ, and on January 1 it will be 1700 as well as a new century. To celebrate this happy and opportune occasion, the Great Sovereign has ordered that henceforth all government administrative departments and fortresses in all their official business use the new calendar beginning January 1, 1700. To commemorate this happy beginning and the new century in the capital of Moscow, after a solemn prayer in churches and private dwellings, all major streets, homes of important people, and homes of distinguished religious and civil servants should be decorated with trees, pine, and fur branches similar to the decoration of the Merchant Palace of the Pharmacy Building—or as best as one knows how to decorate his place and gates. Poor people should put up at least one tree, or a branch on their gates or on their apartment [doors]. These decorations are to remain from January 1 to January 7, 1700. As a sign of happiness on January 1, friends should greet each other and the New Year and the new century as follows: when the Red Square will be lighted and shooting will begin—followed by that at the homes of boyars, courtiers, and important officials of the tsar, military and merchant classes—everyone who has a musket or any other firearm should either salute thrice or shoot several rockets or as many as he has...[*Polnoe Sobranie Zakonov Russkoi Imperii*, 1st series. “A Decree on a New Calendar,” from vol. 3, no. 1736, pp. 681-682, in Basil Dmytryshyn, ed., *Imperial Russia, A Source Book, 1700-1917* (New York: Holt, Rinehart & Winston, pp. 14-15, 1967)].

INSTRUCTOR'S TOOL KIT

AUDIO CASSETTES

Eighteenth Century Poetry and Drama, a selection of English Literature
A Modest Proposal. Jonathan Swift
She Stoops to Conquer. Oliver Goldsmith
The School for Scandal. Richard Sheridan

COROLLARY READING

Mark A. Kishlansky, ed., *Sources of the West*, II
Cardinal Richelieu, *The Political Testament* (1638)
Hans von Grimmelshausen, *Simplicissimus* (1669)
James I, *True Law of a Free Monarchy* (1598)
Philippe Duplessis-Mornay, *A Defense of Liberty Against Tyrants* (1579)
Thomas Hobbes, *Leviathan* (1651)
Sir William Clarke, *The Putney Debates* (1647)
Duc de Saint-Simon, *Memoirs* (1694-1723)
Maria Theresa, *Testament* (1749-50)

Peter N. Stearns, Stephen S. Gosch, Erwin P. Grieshaber, eds., *Documents in World History*, II
New Tensions in the Western Political Tradition: Absolutism and Parliament
Bishop Bossuet; English Bill of Rights
Peter the Great Reforms Russia
Decrees on the Duties of the Senate; Education of the Nobility; Students Abroad; Factories; the Academy

COURSE ENHANCEMENT

Each chapter in the textbook includes extensive lists of supplementary material

Films and videos

Web destinations

Literature from the period

Suggestions for further reading

COMPANION WEBSITE at www.ablongman.com/brummett

Additional resources are available at the Companion Website for both the instructor and the student. Instructor's resources include PowerPoint slide presentations, electronic versions of maps, graphs, and tables, Web resources, as well as links to Longman resources. For the student, you can direct them to the Companion Website to take quizzes, or for online links to further research or reading for each chapter.

CHAPTER 18

New Ideas and Their Political Consequences: The Scientific Revolution, the Enlightenment and the French Revolutions

CHAPTER OUTLINE

INTRODUCTION

1. In Babylonia, Egypt, China, India, Mesoamerica, Sub-Saharan Africa, philosophers, theologians, skilled workers investigated various issues scientifically.
2. Copernicus continued in Western tradition of inquiry into basic nature of world.
3. Locke, Enlightenment applied scientific reason to society, politics.
4. Words, ideas of Enlightenment influenced “enlightened despots,” American Revolution.

I. REVOLUTION IN SCIENCE: THE LAWS OF NATURE

A. Copernican Theory

1. **Nicholas Copernicus** investigated Ptolemy’s geocentric theory
 - a. Speculated that sun is center of universe
 - b. Later Church placed his book on Index of Forbidden Books
2. Tycho Brahe and sister Sophie systematically observed skies, recorded data
3. Johannes Kepler benefited from Brahe’s records
 - a. Used mathematical data to show that planets move in elliptical orbit
 - b. Laws of planetary motion convincing, but did not explain why planets circled sun
4. Catholic Church had accepted Aristotle’s physics, Ptolemy’s astronomy, viewed attacks on scientific tradition as attacks on Church’s authority
5. **Galileo Galilei**, persistent scientific rebel
 - a. Made telescope, observed sun, moon, planets, findings contradicted Aristotle’s teachings
 - b. Church trial forced him to recant, deny Copernican views

B. New Ways of Thinking

1. Scientific method stressed logic, reason, evidence, used combination of **induction, deduction**
2. **René Descartes** started new mode of deduction; all could be rationally explained,

- in mathematical terms
 - 3. Advances came in mathematics
 - a. Decimalization, logarithms, analytical geometry
 - b. Newton, **Leibnitz**, independently perfected differential calculus
 - 4. **Francis Bacon** contributed to scientific methodology
 - a. Experimental system, inductive approach, careful approach would lead to tentative hypothesis
 - b. Testing, new questions would find nature's laws
 - 5. New scientific instruments aided advances
 - a. Thermometer (1597), barometer (1644), air pump (1650), pendulum clock (1657) aided scientists
 - b. Mathematics, observations gave astronomers means to start Scientific Revolution
- C. The Newtonian Universe
- 1. **Sir Isaac Newton** synthesized previous discoveries into an all-embracing principle
 - a. One universal law of gravity governs the entire world of matter
 - b. Showed unity, order existed in universe
 - 2. Expressed ideas mathematically in **Principia**
 - 3. Solved problems of Kepler, Galileo by combining methods of Descartes, Bacon
 - 4. Confirmed basic premise of modern science, that all nature is governed by laws
- D. The Popularity of Science
- 1. Practical use of science changed its social role
 - a. Accepted by highest society
 - b. **Royal societies** chartered, journals published
 - 2. Popular mania for science, Frederick the Great dabbled in experiments, endowed observatories
 - 3. Businessmen, entrepreneurs applied scientific knowledge to practical problems of mining, irrigating, manufacturing, shipbuilding, navigation
 - 4. By 1700 science stimulated Western thought to consider new concepts of human purpose, goals in relation to impersonal laws of nature

II. THE SCIENCES OF SOCIETY: THE “AGE OF REASON”

- A. The Age of Reason: English and Dutch Phases
- 1. **John Locke** wrote *Second Treatise on Civil Government* (1690)
 - a. Sought to justify Glorious Revolution by refuting divine right theory on new philosophical basis
 - b. Developed concepts of natural law, contract government
 - 2. Newtonian science, rational outlook dominated intellectual approach in “Age of Reason”
 - 3. **Enlightenment** based on faith in nature, belief in human progress
 - a. Nature involved a complex of interacting laws governing universe
 - b. Man, rational being, capable of acting in accord with natural laws
 - c. Given freedom to think, people seek happiness, use reason to improve

- d. Human virtue, happiness required freedom from needless restraints (restrictive church, state) to respond to natural laws
 - e. Society capable of improvement, perfection if people given opportunity to apply reason
 - 4. Several groups adopted general beliefs of Enlightenment
 - a. Whigs after 1688, Newton hoped for respect for new government in England, stronger belief in God
 - b. Masonic movement promoted principles of English limited monarchy on Continent
 - c. Dissident English Whigs, exiled French Huguenots espoused more radical ideas, seen in work of **Pierre Bayle**, **Baruch Spinoza**
- B. The French *Philosophes* and the Radical Enlightenment
- 1. **Philosophes** popularized Newtonian sciences, the use of reason in society
 - a. Analyzed evils of society, proposed reshaping institutions in accord with reason
 - b. Often met in homes of *salonières*
 - 2. **Baron de Montesquieu** important *philosophe*
 - a. Satirized absolutism in *Persian Letters*
 - b. Proposed system of checks and balances to safeguard liberty in *The Spirit of Laws*
 - 3. **Voltaire** personified spirit of Enlightenment
 - a. Wry, caustic, prolific writer
 - b. Promoted reason, tolerance, reform of abuses
 - 4. **Denis Diderot** edited *Encyclopédie*, spread ideas of science, technology, reform, progress, human freedom
 - 5. **Jean-Jacques Rousseau** believed in general objectives of Enlightenment, but recognized role of human impulse, intuition, feelings, emotions
- C. Enlightenment Thought and Women
- 1. Enlightenment thinkers disagreed on role of women
 - a. Rousseau view women as housekeepers, mothers, under direction of husband
 - b. Hobbes, Locke questioned subordination of women
 - c. D'Alembert blamed society for degrading women, Montesquieu blamed absolute monarchy
 - d. Condorcet called for equality for women
 - 2. Mary Astell depicted women as rational, called for their legal equality
 - 3. Mary Montague, Catherine Macauley, Mary Wollstonecraft also championed women
- D. International Responses to the French Enlightenment
- 1. Many young Englishmen visited France, later developed new intellectual paths
 - 2. Reforming doctrines of radical Enlightenment spread over Europe, Americas
 - a. Especially popular among upper classes in absolutist countries: Prussia, Russia, Austria, Portugal, Spain, Brazil, Spanish colonies
 - b. In America, Thomas Jefferson, Mercy Warren, Abigail Adams, Benjamin

Franklin read Locke, *philosophes*

c. Franklin active in both Scientific Revolution and Enlightenment

E. Faith or Reason?

1. Organized religion faced many challenges
 - a. Religious upheaval of 16th century produced numerous sects, shook traditional religious faith, institutions
 - b. Contact with non-Christians, biblical scholarship offered different approaches
 - c. State churches tied to corrupt regimes, lost respect
 - d. Newtonian, scientific revolution raised new questions
2. Some reconciled science, God
 - a. Descartes' dualism identified mind and matter as separate, unconnected realms
 - b. Spinoza's pantheism defined God as everywhere in every natural process
3. Locke tried to resolve dilemma by showing consistency of Christianity with natural law
4. **Deism**, popular belief, identified God as an impersonal "master clockwinder"
5. Baron d'Holbach denied existence of God
6. Regardless of their perspectives, all 18th-century rationalists believed in freedom of conscience

F. The Economic Critique: The Physiocrats and Adam Smith

1. Natural law used most effectively in criticizing absolutist economic policies
 - a. Rise of capitalism disproved mercantilist theses
 - b. Profit motive more effective incentive than state control
 - c. 1700s showed superiority of free play of forces
2. **Physiocrats** made first expression of these notions
 - a. François Quesnay and Robert Turgot led way
 - b. Compared money circulation to blood circulation in body, any restriction had negative result
3. **Adam Smith** strongly affected by physiocrats, wrote *Wealth of Nations* (1776)
 - a. Saw state as passive policeman, pushed specialization of labor
 - b. Believed economy guided by "**invisible hand**"
 - c. Criticized mercantilist regulations as injurious interference with natural economic laws
 - d. Called for free trade to benefit all nations
 - e. Enunciated principles of *laissez-faire* economics
4. Holbach repudiated mercantilism, recommended free trade
5. **Jeremy Bentham** developed utilitarianism, "greatest good for greatest number"
6. All saw economic controls as futile or damaging to society

G. The Political Critique of the Old Regime

1. Proponents of Enlightenment criticized irrational, unnatural parts of absolutism
 - a. Rejected divine right monarchy, hereditary aristocracies, state churches, mercantilism
 - b. Opposed arbitrary policies

2. Believed in man's reason, ability to make right choices if given freedom to do so
 - a. Accepted Locke's notion that man's mind was blank at birth
 - b. Man learned through experience
 - c. Best government governs least
 - d. Government needed to safeguard rights of people
 - e. Locke, Rousseau expressed *social contract* theory
 - f. Montesquieu advocated *separation of powers*
3. Ideas varied on ideal form of government
 - a. Most philosophes not anti-monarchy, if power was wielded by enlightened despots
 - b. Others idealized English model
 - c. Rousseau's *general will* theory another approach
4. Concern for internal order, protection of property, fear of mob key aspects of conventional wisdom
 - a. Yet all rejected divine rights monarchy
 - b. Kings seen as first servants of state
5. Criticized corrupting social environment, irrational use of force to punish, instill fear
 - a. Beccaria advocated legal reform to eliminate unjust, irrational laws
 - b. John Howard called for prison reform to rehabilitate criminals

III. ENLIGHTENMENT OF THE HEART: PHILOSOPHICAL, RELIGIOUS, AND HUMANITARIAN MOVEMENTS

- A. New idealism after 1760, reaction to materialist, mechanistic views of early Enlightenment
 1. Seen in works of David Hume, Mary Astell, *Bishop George Berkeley*
 2. *Immanuel Kant* described beauty, morality, religious truth as a priori ideas, separate from sensory experience
 3. Bishop Joseph Butler, William Paley, English theologians, used rationalism to challenge Deism
 4. *Pietism*, religious movement appealing to heart, rather than head
 - a. John and Charles Wesley, George Whitfield developed *Methodism*
 - b. Philipp J. Spener, Emanuel Swedenborg led way with Lutheran pietism
 - c. "*Great Awakening*" in North America
 5. Antislavery movement led by *William Wilberforce*, aided by Hannah More
 6. Sunday School movement contributed to development of private, church schools

IV. THE FAILURE OF MONARCHICAL REFORM

- A. The French Dilemma
 1. All major European states needed reform post-1750
 - a. Neither nobles nor clergy could provide leadership
 - b. Elites committed to protecting privileges, especially immunity from taxation
 2. Kings needed to provide leadership

- a. Theory of “*enlightened despotism*” originated in France
 - b. Voltaire, Diderot widely read by royals
- 3. Last Bourbon kings affected by Enlightenment ideas
 - a. **Louis XV** attempted tax, budgetary reforms, sought to reduce privileges of *parlements* (courts)
 - b. **Louis XVI** tried fiscal reforms, even though he disliked affairs of state
- B. “Enlightened Despotism”: Frederick of Prussia, Catherine of Russia, and Joseph of Austria
 - 1. **Frederick II** model of enlightened despot, Prussia best-governed European state
 - a. Promoted new industry, codified law, reorganized courts
 - b. Improved lot of serfs on crown lands, recognized civil equality of Catholics
 - c. Kept serfdom, state monopolies, tax farmers
 - d. Achievements more despotic than enlightened
 - 2. **Catherine II** brought some enlightenment, progress to Russia
 - a. Patronized libraries, galleries, founded orphanages, hospitals
 - b. Secularized church land, restricted use of torture
 - c. Encouraged arts, literature, sciences
 - d. Initiated reform of local government, codification of law, but never finished projects
 - e. Conspired in death of husband, ruthless Machiavellian in foreign affairs
 - f. Left rigid autocracy, based on support of aristocratic elite exposed to liberalism
 - 3. **Joseph II** of Austria most sincere Enlightenment ruler
 - a. Proposed far-reaching reforms to take over church lands, grant civil, religious equality to Protestants, Jews
 - b. Planned to tax nobles, abolish entail, free serfs
 - c. Sought higher efficiency, centralization of multi-cultured Habsburg territories
 - d. Extreme reaction doomed reforms
 - 4. Monarchs in smaller countries also applied ideas of Enlightenment
 - a. Leopold of Tuscany abolished Inquisition, reformed penal code
 - b. Charles Frederick of Baden freed serfs
 - c. Gustavus III of Sweden abolished torture, made taxes more equitable
 - d. Charles III of Spain crushed Jesuits, simplified legal system
 - 5. Enlightened despots caught between past assumptions and dynamic future
 - a. Underestimated need for change
 - b. Chaotic administrative structures, mounting debts hampered reform
 - c. Real reform required ending aristocratic privileges, but king’s power depended on social hierarchy

V. THE FRENCH REVOLUTION: THE DOMESTIC PHASE, 1789-1799

- A. Versailles and the Estates-General: May-June 1789
 - 1. **Louis XVI** lacked initiative, married to frivolous Marie Antoinette, alienated many
 - 2. High national debt
 - a. Interest payments used up half annual revenues

- b. Assembly of Notables did not solve debt problem, 1787, 1788
 - 3. Poor harvests, prospects of higher bread prices
 - 4. King agreed to call ***Estates-General*** to deal with financial problems
 - a. Had not met for 175 years
 - b. Consisted of three estates: clergy, nobles, commoners
 - c. Delegates elected
 - d. Compiled ***cahiers*** at local level
 - e. No mention of overthrowing government
 - 5. Once assembly met, Third Estate insisted on voting by head, rather than by order
 - 6. Third Estate, some clergy, some nobles broke away, took ***Tennis Court Oath***
- B. Suffering and Explosion in Paris and the Provinces: July-August 1789
- 1. Economic depression, rising bread prices, urban unrest, frustration, violence
 - 2. Louis XVI brought troops to Versailles to placate nobles, middle class feared military intervention
 - 3. Soldiers guarding grain, weapons in Paris refused to follow orders
 - 4. Crowds formed in Paris, people took ***Bastille***, July 14, symbol of popular revolt
 - 5. King lost control
 - 6. Disturbances spread in countryside, peasants sought to destroy records of manorial obligations
 - 7. ***Night of August 4***, Assembly ended feudalism, Old Regime
 - 8. Women, National Guard, Lafayette marched to Versailles, stormed palace
 - a. King unprepared for confrontation
 - b. Royal family returned to Paris as virtual prisoners
- C. Moderate Phase of the Revolution: August 1789-September 1791
- 1. To define its political principles Assembly adopted ***Declaration of the Rights of Man and Citizen***
 - a. Intended as preamble to new constitution
 - b. Proclaimed “inalienable rights” to liberty, property, security, resistance to oppression
 - c. Promised freedom of speech, press, religion
 - d. All male citizens equal before law, eligible for public office
 - e. Taxes levied only by common consent
 - f. Civil equality, property rights middle class concerns
 - 2. Assembly declared martial law, concerned with keeping order, protecting property
 - 3. Assembly attempted to solve financial problems by seizing church properties as collateral for new paper currency (*assignats*)
 - 4. Assembly decreed ***Civil Constitution of the Clergy***
 - a. Clergy became salaried public servants
 - b. Archbishoprics abolished, monastic orders dissolved
 - c. Churchmen required to swear loyalty oath to nation
 - d. Alienated many Catholics, especially peasants
 - 5. Assembly’s policies favorable to middle class
 - a. Promised to pay government bonds

- b. Confiscated land sold to middle-class speculators, resold to wealthy
- c. Abolished internal tolls, industrial regulations, guilds, banned trade unions
- 6. Women involved in early stages of Revolution in crowds, salons, political clubs
 - a. *Amis de la Verité* (Friends of Truth) promoted feminist agenda
 - b. Society of Republican Revolutionary Women, most important women's club, headed by Claire "Rose" Lacombe and Pauline Leon
 - c. Royalist Olympe de Gouges wrote manifestos, guillotined in 1793
 - d. Assembly ignored pleas for free divorce, women's education, civil rights
- 7. Assembly wavered between Enlightenment ideology and economic interests in its policy on French West Indies
 - a. *Amis des Noirs* (Friends of Blacks) attacked slavery
 - b. Assembly left decision making to island governments, then granted free mulattoes political rights, then repealed law
- 8. Assembly finally wrote ***Constitution of 1791***, made France limited monarchy
 - a. Single house legislature
 - b. King given suspensive veto, could be deposed
 - c. Independent, elected judiciary
 - d. Local government on three levels
 - e. Franchise given to men meeting property qualification
 - f. Women "passive citizens," marriage civil contract, divorce permitted

D. The Drift Toward Radicalism: September 1791-June 1793

- 1. Tension mounted
 - a. Unrest in country, mob action in cities, radical demagogues like ***Danton***
 - b. Emigré nobles, foreign royalists denounced Revolution
 - c. Royal family tried to flee France, captured, returned, June 1791
 - d. Value of *assignat* dropped, peasants revolted in south, west
- 2. Variety of opinions in Assembly
 - a. Conservatives sat on right
 - b. Moderates sat in middle
 - c. Liberals/radicals sat on left
- 3. Possibility of war loomed, 1791
 - a. Austria, Prussia threatened intervention in Declaration of Pillnitz
 - b. ***Girondists*** exploited foreign threat
 - c. King, queen considered benefits of war
 - d. ***Jacobins*** opposed war as hindrance to Revolution
- 4. France declared war on Austria, Prussia
 - a. French armies met disaster in early battles
 - b. ***Duke of Brunswick's Manifesto*** very threatening to Revolution
- 5. Mob violence
 - a. Rabble rousers incited Parisian crowds
 - b. Mob broke into palace, massacred Swiss Guards, looted
 - c. Jacobins directed ***September Massacres***
- 6. Paris Commune seized power from Legislative Assembly
 - a. Deposed king, executed 2000 suspected royalists, priests

- b. Constitutional Convention called to create new government
- 7. French defeated Prussians at Valmy, stirred radicalism, nationalism
- 8. Jacobins gained one-vote majority to execute king
- 9. European states horrified, formed First Coalition to counter France
- 10. Government needed to fight foreign war, suppress civil war in west, quell Girondist uprisings in cities, control food prices
- 11. Under pressure from angry mobs, Jacobin extremists, Convention adopted price controls, purged Girondists

E. The Jacobin Republic

- 1. Charlotte Corday (Girondist) murdered **Marat**, Jacobin leader
 - a. Street people infuriated
 - b. **Maxmilien Robespierre**, Jacobins began to dominate Convention
 - c. Rigid dictatorship, terror followed
- 2. **Committee of Public Safety** began **Reign of Terror**
 - a. “Enemies of Revolution” denounced, tried by revolutionary tribunal, usually sent to guillotine
 - b. 25,000 executed
- 3. Convention raised enormous army, changed the nature of European warfare
 - a. Began mass conscription (*levée en masse*)
 - b. Citizen army of 800,000, largest standing army in Europe
 - c. Suppressed internal rebellion
 - d. Fought invaders, regained lost land, occupied land coveted by Louis XIV as France’s “natural frontiers”
- 4. Jacobins adopted stringent economic policies to fight war, placate restive population
 - a. Conscripted labor, took over industries, produced war material
 - b. Fixed prices, wages, issued money
 - c. Punished war profiteers
 - d. Sold land to peasants
- 5. Convention enforced new styles, symbols, calendar, festivals, religion
- 6. Faced insurrection in West Indies, freed slaves, granted full citizenship rights
- 7. Jacobins began to distrust women activists, executed **Olympe de Gouges**
- 8. Jacobins recognized equality, universal manhood suffrage, but did not seek socialism

F. Conservative Reaction and the End of the Terror

- 1. Execution of Robespierre, July 1794, marked end of Reign of Terror
 - a. Moderates, émigrés, nonconforming priests returned
 - b. Politics moved from streets to drawing rooms
 - c. “White” terrorists sought out Jacobins
 - d. **Babeuf** failed to incite socialist uprising, sent to guillotine
- 2. **Directory** governed 1795-1799, conservative, antiroyalist
 - a. Came from narrow political base, upper middle class

- b. Opposed return of monarchy, restoration of church, royalist land
- c. Depended on army

VI. THE FRENCH REVOLUTION: THE NAPOLEONIC PHASE, 1799-1815

A. Napoleon the Corsican

1. Napoleon, bright, ambitious, daring, lucky
 - a. Took advantage of opportunities
 - b. Combined best of old, new regimes
2. Knew he was “man of destiny,” had enormous ego, energy, organizational ability
3. Directory gave him army to mount diversionary attack on Austria from south, 1797
 - a. Napoleon won several victories in Italy, outdid main French armies
 - b. Negotiated *Treaty of Campo Formio*, became a hero
4. Commanded Egyptian campaign, 1798
 - a. Planned to attack British holdings in India after giving up on invasion of Britain
 - b. Trapped when *Nelson* destroyed fleet at Aboukir
 - c. Later touted scientific accomplishments, discovery of Rosetta Stone
5. Returned home to oversee coup
 - a. Worked with brothers, *Abbé Sieyès*
 - b. Replaced Directory with *Consulate*, 1799
 - c. Marked end of revolutionary decade

B. New Foundations

1. Ten years of revolution demanded new structures
 - a. Changes placed middle classes in power
 - b. Period unleashed mass mobilization, pragmatism
2. Napoleon’s government far stronger than Louis XVI’s
 - a. Combined useful Old Regime policies with new, streamlined institutional structure
 - b. Made use of all elements of society, regardless of previous political affiliation
3. Produced system based on merit, efficiency, law
 - a. Created centralized administration, with powerful prefects at local level
 - b. Set up Bank of France, maintained stable monetary system, honest tax system
 - c. Came to terms with papacy through *Concordat of 1801*
 - d. Set up mass education at all levels, supervised by University of France
 - e. Compiled comprehensive civil law code, *Code Napoléon*, greatest achievement
 - f. Strengthened security system through censorship, secret police, spies
4. To consolidate changes, Napoleon proclaimed himself emperor, followed by plebiscite

C. Napoleon as Military Leader

1. Napoleonic forces continued to fight profitable wars
 - a. Key was his leadership, tactics, ideology
 - b. Backed by superior technology, materiel support
2. Britain controlled seas
 - a. Admiral Nelson won great victory over French-Spanish fleet at Trafalgar
 - b. Napoleon could not launch cross-Channel invasion
3. Napoleon devastated Third Coalition, controlled most of Continent
 - a. Won major victories at Ulm, Austerlitz, Jena, Auerstadt
 - b. Established **Continental System** to isolate, defeat Britain
 - c. Imposed supremacy in Europe at **Tilsit**
4. Napoleon set up satellite kingdoms, placed his relatives on thrones of nearby lands

D. Napoleon's Revolution in Europe

1. Continental System hurt Britain's exports, but stimulated economy, industrial progress
2. Napoleon carried Revolution's message of liberty, equality, fraternity to defeated areas
 - a. Abolished serfdom, feudal privileges
 - b. Reorganized administration
 - c. Introduced Code Napoléon
 - d. Instilled liberalism, nationalism that later spurred resistance
3. Major error in **Peninsular War**, deposed Bourbons
 - a. Iberian guerrilla resistance drained France
 - b. Napoleon began new Latin American history
4. Destroyed remnants of Holy Roman Empire
 - a. Restructured, simplified map
 - b. Gave birth to **German nationalism**, reforms

E. Napoleon's Downfall

1. Frustrated by opposition, Napoleon set out to consolidate control over Europe
 - a. France, Russia prepared for war starting 1810
 - b. France launched campaign in 1812
2. Napoleon suffered disaster in Russia
 - a. 611,000 troops took Moscow, Russia did not surrender
 - b. Took heavy losses en route, at **Borodino**
 - c. **Kutuzov** adopted scorched earth policy, retreated, burned Moscow
 - d. Napoleon abandoned Moscow October 19 before winter set in
 - e. Only 100,000 made retreat with Napoleon
3. British cleared French out of Spain
4. Prussians, Austrians, Russians pushed west
 - a. Napoleon suffered decisive defeat at Leipzig
 - b. Abdicated, exiled to Elba in 1814

5. Napoleon returned February 1815 for 100 Days
 - a. Raised army of 300,000, defeated at **Waterloo**
 - b. Died in exile at St. Helena, 1821
6. Napoleon had no chance of recreating his old empire
 - a. His physical, intellectual vigor had declined
 - b. French tired of costs of war, decreased trade, increased taxes
 - c. French longed for peace after 25 years of warfare
 - d. Other states invigorated by nationalism, military improvements

VII. CHANGING VISIONS: THE ARTS IN EARLY MODERN EUROPE

A. The 16th Century: Mannerism Continued

1. Period of religious, political unrest
2. Counter-Reformation polarized European thought
3. Artist expressed violence, insecurity, pessimism of time with great creative energy
4. Mannerism rejected balance, harmony of Renaissance, used asymmetric designs, bizarre lighting effects
 - a. El Greco, greatest mannerist, religious themes, ascetic treatment, chiaroscuro
 - b. Andrea Palladio captured style in buildings, Villa Rotunda
5. Changes seen in music, from madrigals to hymns
 - a. Luther's "A Mighty Fortress Is Our God"
 - b. Palestrina's masses

B. The **Baroque**

1. Style dominated post-1600 Europe
 - a. At first came out of Counter-Reformation
 - b. Adopted by royal courts
 - c. Exhibited power, massiveness, dramatic intensity
2. Came from Italy, spread northwards
 - a. Michaelangelo da Caravaggio, Peter Paul Rubens, Diego Velázquez
 - b. Livonia Fontana, Artemesia Gentileschi
3. Baroque architecture also spread from Italy
 - a. Bernini designed colonnades outside St. Peter's, uses vast spaces, curving lines
 - b. Influence spread throughout Europe
4. Literature of time reflected, reacted to events, often dealt with religious themes
 - a. John Milton wrote *Paradise Lost*, John Donne wrote poetry
 - b. Madeleine Scudéry wrote heroic adventure novels

C. Dutch Exception

1. Reflected pride in accomplishments
2. Depicted local nature, solidity of middle-class life
3. Frans Hals, Judith Leyster, Jan Vermeer
4. Rembrandt van Rijn, ultimate Dutch master, deep insight into character

D. Classicism

1. Classicism reflected aristocratic world, faith in an ordered universe, respect for Greek, Roman styles
2. French drama of Pierre Corneille (1606-1684), Jean Racine (1639-1699), Jean-Baptiste Molière (1622-1673) show polished elegance, Aristotle's rules of dramatic unity
3. State-sponsored culture in France
 - a. Richelieu founded French Academy to honor, set standards
 - b. Academies of architecture, painting, dance, music set up under Louis XIV
4. Palace of Versailles, formal, impressive, copied throughout Europe
5. Court painters, such as Charles Le Brun, glorified the king, painted panoramic scenes

E. Rococo and Neoclassicism

1. Many varied types of art, not easily categorized
2. **Rococo** style shows airy grace, refined pleasures
 - a. Seen as a revolt against "tortured writhing" of baroque
 - b. Antoine Watteau captured gallantry, gracefulness, ease, luxury, frivolity of aristocratic images
 - c. François Boucher, Jean Fragonard painted in delicate style
 - d. Giovanni Tiepolo, Italian, influenced by rococo
3. Sir Joshua Reynolds, Sir Thomas Gainsborough, English portrait painters depicted aristocracy
4. Charles Le Brun, Nicholas Poussin mastered **neoclassicism** for court painting
5. **Jacques Louis David** used Greco-Roman style, sympathetic to French Revolution
6. William Hogarth, Francisco Goya adopted realism to express social criticism
7. Number of women painters increased, as seen in careers of Rachel Ruysch, Rosalba Carriera, Elisabeth Vigée-Lebrun, Angelica Kaufmann
8. Neoclassicism in architecture seen in Madeleine Church (Paris), Brandenburg Gate (Berlin)
9. Neoclassical sculptors include Jean-Antoine Houdon, Claude Michel

F. Classical Music

1. Opulent baroque operas, formal music seen in work of J.S. Bach, G.F. Handel
2. F.J. Hayden, W.A. Mozart made transition to lighter neoclassical music
3. Chamber music, symphonies gained popularity
4. Ludwig van Beethoven moved from structured neoclassicism to more emotional romantic music

G. Literature: Classical Poetry and the Arrival of the Novel

1. 18th-century appreciation of reason, natural law, science reflected in literature
2. Poetry followed strict forms, used precise words, developed clear, logical message
 - a. **Alexander Pope's** *Essay on Man* expressed optimism, respect of science
 - b. Women authors included Countess of Winchelsea, Phillis Wheatley

3. Novel became major literary vehicle
 - a. Voltaire's *Candide* and **Swift's** *Gulliver's Travels* satirically attacked status quo
 - b. Daniel Defoe's *Robinson Crusoe*, Henry Fielding's *Tom Jones* laid out new morality
 - c. Samuel Richardson's *Pamela* dealt with virtue, sentimental love
4. Works of Friedrich von Schiller, Johann Wolfgang von Goethe showed shift to Romanticism with more expressed emotion, feeling
5. Novel gave women new literary outlet

CONCLUSION

1. Copernicus, Newton offered new, convincing explanations of universe
2. Respect for science, natural law grew
3. 18th-century Enlightenment brought new vision of human reason, individual freedom in more perfect world, operated in accord with natural law
4. Philosophes, deists, physiocrats criticized existing irrational arbitrary systems
5. Neoclassical art forms reflected order, reason of the Age
6. Idealism, pietism merged with rational philosophy to produce new humanitarianism
7. Many factors contributed to events that overthrew Old Regime in France
8. Napoleon Bonaparte restructured, redefined revolutionary wave with policies, laws, institutions, military power
9. French, Napoleonic Revolutions overturned old political, economic, social structures
10. Liberalism, nationalism, constitutionalism, industrialization brought new era

CONCEPTUAL HOOKS

TIMELINE: 1450-1800

DEFINITIONS

Nicholas Copernicus: 1473-1543, posited heliocentric theory of sun-centered universe, opposed Ptolemaic theory backed by Church in which planets, sun, moon orbited earth. Wrote *On the Revolutions of the Heavenly Spheres* (1543), which Church placed on Index (1616).

Galileo Galilei: 1564-1642, challenged Aristotle's theories through telescopic observations, openly supported Copernican theory. Forced to silence, then denial by Church courts.

induction: Thought process starting with objective facts, knowledge of the material world, from which one draws valid general conclusions.

deduction: Approach starting with self-evident truths and moving toward complex propositions that can be applied to practical problems. It emphasizes logical and

mathematical relationships.

René Descartes: 1596-1650, invented new and critical mode of deduction, written in *Discourse on Method* (1627). From the basic proposition of “I think, therefore I am,” he logically proceeded to deduce the existence of God.

Gottfried von Leibniz: 1646-1716, contemporary of Newton; independently perfected differential calculus.

Francis Bacon: 1561-1626, set forth scientific methodology that extolled human reason, as applied to human sensory experiences. In his *Novum Organum* (1626) he advocated an inductive approach, recording facts derived from experiments to form a hypothesis.

Isaac Newton: 1641-1727, discovered law of gravity by time he was 24. Expressed his universal law in mathematical terms and supported its validity by empirical results. Also made major advances in study of optics and mathematics.

Principia: 1687, the written culmination of events begun in 1666 when Isaac Newton pondered the flight of apples toward the center of the earth. In *Principia* Newton expressed his ideas precisely in a mathematical formula, expressing the law of gravitation that all material objects attract other bodies inversely according to the square of their distances and directly in proportion to the product of their masses.

royal societies: Groups such as the Royal Society of London, chartered in 1662, and the French Academy of Science, founded in 1664, gained royal support for both research and publication of results.

John Locke: 1632-1704, English philosopher, scientist who sought exile in Holland before 1688, returned to write on psychology, economics, and political theory. In effect, brought Enlightenment to its maturity, had immense impact around the world. Wrote *Two Treatises on Civil Government* and *An Essay on Human Understanding*.

Enlightenment: The collective sentiment resulting from the worship of reason as reflected in a philosophic set of ideas enunciated by the rationalists of the 18th century. It tended to emphasize reason, natural law, order, progress, optimism.

Pierre Bayle: 1647-1706, Huguenot in Holland, his skepticism and pleas for religious toleration had a large impact in France.

Baruch Spinoza: 1632-1687, Jewish intellectual in Holland, spokesman for pantheism, the belief that God exists in all nature. Had a profound influence across Europe.

philosophes: French writers, thinkers who popularized ideas of the Enlightenment and proposed reforms.

salonières: Socially conscious, learned women who entertained *philosophes* and sponsored literary and artistic endeavors of the Enlightenment, especially in France. They included the Marquise du Châtelet, Madame de Tencin, Madame de Puisseux, and Madame Gaçon-Dufour.

Baron de Montesquieu: 1688-1755, titled nobleman, among the earliest critics of absolute monarchy. He satirized the irrationality of French absolutism in *The Persian Letters* (1721). He described separation of powers and checks and balances in *The Spirit of the Laws* (1748), which had a profound influence from Russia to the Americas.

Voltaire: 1694-1778, pen name of François Marie Arouet. Prolific writer who promoted reason, tolerance, and reform. Used satire and sarcasm to point out evil and irrationality.

Denis Diderot: 1713-1784, edited *Encyclopédie*, 28-volume series of collected knowledge of mankind. Over 100 writers contributed articles on science, technology, government, religion, and philosophy. It promoted the outlook of the Enlightenment.

Jean Jacques Rousseau: 1712-1778, most notorious, most eccentric of *philosophes*, he believed in general objectives of the Enlightenment, but distrusted reason and science, while glorying in intuition and emotion. Voiced admiration of “noble savages.”

deism: Religious belief of the Enlightenment period. God to deists was an impersonal force, a master “clockwinder of the universe.” Deists generally rejected miracles and Christ’s divinity. They believed that people are responsible for their actions.

physiocrats: French school based in the court of Louis XV that clearly pointed out the inadequacies of mercantilism and superiority of free play of economic forces. Chief spokesmen were the king’s doctor François Quesnay (1694-1774), and comptroller-general Robert Turgot (1720-1781).

Adam Smith: 1723-1790, Scottish political economist who exchanged ideas with the physiocrats and published *An Inquiry into the Nature and Causes of the Wealth of Nations* (1776), the bible of classical economic liberalism, the doctrine of free enterprise or laissez-faire economics. Worked from premise that natural law governs the economy like an “invisible hand.”

“invisible hand”: Smith’s law of supply and demand, the market, that allocates resources to meet society’s need.

Jeremy Bentham: 1748-1832, British philosopher who devised the concept of utilitarianism, or philosophical radicalism, to form the pain-and-pleasure principle.

social contract: Locke’s and Rousseau’s answers to the “divine right” theory. Hobbes had used a contract idea, a *quid pro quo*, to justify royal authority. Locke’s theory was that governments were formed by the governed to protect natural rights. Government gained authority from the people; if government violated its share of the contract, it could be overthrown.

separation of powers: System advocated by Locke and later by Montesquieu to insure against political abuses by separating powers among kings, legislatures, and magistrates.

general will: Rousseau’s notion that the interests of the community or the nation are exalted over the selfish interests of the individual. By this, he meant a social contract as expressed in general acceptance.

Bishop George Berkeley: 1685-1753. English philosopher who studied Plato and developed idealist views.

Immanuel Kant: 1724-1804, German philosophy professor who reacted against the materialistic and skeptical extremes of the Enlightenment and in his *Critique of Pure Reason* (1781) tried to move philosophy back to a more sensible position. While accepting the role of the senses in acquiring knowledge, Kant insisted that man had the internal capacity to comprehend and reason about non-material concepts, such as morality, beauty, religious truths.

pietism: Christian revival stressing religion of the heart rather than of the mind.

Methodism: Pietism in England, led by the brothers John (1703-1791) and Charles (1708-1788) Wesley, who began a crusade of popular preaching in the stilted and formal Church of England, and eventually formed a separate religion.

Great Awakening: Emotional revival led by Moravians, Methodists, Baptists, and Quakers that swept the American colonies in the later part of the 18th century. Important women of this movement included Jemima Wilkinson, leader of Universal Friends, and Ann Lee, founder of Shaker colonies.

William Wilberforce: 1759-1833, led British abolitionist drive to stop slave trade. Gained initial success in 1807.

- Louis XV:** Ruled 1715-1774, great-grandson of Louis XIV who presided over the decline of the French absolutist structure. Ascended the throne at five years old.
- Louis XVI:** Ruled 1774-1792, grandson of Louis XV, not burdened with great intelligence or diligence for his office. Became victim of the French Revolution.
- Frederick II:** The Great, b. 1712, ruled 1740-1786, ruler whose domestic accomplishments in the name of rationality were more despotic than enlightened.
- Catherine II:** The Great, b. 1729, ruled 1762-1796, self-styled enlightened despot who sought the counsel and approval of German and French philosophers as she sought to reform her country along the lines of reason.
- Joseph II:** B. 1741, ruled 1780-1790, son of Maria Theresa, co-emperor, and during his time of sole rule became a veritable crowned revolutionary, imposing wholesale reforms that threatened to topple much of the old Habsburg structure.
- mannerism:** The post-Renaissance style that sought a unique expression of the ambiguous times that departed from the intellectual focus of the humanists and appealed to the emotions. Rejected balance, harmony of Renaissance, led into Baroque style. El Greco (1547-1614) captures essence of style.
- Baroque:** Post-1600 artistic style, term literally means “irregular,” generally applied to the dynamic and undisciplined artistic creativity of the 17th century. Good examples include Michelangelo da Caravaggio (1565-1609), Peter Paul Rubens (1557-1640), Diego Velázquez (1599-1660).
- Dutch style:** Perfected when Europe pursued the Baroque. Dealt with themes of local nature, middle-class life. See works by Frans Hals (1580-1666), Judith Leyster (1609-1660), Jan Vermeer (1632-1675), and Rembrandt van Rijn (1606-1669).
- rococo:** An almost purely decorative style that emphasized the airy grace and refined pleasure of the salon and the boudoir in jewelry, porcelains, and portraiture.
- neoclassicism:** A response to the full-blown and sometimes overly ornamented styles of the Baroque period. Neoclassicism sought balance, order and formalism with its resurrection of Greek and Roman models.
- Jacques Louis David:** 1748-1825, perhaps the greatest French artist of the 18th century, who used the neoclassical motifs to express dissatisfaction with the existing order and his later, ardent support for the revolution.

Alexander Pope: 1688-1744, typical poetic voice of the Age of Reason, mirrored spirit of the time in his most famous work, *An Essay on Man* (1733), in which he expressed the optimism of the age.

Jonathan Swift: 1667-1745, sometimes savagely satirical English writer who ridiculed the pettiness of his fellow man in *Gulliver's Travels*.

Louis XVI: Ruled 1774-1792, well-meaning, poorly educated, lacked initiative, married **Marie Antoinette** (1755-1793), frivolous Austrian princess. Showed indecision and bad judgment in early stages of the Revolution. Louis and Marie Antoinette tried to flee France, but were captured and executed later.

Estates-General: Medieval assembly with representatives from each of the three estates (clergy, nobility, commoners), called with some regularity until 1614. France's fiscal crisis, worsened by aristocracy's obstructionism, forced calling of Estates-General in May 1789.

cahiers: List of grievances compiled for use of representatives at Estates-General meeting.

Tennis Court Oath: Third Estate, with sympathetic members of other Estates, met in an indoor tennis court when their regular meeting place was locked. They swore not to disband until they produced a constitution. They declared themselves the National Constituent Assembly.

Bastille: Medieval Parisian fortress, once a jail for political prisoners, but only a few insignificant inmates in 1789 when crowds took it over. The Bastille was a symbol of the Old Regime and its fall on July 14 marked the beginning of the Revolution.

Night of August 4: Evening when Assembly, faced with widespread rebellion, renounced privileges, abolished feudalism, ended Old Regime.

Declaration of the Rights of Man and Citizen: August 26, 1789, statement of principles for a new age, embodied many Enlightenment ideas of individual freedom.

Constitution of 1791: Middle-class defense of property rights, civil equality. Maintained limited monarchy.

Georges-Jacques Danton: 1759-1794, Jacobin instigator, could arouse crowds, later deputy prosecutor for the Paris Commune, member of the Committee of Public Safety.

Girondists: Provincial-based radicals who sought military solutions to the Revolution's problems. Later ousted by Jacobins.

- Jacobins:** Radical political faction that met at a former Dominican monastery. Mostly middle-class intellectuals, gained much support from Parisian artisans and workers. Dominant during period of Convention, 1792-95.
- Brunswick Manifesto:** 1792, threat of violence by Prussian king if the French harmed Louis XVI and his family. French reacted to threat with fury, deposed the king.
- September Massacres:** Execution of some 2000 suspected royalists in Paris by the Paris Commune in 1792.
- Jean Paul Marat:** 1743-1793, Jacobin leader, published virulent newspaper that denounced “traitors.” His murder by Charlotte Corday led to anti-Girondin phase.
- Maxmilien Robespierre:** 1758-1794, lawyer, idealistic and fanatic follower of Rousseau who led the Jacobins through the Reign of Terror and the Republic of Virtue. Executed July, 1794, marked end of Reign of Terror.
- Committee of Public Safety:** 12-man body, kept order in Paris during Convention period, used dictatorial power and terror. Similar bodies operated in other cities.
- Reign of Terror:** Period from September 1793 to July 1794, time of fear and suspicion when revolutionary tribunals sent 25,000 to guillotine.
- Olympe de Gouges:** 1748-1793, author of *Declaration of the Rights of Women*. Advocated feminist reforms, protested Jacobin repression of women’s societies. Executed during Reign of Terror.
- François-Noël Babeuf:** 1760-1797, radical socialist journalist, Enlightenment disciple, sought utopian “society of equals,” led unsuccessful uprising in 1796, executed.
- Directory:** 1795-1799, moderates returned to power and set up a new government, which was strongly antiroyalist and greatly concerned with safeguarding the land settlement. It rested on a narrow political base, and was dependent on the army.
- Napoleon Bonaparte:** 1769-1821, born to a lower-ranking Florentine noble family in Corsica, received Old Regime military training, and then rose through the revolutionary decade to power.
- Treaty of Campo Formio:** 1797, after several victories in Italy, Napoleon negotiated with Austrians without instructions from Paris. Britain left alone to fight France.
- Admiral Horatio Nelson:** 1758-1805, British nemesis of Napoleon, sank the French fleet at Aboukir in 1798 and defeated the Napoleonic forces at Trafalgar in 1805.

Abbé Sieyès: 1748-1836, author of significant 1789 pamphlet *What is the Third Estate?*, served as deputy in the Estates-General, negotiated the various stages of the Revolution, participated in coup overthrowing the Directory, became one of three consuls.

Consulate: Form of government replacing the Directory, lasted until 1804. Napoleon was invited to join as Third Consul, but soon became First Consul.

Concordat of 1801: Agreement with Pope Pius VII in which the church regained its prominence, but without its power or wealth. Served to reconcile church and state after hostility during Revolution.

Code Napoleon: Napoleon's greatest accomplishment, replaced chaotic, old, fragmented legal system with uniform code. Served as a model for many other modern law codes.

Continental System: Napoleon's economic warfare against Britain in which he tried to defeat the island nation by depriving it of trade with the rest of the European continent.

Tilsit: 1807, treaty signed with Tsar Alexander I on a raft anchored in the middle of the Nieman River that sealed Napoleon's domination of the European continent.

Peninsular War: 1808-1814, after Napoleon deposed the Spanish Bourbons, Spaniards and Portuguese engaged in widespread guerrilla warfare, combat carried on by independent, locally organized fighters, supported both in traditional materiel and logistical terms by the British. The war drained France.

German nationalism: In response to French dominance and the destruction of the Holy Roman Empire, all over Germany, especially in Prussia, a wave of nationalism stirred the population.

Borodino: September 1812, most savage battle of the French invasion of Russia that claimed 75,000 dead and wounded. France's victory opened the highway to Moscow.

General Mikhail Kutuzov: 1745-1813, leader of the Russian armies who crafted the strategy of continual retreat to draw the French into Russia and stretch their lines to the breaking point.

Waterloo: June 1815, after his defeat at Leipzig in October 1813, subsequent abdication in April 1814, Napoleon was exiled to the small island of Elba off the Italian coast. Napoleon escaped to France in February and raised a 300,000-man army that was defeated by Wellington and Blücher at Waterloo, near Brussels.

DISCUSSION

Agree or disagree with this statement: "Galileo set forth to disprove the Church in his writings on astronomy."

Consider the advances made in astronomy, chemistry, and anatomy between 1540 and 1690. Are the discoveries sufficient to deserve the term “revolutionary”? Why was the new science grasped so quickly by the nonreligious elites of Europe?

Ask class members to choose a scientist, *philosophe*, or enlightened despot to portray. Then discuss such topics as the equality of men, the role of women, the value of democracy, the purpose of kings, the nature of God.

What conditions brought Louis XVI to the point of calling the Estates-General to order in 1789? When was the last time it had been called? What did the King hope to gain from the Estates? What did the nobles hope to gain?

Outline the events of May-August 1789. Account for the rapid spread of the revolution across France and explain why a discussion over debt so quickly became marked by bloodshed and terror.

Did Napoleon consolidate or sabotage the French Revolution?

In *War and Peace*, Tolstoy debunked the “Great Man Theory,” especially as it was applied to the Napoleonic Wars. Is it possible to explain the events of the world during 1795-1815 without reference to Napoleon as a major factor?

If the government of Russia resided in St. Petersburg, why did Napoleon march on Moscow?

PRIMARY DOCUMENT/CRITICAL THINKING EXERCISES

Read “The Trial of Galileo: Condemnation and Response.” Summarize the agreement between the Church and Galileo. Compare the text of the condemnation and Galileo’s statement. Are there any differences? What statement was supposedly omitted from this version? What is the significance of the trial?

Adam Smith in *The Wealth of Nations*, makes the point for free trade, *laissez-faire* when he discusses his notions on the Division of Labor and Self-Interest. From what you know of mercantilism from this chapter, do you agree with Smith’s views on the advantages of the market?

Apply Smith’s arguments to the debate over using protectionism to promote the U.S. trade policy toward Japan. Can a free market system compete effectively with a mercantile system?

John Locke provided Thomas Jefferson with his views on what impelled humans to form government. Do you agree, at the beginning of the 21st century, with Locke that men are, “by nature all free, equal, and independent?”

Examine the illustrations in the text. To what extent do they reflect the order, reason, and natural law of the Age of Reason and the Enlightenment? Is there evidence of “the smile of reason” in portraits?

“The Declaration of the Rights of Man and Citizen” is to be found in the same lineage as the Declaration of Independence and is drawn from much the same Enlightenment roots.

1. Who are the authors addressing in this document?
2. What is their goal? Is this just another political pamphlet?
3. Do you find it, in its emphasis on property, to be more or less idealistic than our Declaration? Is this more workable as a statement than the Declaration?
4. From your understanding of the ten years of the French Revolution, did the French people remain true to the sentiments expressed therein?
5. What do you think of freedom, as defined in point #4?

Olympe de Gouges wrote the “Declaration of the Rights of Woman.” What familiar themes of the Enlightenment appear in this declaration? Specify the property and political rights of women set forth in the Declaration. What assumptions about men are inherent in the document? What similarities can you find between this document and the “Declaration of the Rights of Man and Citizen?” Olympe de Gouges has been described as a radical, a royalist, and a feminist. Are all these labels applicable? Is there a contradiction?

TESTING

Discuss the contributions of Copernicus, Brahe, Kepler, and Galileo to our understanding of the universe. Why were major religious figures, both Protestant and Catholic, opposed to their points of view?

Briefly discuss and assess the contributions of Isaac Newton and Locke to the Enlightenment.

Imagine you have just arrived at the *salon* of the Marquise de Châtelet. Every 18th-century intellectual is there enjoying the hors d’oeuvres. Choose five individuals you definitely want to meet. Prepare at least two thoughtful questions to ask each one. Sketch the answers you might expect to hear from them.

Choose three “enlightened despots.” With reference to their policies and accomplishments, would you consider them more “enlightened” or “despotic”?

“In writing the Declaration of Independence, Jefferson plagiarized, ripping off the work of John Locke.” True or false? Discuss some of Locke’s contributions to the Enlightenment.

What was the basic Enlightenment critique against Absolutist economics? Discuss the works of the Physiocrats and Adam Smith.

Is Kant one of the fathers of Romanticism, or in the main line of the Enlightenment, or both?

Trace the swinging of the revolutionary pendulum to the left after May 1789. What propelled the French to go to such a radical extreme, and then swing so quickly back to the right?

Consider the “Great Man” theory of history. Would events in France have ended at the same point if Napoleon had not participated?

What military advantages did Napoleon possess that allowed him to dominate the various coalitions so effectively? Why did he eventually lose those advantages?

LECTURE LAUNCHER

Even at the beginning of the 21st century, the West is still running on the accumulated confidence and ideas of the Enlightenment. Like the contributions of the Athenians in the 5th century B.C.E. and the Italians during the Renaissance, the thinkers of the Enlightenment provided a base from which to criticize traditional institutions, customs, and morals. Most of the great thinkers were not so much philosophers as knowledgeable popularizers, skilled in simplifying and publicizing a hodgepodge of new views. These *philosophes* claimed all the arts and sciences as their purview. The *Encyclopédie*, a compendium of knowledge in 28 volumes edited by Denis Diderot between 1751 and 1780, was one of the greatest achievements of the age. Abroad, Adam Smith, Cesare Beccaria, and Immanuel Kant made important contributions to Enlightenment thought.

The Enlightenment had the equivalent of a mass audience, when compared to the immediate impact produced by the Florentines and the Athenians. Its thinkers were celebrities. Probably the best-known figures of the Enlightenment were Voltaire, Hume, and Montesquieu. Voltaire’s *Philosophical Letters* (1734) was a celebration of the superiority of the British system versus that of France. The book was officially banned and burned. In the next 25 years Voltaire continued living his eventful life, being bumped from place to place and publishing provocative works such as *Candide* (1759). It was Voltaire’s capacity to challenge all authority that was probably his greatest contribution to Enlightenment attitudes. In Scotland, David Hume made two major contributions to the Enlightenment: he shattered Descartes’ hypotheses by arguing that neither matter nor mind could be proved to exist with any certainty and he launched a frontal attack on religion. Montesquieu made his critique on his society in the *Persian Letters* (1721). He then set out to study contemporary England and ancient Rome, the two societies he most deeply admired. He published *The Spirit of Laws* in 1748. The book’s influence was felt in Catherine II’s reforms in Russia and in the framing of the United States Constitution. Montesquieu wanted to explore how liberty could be achieved and despotism avoided. Successful governments were those in which powers were separated and checks and balances existed within state institutions. John Locke’s ideas on education were crucial to Enlightenment thinkers such as Jean-Jacques Rousseau. Locke believed that the mind was blank at birth, a *tabula rasa* to be filled by experience. Even morality was learned through the senses, rather than through education and affiliated social reform. They believed that the world could be liberated from centuries of tradition and be improved by adhering to notions such as Locke’s pleasure/pain principle.

As there was no single set of Enlightenment beliefs, so there was no single impact of the Enlightenment. Its general influence was felt everywhere, down to the lowest levels of society. Absolutist rulers made use of Enlightenment notions in Eastern Europe, while Republican

thinkers drew from them in the West. If the Enlightenment did not initiate a new era, it did offer a new vision, and advancement in law, education, and the extension of religious toleration. In addition, a science of economics was first articulated during the Enlightenment by a group of French thinkers, the *physiocrats*. They believed, among other things, that the government should cease to interfere with private economic activity, *laissez-faire, laissez-passer*.

Revolutions cannot happen unless the dominant system, ideology, economy, is in a state of crisis. Bright people throughout the 18th century in France saw the conflict between the invigorating ideas of the Enlightenment colliding with the traditional institutions of monarchy, Church, and aristocracy. The old ways clung on tenaciously even as a new view of the world was taking over.

Louis XV's 59-year reign had done very little to resolve the crises of the *ancien régime*, especially the fiscal problems. Growing tensions between the monarchy and the aristocracy found expression in various institutions, especially the *parlements*, who had to record royal decrees before they became law. The king unsuccessfully tried to neutralize the power of the *parlements* by relying on the *intendants*. In addition, Louis' apathy and ineptitude damaged the prestige of the monarchy. The low point of his reign came when France lost the Seven Years' War, and most of its holdings on the North American continent.

That war had been fought with borrowed money, and defeat left the country barren of funds. Louis tried to raise taxes, but he was blocked by the nobles. His son Louis XVI inherited the vicious cycle of excessive spending, borrowing and increasing debt, with more and more of the state's money, more than half the state budget by the 1780s, going to pay the interest on the debts. Louis XVI's participation in the War of American Independence continued the process. Three talented controller-generals were unable to reverse the situation, and eventually Louis was forced to call the Estates-General in 1789, for the first time in 175 years.

The fiscal reason for the calling of the Estates-General was quickly forgotten. The real issue, the death grip of the old ways of the new society, remained to be dealt with. Representatives of the three estates, the clergy, nobility (numbering some 200,000 peoples), and commoners (the rest of the people), came to Versailles in May 1789. Within each estate was a hierarchical distribution of power that generated envy and discontent. The king hoped that the Estates-General would be able to do what his ministers could not do, bring fiscal solvency and strengthen the monarchy. Each of the estates had its own solutions and its own grievances to pursue. The stage was set for a confrontation of social groups who shared little about notions of justice, social status, and economic well-being.

THE INSTRUCTOR'S TOOL KIT

AUDIO CASSETTES

Candide. Voltaire. Caedmon

COROLLARY READING

Mark A. Kishlansky, ed., *Sources of the West*, II

Galileo Galilei, *Letter to the Grand Duchess Christina* (1615)

René Descartes, *Discourse on Method* (1637)

Thomas Mun, *England's Treasure by Foreign Trade* (1664)

John Locke, *The Second Treatise Concerning Government* (1690)

Adam Smith, *The Wealth of Nations* (1776)

Catherine the Great, *Memoirs* (1755)

Maria Theresa, *Testament* (1749-1750)

Viscount Bolingbroke, *The Idea of a Patriot King* (1749)

Voltaire, *Candide* (1759)

Jean-Jacques Rousseau, *The Social Contract* (1762)

Montesquieu, *Spirit of the Laws* (1748)

Thomas Jefferson, *The Declaration of Independence* (1776)

Cesare Beccaria, *On Crimes and Punishments* (1764)

Marquis de Condorcet, *The Progress of the Human Mind* (1793)

Peter N. Stearns, Stephen S. Gosch, Erwin P. Grieshaber, *Documents in World History*, II

The Scientific Revolution and the Enlightenment: New Intellectual Standards in the West

Isaac Newton; John Locke; Cesare Beccaria

COURSE ENHANCEMENT

Each chapter in the textbook includes extensive lists of supplementary material

Films and videos

Web destinations

Literature from the period

Suggestions for further reading

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CHAPTER 19

Africa 1650-1850

CHAPTER OUTLINE

INTRODUCTION

1. Africa faced many challenges in 17th and 18th centuries.
 - a. Regional conflict, economic turmoil, population growth
 - b. European encroachments
2. Northern European dynamism spurred on by Enlightenment spirit, capitalistic ventures, weapons technology, naval power.
3. European penetration took many forms.
 - a. Coastal conquest
 - b. Control of production, infrastructure, markets
 - c. Europeanization of language, education
4. Africa presented varied responses: imitation, rejection, compromise.
5. European impact challenged local cultures.

I. SUB-SAHARAN AFRICA

- A. Africans and Dutch Settlement in South Africa
 1. South Africa's earliest inhabitants, San, Khoikhoi
 2. Migrating *Bantus* reached southern Africa
 3. ***Dutch East India Company*** founded permanent settlement, 1652
 - a. Provided meat, fruits, vegetables for ships sailing to, from India
 - b. Initially sought good terms with indigenous population
 - c. Imported slaves from elsewhere
 4. European residents of Cape included diverse mix of Dutch, German, French Huguenot, Scandinavians, numbering 21,000 by 1800
 - a. Company officials, elite group
 - b. Slaveholding plantation owners produced fruits, vegetables, wine
 - c. ***Boers*** ("farmers"), migratory pastoralists, later ***Afrikaners***
 5. Clashes between Khoikhoi, Dutch farmers as they expanded farmland
 6. As Boers moved into Xhosa territory
 - a. Xhosa presented more organized resistance
 - b. Two wars ended in stalemate

7. British took over Cape after 1795
 - a. Dutch appealed to British after French occupation
 - b. British sought protection of route to India, increased commercial ties
 - c. British had closer affinity with plantation owners than with Boers

B. The Atlantic Slave Trade

1. Europeans became more active Atlantic slavers
 - a. Tied to global commodities trade (sugar, tobacco, coffee)
 - b. That trade tied to slave labor
2. Portuguese inaugurated major slave trade
 - a. Dutch displaced them, then English, French set up operations in Africa
 - b. Peace of Utrecht (1713) gave Britain right to sell slaves in Spanish ports
 - c. By 1785 British shipped twice the number of slaves as all competitors
3. Slave trade internally a black-white partnership
 - a. *Queen Auguina* made vast sums from trade
 - b. Locals employed as intermediaries: guides, clerks, interpreters, traders
 - c. Slaves held in *barracoons*, many died in transit
4. Most slaves had been kidnapped or taken in war
 - a. Some sold as debt payments, some sent as punishment, some turned over by relatives in time of famine
 - b. Few seized by white raiders
 - c. Twice as many men as women shipped abroad
 - d. Women slaves favored in Africa as domestic servants, concubines
5. Slaves ships had dreadful conditions during *Middle Passage*, lasting 4-8 weeks
 - a. Slaves chained in narrow spaces; poor sanitation, inadequate food
 - b. Dehydration, diseases resulted in 20% mortality rate during crossing (10% mortality rate after improvements in late 18th c.)
 - c. Over 300 slave mutinies took place during Middle Passage
 - d. John Newton regretted his role in the slave trade, wrote "Amazing Grace"
6. Trade peaked in 1700s
 - a. 6 million landed in Americas
 - b. 750,000 taken from Africa, 1780-1790
7. Britain abolished slave trade, 1807
 - a. Influenced by ideals of Enlightenment, humanitarian movements
 - b. Declining profitability of plantations, compared with industries
8. Transatlantic contacts also brought traffic in new foods
 - a. Manioc (cassava), maize (corn), American foods brought to Africa
 - b. Lemons, limes, pineapples, groundnuts (peanuts), guavas brought to Africa by Europeans
 - c. Yams, sorghum, plantains, bananas, melegueta pepper, African foods brought to America
9. Slave trade, a degrading experience for all (Europeans, Arabs, Africans)
 - a. About 12 million Africans arrived in America as slaves over three centuries
 - b. Many others also died en route

C. African States and the Atlantic Slave Trade

1. Slave trade posed dilemma for African states: some did not participate, others did to obtain firearms, horses to achieve local dominance
2. **Oyo** (Yoruba kingdom) sold surplus slaves to Europeans for guns, cloth, cowrie shells
3. **Dahomey**, most affected by slave trade, monopolized by royal elite
 - a. Everyone required to perform military service, including women
 - b. Women, including slaves, held high positions
4. **Asante**, Akan people, traded gold, kola nuts, slaves, ivory
 - a. Osei Tutu (d. 1717) established centralized state
 - b. Opoku Ware (1720-1750) expanded Empire
5. Portuguese invaded **Kongo**, 1685
 - a. Kongo Kingdom destabilized, fragmented
 - b. Kimpa Vita (Doña Beatrice) called for reunification, was burned at stake
6. Portuguese conquered **Ndongo**, despite heroic efforts of Queen Anna Nzinga

D. African State Formation in Eastern and Northeastern Africa

1. Portuguese intervened in Mutapa kingdom
 - a. Supported Mwene Mutapa in civil war, later deposed him
 - b. Fragmentation of Mutapa kingdom created power vacuum, war lords vied
 - c. Dombo, successful warlord, expelled Portuguese
2. Portuguese restricted to large estates (*prazos*) in Zambezi River region
 - a. Portuguese settlers (*prazeros*) intermarried with Africans, assimilated
 - b. Some *prazeros* became warlords, with slave armies, exacting tribute
 - c. Some hunted elephants, engaged in ivory trade
3. Bunyoro, Buganda, small states near Lake Victoria, engaged in hunting, herding, agriculture, cattle raiding
4. Kingdom of Ethiopia disintegrating
 - a. Emperor Susnevos had Jesuit adviser, converted to Catholicism, forced to abdicate in favor of son, Fasilidas
 - b. Fasilidas expelled Jesuits, involved Muslims (Oromo), alienated Ethiopian church, Amhara nobles
 - c. Local nobles expanded fiefdoms, emperor reduced to local potentate
 - d. Except for Iyasu II, emperors powerless

E. Islamic Africa

1. Islam spread in West Africa, limited to coastal areas in east
2. Sultan Mulay Ismail of Morocco established powerful dynasty
 - a. Large standing army included force of black slaves
 - b. Economy based on agriculture, trade, privateering
3. Tuaregs, desert invaders, strong in West African savanna region
4. Kanem-Bornu exerted stabilizing influence near Lake Chad
 - a. Islamic center
 - b. Idris Alomoa imported firearms, Turkish musketeers, advisers

- c. Hausa city-states gained wealth, prominence
- 5. Fulani-Tukolor kingdoms along Senegal River
 - a. **Fulani** holy men launched crusades against less observant Muslim rulers
 - b. Fulani, other Muslim traders, clerics began *jihād*, 1725
 - c. Warfare led to many captives, sold as slaves to Europeans
- 6. In East Africa, Islam was restricted to coastal areas
- 7. Omani Arabs strong in East African cities
 - a. Omani Arabs besieged Portuguese stronghold at Fort Jesus for three years
 - b. Portuguese retreated to Mozambique
 - c. Omani Arabs supplied slaves to French plantations on Mauritius, Réunion
 - d. **Swahili** language, identity developed in East African coastal region

II. STATE FORMATION AND THE END OF THE SLAVE TRADE IN AFRICA

A. West Africa

- 1. Fulani Muslims in western Sudan launched series of *jihads* (holy wars)
- 2. Fulani Muslims in eastern Sudan had waged *jihād* against Hausa rulers
 - a. **Usman dan Fodio**, Muslim teacher, scholar, mobilized students
 - b. Fulani united most of Hausa states into centralized Sokoto Caliphate
 - c. Fulani nobility replaced Hausa aristocracy, allowed Hausa local autonomy
 - d. Hausa continued trade in kola nuts, grain, salt, slaves, cattle, cloth
 - e. Hausa products reached Tripoli, Egypt, Atlantic coast, Brazil
- 3. British abolished slave trade in 1807
 - a. Sent naval squadrons to patrol west coast of Africa to enforce ban
 - b. Established colony in Sierra Leone for freed slaves
 - c. French set up similar colony in Gabon
 - d. American Colonization Society founded Liberia for freed slaves
- 4. Slavery continued, 3 million West Africans enslaved, shipped overseas, 1807-1888
- 5. Colonies set up for freed slaves who wished to return voluntarily to Africa
 - a. Britain: Sierra Leone
 - b. France: Gabon
 - c. American Colonization Society (ACS): Liberia
 - d. Few returned; diseases, back-breaking agricultural work did not attract many
- 6. Americo-Liberians adopted many American features
 - a. Used English
 - b. Wrote constitution on American model
 - c. Named capital Monrovia after President James Monroe
 - d. Chose “Love of Liberty” as official motto
 - e. Regarded indigenous Africans as backward; restricted citizenship until 1904
 - f. Remained independent throughout colonial period

7. West African societies responded to abolition of Atlantic slave trade in different ways
 - a. Some shifted to trading more domestic slaves
 - b. Some expanded trade in other goods: gum arabic, dyes, palm oil
8. Wars fought over control of palm oil trade in Niger delta

B. East and Central Africa

1. Eastern and Central Africa drawn into world economy
 - a. Exported gold, ivory to China, India, Europe
 - b. Slaves sent to Arabia, Sudan, Ethiopia, Mauritius, Réunion, Brazil, Zanzibar
2. Omani Arabs, under Sultan Sayyid Said, moved court to Zanzibar, 1840
3. Yao, Afro-Portuguese, Nyamwezi, Kamba, Swahili Arabs controlled trade routes
 - a. Swahili language became lingua franca
 - b. Warlords (Mirambo, Tippu Tip) dominated area around Lake Tanganyika, controlled slave trade
4. Rwanda consisted of three groups
 - a. Twa: hunter-gatherers
 - b. Hutu: Bantu-speaking farmers
 - c. Tutsi: pastoral Nilotic people, most recent immigrants
5. Tutsi clan led by King Rwabugiri dominated Hutus, demanded tribute

C. Southern Africa

1. Chiefdoms in southeastern Africa competed for grazing land, control of ivory, cattle trade with Portuguese in early 19th century
 - a. *Mfecane*, “the scattering,” period of political transformation
 - b. Zulu clan emerged victorious
2. **King Shaka** organized army, improved weapons, transformed Zulus to major kingdom
 - a. Joined army of Zulu chief Dingiswayo, rose rapidly, assumed leadership after chief’s assassination
 - b. Revolutionized warfare through use of stabbing spear, buffalo horn formation, constant drills
 - c. Engaged in cattle-raiding, built large kingdom, assimilated captives
 - d. Power, status based on military achievements rather than on birth, descent
 - e. Regiments tired of constant campaigns, Shaka assassinated by half-brothers
3. Refugees escaped Shaka’s domination by migrating to Mozambique, Zimbabwe, Malawi, Tanzania
4. **Moshoeshoe** established Basotho kingdom
 - a. Located on strategic flat-topped mountain, Thaba Bosiu
 - b. Accumulated vast herds, loaned cattle to destitute men, won their loyalty
 - c. Built up political alliances through marriages
 - d. Built up cavalry army, armed warriors with battle-axes
 - e. Used diplomacy to avoid war, exploit differences among his opponents

D. The Great Trek and British-Afrikaner Relations

1. British assumed control of Cape Colony during Napoleonic Wars
 - a. Sought to develop wine, wool production
 - b. **Boers** (later **Afrikaners**) resented interference in their pastoral way of life
2. British policies alienated Boers
 - a. Gave Khoikhoi farm laborers equal rights
 - b. Abolished slave trade, 1807
 - c. Emancipated slaves, 1834
 - d. Returned recently conquered land to Xhosa chiefdoms, 1836
3. Fearing destruction of their way of life, Boers made **Great Trek**
 - a. Bands of voortrekkers led ox-drawn wagons to high plateau (*veld*)
 - b. Set up two republics, Orange Free State, Transvaal
 - c. Extended control of surrounding land through warfare with African kingdoms
 - d. British set up Natal colony to block Boer access to Indian Ocean
4. British created confederation of white-ruled states, 1877
 - a. Took over Transvaal with little resistance from Afrikaners
 - b. Launched offensives against African kingdoms (Pedi, Zulu)
 - c. Zulu army of **King Cetshwayo** destroyed British force at Isandhlwana
 - d. British overwhelmed Zulu kingdom, split it into 13 parts, exiled king
 - e. Transvaal Afrikaners rebelled, 1881; British withdrew

E. The Mineral Revolution and the Anglo-Boer War

1. Diamonds discovered on border of Orange Free State, 1867
2. Law prohibited Africans from owning claims, 1873, became model for future laws
3. Compound system established to control black labor at mines, 1885
4. **Cecil Rhodes** and Barney Barnato founded De Beers company, controlled 90% of diamond production
5. Gold discovered at Witwatersrand, Transvaal, 1886
 - a. Migrant labor system used to cut costs
 - b. Railway system extended to interior
 - c. By 1900, South Africa produced 25% of world's gold
 - d. Center of power shifted from Cape Town to Johannesburg
 - e. Rapid immigration, mostly English, in response to gold rush
6. **Paul Kruger**, president of Transvaal, determined to preserve Afrikaner way of life, restrict impact of foreigners (*uitlanders*) who flocked to gold mines
7. Cecil Rhodes, prime minister of Cape Colony, sought to bring united South Africa into British Empire
 - a. Plotted with *uitlanders* to take over Transvaal
 - b. Backed ill-fated **Jameson raid**
 - c. Antagonized Afrikaners, was forced to resign

8. **Boer War** (1899-1902) broke out when Kruger did not meet all British demands regarding *uitlanders*
 - a. Afrikaners, though outnumbered, fought very hard, used guerrilla tactics
 - b. British used scorched earth tactics, set up concentration camps
 - c. British won

III. AFRICANS AND EUROPEAN SETTLEMENT IN SOUTHERN AFRICA

A. Staking Claims in Africa

1. European countries controlled only 10% of Africa in 1870
 - a. French administered Algeria in north; British, Boers controlled parts of south
 - b. Europeans had scattered commercial holdings, mostly on west coast of Africa
2. **King Leopold II** of Belgium organized International African Association (IAA), 1876
 - a. Stated humanitarian goals
 - b. Explorer **Henry Stanley** acquired over 900,000 square miles of land along Congo River
3. **Berlin Conference**, 1884, discussed European concerns in Africa
 - a. Bismarck called conference, hoping to prevent future clashes
 - b. Conference paid lip service to humanitarian concerns, condemned slave trade, prohibited sale of liquor, supported education, religious instruction
 - c. Set down ground rules for claiming territory in Africa
4. Europeans claimed land in Africa
 - a. Generally ignored humanitarian guidelines of Berlin Conference
 - b. Arranged lop-sided deals with African chiefs to trade trinkets for land
 - c. According to African tradition, chiefs could grant temporary use of land, but not give it away

B. The Scrambling of Africa

1. By 1914, Liberia, Ethiopia, only independent African states
2. European statesmen drew boundaries to meet political, economic objectives, did not consider existing kingdoms, ethnic identities, demographics
3. King Leopold II of Belgium set up Congo Free State
 - a. Granted concessions to private companies
 - b. Administered rubber-producing areas through system of forced labor
 - c. Horrible examples of exploitation, brutality exposed
 - d. Leopold forced to turn over colony to Belgian government, 1908
4. French hoped to link Algeria, West Africa, Congo basin in east-west empire
5. British had holdings on West African, East African coasts, concerned with protecting Suez Canal, headwaters of Nile River
6. British, French barely averted conflict at **Fashoda**, 1898
7. Cecil Rhodes envisioned British control of land between Cape of Good Hope and Cairo
 - a. British government did not act

- b. Rhodes used personal fortune to found British South Africa Company to claim area reputedly rich in minerals
- c. Area later known as Rhodesia
- 8. Portugal colonies (Angola, Mozambique) separated by British, Rhodes
- 9. Italy claimed barren coastal area on Red Sea, unable to take rich plateau of Ethiopia

CONCLUSION

- 1. Despite Western growth, many African and Asian cultures remained intact and highly functional by 1815
- 2. Independent African and Asian states faced internal tensions and external challenges.

CONCEPTUAL HOOKS

TIMELINE: 1650-1850

DEFINITIONS

Bantu: African group, linguistically defined, originated in Central Africa and spread over the centuries to the Cape of Good Hope. Nguni (Swazi, Zulu, Xhosa) settled in the east to the Indian Ocean. Sotho/Tswana populated drier region west of the Drakensberg Mountains, kept cattle.

Dutch East India Company: Dutch company, with quasi-governmental powers founded in 1602, carried out trade in areas formerly dominated by Portuguese.

Afrikaners: Also known as **Boers**, were white settlers, generally uneducated, narrow, God-fearing Calvinists who felt superior to all non-whites. Characterized by fierce individualism, bravery, and aggressiveness.

Queen Auguina: A British ally on the Gold Coast who in the 18th century cooperated in slave trade and made money from port fees, rents on slave stockades, and percentage of slave sales.

barracoons: Slave stockades in which captured slaves might stay for months before being sold for shipment to the New World.

Middle Passage: Voyage of slave ships sailing between Africa and Western Hemisphere. It took one month to sail from Africa to Brazil, two months to sail to Caribbean islands.

- Oyo:** Western African state that arose in the wake of Benin's decline and became a great military state. Engaged in slave trade to obtain firearms and horses.
- Dahomey:** The western African state most decisively affected by the slave trade, which was constantly at war with Oyo. Became an absolute monarchy. All required to do military service, including women in "Amazon" contingents.
- Asante:** A state further west that in order to survive set up a powerful state at Kumasi. By 1800 controlled most of area's inland trade.
- Kongo:** Kingdom around mouth of Congo River. Forty percent of slaves came from this region. The Portuguese invaded the Kongo in 1685, shattering the power of the central government.
- Ndongo:** Kingdom in southwest Africa. The Portuguese penetrated the kingdom and brought Catholic missionaries and slavers. Although they met some resistance, they conquered Ndongo.
- Fulani:** A seminomadic people who established a number of theocratic regimes on the Senegal and spread their communities and religious societies throughout the western Sudan. Fulani holy men led wars that overthrew native governments and united Hausa lands.
- Swahili:** Blend of Bantu and Arabic languages, developed in East African coastal region. Used as a *lingua franca*.
- Mehmet Köprülü:** Ruled 1656-1661, 79-year-old Albanian bureaucrat who restored order to the Ottoman Empire by executing more than 35,000 dissidents, breaking Venetian blockade, taking Crete, and reducing the ranks of the janissaries.
- janissaries:** Traditional elite Ottoman forces which became corrupt, entrenched, and the equivalent of the praetorian guard by the 18th century.

PRIMARY DOCUMENT/CRITICAL THINKING EXERCISES

Olaudah Equiano was seized, sold into slavery, transferred to the New World, and lived to describe the ordeal in vivid detail. What occurrences provided his strongest memories?

Reading "A Slave's Memoir" what effect did the deplorable conditions on the slave ship have on the psychology of the slaves?

After reading the essay "Slavery" why have so many societies kept slaves? What conditions do you think finally led to the abolition of legal slavery?

TESTING

Describe the various stages of the African slave trade, and assess the Europeans' role and impact in it.

Describe the activities of the British East India Company and the Dutch East India Company. Compare their roles in South Africa.

In the early 17th century the Ethiopian king, the Ottoman sultan, and the Mughul emperor had a relatively centralized administration that commanded respect. By the end of the 18th century, rulers in these countries had lost considerable power. Describe some events which illustrate this weakened state. What internal and external challenges did they face between 1600 and 1800? Did their states ever show significant accomplishments in this period?

LECTURE LAUNCHER

The establishment of a global economy in the 16th and 17th centuries soon doomed Africa to be caught on the wrong end of the balance of trade formula: that of a supplier of raw materials at low prices (including human beings) and the “consumer” of European goods, culture, and power. By the 1670s other European nations unseated Portugal as the dominant foreign power in Africa, and brought ever-wider areas of the continent into contact with the world trade zone.

Holland replaced Portugal and Spain as the prime commercial power in the Atlantic after 1600. Its rise to power coincided with important structural changes in Europe's economy. The growing Dutch political and economic threat, combined with persistent economic lethargy, prompted the rise of mercantilism: every nation-state should have its own colonies. The various “mother countries” exploited their increasing numbers of colonies in Africa, especially in the triangle trade of African slaves for Caribbean sugar for European-manufactured goods.

The worldwide demand for slaves, especially from the Lower Guinea Coast, grew along with the plantation system. The loss of the 13-14 million slaves shipped to the New World (3,250,000 between 1700 and 1810 alone) exacted a huge cost from Africa that was hardly made up for by the benefits to the powerful political leaders and wealthy merchants who saw the trade as essential to maintaining themselves in their positions of power. Given economic changes, especially the development of Asian supply sources, slavery's viability as an enterprise was declining.

In 1800, trans-Atlantic slave trade raged stronger than ever responding to the demands of labor in the sugar, tobacco, and cotton plantations. Sixty years later, it had largely ended, thanks to the efforts of the Abolitionists that hastened its decline. The anti-slave movement found its roots in the works of the French Enlightenment, Adam Smith's critique that slavery was both morally repugnant and economically irrational, and the crusade carried out by the Quakers and the Methodists who equated slavery with sin. This change in attitude meshed well with the changing

economic situation of the British empire. Free trade became more attractive, and the slave trade, viewed as an integral part of the mercantilism system, had outlived its usefulness and was outlawed by 1807. The debate continues as to whether the ethical or economic argument predominated.

THE INSTRUCTOR'S TOOL KIT

COROLLARY READINGS

Peter Stearns, Stephen S. Gosch, Erwin P. Grieshaber, *Documents in World History*, II
Global Contacts: Africa and the European Slave Trade
An Arabic History of Kilwa Kisiwani: Monsieur Morice; J. Crassons de Medeuil
Global Contacts: The Colombian Exchange in the Early Modern Period
Bernardino de Sahagún; Antonio Vásquez de Espinosa; John Locke; Robert Boyle; Adam Smith; Chinese Reports

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CHAPTER 20

Asian and Middle Eastern Empires and Nations, 1650-1815

CHAPTER OUTLINE

I. THE OTTOMANS IN THE EARLY MODERN ERA

- A. Ottoman Reorganization and Reform
 - 1. Islam spread rapidly, stretched from Atlantic to Pacific by 1700
 - 2. Muslim states showed general weakening after 1700
 - a. Economic changes, vested interests hampered progress
 - b. Failure to adapt new technologies hurt competitiveness
 - c. Prolonged warfare very costly
 - 3. Ottoman Empire began declining in 17th century
 - a. Global economic changes (inflation, population growth) hurt Empire
 - b. Competition among pasha households created strife
 - c. Empire stopped expanding, exhausted resources
 - d. Banditry in countryside
- B. The Age of the Köprülü Vezirs
 - 1. Mehmed IV faced numerous internal, external problems in mid-17th century
 - 2. **Mehmet Köprülü** given vast powers as vezir, restored order
 - a. Increased centralization of government
 - b. Fought Austria, Poland, took Crete
 - c. Downsized bloated *janissaries*
 - 3. Serious problems remained: population decline, threat of Russia, hereditary tax farms
- C. The Tulip Period
 - 1. Ahmed III defeated Russians, lost to Austrians
 - 2. Tulip Period (early 18th century)
 - a. Ibrahim Pasha, grand vezir, promoted arts
 - b. Tulips popular, often speculative, expensive commodity
 - c. Ottoman elites bought, copied European styles of clothing, decor
 - d. Turkish language press produced secular books
 - 3. Extravagance, economic depression, rebellion forced Ahmed's abdication
- D. Eighteenth-Century War, Relations, and Reform
 - 1. Ottomans granted more privileges (capitulations) to Europeans, lost land, hired European military advisers

2. Ottomans fought Europeans, Persians
 - a. Austria gained Hungary, Transylvania, right to intervene in Catholic affairs in Empire (Treaty of Carolowitz, 1699)
 - b. Russia gained Crimea, commercial access to Black Sea, right to intervene in Orthodox affairs in Empire (Treaty of Kuchuk Kaynarca, 1774)
 3. Ottomans unable to control provinces, outlying areas
 - a. Independent governors (*ayan*) had private armies
 - b. In Iraq, Egypt, Tunis, Tripoli, Algeria, janissary garrisons created own regime, intermarried with local elite, refused to cooperate with capital
 - c. **Wahhabis** seized control of Mecca, embarrassment to Ottomans
 - d. Austria, Russia fomented revolts in Balkans
 - e. Napoleon invaded Egypt, Ottomans needed British help
- E. The Reforms of Selim III
1. **Selim III** (1789-1807) continued reforms of earlier regimes
 - a. Proposed military, tax reforms
 - b. Improved technical training for officers, modernized arms production
 - c. Tried to restructure army, offended entrenched janissary corps
 2. Janissaries deposed Selim
- F. Muslim Politics in Persia
1. Safavid rule remained intact, despite weak rulers, powerful tribal confederations
 2. Persia squeezed by Russians, Ottomans, Mughuls, British
 3. Afghan invasion (1723) shattered effectiveness of Safavids
 4. **Nadir Khan**, warlord, revived Persian prospects
 - a. Defeated Ottomans, became shah
 - b. Reconquered lost land, attacked Mughals
 - c. Hoped to unify Sunnis, Shiites
 - d. Assassinated by own men
 5. Karim Khan Zand, warlord, asserted Persian ambitions
 - a. Invaded Iraq, raided Ottoman lands
 - b. Promoted trade with British
 - c. Tribal warfare intensified after his death
 6. Persians drawn into European spheres of economic, military power; Persian elite became more aware of European ways
- G. Indigenous Challenges to the Mughul Empire
1. Mughul power reached high point under **Aurangzeb** (1659-1707)
 - a. Effective administration, capable of organizing massive war machine
 - b. Champion of Islamic orthodoxy, anti-Hindu policies
 - c. Long, costly war with **Maratha Confederation**
 - d. Neglected patronage of arts
 - e. Resorted to tax-farming, alienated both Hindu, Muslim peasants
 2. Mughul power disintegrated under Muhammad Shah, weak, indolent monarch
 - a. **Sikhs** gained autonomy in north

- b. Rajputs, once allies of Mughuls, broke away
- c. Marathas gained ascendancy over central India
- d. Nadir Shah looted Delhi, took imperial Peacock Throne back to Persia, 1739
- 3. Afghans under newly proclaimed shah, **Ahmad Khan (Durr-I-Durran)** invaded India
 - a. Sacked Delhi
 - b. Defeated Marathas at Panipat, 1761
 - c. Sprawling Afghan empire withered after his death
- 4. Maratha Confederation in northwest inflicted most serious damage
 - a. **Shivaji Bhonsle** built regional state, revived notion of Hindu kingship
 - b. Marathas continued to extend control over central, northern India
 - c. Mughul emperor reduced to puppet ruler by late 18th century

H. The British in India

- 1. Indian commerce brought Portuguese, Dutch, French, English traders
 - a. Established bases on coast
 - b. Worked through complex network of traders, financiers, middlemen
- 2. **British East India Company** operated since 1601
 - a. Kept factories (commercial office, warehouse) in Surat, Madras, Bombay
 - b. Developed commercial entrepot at Calcutta
 - c. Gained right from Mughul Emperor to trade, collect taxes
 - d. Used bases to extend commercial affairs inland
 - e. Used private army to forge alliances with local rulers
- 3. Company grew stronger in Bengal, aroused wrath of local ruler
 - a. Suraj ud-Dawla seized, plundered Calcutta
 - b. Company sent army under Robert Clive, crushed Suraj ud-Dawla's forces at **Plassey**, 1756
 - c. Company later defeated French, Dutch in Bengal
- 4. Company's involvement in India deepened; profits continued to grow
 - a. Mughul emperor granted Company administrative control of Bengal, 1765
 - b. Managed lucrative trade: sold Indian opium to China for tea, shipped to England for silver, exchanged for Indian silk

II. CHANGE AND CRISIS IN EAST ASIA

A. The Rise and Decline of Manchu China

- 1. China in 1644 most populous country in world, with refined society, culture
- 2. Manchu emperors generally hardworking
 - a. Conscious of their foreign origins
 - b. Saw need to keep political customs of Han Chinese

B. Change and Crisis in East Asia

- 1. Manchus modified traditional Chinese institutions
 - a. Scholar-bureaucrat structure retained

- b. Manchus, Chinese worked in pairs
 - c. Used ***banner system*** for military; produced reliable imperial troops
 - 2. Manchu emperors characterized by strength, durability
 - a. ***K'ang-hsi*** promoted improvements in local government, justice, scholarship
 - b. ***Ch'ien-lung*** doubled size of China through expensive campaigns, censorship
 - 3. Manchu China faced foreign influence, regarded foreigners with suspicion
 - a. ***Nerchinsk Treaty, Kiakhta Treaty*** dealt with northern problems, negotiated by Jesuits
 - b. Emperor banned Chinese Christians who complied with papal order to renounce ancestor worship
 - c. Limited all foreign merchants to ***Canton (Guangzhou)***
 - 4. Famine, peasant uprisings, urban unrest strained Manchu dynasty
 - a. Population doubled to 300 million, 1700-1800
 - b. Famine, soil exhaustion prompted many Chinese to migrate to Southeast Asia
 - 5. Manchus retained faith in early Confucian principles
 - a. Gained some knowledge of Western science
 - b. Compiled massive scholarly projects in history, philosophy
 - c. Intellectuals mired in past
- C. Women in Manchu Society
- 1. Women held to high standard of self-denial and chastity
 - 2. Despite official bans, foot-binding persisted
 - 3. Manchu men expected to wear hair in long queue
 - 4. Courtesans engaged in creative activities
 - 5. Women produced numerous literary works
 - 6. *The Dream of the Red Chamber*, novel about declining noble family in 18th c.
 - a. Considered China's novel
 - b. Reflected double standard applied toward women
- D. Korea: Another Confucian Society
- 1. Japanese, Chinese invaded Korea in 17th c.
 - a. Korean government, society devastated
 - b. Population increased by 50%
 - c. Korea endured economic hardship, needed new relationship with China
 - 2. Intellectuals responded with ***practical learning*** movement
 - a. Receptive to Western Christianity, science
 - b. Called for reforms to promote better government, welfare of people
 - c. Compatible with Confucian views
 - 3. King Yung-jo incorporated reform spirit, "policy of impartiality"
- E. Transformations in Tokugawa Japan
- 1. Tokugawa regime seemed immune to changes
 - a. Outlawed Christianity, expelled Europeans
 - b. Perfected feudal-based bureaucratic system
 - c. Economy flourished, conditions improved in 1600s

- d. System became increasingly centralized
- 2. Without foreign wars, functions of feudal nobility changed
 - a. Daimyo, aristocrats, became dependent courtiers
 - b. Samurai, warriors, became state employees, schooled in Confucian classics
 - c. State prescribed rules of conduct for each class: samurai, peasant, artisan, merchant
 - d. Shogunate became highly efficient
- 3. Flexibility lost, Confucianism rooted in past
- 4. Four hereditary castes: samurai, peasants, artisans, merchants
 - a. Peasants highly regarded since they produced for people
 - b. Merchants at bottom since dealings with money considered vulgar
- 5. Prescribed rules of conduct restricted society
 - a. Peasants could not wear samurai hairstyle
 - b. Merchants could not wear opulent kimonos
 - c. Women subservient to husbands, though middle class women ran businesses
- 6. Outpouring of cultural expression
 - a. Buddhism declined, but temple schools increased
 - b. Book publishing increased, samurai works on national history, Confucian philosophy
 - c. Castle building, Kano painting blended Chinese, Japanese styles
- 7. Economy changed greatly
 - a. New methods revolutionized agriculture, doubled output, increased village wealth
 - b. New industries developed
 - c. Complex monetary, fiscal systems grew
 - d. **Edo** became one of world's largest cities
- 8. Economic growth, inflexible system brought tensions
 - a. Alienation of peasants through high taxes, inflation, loss of land
 - b. Samurai had rising expectations for better life, led them to borrow heavily from bankers
 - c. Daimyo had to do business to maintain position
 - d. Creditors outraged by restrictions
- 9. Government had no successful response to tensions
 - a. Rigidity brought unsuccessful policies, declining revenues, rising inflation
 - b. **Yoshimune** made serious reform attempts
 - c. Shoguns after 1745 incompetent or grasping
- F. Culture as Politics: the Floating World
 - 1. Urban subculture challenged official Confucian values
 - a. Idealized "floating world" of free love, sexual independence
 - b. Recourse to alcohol, gambling, brothels
 - c. Pleasure quarters (city of bachelors in Edo) isolated by moat
 - d. Puritan samurai morality rejected, erotica gained favor, values weakened
 - 2. Japanese art forms flourished within "floating world"
 - a. **Haiku** poetry

- b. Woodblock printing in vivid colors
 - c. Tragic puppetry plays of Chikamatsu Monzaemon
 - d. Ihara Saikaku wrote tales of urban romance and lust
- 3. Intellectuals criticized weakened shogunate in 18th c.
 - a. Traditional Confucianists blamed Neo-Confucianists
 - b. Some engaged in “Dutch studies” of technology, astronomy, medicine; questioned practices from a new perspective

III. SOUTHEAST ASIA AS SITE OF POLITICAL AND CULTURAL INTERACTIONS

A. Shifts in Power

- 1. Mainland states dealt with influence of China, regional wars, as well as European traders
 - a. Burma, Thailand, Vietnam experienced internal problems
 - b. Laos enjoyed peaceful reign of Souvanna Vongsa
- 2. Burma had brief revival in late 18th century under Alaungpaya, Hsinbyushin
- 3. Thailand extended influence over neighbors during reign of Pua Taksin
- 4. South Vietnam doubled size, lessened French influence
- 5. Migrating Chinese interspersed among Muslims in Indonesia
 - a. Dutch dominated most native dynasties in Malaya, Java, Sumatra
 - b. Imported plantation agriculture
- 6. Bugis, Muslim Malay people, challenged Dutch
 - a. Fought two wars, 1756, 1784
 - b. Forced to accept Dutch overlordship
- 7. Dutch East India Company, riddled with internal corruption, increasing costs, could not compete with British, French by late 18th century
 - a. British gained Penang, on Malay coast, 1786
 - b. British took temporarily Malacca, Java during Napoleonic Wars

B. Europeans on New Pacific Frontiers

- 1. Before 1650, Pacific area virtually unknown to Europeans
 - a. By 1800, Russians sailed from Kamchatka
 - b. French, British sailed from Polynesia
- 2. Russia moved toward Pacific in 1600s
 - a. **Vitus Bering** charted Bering Strait
 - b. String of fur trading posts set up
- 3. British, French sailed into Pacific
 - a. **Louis Bougainville** visited Polynesia, Sandwich (Hawaiian Islands), Australia, New Guinea, New Britain
 - b. **James Cook** sailed from Antarctica to Arctic, mapped coasts of Australia, New Zealand, New Guinea, fired European imaginations
 - c. British established penal colony in Botany Bay, Australia, 1788
- 4. Europeans had disrupting influence in islands
 - a. Generated increased conflict among island, as in Hawaii under Kamehameha

- b. Syphilis, smallpox, alcoholism, cattle, missionaries followed European arrival
- 5. British began replacing Dutch as major European traders

CONCLUSION

1. Despite Western growth, many Asian cultures remained intact and highly functional by 1815
2. Independent Asian states faced internal tensions and external challenges.

CONCEPTUAL HOOKS

TIMELINE: 1650-1815

DEFINITIONS

Dutch East India Company: Dutch company, with quasi-governmental powers founded in 1602, carried out trade in areas formerly dominated by Portuguese.

Mehmet Köprülü: Ruled 1656-1661, 79-year-old Albanian bureaucrat who restored order to the Ottoman Empire by executing more than 35,000 dissidents, breaking Venetian blockade, taking Crete, and reducing the ranks of the janissaries.

janissaries: Traditional elite Ottoman forces which became corrupt, entrenched, and the equivalent of the praetorian guard by the 18th century.

Selim III: Ruled 1789-1807, led major, well-planned reform attempt. Tried to rebuild the military along French lines and import Western ideas. Janissaries deposed him.

Nadir Khan: Persian warlord in early 18th century, defeated Ottomans, proclaimed himself shah, regained lost Persian territory, conquered western Afghanistan, attacked Delhi, capital of Mughul Empire, and absconded with Peacock Throne.

Aurangzeb: Ruled 1659-1707, contributed to rapid decline of Mughuls by defeating and eliminating his brothers. His ruthless tyranny enabled him to stay in power, but his anti-Hindu policies led to rebellion, warfare, and Mughul decline in 18th century.

Maratha Confederation: Marathi-speaking Hindus who battled Aurangzeb successfully and in the mid-18th century took over most of central India. Crushed by Afghans, 1761.

British East India Company: Trading company granted a charter by Queen Elizabeth in 1601. Developed trade network with local merchants. Kept factories (commercial offices, warehouses) in key cities and maintained a private army. Won concessions from Mughul emperor to administer portions of India.

factory: Commercial office, warehouse of trading company.

Plassey: 1757, battle in which British took control of Bengal from local lords during the Seven Years' War, marked beginning of major British involvement in India.

banner system: Manchu military structure of elite military units, both Manchu and Chinese. Because they retained their identities, the banner companies were reliable troops.

K'ang-hsi: Ruled 1661-1722. Intelligent, hardworking Manchu emperor. He defeated the remnant of Ming forces, conquered Mongolia, and encouraged scholarship. He did not support foreign trade and could not implement reforms in the countryside.

Chien-lung: 1736-1796, doubled size of China through expensive military campaigns. Also engaged in censorship and book burning. Alternate spelling "Qianlong."

Nerchinsk Treaty: 1689, set the Siberian-Manchurian border and permitted limited trade between Russia and China.

Kiakhta Treaty: 1727, Russians recognized Chinese sovereignty over Mongolia with increased trade. Jesuits played major role in negotiations of both treaties.

Canton (Guangzhou): After 1757, Chinese confined all trade with Europeans to Canton, where the Westerners had to deal through a merchant monopoly and with corrupt officials.

practical learning: New way of thinking that grew up in the wake of disasters.

Edo: Tokyo.

Yoshimune: Ruled 1716-1745, eighth shogun, honest, sincere, and just statesman who tried to restore traditional morality with the Kyoto reforms to cut expenses, encourage agriculture, regularize taxes, and improve laws.

haiku: Poems of 17 syllables to express microcosmic observations of universal themes. Popular in 18th-century Japan.

Vitus Bering: 1680-1741, Danish navigator sailing for Peter the Great, charted the strait between the Arctic and Pacific oceans and opened the North Pacific to Russia in the 18th century.

Louis de Bougainville: 1729-1811, French explorer who visited much of southern Polynesia, the Hawaiian Islands, Australia, New Guinea, and New Britain.

James Cook: 1729-1779, made three voyages between 1768 and 1779 that went beyond the known waters of the South Pacific to Antarctica and north of Alaska to the Arctic coasts.

DISCUSSION

Compare and contrast the factors that led to the decline of the Muslim empires in middle Eurasia. Do you think that these empires weakened more from internal contradictions or from the pressures of the advancing Europeans?

How did the Ottoman Empire pass from being perhaps the strongest military force in the world to being the “sick man of Europe” by the 19th century?

In your opinion, which was the more important force pushing Great Britain to abolish slavery, economics or morality? What were the two major Protestant denominations active in the British abolitionist movement and how did they view the slave trade?

PRIMARY DOCUMENT/CRITICAL THINKING EXERCISES

What type of woman could travel to exotic places in the 18th and 19th centuries? Characterize the attitudes and assumptions of Florence Nightingale and Lady Mary Wortley Montagu as they visited the Middle East. What observations does Lady Montagu make about slavery in the Ottoman Empire? How is the slavery she saw different from what she expected?

After reading Ihara Saikaku: “The Umbrella Oracle” explain what is meant by Japan’s “floating world” in the late seventeenth century. What was Ihara Saikaku’s attitude toward rural people?

TESTING

Describe the activities of the British East India Company and the Dutch East India Company. Compare their roles in India, and Indonesia.

In the early 17th century the Ethiopian king, the Ottoman sultan, and the Mughul emperor had a relatively centralized administration that commanded respect. By the end of the 18th century, rulers in these countries had lost considerable power. Describe some events which illustrate this

weakened state. What internal and external challenges did they face between 1600 and 1800? Did their states ever show significant accomplishments in this period?

Manchu China in the 17th and 18th centuries could be considered both dynamic and conservative. Defend or refute this statement by examining some of the political, economic, social, trade, religious, and cultural developments of that period.

Refer to the European transition from its feudal structure and compare it with the changes Japan underwent in the 17th and 18th centuries. Assess the successes and failures of both systems in that particular process.

We see in the Japanese example that the social, economic, and intellectual forces of a country often run in advance of the political system. Why was the Japanese structure unable to keep up with the tide of change?

Discuss the transitions experienced by the top levels of Japanese society and government in the 17th and 18th centuries. Is what occurred in Japan an example of what happens to martial societies forced to change?

LECTURE LAUNCHER

The establishment of a global economy in the 16th and 17th centuries soon doomed Africa to be caught on the wrong end of the balance of trade formula: that of a supplier of raw materials at low prices (including human beings) and the “consumer” of European goods, culture, and power. By the 1670s other European nations unseated Portugal as the dominant foreign power in Africa, and brought ever-wider areas of the continent into contact with the world trade zone.

Holland replaced Portugal and Spain as the prime commercial power in the Atlantic after 1600. Its rise to power coincided with important structural changes in Europe’s economy. The growing Dutch political and economic threat, combined with persistent economic lethargy, prompted the rise of mercantilism: every nation-state should have its own colonies. The various “mother countries” exploited their increasing numbers of colonies in Africa, especially in the triangle trade of African slaves for Caribbean sugar for European-manufactured goods.

The worldwide demand for slaves, especially from the Lower Guinea Coast, grew along with the plantation system. The loss of the 13-14 million slaves shipped to the New World (3,250,000 between 1700 and 1810 alone) exacted a huge cost from Africa that was hardly made up for by the benefits to the powerful political leaders and wealthy merchants who saw the trade as essential to maintaining themselves in their positions of power. Given economic changes, especially the development of Asian supply sources, slavery’s viability as an enterprise was declining.

In 1800, trans-Atlantic slave trade raged stronger than ever responding to the demands of labor in the sugar, tobacco, and cotton plantations. Sixty years later, it had largely ended, thanks to the

efforts of the Abolitionists that hastened its decline. The anti-slave movement found its roots in the works of the French Enlightenment, Adam Smith's critique that slavery was both morally repugnant and economically irrational, and the crusade carried out by the Quakers and the Methodists who equated slavery with sin. This change in attitude meshed well with the changing economic situation of the British empire. Free trade became more attractive, and the slave trade, viewed as an integral part of the mercantilism system, had outlived its usefulness and was outlawed by 1807. The debate continues as to whether the ethical or economic argument predominated.

THE INSTRUCTOR'S TOOL KIT

COROLLARY READINGS

Peter Stearns, Stephen S. Gosch, Erwin P. Grieshaber, *Documents in World History*, II
Global Contacts: Africa and the European Slave Trade
An Arabic History of Kilwa Kisiwani: Monsieur Morice; J. Crassons de Medeuil
Global Contacts: The Colombian Exchange in the Early Modern Period
Bernardino de Sahagún; Antonio Vásquez de Espinosa; John Locke; Robert Boyle; Adam Smith; Chinese Reports

COURSE ENHANCEMENT

Each chapter in the textbook includes extensive lists of supplementary material
Films and videos
Web destinations
Literature from the period
Suggestions for further reading

COMPANION WEBSITE at www.ablongman.com/brummett

Additional resources are available at the Companion Website for both the instructor and the student. Instructor's resources include PowerPoint slide presentations, electronic versions of maps, graphs, and tables, Web resources, as well as links to Longman resources. For the student, you can direct them to the Companion Website to take quizzes, or for online links to further research or reading for each chapter.

CHAPTER 21

The Americas, 1650-1825: From European Dominance to Independence

CHAPTER OUTLINE

INTRODUCTION

1. Amerindian population declined by 90% due to war, disease, abuse in 16th c.
2. Expanding trade brought new products, more gold and silver, great risks to Europe.
3. Spanish and Portuguese created economic systems dependent on influx of gold, silver; did not develop industries or manage wealth effectively.
4. New cultural synthesis in Central and South America blended European, Amerindian, Spanish, Portuguese cultures; produced racial diversity.
5. Ambitious middle classes asserted independence in North America, Central, South America.

I. THE IBERIAN COLONIES

A. The Spanish Empire

1. Spain faced many obstacles
 - a. Distance from America
 - b. Lack of efficient transportation, communication links
 - c. Pockets of resistance
2. Spanish Habsburgs had de-centralized system; Spanish Bourbons, more centralized

B. Society

1. Spanish America had stratified, hierarchical society
 - a. **Peninsulares (europeos)**: people born in Spain, held high positions in government, Church, business, arts
 - b. **Creoles**: white population born in New World, owned *haciendas*, mines, held municipal offices, dominated universities, middle clergy
 - c. **Mestizos**: people of mixed Spanish-Indian ancestry
 - d. **Mulattoes**: people of mixed African and Spanish ancestry
 - e. **Zambos**: people of mixed Indo-African background
 - f. Slaves: regarded as property
2. Dominicans and Franciscans worked to convert everyone to Christianity
 - a. Spoke Indian languages

- b. Saw Indians as untainted by heresy
- c. Constructed remarkable baroque churches

C. Economics

1. Global trading system involved Africa, India, China, Philippines, Mexico, Caribbean, Europe
2. Massive amounts of silver flowed to Europe; inflation soared
 - a. 7 million tons of silver reached Europe before 1660
 - b. Spanish prices quadrupled
 - c. Northern European prices tripled
 - d. Rising inflation hurt landlords who depended on fixed rents
 - e. Also hurt creditors who were paid in cheap money
 - f. Influx of precious metals ended gold drain to East
 - g. Merchants profited, selling goods on a rising market
3. Plantations produced sugar cane, tobacco, coffee for export
 - a. Wasteful, inefficient practices
 - b. Soil exhaustion led to lower yields or abandoning land
 - c. Slaves rarely worked beyond age 40; high infant mortality
4. Rigid policies restricted trade to Spanish, Portuguese Empires
 - a. Pirates, smugglers plagued Spanish ships
 - b. Spanish fleet incapable of servicing empire
 - c. Dutch, English, French ships made inroads
5. Treaty of Utrecht (1713) gave Britain trading privileges in Spanish Empire
 - a. Right to sell slaves in Spanish America
 - b. Right to visit Spanish ports, sell 500 tons of British goods

D. Brazil, Portugal in the New World

1. Portugal gained Brazil in accordance with *Treaty of Tordesillas* (1494)
2. Spain absorbed Portugal (1580-1640), but Portuguese administered Brazil
3. Sugar cane production profitable, but declined after soil exhaustion in late 17th c.
4. French, Dutch made incursions on sparsely populated Brazil
5. Portuguese found natural alliance with British
 - a. Gained help against Dutch, French, Spanish
 - b. Sold wines, sugars to British
 - c. Benefited from protection of British navy
 - d. Bought British goods
6. Precious metals discovered in Brazil as sugar production waned
 - a. 725 kg of gold exported, 1699
 - b. 9,000 kg of gold exported, 1725
 - c. Diamonds discovered, 1725

II. THE WEST INDIES

- A. Columbus claimed region for Spain
 - 1. Indian population decreased dramatically
 - 2. Caribs struggled to maintain independence
- B. European maritime states claimed islands in 17th c.
 - 1. English: Saint Christopher, Barbados, Santa-Lucia, St. Kitts, Nevis, Montserrat, Antigua, Bahamas; later Jamaica
 - 2. Dutch: Aruba, Curaçao, Bonaire
 - 3. French: St. Kitts, Martinique, Dominque, Guadeloupe; later Tortuga, part of Santo Domingo
- C. Sugar production made French islands very profitable
- D. Caribbean islands remained source of competition, 1648-1789
 - 1. Europeans raided their neighbors' shipping, commerce
 - 2. Used islands as bases to pick off Spanish shipping, penetrate Spanish markets
 - 3. Pirates, privateers, thieves operated in area
- E. French, Dutch, British sought to consolidate positions
- F. British, French populated islands by various means
 - 1. Used **indenture** contracts to lure people to New World
 - 2. Forcibly shipped debt prisoners, galley slaves, prostitutes
 - 3. Huguenots fled to New World after revocation of Edict of Nantes, 1685
 - 4. African slaves brought to plantations
- G. Variations of racial hierarchy in Spanish America found in West Indies
- H. Major cash crops in West Indies: sugar, tobacco, coffee, cotton
- I. Population boom in 18th c.
 - 1. Santo Domingo: 130,000 (1730); 500,000 (1789); 465,000 were slaves
 - 2. Guadeloupe: 35,000 (1730); 106,000 (1789); 89,000 were slaves

III. BREAKING AWAY: THE FIRST AMERICAN REVOLUTION

- A. A New Consciousness
 - 1. North American colonies developed differently than England
 - a. Puritans opposed Stuart kings
 - b. Persecuted Catholics fled after 1688
 - c. In 1700s, 40% of colonists not English
 - 2. England relaxed controls; colonists gained experience in self-government

3. Immigration, mobility, availability of cheap land shaped American outlook
4. Colonists resented Grenville's restriction on westward migration after 1763

B. Roots of Rebellion

1. ***Seven Years' War (French and Indian War)***, 1756-1763
 - a. Combat between British and French along Great Lakes, Gulf of St. Lawrence, Ohio Valley
 - b. Indians aligned with French, with whom they traded; viewed British as settlers, intent on taking their land
 - c. British navy defeated French navy, cut off reinforcements
 - d. Peace of Paris (1763) gave British control of most of North America east of Mississippi River
2. Lord Grenville pursued policies in best interest of Britain; American colonists chafed
 - a. With foreign enemies out of Canada, Florida, colonists no longer felt need of British protection
 - b. Resented taxes, trade controls to help pay rising imperial costs
 - c. Regarded British troops as oppressors, rather than defenders, peacekeepers
 - d. Felt impact of general economic depression, especially in New England
3. ***Sugar Act*** and ***Stamp Act*** raised opposition against "taxation without representation"
 - a. Mob action, boycotts of English goods
 - b. Congresses called, English merchants petitioned Parliament to rescind taxes
 - c. Stamp Act repealed by 1766
 - d. Parliament affirmed its absolute right to legislate for colonies
4. Parliament adopted ***Townshend Acts*** to pay colonial, troop expenses
 - a. Levied duties on imported paint, paper, lead, wine, tea
 - b. Set up admiralty courts to enforce all trade regulations
 - c. Boston merchants (smugglers, wholesalers), led by Samuel Adams, boycotted
 - d. British soldiers fired into unruly mob, killing five in Boston Massacre (1770)
 - e. British sales dropped
 - f. Parliament repealed most duties
5. ***Lord North*** set up new East India tea policy to make taxes more palatable
 - a. Allowed East India Company to cut price of tea by 2/3
 - b. Company could undersell American smugglers, businessmen
 - c. Sam Adams' "patriots" dumped tea into harbor in "Boston Tea Party"
 - d. Provoked "Intolerable Acts," closing port of Boston, suspending Charter
6. Political situation deteriorated into armed conflict by 1775, separation by 1776
 - a. Most did not anticipate outcome
 - b. Merchants, smugglers, large landowners suffered most from British policies
 - c. City dwellers, small farmers also hoped for more power, freedom, prosperity
7. American Revolution was also civil war
 - a. At least 20% of colonists remained loyal to Britain
 - b. Less than 16% of males took up arms
 - c. Most colonists were probably apolitical

8. American sentiment reflected Locke's political ideas, spirit of frontier independence, belief that American needs and values differed from English ways

C. The Revolutionary War

1. Boston crisis led to **First Continental Congress**, 1774
 - a. 12 colonies protested policies, based arguments on natural rights, social contract
 - b. Skirmishes at **Lexington and Concord**, 1775, "shots heard round the world"
2. **Second Continental Congress** met in Philadelphia, July 1776
 - a. Issued Declaration of Independence
 - b. Appointed George Washington commander-in-chief of army
3. War began badly for rebels
 - a. Victory at **Saratoga** (1777) showed that American forces might win; brought diplomatic revolution
 - b. French sent money, advisers, fleet
 - c. French, Spanish, Dutch opposed British
 - d. French and American troops, aided by French fleet, forced British commander Lord Cornwallis to surrender at Yorktown, 1781
4. British recognized American independence in Treaty of Paris (1783)

D. Creating a Nation: The Logic of Locke

1. **Thomas Paine's** *Common Sense* stirred people with emotional plea for liberty
2. **Thomas Jefferson's** Declaration of Independence embodied Locke's ideas
3. Articles of Confederation created loose association of states
 - a. Designed to protect liberties against a distant central government
 - b. Sovereign states in charge of taxation, control of trade, issuance of money
 - c. Congress depended on states for money
4. Meetings in states arenas for Locke's, Montesquieu's ideas, bills of rights
5. Postwar problems accentuated shortcomings of Articles of Confederation
 - a. Difficult to negotiate commercial treaties with foreign states
 - b. Hard to maintain adequate military forces
 - c. Fear of inflation from paper money issued by states
 - d. Fear of popular uprisings, **Shay's Rebellion**

E. The Constitution of the United States

1. Constitutional Convention convened in Philadelphia, May-September 1787
 - a. Radicals absent
 - b. Delegates wanted to protect property, law, order
2. Alexander Hamilton, James Madison wrote articles to support stronger central government, collectively known as the **Federalist Papers**
3. Delegates compromised on most divisive issues
 - a. Representation by population in House of Representatives, by state in Senate
 - b. 3/5 compromise allowed slaveholding states to count 60% of their slave population to determine seat in lower house
4. Constitution contained several concepts from the Enlightenment

- a. Montesquieu's principle of separation of powers
- b. Popular sovereignty
- 5. Constitution gave central government more power
 - a. Prohibited states from coining money, levying customs duties, conducting foreign affairs
 - b. Recognized president as chief executive, commander-in-chief
 - c. Adopted indirect election of senators by state legislatures
- 6. **Federalists** prevailed in debate over ratification
 - a. Promised written guarantees of individual liberties in Bill of Rights
 - b. Constitution adopted after nine states ratified, July 2, 1788
 - c. Bill of Rights adopted, 1791

F. From Theory to Reality

- 1. George Washington elected president for two four-year terms (1789-1797)
 - a. Imposed high tariff
 - b. Chartered national bank
 - c. Paid public debts at face value
 - d. Negotiated commercial treaty with England
- 2. Some anti-French sentiment after French Revolution
 - a. French waged undeclared war on American shipping
 - b. Undiplomatic activities of French embassy
 - c. Southern slaveholders distrusted French policies toward slaves in colonies

G. Unfulfilled Dreams

- 1. States limited franchise
 - a. Only propertied white males voted
 - b. Women, African-Americans, Native Americans did not vote
- 2. American women participated in Revolution
 - a. Endured dangers on frontier: massacres, torture, enslavement
 - b. Bore heavy responsibilities when husbands absent
 - c. Wrote plays, pamphlets; published newspapers; organized boycotts
 - d. Served as spies, couriers
 - e. Worked for army as porters, cooks, caregivers, foragers
 - f. Prime examples: Mary Hayes (Molly Pitcher), Margaret Corbin, Deborah Sampson
- 3. Women gained few immediate improvements
 - a. Remained subordinate to husbands regarding property
 - b. Disenfranchised (except for brief period in New Jersey)
 - c. Abigail Adams, Mercy Warren urged husbands to consider women
- 4. African-Americans participated in Revolution
 - a. Many free blacks supported Stamp Act
 - b. Crispus Attucks, runaway slave/sailor, died in Boston Massacre
 - c. Black soldiers fought at Lexington, Concord, Bunker Hill, major battles
 - d. Congress enlisted blacks; offered freedom to those who served
 - e. Contingent of blacks from Santo Domingo fought under French at Savannah

5. Revolution affected slavery
 - a. 100,000 slaves escaped to Canada, to live with Indians, to British ships
 - b. Blacks, both slave and free, used ideas of the Revolution to petition for freedom, equality
 - c. White Quakers, dissidents, activists (James Otis, Thomas Paine, Benjamin Rush, Benjamin Franklin) supported petitions
 - d. Every state limited or abolished slave trade
 - e. Many slave owners, even in South, freed slaves
 - f. Six states abolished slavery
 - g. Practical legal emancipation in New Hampshire, Massachusetts
 - h. Free blacks in Massachusetts won vote, 1783
6. Gains of African-Americans offset by losses
 - a. Some enslaved by former masters, British, despite promises of freedom
 - b. Laws against slavery not always enforced
 - c. Invention of cotton gin made cotton production more profitable, slavery more relevant
7. Native Americans had fought with British during Revolution
 - a. Land speculators moved westward
 - b. Indians attempted unification without success
 - c. Indians lost land
 - d. Indian population east of Mississippi fell by 45%
 - e. By 1800 enforced living on specified land led to disintegration of Native American cultures

IV. THE LATIN AMERICAN REVOLUTIONS

- A. Toussaint Louverture and Haitian Independence
 1. Free mulattoes resented Creoles, French, who treated them as slaves without rights
 2. News about French Revolution, *Declaration of Rights of Man and Citizen* sparked uprisings on Santo Domingo, Martinique
 3. *Amis des Noirs* ("Friends of Blacks"), mulattoes petitioned against slavery
 4. National Assembly divided, flip-flopped on slavery
 - a. Gave island governments control over blacks, mulattoes
 - b. Granted political rights to mulattoes
 - c. Repealed mulatto rights, 1791
 5. Toussaint Louverture, Jean-Jacques Dessalines led revolutionary war lasting 12 years
 - a. Previous rebellions failed due to lack of direction, leadership
 - b. American, French Revolutions inspired hope for better conditions
 6. Several factors complicated situation in Santo Domingo after 1791
 - a. Uprising led to tripling price of sugar in Paris
 - b. Views differed on whether to grant citizenship to free blacks, mulattoes
 - c. Chaos led to insurrection uniting royalists and resentful escaped slaves
 - d. British, Spanish intervened to link up with disaffected coalition
 7. Slaves liberated

- a. Governor of Santo Domingo freed all former slaves, 1793
 - b. Governor asked them to join in war against foreign enemies
 - c. Convention in France freed all slaves, gave them full citizenship
 - 8. Toussaint Louverture united ex-slaves and mulattoes to defeat British
 - 9. After less radical Directory took control of French government, Toussaint Louverture became “Governor for Life”; moved toward independence
 - 10. Napoleon re-imposed slavery; sent force to Haiti to restore slavery
 - a. Toussaint Louverture used guerrilla tactics
 - b. French called for truce; tricked Toussaint into meeting; captured him
 - c. Toussaint Louverture died in French prison
 - d. Jean-Jacques Dessalines continued resistance
 - 11. Dessalines declared Haitian independence, 1804: only successful slave revolution
- B. Revolutions in Mexico and Central and South America
- 1. Napoleon overthrew Spanish, Portuguese monarchs, 1808
 - 2. Their ouster unleashed forces of discontent and ambition in Spanish and Portuguese Empires in America
 - 3. Creole elites led most independence movements
- C. Fracture Zones and Frustrations
- 1. Events in Europe during Napoleonic period and aftermath affected Spanish America
 - a. Napoleon evicted Spanish King Ferdinand VII, 1808
 - b. Ferdinand VII returned to throne, 1814
 - c. Congress system crushed liberal revolution in Spain, 1820
 - 2. Creoles constituted 1/5 of population
 - a. Concerned about uprisings of Indians, mestizos, mulattoes, slaves, Haitian independence
 - b. Feared *peninsulares* growth, power
 - c. Distrusted Spanish Bourbon reforms of enlightened despotism that suggested equality for all under code of law, unitary state, centralization
 - d. Worried that new policies would hurt businesses, reduce profits
 - 3. Creoles lacked experience in self-government
 - a. Sought greater share of wealth
 - b. Did not seek to promote welfare of other groups or seek to create new multi-racial society
 - 4. Napoleon’s takeover of Spain and Portugal created power vacuum in colonies
 - a. Creoles assumed power in local areas
 - b. Only Peru, with significant Indian power, remained faithful to Spanish monarchy
- D. Mexico
- 1. Small, conservative Mexican creole class developed anti-Bonaparte, anti-monarchical sentiment
 - 2. **Father Miguel Hidalgo**, creole priest, initiated revolution, September 16, 1810
 - a. Issued call for universal freedom

- b. Led ragged army of Indians, mestizos, idealists
 - c. Killed many at Guanajuato; reached Mexico City
 - d. Condemned by colonial bishops; executed
 - 3. **José Maria Morelos**, radical mestizo priest, continued social uprising
 - a. Led guerrilla movement that disintegrated
 - b. Also executed
 - 4. Creoles sensed threats to social order; feared direction of Spain's liberal revolution
 - 5. **Augustin de Iturbide** led conservative move to declare independence, 1821
 - a. Disagreement over constitution followed
 - b. Iturbide served as emperor for 10 months
 - 6. **Antonio López de Santa Anna** dominated Mexican politics, 1822-1855
 - a. Headed government 11 times
 - b. Responsible for massacres at the Alamo, Goliad
 - c. Suffered humiliating defeat by Texan rebels at San Jacinto, 1836
- E. **Simon Bolivar** and the Northern Revolt
- 1. Simon Bolivar, son of wealthy creole family in Caracas, received rationalist education in France during Directory period
 - 2. Bolivar acted with flashy style, used rhetoric of Enlightenment to stir sentiment against Spanish
 - 3. He declared war against Spanish, 1813-1817
 - a. Kept fighting despite setbacks
 - b. Liberated Venezuela, Gran Colombia
 - c. Regarded as "Liberator of South America"
 - 4. He proposed constitutions that favored elite; liked republican style of French Directory
 - 5. He could not realize his dream of an independent South American continent
- F. **José de San Martín** and Southern Independence
- 1. José de San Martín was born to Spanish aristocrats in Argentina
 - a. Went as a boy to Spain to study
 - b. Served 22 years in Spanish army
 - 2. Liberated Argentina, Uruguay, Chile
 - a. Joined with friend **Bernardo O'Higgins** to liberate Chile, 1817
 - b. Crossed Andes with difficulty
 - c. Liberated slaves as he went
 - d. Took Lima, administrative center of Spanish America
 - 3. San Martín and Bolívar met at Guayaquil, but could not forge alliance due to differences on tactics, goals
 - a. San Martín: austere, reserved; favored constitutional monarchy
 - b. Bolívar: flashy, outgoing; favored republican government
 - 4. San Martín left for exile in France
 - 5. Brazilians embraced San Martín's idea of constitutional monarchy
 - a. Portuguese King John VI governed from Rio de Janeiro, 1807-1821
 - b. **Dom Pedro**, John VI's son, served as regent of Brazil

- c. Impatient with policies of Lisbon government, Dom Pedro declared Brazil's independence, 1827
- d. Ruled as emperor during stormy period of constitutional debate, local wars

G. The Social and Economic Consequences of the Latin American Revolutions

1. After independence, Latin America was poorer, more divided
2. Conditions of Indians declined as holdings of Church reduced
 - a. Landowners bought up property; reorganized Indian communities
 - b. Drove unproductive and mestizos off land
3. Slavery ended
4. Church staffed largely by *peninsulares* sought protection of more conservative creoles, adopted anti-liberal stance
5. Little interest in education, social welfare, plight of lower classes, women worsened
6. Independence brought decline in political stability, economic conditions
7. **Monroe Doctrine** theoretically guaranteed independence of new Latin American states

CONCLUSION

1. American products appeared in European markets after 16th c.
 - a. Potatoes, peanuts, maize (Indian corn), tomatoes
 - b. Sugar substituted for honey
 - c. Cocoa, coffee, tobacco changed habits
 - d. North American furs, Mexican cottons revolutionized clothing
2. Slaves imported to Americas to ease labor shortage due to
 - a. Depopulation stemming from disease
 - b. Increasing demand for Latin American products
3. Revolutions occurred in North and South America in 18th, 19th c.
 - a. Concept of violated social contract spurs rebellion in Britain's 13 colonies
 - b. South American liberation movements were disunited
4. By 1825, most of Western Hemisphere attained political freedom, if not stability, economic independence

CONCEPTUAL HOOKS

TIMELINE: 1650-1825

DEFINITIONS

Peninsulares (europeos): People born in Spain, held high positions in government, Church, business, arts.

Creoles: white population born in New World, owned *haciendas*, mines, held municipal offices, dominated universities, middle clergy

Mestizos: People of mixed Spanish-Indian ancestry

Mulattoes: People of mixed African and Spanish ancestry

Zambos: People of mixed Indo-African background

Treaty of Tordesillas: 1494, recognized Pope Alexander VI's "bull of demarcation," to divide the New World between Spain and Portugal. Spain received the land west of 50 degrees west longitude, including Mexico, Peru, the Philippines. Portugal received the land east of the line, including Brazil and African areas.

indenture: To attract labor to the New World, sponsors contracted with individuals to provide passage. In return, the indentured servant agreed to work for sponsor for several years, then gain liberty.

Seven Years' War (French and Indian War): 1756-1763, conflict in Europe, India, and America over colonial and dynastic issues. Known as the French and Indian War in America. The British won after defeating the French navy and cutting off reinforcements. The **Peace of Paris** (1763) gave Canada, the Ohio, and the Mississippi Valleys to Britain.

George Grenville: 1712-1770, chief minister of George III who devised a comprehensive, notably unpopular plan to settle the problems of North America. Stopped settlement beyond Appalachians, put Indian affairs under English superintendents, put garrisons of English troops on the frontier, and tried to stop smuggling. His policies in North America caused universal protests.

Sugar Act and Stamp Act: Acts put in place by George Grenville to raise money to help pay for the costs of governing and defending the North American colonies. The first increased duties on sugar, wines, coffee, silk, and linens. The second required that government stamps be put on almost every kind of American document.

Townshend Acts: After American boycotts caused Parliament to rescind the Grenville taxes, Charles Townshend (1725-1767), facing the same fiscal demands, levied duties in a variety of acts. These led to protests culminating in the Boston massacre, and Parliament once again repealed most of the duties.

Lord North: 1732-1792, facing fiscal crisis, he hoped to collect more taxes from the American colonists. He granted a large cut in duties so that the East India Company could undersell both smugglers and businessmen in America. Provoked Boston Tea Party, in which East India tea was dumped into the harbor.

First Continental Congress: 1774, representatives of 12 colonies met in Philadelphia. They denounced British tyranny, proclaimed political representation to be a natural right, and made plans for armed resistance.

Lexington and Concord: April 18, 1775, first skirmishes of the American Revolution. British regulars confronted Massachusetts militia. Casualties included 8 Americans and 293 English soldiers. These “shots heard round the world” marked the beginning of the American Revolution.

Second Continental Congress: July 1776, declared independence

Saratoga: 1777, American victory over British army in upper New York, which gained support from the French, Spanish, and Dutch for the American forces

Thomas Paine: 1737-1809, American radical who made a powerful statement of American sentiments in his pamphlet *Common Sense* in 1776, and helped convince the American Congress to break with England and declare independence

Thomas Jefferson: 1743-1726, third president of the United States, Renaissance man, author of the Declaration of Independence, a document with a heavy debt to the thoughts of John Locke

Shay’s Rebellion: 1786-1787, a general insurrection in western Massachusetts caused by financial distress in the wake of the revolutionary war. High taxes forced debtor class into rebellion.

Federalist Papers: Collection of newspaper articles written by James Madison, Alexander Hamilton, and John Jay arguing in favor of giving more power to the central government.

Federalists: Wealthy and articulate supporters of the Constitution who carried the day intellectually and made arguments that convinced the states to support the Constitution

Toussaint Louverture: 1744-1803, ex-slave who led uprising on Santo Domingo during the French Revolution

Jean-Jacques Dessalines: 1738-1806, carried on the resistance movement of Toussaint Louverture; forced French to withdraw from Haiti; proclaimed Haitian independence in 1804. Assassinated in 1806.

Father Hidalgo: 1753-1811, Creole priest, led uprising of Indians and mestizos in Mexico on September 16, 1810 (now celebrated as *Dio del Grito*, “Day of the Call”). His ragged army carried out a massacre at Guanajuato, then went to Mexico City. Colonial bishops condemned him and he was executed.

José Moreles: 1765-1815, Mestizo parish priest, carried on social revolution of Father Hidalgo. He engaged in guerrilla activities, but the movement fell apart because of lack of organization and shared goals. Moreles was also executed.

Augustin de Iturbide: 1783-1824, Creole, led conservative move to establish Mexican independence in 1821. He served briefly as emperor, 1822-1823.

Antonio López de Santa Anna: 1794-1876, frequent dictator who dominated Mexican politics, 1833-1855. He headed the government 11 times. He asserted Mexican presence in Texas, leading to massacres at the Alamo and Goliad, and his humiliating defeat at San Jacinto in 1836.

Simone Bolivar: 1783-1830, “Liberator of South America.” Creole rancher who studied in France during the Revolution. Imbued with ideas from the Enlightenment, he returned to Venezuela to lead a liberation movement. A great showman, orator, and tactician, he eventually succeeded in forcing the Spanish to leave. He established the Republic of Gran Colombia in the north. He dreamed of a united independent South America, but did not achieve it. He died in exile in British Jamaica.

José de San Martín: 1778-1850, Spanish-educated Creole officer, who “liberated” Argentina, Uruguay, and Chile. He preferred constitutional monarchy, and could not forge an alliance with the Republican Bolivar.

Dom Pedro: Son of King of Portugal, served as regent of Brazil after the Napoleonic Wars. Brazilians disliked the reactionary policies of the Lisbon government toward the colonies. Pedro declared Brazil's independence from Portugal in 1822, and ruled as a constitutional monarch as Pedro I until 1831.

Monroe Doctrine: 1823, Proclamation by President James Monroe that the Western Hemisphere was closed to further colonization. Presence of British navy to block old regimes from returning was a more formidable threat than American pronouncements.

DISCUSSION

Why was Portugal the first European country to begin the construction of a world market? Why was Portugal unable to maintain its advantage?

Trace the relationship between the growth in the sugar plantation system and the increase in slave trade, especially in Brazil.

After considering the impact of the Europeans on the Americans in demographic, political, military, social, cultural, and religious terms, do you think the indigenous population profited in any conceivable way from Spanish and Portuguese presence?

In what ways did the Spanish treatment of the Indians in the New World anticipate American treatment of native Americans in the 17th through 19th centuries? How do you account for the cruelty Christians inflicted on the Indians?

Compare and contrast the conquests of Mexico and Peru. Why could so few Europeans conquer these immense lands?

In what ways could the American Declaration of Independence and Constitution be considered the culmination of the Enlightenment?

How was the American Revolution a model for other American liberation movements? What social, economic, political principles did it assert? Which ones would Latin American creole leadership espouse?

Compare the status of women in the United States and Latin America in the 19th c.

Discuss the long and short range causes of the movements for political independence in Latin America after 1808. How important was Napoleon in this series of events?

Why did Dom Pedro revolt against his father, the king of Portugal?

What were the social and economic results of Latin American independence? Did anything really change?

PRIMARY DOCUMENT/CRITICAL THINKING EXERCISES

Read the letters of Abigail Adams. What seems to be her view of Virginians? Why did she advise her husband John Adams to “remember the ladies”? What type of action did she seem to expect?

In Simon Bolivar’s “Proclamation to the People of Venezuela,” can you identify any echoes of the Enlightenment and the American Revolution of 1776? What is Bolivar’s “carrot and stick” offer to the people in Venezuela?

TESTING

Describe the social hierarchy in Spanish America. In what way were social concerns a factor in the Latin American liberation movements of the 19th c?

List the products from Latin America that found large markets in Europe. How did these exports produce a commercial revolution and affect the European economy?

Why were the West Indies a center of competition between 1648 and 1789?

Evaluate the positions of the British government and the Boston merchants in the period 1763-1776. What were their objectives? Why did their disagreements end in war?

Discuss the causes, main events, and results of the revolutions in the 13 British colonies, Haiti, Mexico, and Brazil. How are they alike? How are they different?

Compare and contrast the Articles of Confederation and the U.S. Constitution.

Explain the impact of Napoleon’s intervention in Spain on Spanish America. What happened while Napoleon occupied Spain? What happened after his defeat in 1815?

Compare and contrast the roles of Toussaint Louverture, Augustin Iturbide, Simon Bolivar, and Dom Pedro in the independence movements of Latin America. Discuss their backgrounds, goals, achievements, and failures.

Compare and contrast the roles of Simon Bolivar and José de San Martin. Discuss their background, political outlook, and geographical areas of operation.

INSTRUCTOR'S TOOL KIT

COROLLARY READING

Mark A. Kishlansky, ed., *Sources of the West*, I
Christopher Columbus, *Letter from the First Voyage* (1493)
Ludovico di Varthema, *Travels* (ca. 1508)
Bartolomé de Las Casas, *Apologetic History of the Indies* (1566)
Bernal Díaz, *The True History of the Conquest of New Spain* (1552-1568)

COURSE ENHANCEMENT

Each chapter in the textbook includes extensive lists of supplementary material:

- Films and videos
- Web destinations
- Literature for the period
- Suggestions for further reading

COMPANION WEBSITE at www.ablongman.com/brummett

Additional resources are available at the Companion Website for both the instructor and the student. Instructor's resources include PowerPoint slide presentations, electronic versions of maps, graphs, and tables, Web resources, as well as links to Longman resources. For the student, you can direct them to the Companion Website to take quizzes, or for online links to further research or reading for each chapter.

CHAPTER 22

Industrialization: Social, Political, and Cultural Transformations

CHAPTER OUTLINE

INTRODUCTION

1. West dominated globe in 19th century.
2. Individuals improved tools, adopted better methods.
3. Industrialization brought greater productivity.
4. Scientists made advances, business discovered new opportunities.
5. Middle classes dominated, controlled industrialization, economic transformation; benefited from social, legal reforms in France, Britain, U.S.

I. THE MIDDLE CLASSES AND THEIR INFLUENCES

A. “Upstairs, Downstairs”

1. Defining middle class, *bourgeoisie*, difficult, easier to identify those who were not middle class: aristocrats, factory workers, peasants
2. Lower middle class: artisans, bureaucrats, clerks, teachers, shopkeepers, clergy
 - a. Benefited from compulsory education
 - b. Bought books, penny-press newspapers
3. Upper middle class: bankers, factory owners, lawyers, architects, professors, doctors, high government officials

B. The English Example

1. *Queen Victoria* set tone, emphasized duty, morality, family
2. English middle classes worked against slavery, alcohol, pornography, child labor
3. Sometimes contradictory behavior

C. Middle-Class Christianity

1. Christian churches buffeted by intellectual, social challenges of Scientific Revolution, Enlightenment
2. Protestants endured, adapted
3. *Pope Pius IX* increasingly reactionary after events in Rome, 1848
 - a. Bitter over expulsion from Rome, opposed Italian nationalism
 - b. Issued *Syllabus of Errors*
 - c. Proclaimed papal infallibility

4. **Leo XIII** more flexible
 - a. Issued *Rerum novarum*
 - b. Concerned for workers' needs
5. **Oxford Movement** revived spiritual life in England
 - a. Included John Henry Newman
 - b. Split in group energized both Anglican, Catholic churches

II. THE HUMAN COST OF INDUSTRIALIZATION

A. The Factory System

1. Industrialization produced profound changes
 - a. People moved to cities where factories were located
 - b. People lost control of time, quality of work
2. Factories had bad lighting, poor ventilation, dangerous machines
3. No safety standards; no health, disability insurance until late 19th c.
4. Little job security

B. Woman and Child Labor

1. Children worked in mills, mines
2. Rapid urbanization led to bad health conditions: cholera, typhus
3. Social distress seen in alcoholism, illegitimacy, prostitution
4. Later generations would profit from pain of first generation of industrialization

C. Urban Crises

1. European cities, crises, grew massively from population increases, industrialization
2. At first political leaders could not cope with demands
 - a. Factory system brought danger, disease
 - b. Leaders had to provide security, sanitation services, schools, housing
 - c. Failed to meet first generation's problems
3. Baron Georges Haussmann implemented city planning, urban renewal in Paris
4. By 1900 most cities dealt adequately with demands

III. THE LABOR MOVEMENT

A. Early Labor Demonstrations

1. Skilled workers unable to compete with factories, lost livelihood
 - a. Skilled craftsmen attacked machines
 - b. Frustration seen in attacks on machines, strikes, Peterloo demonstration
2. Repeal of Combination Acts (1825) enabled union organization
 - a. English Trade Unions Congress
 - b. Union advances, including strikes, by 1900
3. **Real wages** of workers increased; working conditions improved

B. The “Internationals” and European Socialism

1. Marx, others had started ***First International***
 - a. Included labor activists, refugees, anarchists, German theorists
 - b. Arguments, factionalism doomed it to failure
 - c. Paris Commune defeat dealt death blow
2. ***Ferdinand Lassalle*** formed Social Democratic movement
 - a. German party strongest socialist party in Europe
 - b. Had 110 members in German parliament in 1914
3. Other socialist groups lacked unity
 - a. French split into three groups
 - b. British had ***Fabian Society***, Christian socialism
 - c. Europe-wide, workers had gained in strength by 1914, strong unions, better working conditions
4. Period of ***Second International*** (1889-1914) considered “golden age of Marxism”
 - a. 12 million members
 - b. Despite many theoretical differences, Social Democrats agreed on basic platform: eight-hour day, militias instead of armies, welfare state, universal suffrage
5. Socialist movement strengthened labor unions, helped workers gain improvements
 - a. Sometimes worked within legislatures
 - b. Sometimes raised specter of revolution

IV. THE SECOND INDUSTRIAL REVOLUTION

A. Food and Population Increases

1. Second phase spread new processes to continent
 - a. Based on more food, better infrastructure
 - b. Workers united to fight for their interests
2. A second agricultural revolution took place
 - a. Gave food base for vast population increase
 - b. New methods brought commercial agriculture to all of continent, colonial areas
3. European population grew from 175 to 435 million (1800-1910)
4. ***Thomas Malthus***, British clergyman/economist, wrote *Essay on Population*
 - a. Predicted food supply would not keep pace with population growth
 - b. Failed to anticipate impact of improved technology to increase yields
5. Population growth due to
 - a. Decline in mortality rates
 - b. Better sanitation
 - c. More food
 - d. Earlier marriages
6. Although 40 million Europeans emigrated, population grew at a higher percentage than in the previous 20 centuries

B. The Ties that Bind: New Networks

1. Vastly improved communications, transport systems aided Industrial Revolution
2. All-weather roads of packed stone provided smooth surface for highways
 - a. John McAdam developed system
 - b. Reduced travel time for stagecoaches
3. Canals cut costs (Bridgewater, Suez, Panama)
4. Railroads linked markets, brought nations together, carried people efficiently
 - a. U.S. transcontinental railroad, 1869
 - b. Russian Trans-Siberian railroad, 1903
5. Urban rail lines, trolleys, subways led to changes in housing, business patterns
6. Clipper ships, steamships carried large cargoes, offered regular, dependable service
7. Better postal systems, telegraph, telephone, typewriter

C. Industrialization and Banking Changes on the Continent

1. Continental nations had to overcome political, social, economic obstacles
 - a. Eastern, southern Europe had more limitations
 - b. Nobilities, political boundaries, tariff barriers blocked growth
2. Belgium first continental state to industrialize
 - a. By 1850 only one to compete with British
 - b. Had favorable governmental policies, good transportation, stability
3. States and businesses used industrial espionage to try to copy Britain's secrets
4. After 1850 continent caught up
 - a. New banking system, from **Rothschilds** to modern investment banks
 - b. Many small investors in new banks rather than a few great families

D. The **Zollverein**

1. Customs union of German states, established 1819, under Prussian leadership
2. Eliminated tolls, tariffs
3. Stimulated trade, commerce

V. SCIENTIFIC ADVANCES

A. Darwin and Evolution

1. Copernicus' work began Europe's dominance in science
 - a. By 19th century, research expanded
 - b. Results almost immediately, practically applied
2. **Charles Darwin's** theory of **evolution** rocked the 19th-century world
 - a. Wrote *On the Origin of Species by Means of Natural Selection*, 1859
 - b. Attributed changes in species to natural causes
 - c. Classical thinkers, Hegel advanced evolutionary concepts of change
 - d. Darwin built on research of **Lyell** and **Lamarck**
 - e. Did own research on research ship *Beagle*, along coast of South America

- f. Offered mechanical explanation of life evolving; contradicted traditional views of deific creation
 - 3. August Weismann and Gregor Mendel worked along similar lines to explore genetic relationships
 - a. Based on their work, chromosomes discovered
 - b. Theory of mutation developed
- B. Medicine, Chemistry, and Physics
- 1. Medicine made major advances
 - a. Joseph Lister developed antiseptic practices
 - b. **Louis Pasteur** and **Robert Koch** developed germ theory of disease, laid foundations for bacteriology, immunology
 - 2. Chemistry made major strides
 - a. John Dalton, Dmitri Mendeleev drew up periodic tables of elements
 - b. Biochemistry, chemotherapy made medical advances
 - 3. Physics went through a revolution
 - a. Michael Faraday paved way for use of dynamo
 - b. James Maxwell and Heinrich Hertz investigated electromagnetic phenomena
 - c. **Pierre and Marie Curie** made major strides toward discovery of X-rays and radioactivity
 - d. Ernest Rutherford helped develop electron theory, increased knowledge of atom

VI. TECHNOLOGICAL GROWTH AND ADVANCES

- A. Electricity
- 1. Scientific discoveries led to use of new technologies, materials processes
 - 2. Electricity fundamental to second phase of Industrial Revolution
 - a. Dynamo developed in 1876, generated electricity
 - b. Thomas Edison patented many inventions
 - c. Germany developed many applications
 - 3. Electricity remarkably good source of power, easily transmitted, used
- B. Engines
- 1. Gottlieb Daimler perfected internal combustion engine
 - 2. Rudolf Diesel invented diesel engine
 - 3. Passenger car industry significant in major economies
 - a. Required discovery, use of petroleum
 - b. Developed spin-off industries
 - 4. Automobile brought greater individual mobility, contact with other areas, increased noise, air pollution

C. Laborsaving Devices

1. 1890s, bicycles, sewing machines, cameras, typewriters
2. Ideas transformed into products almost immediately

VII. ECONOMIC BASES FOR GLOBAL DOMINANCE

A. New Structures

1. Economic growth called for more money, better management, increased efficiency
 - a. Efficiency demanded consolidation, new forms
 - b. Largest firms had more clout
 - c. Alfred Nobel, John D. Rockefeller created large, powerful firms
2. Middle class began to invest in stock of companies
3. Limited liability laws protected investors
4. Businesses developed new strategies to gain advantages
 - a. Trust: trustees held majority of stock in a given industry, could control wages, prices, merchandising policies
 - b. Holding company: corporation invested in stock of other companies to gain control over segment of industry, economy
 - c. Cartel: cooperative alliance among group of industries to control prices, markets, usually of fundamental goods (rubber, steel, oil)
 - d. Monopoly: one company controlled product, process, without competition
5. Businesses developed efficient management
 - a. **F.W. Taylor** devised scientific management
 - b. Interchangeable parts, assembly line

B. The New World Economy

1. Mercantilist theories encouraged colonists
 - a. Grew 15th through 18th centuries
 - b. Slowed 1783 through 1870 under impact of laissez-faire economics
2. France renewed drive for world empire
 - a. Followed up by Disraeli and British
 - b. By 1900 Europe controlled 60% of globe
3. Great Britain world's richest nation
 - a. Germany became continent's economic giant
 - b. France lagged behind
 - c. All had global economies
4. International trade in 50 years before 1914 rose from \$7 billion to \$42 billion
 - a. Europe chief supplier of world capital
 - b. Europe made huge loans, investments in Britain, United States, Ottoman Empire
 - c. Europe's economic primacy felt throughout globe
5. World tied to Europe's economic cycle
 - a. 1873-1896 depression affected world
 - b. Global economy rose, with Europe, 1896-1914

C. Political Implications

1. European economy affected world's states
 - a. Europeans looked on rest of world as supplier of labor and raw materials, markets, investment
 - b. Other countries needed money, sacrificed political independence for loans
2. Lenders had three options
 - a. Strong nations: low risk, low rate of return
 - b. Underdeveloped states: high risk, high return
 - c. Specialized areas, stable countries, low return
3. Loans for debtor could be helpful or devastating
 - a. United States profited from loans, kept freedom
 - b. Ottoman Empire fell into debt, put major portion of tax base in foreign hands just to pay interest
 - c. Economic control implied political control

VIII. CULTURAL REFLECTIONS OF THE AGE

A. Romanticism

1. More consumers of culture as wealth spread, population grew
2. Romanticism unleashed sensitivities
 - a. Works of Schiller, Goethe
 - b. Opposed brittle irony of Enlightenment
3. Victor Hugo, Sir Walter Scott set new standards, wrote historical novels
4. British poets Wordsworth, Coleridge unleashed emotions, gained large audiences
5. Followed by Byron, Keats, Shelley
6. Delacroix, Constable, Turner broke artistic conventions
7. **Gothic revival** dominated architecture

B. Realism

1. Artists and writers responded to new age with **realist** movement
 - a. Artists experimented with range of new forms
 - b. Responded to new audiences, larger public
2. Replaced romanticism after mid-century
 - a. Not enough to be true to instincts and emotions
 - b. Had to faithfully and graphically report life
3. Trend seen in literary works of **Balzac**, Gustave Flaubert, Charles Dickens, Thomas Hardy
4. **Russian novelists** Tolstoy, Dostoevski brought genre to new heights
5. Mark Twain, Harriet B. Stowe, Henry James wrote in realistic style in U.S.
6. Ibsen, Shaw, Chekov wrote plays providing social portraits

C. Beethoven and His Successors

1. **Ludwig van Beethoven** served as bridge between classical, romantic composers

2. Set stage for Carl Maria von Weber, Hector Berlioz, Robert Schumann
3. Johannes Brahms, Anton Bruckner, Gustav Mahler continued Beethoven revolution
4. Chopin, Sibelius, Dvorak, Smetna, Tchaikovsky, Moussorgsky, Rachmaninov included folk themes
5. Richard Wagner, Giuseppe Verdi created core of modern opera
6. Ascendant middle class helped finance opera houses, symphonic halls
7. Virtuosi, like Franz Liszt, Jenny Lind, popular with audiences

D. Impressionism in the Arts

1. Painters did not strive for surface reality
2. Gustave Courbet dropped unnecessary details, emphasized brush strokes, color
3. **Impressionists** (Monet, Manet, Degas, Cassatt, Renoir)
 - a. Focused on color, light atmosphere
 - b. Sacrificed clarity to achieve effect
4. **Paul Cézanne, Vincent Van Gogh**, post-impressionists
5. Henri Matisse simplified forms, inspired by African primitive art

E. Sculpture and Architecture

1. **Auguste Rodin**, father of modern sculpture
2. New materials, technologies permitted building on a large scale
 - a. Steel skeleton “skyscraper”
 - b. Elevator
 - c. Metal frame allowed better distribution of weight, more glass windows
3. **Louis Sullivan** pioneered in building skyscrapers in Chicago
4. **Gustave Eiffel** erected 984-foot iron tower in Paris, 1889

CONCLUSION

1. British developed new methods, machines, power sources.
 - a. Unique balance of population, investment, government support, internal market, combination of factors
 - b. Textiles first to industrialize
2. Rapid growth of industrial cities strained resources.
3. Second phase of industrial revolution brought new wealth, products, Germany became strongest power on Continent.
4. Scientists made significant discoveries in biology, chemistry, physics, medicine.
5. Industrialized countries responded to opportunities, expanded; non-industrialized countries became either resource or customer base.

CONCEPTUAL HOOKS

TIMELINE: 1815-1914

DEFINITIONS

bourgeoisie: The middle classes in all of their diversity. Included the petite bourgeoisie, lower middle classes including skilled artisans, bureaucrats, clerks, and teachers; the haute bourgeoisie, who controlled most of the wealth created by industrialization, included the bankers, factory owners, lawyers, etc.

Queen Victoria: Reigned 1837-1901, the longest-reigning English queen. Emphasized duty, morality, family. Epitomized upper middle class values of the period.

Pope Pius IX: Ruled 1846-1878, after harsh 1848 experiences, issued the *Syllabus of Errors*, a document that attacked the critical examination of faith and doctrine and stated the doctrine of papal infallibility that the Pope cannot err when speaking *ex cathedra* on issues of religion and moral behavior.

Leo XIII: Ruled 1879-1903, was more flexible and brought the church into modern age. Issued *Rerum novarum* in 1891, in which he condemned Marxism and upheld capitalism, but severely criticized the evils affecting the working classes.

Oxford movement: A group of spiritual activists, including the future Cardinal John Henry Newman (1801-1890), formed at the beginning of the 19th century at Oxford. They met to defend the church from the various forces besieging it.

real wages: Amount of goods wages could actually buy. Industrialization significantly increased buying power in the 19th century.

First International: The International Organization of Workers, founded in London in 1864. Included labor activists ranging from English trade unions to east European refugees to anarchists to German theorists. Fell into disarray after 1871.

Ferdinand Lassalle: 1825-1864, founder of strongest and most successful Social Democratic (Marxist) party in Europe

Social Democrats: Marxist parties in several countries, advocated for an eight-hour working day, replacing standing armies with militias, and a welfare state buttressed by universal suffrage

Fabian Society: British socialists influenced by the maxims of Christianity. Members included George Bernard Shaw, H.G. Wells, and Sidney and Beatrice Webb.

Second International: 1889-1914, Socialist movement claiming 12 million members in Europe, marked high point of Marx's influence. It included many differing views on the role of the state, the proletariat, and cooperation with other parties.

Thomas Robert Malthus: 1766-1834, British clergyman who wrote *Essay on Population*. Asserted that as human reproduction grew geometrically and food production grew arithmetically, the number of people would exceed the earth's ability to produce food. Offered gloomy forecasts about population growth.

Rothschilds: One of the banking families that profited from the financial needs of the Napoleonic period and after and responded with aggressive new practices

zollverein: Customs union, a free trade zone that began under Prussian leadership in 1819 and in 23 years came to include most of central and southern Germany. Gave the member states same advantage enjoyed in Great Britain since 1707.

Charles Darwin: 1809-1882, formulated theory of evolution in his *On the Origin of Species by Means of Natural Selection* (1859). Originally studied medicine and prepared for the ministry, became a naturalist in his twenties. Did research on *The Beagle*, a ship which voyaged to the coast of South America and the Galapagos Islands.

evolution: States that all complex organisms developed from simple forms through the operation of natural causes over millions of years. Environmental factors cause species to develop through inheritance of minute differences. More adaptable species lived on; weaker species died out; hence, "the survival of the fittest through natural selection." This theory challenged traditional beliefs on creation, and influenced philosophical notions on the evolution of man and societies.

Sir Charles Lyell: 1797-1875, wrote *Principles of Geology*, which stated that the earth developed through natural rather than supernatural causes. Popularized notion of geological time.

Jean Baptiste Lamarck: 1744-1829, French naturalist who argued that every organism tends to develop new organs to adapt to the changing conditions of its environment

Louis Pasteur: 1822-1895, worked on anthrax epidemic, developed principle of injection of mild form of disease bacterium, and developed process to kill bacteria in milk. With **Robert Koch** (1843-1910), laid foundations for bacteriology and immunology

Pierre and Marie Curie: 1859-1906, 1867-1934, made major strides toward the discovery of the X-ray and radioactivity. Extracted radium from uranium ore in 1896. Marie Curie was the first person to be awarded two Nobel prizes.

Frederick W. Taylor: 1856-1912, American engineer who devised the scientific management system, which recommended breaking down each state of the industrial process and studying the efficiency of each step of work to establish optimum speed of productivity.

Gothic revival: 19th-century romantic throwback to imagined medieval structures that emphasized towers, arches, and various kinds of nonfunctional decoration

Romantic movement: reaction to order, standards of 18th century. Emphasized emotion, sentimentality, bizarre, unusual, beauty of nature. Novelists sometimes used themes from history and legends. All major artistic movements are difficult to define precisely; individual artists offered a variety of interpretations and styles.

Realist movement: By and large replaced romanticism after the 1850s. Realists asserted that it was not enough to be true to instincts and emotions. Artists and writers must faithfully observe and graphically report all aspects of life.

Honoré de Balzac: 1799-1850, foreshadowed the trend towards the realistic novel in the 90-volume *La Comédie Humaine*, which graphically described French life in the first half of the 1800s

Russian novelists: **Leo Tolstoy** (1828-1910) and **Feodor Dostoevski** (1821-1881), in their works, such as *War and Peace* and *Brothers Karamazov* brought the novel form to a new level

Ludwig van Beethoven: 1770-1827, the genius composer who served as a bridge between the classical and romantic periods in European music

Impressionism: Style of painting in which the artist tried to capture the first impression made by a scene or object on the eye, without intellectual interpretation or subjective attitude. They concentrated on color, light, and atmosphere. They used complementary colors for shadows, experimented with bright colors juxtaposed without transition. Prominent impressionists include **Claude Monet** (1840-1926), **Edouard Manet** (1832-1882), **Edgar Degas** (1834-1917), **Mary Cassatt** (1845-1926), **Pierre Auguste Renoir** (1841-1919).

Paul Cézanne: 1839-1903, artist who tried to simplify objects by emphasizing geometric structure. Identified three main shapes: cone, cylinder, sphere.

Vincent Van Gogh: 1853-1890, artist who used heavy paint and short strokes to emphasize rhythm of objects. Produced somewhat distorted, highly emotional work.

Auguste Rodin: 1840-1917, French, father of modern sculpture. “Rough finish” technique emphasized spontaneity and invited viewer to use his imagination.

Louis Sullivan: 1856-1924, American architect, pioneered in building skyscrapers after the Chicago fire, 1871. Using a steel frame, he could erect tall structures.

Alexandre-Gustave Eiffel: 1832-1923, French engineer, built Eiffel Tower for the Paris International Exposition of 1889 to mark the centennial of the Revolution. The iron framework rests on four masonry piers and rises 984 feet high.

DISCUSSION

Discuss the impact of the first generation of industrialization on the working class and urban poor. In your opinion, did the costs borne by that group justify whatever advantages might have been produced for subsequent generations?

Compare the opportunities and obstacles to industrial development in Britain, France, Germany, and Italy.

What did Thomas Robert Malthus have to say about the future, given the nature of a food supply that grew arithmetically and a population rate that increased geometrically? Has his point of view been disproved in the 1990s?

Why was Darwin's theory of evolution controversial in the 19th century? Is it still controversial?

As we observe the former Soviet bloc states undergo economic changes at the end of the century, what lessons can they learn from the experience of Britain and the continent in the 1800s?

List the inventions and scientific discoveries of the 19th century. Did they bring any changes to the lives of ordinary people?

What was the "Romantic vision" of the 19th century? Could Romantic writers find an audience today? Why or why not?

PRIMARY DOCUMENT/CRITICAL THINKING EXERCISES

Read "Mrs. Beeton's Book of Household Management." How can a 19th-century housewife be compared with a 21st-century CEO (Chief Executive Officer)? What is the single most important key to effective household management? What are Mrs. Beeton's admonitions regarding hospitality, conversation, cheerfulness, and attire? Which items of advice seem dated; which seem timeless? Do you think you have ever lived in or visited a home operated on Mrs. Beeton's model?

The extracts on child labor appeared first in a Parliamentary Committee. Note its form, especially the testimony of the little girl. How does it affect you? Was this testimony, in your opinion, sought for a biased reason, that is, to sensationalize an issue? How trustworthy is the source?

TESTING

Why did Britain lead the way into the Industrial Revolution? What advantages did the island nation possess that permitted it to achieve world economic dominance by 1850?

“Necessity is the mother of invention.” Do you agree or disagree? Discuss this statement in regard to the Industrial Revolution, 1750-1900.

Identify five important scientific discoveries of the 19th century. Explain their importance to science and show how they left an impact on society as a whole.

The growth of business and manufacturing brought many changes. Describe the impact on the growth of cities, employment of skilled and unskilled workers, the role of women and families, and laws and national policy.

LECTURE LAUNCHER

In the 19th century new audiences made up primarily of the middle classes thronged to massive new concert halls to hear the great symphony orchestras play the works of European composers that continue to fill the play-charts of classical music radio stations. A transitional composer, the single individual most responsible for changing the nature of both the symphony and of music, was Ludwig van Beethoven. He worked within the classical forms developed by Haydn and Mozart, but after the turn of the 19th century, he stretched the boundaries of those forms and broke free of them.

The romantic composers of the next generation viewed Beethoven as their spiritual father, who embodied the struggle of the individual against overpowering and incomprehensible forces, ever yearning for the unattainable. Beethoven was the first major composer who never had a patron, who made it on his own. There is a famous legend that Beethoven had intended to dedicate his Third Symphony (1803) to Napoleon Bonaparte, but when he heard that Napoleon had proclaimed himself emperor, the enraged composer dashed out the dedication and substituted the title *Eroica*. Whether or not the story is true, it is impossible to mistake the revolutionary nature of this symphony. Its size alone was unprecedented, both in the number of instrumentalists called for and in the length of the movements. *Eroica* marks a turning point in the professionalization of music and the rise of commercial concert life. A contemporary reviewer praised its originality and above all its musical unity, noting that the entire first movement grows organically out of the initial motive. The reviewer wrote, “In order to produce its effect, this

symphony must have an audience that is capable of giving and sustaining serious attention to it.” The idea that certain kinds of music are reserved for educated listeners came to be the distinguishing feature separating high art and popular art.

Across Europe and North America, composers followed Beethoven and wrote in the German style. With the rise of nationalist movements in eastern Europe and elsewhere, composers sought to explore their own native themes. In the Czech lands, Bedrich Smetana and Antonin Dvorak drew from their popular traditions to produce some of the finest melodic works. In Russia Mussorgsky, in his *Pictures at an Exhibition*, and Petr Ilich Tschaikovsky, in his ballets and symphonies, built memorable works on popular themes.

By the end of the century, the French composers were more concerned with sonority and timbre than with form or the expressive quality of music. The French reaction against the overemotionalism of late German romanticism is called musical impressionism, and was championed in the music of Claude Debussy in pieces such as *La Mer*, and Maurice Ravel.

But it was in England where the line was most successfully broken between the “high culture” and “popular culture” audience. This could best be seen in the works of Gilbert and Sullivan, in the song, “He is an Englishman,” taken from *H.M.S. Pinafore*. The composers appealed to a broader and more popular audience. Their operettas are examples of pure popular culture. Their ancestors are 18th-century ballad operas and Italian comic operas; their descendants are Broadway musical comedies. They have been enjoyed by all classes of society and are favorites for amateur theatrical productions. Gilbert was a failed barrister (counselor at law) who preferred writing for the theater. Sullivan was a serious composer who aimed higher than musical comedy, but were it not for his collaboration with Gilbert, he might be consigned to obscurity. *H.M.S. Pinafore* (1878) was their first smash hit, as can be heard in the selection featuring the character Bill Bobstay, the Boatswain, with the crew:

For he himself has said it,
And it's greatly to his credit,
That he is an Englishman!
For he might have been a Roosian,
A French, or Turk, or Proosian,
Or perhaps Itali-an!
But in spite of all temptations
To belong to other nations,
He remains an Englishman!

Part of the fun of Gilbert and Sullivan is that while it partakes of Victorian sentimentality (mistaken identities of babies switched at birth seems to be a plot staple) it does so with tongue-in-cheek. It also pokes fun at the high culture form of opera, as in the labored coloratura passage on the awkward vowel “E” of “Englishman.” Beyond enjoying a jolly tune and clever lyrics, it is difficult to know how to respond to “He is an Englishman.” Is it an example of patriotic jingoism? Or is it cheerfully mocking that as well? Perhaps it is both, but no matter which interpretation is levied, the *Pinafore* continued to be performed throughout the following century.

THE INSTRUCTOR’S TOOL KIT

AUDIOCASSETTES

George Gordon Lord Byron, *The Poetry of Byron*
John Keats, *The Poetry of Keats*
Percy Bysshe Shelley, *The Poetry of Shelley*
Alfred Lord Tennyson, *The Poetry of Tennyson*
Charles Dickens, *Oliver Twist: Four Chapters*
Fedor Dostoevsky, *Crime and Punishment*
All from Caedmon

COROLLARY READING

Mark A. Kishlansky, *Sources of the West*, II
Arthur Young, *Political Arithmetic* (1774)
Samuel Smiles, *Self-Help* (1859)
Sir Edwin Chadwick, *Inquiry into the Conditions of the Poor* (1842)
Freidrich Engels, *The Condition of the Working Class in England* (1845)
Jane Austen, *Pride and Prejudice* (1813)
Alexis Soyer, *Modern Housewife* (1850)
Alexis Soyer, *Mrs. Beeton’s Book of Household Management* (1861)
Pope Leo XIII, *Rerum Novarum (The Condition of Labor)* (1891)
Charles Darwin, *The Descent of Man* (1871)

Peter N. Stearns, Stephen S. Gosch, Erwin P. Grieshaber, *Documents in World History*, II
Work and Workers in the Industrial Revolution
British Child Labor Inquiry; French Factory Rules; Max Lotz
The Expansion of Frontier Societies
Henry Eno’s letter, Brigham Young; John McCance’s letters

COURSE ENHANCEMENT

Each chapter in the textbook includes extensive lists of supplementary material:

- Films and videos
- Web destinations
- Literature from the period
- Suggestions for further reading

COMPANION WEBSITE at www.ablongman.com/brummett

Additional resources are available at the Companion Website for both the instructor and the student. Instructor's resources include PowerPoint slide presentations, electronic versions of maps, graphs, and tables, Web resources, as well as links to Longman resources. For the student, you can direct them to the Companion Website to take quizzes, or for online links to further research or reading for each chapter.

CHAPTER 23

Africa and the Middle East, 1800-1914

CHAPTER OUTLINE

I. EUROPEAN CONQUEST OF AFRICA

A. Staking Claims in Africa

1. European countries controlled only 10% of Africa in 1870
 - a. French administered Algeria in north; British, Boers controlled parts of south
 - b. Europeans had scattered commercial holdings, mostly on west coast of Africa
2. **King Leopold II** of Belgium organized International African Association (IAA), 1876
 - a. Stated humanitarian goals
 - b. Explorer **Henry Stanley** acquired over 900,000 square miles of land along Congo River
3. **Berlin Conference**, 1884, discussed European concerns in Africa
 - a. Bismarck called conference, hoping to prevent future clashes
 - b. Conference paid lip service to humanitarian concerns, condemned slave trade, prohibited sale of liquor, supported education, religious instruction
 - c. Set down ground rules for claiming territory in Africa
4. Europeans claimed land in Africa
 - a. Generally ignored humanitarian guidelines of Berlin Conference
 - b. Arranged lop-sided deals with African chiefs to trade trinkets for land
 - c. According to African tradition, chiefs could grant temporary use of land, but not give it away

B. The Scrambling of Africa

1. By 1914, Liberia, Ethiopia, only independent African states
2. European statesmen drew boundaries to meet political, economic objectives, did not consider existing kingdoms, ethnic identities, demographics
3. King Leopold II of Belgium set up Congo Free State
 - a. Granted concessions to private companies
 - b. Administered rubber-producing areas through system of forced labor
 - c. Horrible examples of exploitation, brutality exposed
 - d. Leopold forced to turn over colony to Belgian government, 1908
4. French hoped to link Algeria, West Africa, Congo basin in east-west empire
5. British had holdings on West African, East African coasts, concerned with

- protecting Suez Canal, headwaters of Nile River
- 6. British, French barely averted conflict at ***Fashoda***, 1898
- 7. Cecil Rhodes envisioned British control of land between Cape of Good Hope and Cairo
 - a. British government did not act
 - b. Rhodes used personal fortune to found British South Africa Company to claim area reputedly rich in minerals
 - c. Area later known as Rhodesia
- 8. Portugal colonies (Angola, Mozambique) separated by British, Rhodes
- 9. Italy claimed barren coastal area on Red Sea, unable to take rich plateau of Ethiopia

II. EUROPEAN TECHNOLOGY AND THE AFRICAN RESPONSE TO CONQUEST

- A. European conquest of most of Africa made possible by advances in technology
 - 1. Quinine perfected as antidote to illnesses, such as malaria
 - 2. Gunboats enabled domination of lakes, rivers
 - 3. Machine guns gave smaller armies an advantage over larger ones with muskets
- B. African states did not unite to resist Europeans
 - 1. Often accommodated or negotiated with Europeans
 - 2. Considered local rivalries, protection, profit potential
- C. Some African states resisted
 - 1. ***Samori Touré*** created Islamic kingdom among Mandinke people (Sierra Leone to Ivory Coast), resisted French, British, 1865-1898
 - 2. Muhammad Ahmad (***Mahdi***) led *ji*had against Anglo-Egyptian rule at Khartoum, 1885
 - 3. Shona spirit medium ***Charwe*** inspired resistance against British South Africa Company's (BSA) colonization of Rhodesia, 1890s
 - 4. ***Menelik II*** strengthened Ethiopia, maintained independence, defeated Italians at ***Aduwa***, 1896

III. THE OTTOMAN EMPIRE REFASHIONED

- A. Challenges to Ottoman Power
 - 1. Ottoman Empire stretched from Balkans to Sudan, Maghreb to Arabia, sultan controlled Muslim holy places
 - 2. Empire became more decentralized, regional governors (*ayans*) gained more autonomy
 - 3. Janissary corps inflated, corrupt, drain on treasury, source of rebellion
 - 4. Russians defeated Ottomans, exacted humiliating treaty, 1774
 - 5. Granted extensive trade privileges to European states

B. Ottoman Reform

1. Sultan Selim III began reforms, but janissaries deposed him
2. Sultan Mahmud II made significant reforms
 - a. Restored central authority in provinces
 - b. Dissolved janissary corps, designed new army following European models
 - c. Reformed professional education
 - d. Restructured bureaucracy
3. New elite, “French knowers,” emerged
 - a. Trained in professional school, capable of dealing with European powers
 - b. Would challenge, reform Ottoman system
4. Mahmud’s reforms designed to enable Ottomans to compete more effectively while preserving Ottoman culture

C. Challenging Ottoman Sovereignty in Europe

1. Nationalism, Great Power meddling sparked separatist movements in Balkans
2. Serbs revolted, 1804, won autonomy by 1830
3. Greeks revolted 1821
 - a. Europeans valued classical heritage, sympathized with Greeks
 - b. British defeated Ottoman navy at Navarino, 1827
 - c. Greeks gained independence
4. Romanians revolted in 1850s, Bulgarians revolted, 1870s
5. ***Eastern Question*** arose again during Crimean War, 1854-1856
 - a. Britain, France stopped Russian designs on Ottoman Empire
 - b. Preserved balance of power
6. By end of 19th century Ottomans had lost most of Balkan provinces, known as “sick man of Europe”

D. Egypt and the Rule of Muhammad Ali

1. Mamluks controlled Egypt in late 18th century, very independent of Constantinople
2. ***Muhammad Ali***, Ottoman commander, came to power in Egypt after Napoleon’s brief invasion
 - a. Destroyed Mamluks
 - b. Introduced reforms to modernize army, education, cotton production, taxation
 - c. Challenged Ottoman rule in Syria, brought British, French, Russian intervention to preserve Empire
 - d. Established autonomous dynastic rule in Egypt, lasting to 1950s
3. Weakness of Ottoman Empire became apparent; European commercial interests exploited it

E. The Suez Canal

1. Egyptians temporarily benefited from American Civil War when Union blockade of Southern ports cut off cotton exports
2. Ferdinand de Lesseps received concession to build Suez Canal

- a. Concept of Suez Canal arose much earlier
 - b. Building, technology disrupted traditional patterns of labor
 - c. Many lives lost during digging
 - 3. Egypt bankrupt by 1870s due to foreign loans, uncontrolled spending of its rulers
 - 4. Suez Canal completed, 1869
 - a. Linked Mediterranean and Red Seas, eliminated costly travel around Africa
 - b. Extravagant opening ceremony
 - c. ***Khedive Ismail***, facing financial problems, sold shares in company to Britain
 - 5. Egypt did not pay interest on loan
 - a. Britain, France took over its debts, economy
 - b. Forced Ismail to abdicate, 1879
 - 6. Colonel Urabi led revolt against foreign control of Egypt, followed by British occupation
- F. Lord Cromer and the Dinshaway Incident
- 1. Sir Evelyn Baring (later ***Lord Cromer***) was sent to reorganize Egyptian finances
 - a. Ended corruption
 - b. Stabilized economy
 - c. Improved cotton industry
 - 2. ***Dinshaway Incident*** (1906) evoked nationalist sentiment
 - a. British officers on pigeon shoot wounded villager
 - b. Scuffle followed; two officers wounded (one died later)
 - c. British punished whole village
 - d. Incident led to resentment, growth of nationalist movement
- G. North Africa West of Egypt
- 1. Morocco ruled by Filali dynasty
 - 2. Tunis, Algiers, Tripoli, corsairing states, dominated western Mediterranean
 - a. Nominally under Ottoman control
 - b. Collected tribute in exchange for security for merchant shipping
 - 3. U.S. negotiated treaty with Sidi Muhammad of Morocco, 1786
 - a. U.S. paid \$40,000 initially, \$25,000 annually
 - b. First official recognition of U.S. trading privileges
 - 4. French penetrated North Africa
 - a. Europeans gained capitulations
 - b. Dey of Algiers and French had conflicts over fishing rights, piracy, debts
 - c. Charles X invaded Algiers, sent army to occupy, 1830
 - d. Algiers became base for further expansion to Tunis, Morocco
 - 5. Germans interested in Morocco, but French gained control in 1912, remaining until 1956
 - 6. Italians annexed area around Tripoli, 1911
- H. Young Ottomans and Constitutional Reform
- 1. ***Tanzimat*** (reorganization), period of reform in mid-19th century
 - a. Ottomans responded to internal, external challenges

- b. “French knowers” promoted more modern, secular outlook, bureaucracy
 - c. Power of *ulama* decreased
 - d. Encouraged Ottomanism, commitment to Empire, regardless of ethnic background
 - 2. New civil, military elite emerged, favored elements of European culture, democracy
 - 3. Young Ottomans advocated synthesis of best elements of Islamic, European culture, technology
 - a. Debated questions: constitutional freedoms, calendar reform, clocks, women
 - b. Regarded Ottoman slavery as inherently different from Atlantic slavery
 - 4. Reformers helped depose Sultan Abdülaziz, install Sultan Abdülhamid II, 1876
 - a. Brought constitutional monarchy, elected assembly, freedom of press, equality for all Ottomans
 - b. Abdülhamid abrogated constitution, suspended assembly, 1878
- I. Abdülhamid II and the Young Turk Revolution
- 1. Autocrat, reformer, ***Abdülhamid II*** tried to solve several problems simultaneously
 - a. Russia declared war, 1877
 - b. Britain occupied Cyprus
 - c. Balkans breaking away
 - d. Huge debts
 - 2. He tried to strengthen central government, army; forged closer ties with Germany
 - 3. To win support of Muslims he promoted ideology of Pan-Islam
 - a. Rhetoric, claim to be caliph, less effective
 - b. Won popular support for Hijaz railway to link Damascus and Mecca
 - 4. Exiles, students, bureaucrats, some military men hoped for return to constitutional government
 - 5. Military revolt, 1908, expanded into ***Young Turk Revolution***
 - a. Convinced sultan to reinstate constitution
 - b. Assembly discussed reforms
 - c. Counterrevolution failed, Abdülhamid II deposed
 - d. Civilian government kept Empire together despite discontent in Arab provinces
 - 6. Impact of revolution varied
 - a. Peasants saw few changes
 - b. Bureaucrats, office-holders remained in place
 - c. Greater opportunity for political participation, freedom of press
 - d. Mass freeing of political prisoners
 - e. More educational opportunities for lower class
 - f. Middle-class women gained greater role in public society

IV. PERSIA AND THE GREAT POWER STRUGGLE

A. Qajar Rule and the Tobacco Rebellion

1. Qajar dynasty ruled since 1794
2. Russians defeated Persians, demanded extraterritorial rights, commercial privileges, 1828
3. Qajars depended on military power of tribal chiefs
4. Nasir al-Din Shah negotiated loans, concessions to pay for Russian military advisers, Cossack brigade
5. Britain sought economic penetration, built telegraph line
6. British investors gained exclusive rights to Persian tobacco
 - a. Merchants objected, joined with Shi'ite *ulama* to launch rebellion, 1891
 - b. *Ulama* organized nationwide **tobacco boycott**, showed power of Shi'ite clerics, depth of discontent
 - c. Shah canceled tobacco concession

B. The Persian Constitutional Revolution

1. Russians, British deeply involved in Persian affairs
 - a. Russians trained army, installed telegraph lines, set up postal service, opened bank, hired Persian workers in Russian oilfields
 - b. British set up bank, investor won major oil concession
2. British wanted control of sea lanes east of Suez, dominance of India, Persian Gulf area
3. *Ulama*-sponsored revolt persuaded shah to call for elections to constituent assembly, 1905-1906
4. New shah, Muhammad Ali Shah, tried to renege, resorted to tyranny, used Russian troops
5. Pro-constitutional forces won
 - a. Deposed shah, allowed his son to succeed him, 1908
 - b. Persia retained constitutional government since
6. Persian revolution inspired by Japanese events, influenced Turkish revolution

C. The Great Power Struggle for the East

1. Neighbors took advantage of Ottoman weakness to grab territory
2. British, Russians agreed to spheres of influence in Persia, 1907
3. British sought influence in Afghanistan to protect India's northern borders
4. Russians expanded toward southeast
 - a. Gained Samarkand, Tashkent, Bokhara
 - b. Extended influence through railroad construction (Trans-Caspian, Orenburg-Tashkent)
 - c. British countered Russian advances in Afghanistan, Lhasa, Tibet
5. Britain, Russia reached understanding on these issues in **Anglo-Russian Entente**

CONCLUSION

1. By 1914 Europeans had penetrated Africa, Middle East through investments.
2. Anti-imperialist movements began to take shape in colonies, parliaments.
3. Reaction to European colonialism took different forms: emulation, resistance, compromise.
4. Europeanization altered political, economic, legal, educational systems.
5. European influence created cultural synthesis.

CONCEPTUAL HOOKS

TIMELINE: 1800-1914

DEFINITIONS

Mfecane: “The scattering.” Period of political transformation in early 19th century. Zulus rose to power in southeast Africa.

Shaka Zulu: c. 1786-1828, Zulu leader, rose to prominence in Dingiswayo’s army. Effectively organized army, adopted stabbing spear for close fighting, used buffalo horn formation, continually drilled soldiers, and engaged in frequent cattle-raids. Shaka assimilated captives and built a large kingdom in southeastern Africa. Eventually people tired of near constant warfare and Shaka was assassinated by his half-brothers.

Moshoeshoe: 1786-1870, created Basotho kingdom in early 19th century. Accumulated vast herds, won loyalty by lending cattle to others. Built alliances through marriages. Built an effective army with cavalry. Used diplomacy to maintain independence from Boers and British.

Boers: Later known as *Afrikaners*. Descendants of Dutch farmers in South Africa sensed their traditional way of life was threatened under British rule.

Great Trek: Mid-1830s, Boers left Cape Colony, traveled by ox-drawn wagons to high plateau (*veld*), and established Orange Free State and Transvaal.

Cetshwayo: c. 1832-1884, Zulu king, defended people against British incursions. His army surprised and destroyed British forces at Isandhlwana, 1879. Within six months the British subdued the Zulus and exiled Cetshwayo.

Cecil Rhodes: 1853-1902, born with a frail constitution, he went to South Africa for his health. There he made his fortune in the diamond fields, becoming the leading figure in the De Beers syndicate. He then worked to bring a United South Africa into the British Empire.

Paul Kruger: 1825-1904, president of Transvaal during gold rush. Sought to preserve Afrikaners' agrarian way of life by restricting *uitlanders*. Distrusted imperialist aims of Cecil Rhodes and stopped the Jameson raid.

Jameson raid: 1895, Leander Starr Jameson, led private army into the Transvaal, expecting to support an *uitlander* uprising against the Afrikaner-dominated republic of Paul Kruger. Afrikaner commandos quickly suppressed the raid. The raid heightened suspicions and animosity between Boers and British.

Boer War: A generation of hostility between the Boers and outsiders, especially British, which flared into all-out war in 1899. Although the Boers were brave fighters, crack shots, and expert horsemen, they were no match for the British troops. They surrendered in 1902.

Leopold II: King of Belgium, organized International African Association, a private company to explore Africa and promote humanitarian goals. The Association acquired land and exploited the people. Belgians forced king to turn over "Free State" to government as Belgian Congo, 1908.

Henry M. Stanley: 1841-1904, reporter, explorer. Searched for explorer Dr. Livingstone and located him near Lake Victoria. Later explored Africa and acquired vast amounts of land in Congo region for King Leopold's company.

Berlin Conference: 1884, Bismarck called major powers to Berlin to discuss potential problems of unregulated African colonization. Paid lip service to humanitarianism, condemned slave trade, prohibited sale of liquor, came out for education and religious instruction. Laid ground rules for establishing claims in Africa and recognized some claims.

Fashoda: 1898, French sent a force under Captain Jean Baptiste Marchand to Fashoda on the White Nile south of Khartoum. They wanted British to reconsider the exclusive control over Egypt. The British sent an Anglo-Egyptian force under General H.H. Kitchener to challenge the French. War was averted when the French backed down, choosing not to fight over a matter of prestige. For the British, control of the Nile was a strategic necessity.

Samori Touré: c. 1830-1900, came from Dyula trading family on upper Niger River, created powerful Islamic kingdom among Mandinke people, resisted French and British encroachments. Suppressed internal revolts among his people. Eventually captured by French and exiled in 1898.

Mahdi: "Guided one," self-proclaimed title of Muhammad Ahmad (1844-1885). As a Muslim *shaykh* from a village near Khartoum, he rallied followers in a *jihad* against Egyptian-appointed administrators who were levying taxes and

suppressing a profitable slave trade. In 1885 Mahdist forces besieged Khartoum, and killed Egyptian forces, including British officer Charles Gordon. They set up an administration at Omdurman which lasted until 1989.

Charwe: Shona spirit medium who inspired resistance against the British South Africa Company's (BSA) colonization of Rhodesia in the 1890s. She claimed to have been possessed by spirit of Nehanda, a woman who had lived four centuries earlier. She and other spirit mediums (Ambuya Nehanda, Kagubi) urged people to take up arms against exploitive policies of the Company.

Menelik II: 1844-1913, emperor of Ethiopia, modernized his kingdom by building a railroad and installing telephone lines to provinces. He doubled the size of Ethiopia. He successfully resisted Italian attempts to claim Ethiopia as a protectorate.

Aduwa: 1896 battle in which Menelik's Ethiopian army defeated a smaller Italian army, thereby maintaining Ethiopian independence

Eastern Question: Dealt with Ottoman Empire, whether it would remain or be divided

Muhammad Ali: The virtually independent governor of Egypt who introduced many reforms to modernize the army, education, government and economy. He successfully attacked the Turks in 1832, but was stopped when Britain, France, and Russia intervened.

Khedive Ismail: 1863-1869, spendthrift ruler of Egypt. Facing severe financial problems, he sold shares in the Suez Canal Company to Britain. Later when Egypt could not repay loans, Britain and France took over the debts and economy of Egypt.

Evelyn Baring, Lord Cromer: 1841-1917, oversaw Egypt from 1883 to 1907, overhauled the system of government, curbed use of forced labor and carried out public works projects. Considered an effective administrator.

Dinshaway Incident: 1906, British officers on a pigeon shoot scuffled with villagers, resulting in death of an officer. The British punished the whole village, tried dozens and hanged four. This incident provoked anger and stirred nascent Egyptian nationalism.

Tanzimat: (Reorganization), period from 1839 to 1876 when reformers promoted a more modern, secular outlook in the Ottoman Empire. Those embracing elements of European culture formed a new elite.

Abdülhamid II: 1842-1918, reigned 1876-1909. Came to power with help of constitutionalists, but soon abrogated constitution. Facing foreign and internal challenges, he ruled as an autocrat. Deposed after Young Turk Revolution.

Young Turk Revolution: 1908, military revolt expanded into a revolution with support of constitutionalists. Several participants had been educated in Western European universities. After deposing the sultan, the rulers retained his centralizing policies and kept the Empire together despite growing Arab nationalism.

tobacco boycott: 1891, Persian Shi'ite clerics organized a boycott to show displeasure over the shah's tobacco concessions to British investors. The shah backed down. The demonstration illustrated the power of the clerics and the popular dissatisfaction with foreign concessions.

Anglo-Russian Entente: 1907, an agreement between the two competitors for control of Persia in which the Russians agreed to deal with the sovereign of Afghanistan only through the British government and the British agreed not to annex the country. Persia became an Anglo-Russian holding, split into three zones: the northern part, which was a Russian sphere of influence; a neutral middle section; and the southern part, under British control.

DISCUSSION

Discuss the difficulties faced by a theocratic society in adapting to the intellectual, technological, economic, political and social challenges presented by the West in the 18th and 19th centuries.

Describe and analyze the great-power competition over Persia before 1907. After considering the Anglo-Russian Entente, discuss its effectiveness in keeping stability in the area.

Compare and contrast the European advance into Africa, the American advance into the West, and the Russian advance into the East in terms of tactics used to deal with the indigenous peoples and the impact of the newcomers on the area.

Try to assess the advantages and disadvantages of European imperialism for Africa. In your opinion, did the Europeans in the long run bring more harm or benefit to the continent?

PRIMARY DOCUMENT/CRITICAL THINKING EXERCISES

Compare the first impressions of encounters in Africa recounted by Mojimba (recorded by Father Joseph Fraessle) and Henry M. Stanley. What feelings or reactions do they share in common? How did they respond to apparently frightening situations? Could anything have been done to prevent such surprising and traumatic encounters?

What three observations does Muhammad as-Saffir make about Parisian society? Why does he notice these things? Would you be likely to observe these today? If so, would you make special note of them?

TESTING

Describe the various stages of the African slave trade, and assess the Europeans' role and impact in it.

Compare and contrast the military and diplomatic policies of Shaka, Moshoeshoe, and Cetshwayo. Were they successful in maintaining control of their kingdoms and keeping peace in their land?

How did the Boers (Afrikaners) differ from the British in South Africa? Trace their contact and relations in the 19th century. Was the Boer War the inevitable outcome of this relationship?

Identify three to five major problems faced by the Ottoman Empire in the 19th century. Describe the reforms of such people as Muhammad Ali, Abdülhamid II, and the Young Turks. To what extent were they successful in solving or alleviating the problems of the Ottoman Empire?

In the 19th century the Egyptians experienced life under Muhammad Ali, Khedive Ismail, and Lord Cromer (Sir Evelyn Baring). Identify the benefits and difficulties under each regime. Do you think the Egyptians would have considered the 19th century an "Age of Progress"?

The Fashoda Incident (1898), the Dinshaway Incident (1906), and the Persian tobacco boycott (1891) illustrated unique tensions of the Age of Imperialism. Describe each incident and explain how it was symptomatic of imperialism.

LECTURE LAUNCHER

The establishment of a global economy in the 16th and 17th centuries soon doomed Africa to be caught on the wrong end of the balance of trade formula: that of a supplier of raw materials at low prices, including human beings, and the "consumer" of European goods, culture and power. By the 1670s other European nations unseated Portugal as the dominant foreign power in Africa, and brought ever-wider areas of the continent into contact with the world trade zone.

Holland replaced Portugal and Spain as the prime commercial power in the Atlantic after 1600. Its rise to power coincided with important structural changes in Europe's economy. The growing Dutch political and economic threat, combined with persistent economic lethargy, prompted the rise of mercantilism: every nation-state should have its own colonies. The various "mother countries" exploited the increasing numbers of colonies in Africa, especially in the triangle trade of African slaves for Caribbean sugar for European-manufactured goods.

The world wide demand for slaves, especially from the Lower Guinea Coast, grew along with the plantation system. The loss of the 13-14 million slaves shipped to the New World (3,250,000 between 1700 and 1810 alone) exacted a huge cost from Africa that was hardly made up for by

the benefits to the powerful political leaders and wealthy merchants who saw the trade as essential to maintaining themselves in their positions of power. Given economic changes, especially the development of Asian supply sources, slavery's viability as an enterprise was declining.

In 1800, trans-Atlantic slave trade raged stronger than ever responding to the demands of labor in the sugar, tobacco, and cotton plantations. Sixty years later, it had largely ended, thanks to the efforts of the Abolitionists that hastened its decline. The anti-slavery movement found its roots in the works of the French Enlightenment, Adam Smith's critique that slavery was both morally repugnant and economically irrational, and the crusade carried out by the Quakers and the Methodists who equated slavery with sin. This change in attitude meshed well with the changing economic situation of the British empire. Free trade became more attractive and the slave trade, viewed as an integral part of the mercantilist system, had outlived its usefulness and was outlawed by 1807. The debate continues as to whether the ethical or economic argument predominated.

THE INSTRUCTOR'S TOOL KIT

COROLLARY READING

Peter N. Stearns, Stephen S. Gosch, Erwin P. Grieshaber, *Documents in World History*, II

Global Contacts: Africa and the European Slave Trade

An Arabic History of Kilwa Kisiwani: Monsieur Morice; J. Crassons de Medeuil

China and the West: Opium and "Self-Strengthening"

Lin Tse-hsu; Feng Kuei-fen

Language, Religion, and National Identity in India

Rammohun Roy; Maulvi Syed Kutb Shah Sahib

The Tanzimat Reforms in the Ottoman Empire

Imperial Rescripts of 1839 and 1856

The Decades of Imperialism in Africa

Swahili texts; John Noble; Lewis Michell; French resident

The Spread of Mass Education: Sources and Comparisons

Horace Mann; Noah Webster; Yukichi Fukuzawa; Imperial Rescript on Education

COURSE ENHANCEMENT

Each chapter in the textbook includes extensive lists of supplemental material:

- Films and videos
- Web destinations
- Literature from the period
- Suggestions for further reading

COMPANION WEBSITE at www.ablongman.com/brummett

Additional resources are available at the Companion Website for both the instructor and the student. Instructor's resources include PowerPoint slide presentations, electronic versions of maps, graphs, and tables, Web resources, as well as links to Longman resources. For the student, you can direct them to the Companion Website to take quizzes, or for online links to further research or reading for each chapter.

CHAPTER 24

Asia, 1815-1914: India, Southeast Asia, China, and Japan

CHAPTER OUTLINE

INTRODUCTION

1. Asia enjoyed relative advantages of political continuity.
 - a. India remained under Mughal rule, despite corruption.
 - b. Indochina kept unique civilization, while adapting to European influence.
 - c. China under Manchu dynasty retained sense of superiority to rest of world, despite pressures to change.
 - d. Japan continued under *shogun* system.
2. Asia faced geographic, environmental, demographic problems.
 - a. Dense population; inadequate farming
 - b. Natural disasters: typhoons, tidal waves, earthquakes, droughts
 - c. Poor living conditions: high infant mortality, endemic diseases, malnutrition
3. Asia confronted special challenges in 19th c.: Western influence, rapid modernization.

I. INDIA

A. *Dual Control* Under the British

1. Mughul decline in 17th century drew in French, British
 - a. Battle of Plassey, 1756, marked beginning of major British involvement
 - b. French influence dwindled after 1760
2. Traders became rulers, dual roles
 - a. **British East India Company** ruled after 1818
 - b. British India ruled from London
 - c. Indian India ruled by British-run dynasties
 - d. British Parliament controlled company policies, appointed highest officials
3. Dual control lasted until 1858, some reforms
 - a. **Suttee** prohibited, female infanticide reduced, **thuggee** system stopped
 - b. Steps made for women's rights, seclusion ended
 - c. Comprehensive multilevel educational system introduced

B. Rebellion and Reform

1. ***Sepoy Rebellion*** broke out, 1857
 - a. Hindus, Muslims outraged by new cartridges greased with fat of pigs, cows
 - b. Mutineers proclaimed Mughal emperor as their leader
 - c. Sporadic, though fierce, fighting
 - d. Rebellion marked final collapse of Mughuls; dual control ended
2. British government assumed responsibility in India
 - a. Viceroy responsible to secretary of state for India in British cabinet
 - b. British ruled from top, through Indian officials
3. India governed by and for British
 - a. High illiteracy rate in India in 1900: 90% male, 99% female
 - b. British improved health, water systems, political stability
 - c. Used English as administrative language, lingua franca for multiethnic, multilingual land
 - d. Built railroads to tie country together
4. ***Indian National Congress*** formed to seek self-rule
 - a. Inspired by English people, examples
 - b. Indians were blocked from rising in system
 - c. British gave concessions when violence arose

II. SOUTHEAST ASIA

A. The Era of European Dominance

1. European investors developed areas in Indochina, islands of Indian, Pacific Oceans
 - a. Set up ***plantation economy*** to produce coffee, tea, spices for world market
 - b. Exploited mineral deposits
 - c. Attempted to introduce law and order to curb chronic civil war, banditry
2. Great Britain claimed several areas
 - a. Sri Lanka (Ceylon), gained from Dutch, produced tea, rubber, lead, sapphires
 - b. Malaya, with island of Singapore, held strategic position, produced tin, rubber
 - c. Burma, conquered in three wars, annexed to India
3. France returned to Indochina in 1860s
 - a. Sought to protect against persecution of Christians
 - b. Took Saigon as base, 1860
 - c. Took Hanoi, 1882; governed Cochin China as direct colony
 - d. Held Annam (central Vietnam), Tonkin, Cambodia, Laos as protectorates
 - e. French Indochina covered 50% more land than France
4. Siam alone remained independent

5. Dutch took East Indies from Portuguese, late 16th c.
 - a. Dutch East India Company organized, 1602
 - b. Exploited resources of Moluccas (Indonesia)
 - c. Holdings transferred to crown, 1798
 - d. As spice trade declined, Dutch raised new products: sugar, tobacco, coffee, tea
 - e. Required 1/5 land, 1/5 islanders' time to cultivate products for export under **culture system**, 1830-1900
 - f. Did little to improve local population

B. Philippines

1. U.S. expanded into Pacific area
 - a. Bought Alaska, 1867
 - b. Ousted Hawaiian Queen, 1893
 - c. Gained Philippines, Guam, Puerto Rico after defeating Spain, 1898
 - d. Occupied Wake Island, 1899
2. Some Filipinos assisted, then resisted US involvement; fighting lasted three years
3. American administration in Philippines marked by liberal policies, local self- government

III. CHINA: THE LONG 19TH CENTURY

A. China under Early Manchus

1. China's population more than doubled in 1700s, reached 450 million by 1900
2. **Ch'ing Dynasty**, established by Manchus from Manchuria, 1644-1911
 - a. Gradually became Chinese in attitudes and habits
 - b. **Ch'ien-lung** expanded territory to include Turkestan, Burma, Tibet
 - c. Used subtle, effective political, commercial, defense policies with neighbors

B. Global Networks and the Challenges to Manchu Rule

1. China dealt with numerous 18th-c. revolts
 - a. Uprisings in Taiwan, Kansu, Hunan, Kweichow, Shantung indicated problems
 - b. Central Kingdom suppressed them
2. China dealt imperiously with foreign merchants
 - a. Did not recognize or receive diplomats
 - b. Restricted foreign merchants to Guangzhou (Canton), Portuguese Macao
 - c. Controlled trade, taxes

C. Opium and Trade

1. Foreigners irritated by Chinese policies
 - a. High customs duties
 - b. Attempt to block opium trade
2. Opium trade flourished
 - a. British brought opium from India to balance trade deficit with China

- b. Opium became recreational drug
- c. Huge profits made servicing Chinese addicts
- d. By late 1830s, 30,000 chests, each with 150 pounds of extract entered China
- 3. Empire faced other problems
 - a. Army became corrupt
 - b. Tax farmers abused people
 - c. Emperors unable to rule effectively
 - d. Chinese lost favorable balance of trade
- 4. British sought more trade rights, opium trade
 - a. Commissioner Lin seized and burned opium in Guangzhou (Canton), 1839
 - b. British occupied positions around Canton
 - c. **Opium War** revealed China's backwardness
 - d. **Treaty of Nanking** gave Britain trade advantages, Hong Kong (Xianggang)
 - e. France and the U.S. got "**most favored nation**" rights
 - f. Began "period of unequal treaties"
- 5. British and French fought "**Second Opium War**," 1856, ended with **Treaty of Tientsin**
 - a. Foreigners gained more rights in China, including **extraterritoriality**
 - b. U.S., Russia gained same privileges in separate treaties
 - c. After 1860, China a helpless giant

D. Qing Foreign Policy

- 1. Trade, military conflicts revealed Western technological, military superiority
- 2. Chinese faced challenge to adapt Western technology while preserving Chinese culture
- 3. Tension existed between preservers and modernizers
- 4. **T'ung Ch'ih Restoration** movement attempted to strengthen Manchus
 - a. Hard to adopt new form in stressful period
 - b. Manchus lost prestige with concessions to "foreign devils"
 - c. Revolts in north, south, west showed widespread discontent
- 5. **Taiping Rebellion**, 1850-1864, revealed intensity of anti-Manchu sentiment
 - a. Fought to gain Heavenly Kingdom of Great Peace
 - b. **Hung Hsiu-ch'uan** saw self as Jesus's brother
 - c. Struck at vice, Confucianism, private property, landlords
 - d. Reached 17 of China's 18 provinces
 - e. 20 to 30 million people died
- 6. Conservative coalition, dominated by **Cixi** (Dowager Empress) led China until 1908
 - a. Bright, ambitious, skillful, reactionary
 - b. Crushed reformers, misused funds, weakened land

E. Carving Up China

- 1. After Opium War, China began ceding territory, spheres of influence to foreigners
 - a. Russia gained Vladivostok, area north of Amur River in **Treaty of Peking**
 - b. France took Indochina, 1885

- c. Britain took Burma, 1885
 - d. Macao ceded to Portugal, 1887
2. ***Treaty of Shimonoseki*** humiliated China after Sino-Japanese War, 1895
 - a. China recognized independence of Korea
 - b. Ceded Taiwan (Formosa) to Japan
 3. Europeans made more demands on China
 - a. Germany gained 99-year lease on Kiaochow Bay, mining, railroad rights in Shantung
 - b. Russia gained 25-year lease to Dairen and Port Arthur, railroad rights in Manchuria
 - c. Britain gained lease of Weihaiwei, naval base
 - d. France leased Kwangchow
 4. U.S. feared exclusion from China; won support for ***Open Door Policy***
 5. Young intellectuals agitated for reforms, liberation from foreign dominance
 - a. ***K'ang yu-wei*** proposed liberal reforms
 - b. Young emperor (Cixi's nephew) approved them, "***hundred days of reform***"
 - c. Cixi blocked reforms, imprisoned nephew
 - d. Anti-foreign secret societies, Righteous Harmony Fists (Boxers) formed
 6. ***Boxers*** tried to get rid of all "foreign devils"
 - a. Many foreigners killed
 - b. International army marched to Peking (Beijing), 1900
 - c. China was forced to apologize, pay large indemnity
 7. Cixi finally acknowledged need to reform
 - a. Sanctioned changes in state examination system, education, government structure
 - b. Too little, too late
 8. Revolution broke out, Republic of China proclaimed, 1912

IV. JAPAN: MODERNITY AND IMPERIALISM

A. Western Trade

1. Japan responded to Western advance in alert, united manner; adapted technologies and structures to strengthen Japanese core
2. Tokugawa Shogunate had kept Japan united and at peace since 1603
 - a. Shogun, essentially a military dictator, still ran country from ***Edo***
 - b. Japanese emperor at Kyoto, served as symbol of unity
 - c. Feudal lords (*daimyo*) acted as officials, ruled with aid of samurai
 - d. Feudal structure contained, but did not respond to, social, political unrest in country, cities
 - e. Social structure reflected assumption of agrarian foundation of society, politics
 - f. Urban, merchant class gained wealth rapidly; wealthier than samurai
3. By 19th c., shogunate had lost much of its force, authority
 - a. Government inefficiencies, tax collection lagged

- b. Changing conditions in cities
 - c. Flow of Western information began to undermine traditional system
- 4. Foreigners, traders, missionaries barred from entering country
- 5. U.S. sent **Commodore Matthew Perry** with small fleet to Edo, 1853
 - a. Asked for trade treaty; shogun agreed
 - b. **Treaty of Kanagawa**, opened two ports, permitted some trade
- 6. Increasing contact with West further strained Japanese political structure
 - a. Anti-foreign sentiment rose, some attacks on Westerners
 - b. Others recognized need to accommodate
 - c. European, American fleets bombarded Kagoshima, Shimonoseki
- 7. Dual system of government, with shogun and emperor, ended, January 1, 1867
 - a. Emperor returned to Edo (renamed Tokyo, “eastern capital”)
 - b. Shogun abolished

B. The Meiji Restoration (1868-1912)

- 1. The post-1867 Japanese leaders successfully learned how to compete with West
 - a. Young, mostly of samurai origin
 - b. Understood nature, threat of Western power
 - c. Proposed forming rich, strong military
- 2. Young emperor, **Meiji** (“enlightened government”), oversaw transition
 - a. Japan had learned from China in past
 - b. Set out to learn from West how to create industrialized, bureaucratized state
 - c. Ended feudal system, 1871; reformed education, army, navy
- 3. Japan wrote constitution based on German model, 1889
 - a. Sent commission to study different governments, 1882; most impressed with Bismarck’s Germany
 - b. Cabinet responsible to emperor (not Diet)
 - c. Only army and navy could appoint ministers; thus have power to overthrow cabinet
 - d. Diet (assembly) could refuse to pass unpopular budgets in peacetime
 - e. Emperor held sovereign power, considered “sacred, inviolable”
- 4. Other reforms modernized Japan
 - a. National conscription
 - b. German, French advisers for army; British advisers for navy
 - c. Government initiated founding of banks, factories, businesses; later turned them over to private ownership
 - d. Calendar changed
 - e. Foreigners built railways, telegraphs, lighthouses, dockyards, warships

C. Japan’s Success

- 1. Government had liberal, parliamentary look
 - a. In reality, ultraconservative
 - b. Japan first Asian nation to have high degree of literacy, but education state tool to produce docile servants
 - c. Press censored, controlled

2. Army used as means of making draftees totally loyal
 - a. Japanese admired soldiers most of all
 - b. Warfare, supreme vocation
 - c. Knew from West essential needs for power
3. Conservative samurai resisted laws cutting their power, prerogatives such as carrying swords
 - a. Civil war broke out in some districts
 - b. Government army destroyed samurai opposition
4. Oligarchy controlled transition
 - a. Maintained symbolic centrality of emperor
 - b. Worked through *Shintoism* to instill unlimited loyalty, unity
5. Strength shown to world in wars with China, Russia
 - a. *Sino-Japanese War*, 1894-1895
 - b. *Russo-Japanese War*, 1904-1905
6. *Treaty of Portsmouth* gave Japan many benefits
 - a. Half of Sakhalin Island
 - b. Leaseholds on Liaotung peninsula, Port Arthur
 - c. Railway, mining rights in southern Manchuria
 - d. Unchallenged position in Korea

CONCLUSION

1. Western imperialism had different effects.
 - a. Influx of Europeans, Africans changed demographic makeup of Latin America
 - b. China declined, split into spheres of influence
 - c. India under direct British political rule, economic domination
2. Japan successfully adapted Western technology, modern systems to become dominant Asian power.
3. Unresolved Eastern Question left potentially explosive problem of small power nationalism, great power expansion.

CONCEPTUAL HOOKS

TIMELINE: 1821-1915

DEFINITIONS

dual control: 1818-1858, the division of the subcontinent into British India, ruled from London, and Indian India, ruled by local dynasties under British supervision. Parliament passed laws in 1773 and 1784 allowing it to control the East India Company.

British East India Company: Firm created in 1600 that received a monopoly over trade between Cape of Good Hope and the Magellan Strait. After 258 years, in the wake of rebellions, the government ended the company's political role.

suttee: The Hindu practice in which widows burned themselves on the funeral pyres of their deceased husbands. Prohibited by law in 1829.

thuggee: Brutal system of banditry and murder broken up by a secret police force

Sepoy Rebellion: 1857, Indian Muslim and Hindu troops who formed the company's armed forces started the uprising when they complained that a new cartridge issued to them was smeared with the fat of cows and pigs. Rebellion marked final Mughul collapse.

plantation economy: Large commercial agricultural system introduced into Southeast Asia to meet the world's demand for coffee, tea, pepper, and other products.

culture system: In Dutch-controlled parts of Southeast Asia, one-fifth of all native land and the natives' time was set aside for the government after 1830s. Production increased tremendously.

Ch'ing Dynasty: Established by Manchus from Manchuria, descendants from the Tartars who appreciated Chinese civilization but tried to maintain separation between themselves and Chinese

Ch'ien-lung: 1736-1795, one of the most successful of the Manchu emperors, who oversaw a time of great expansion

Opium Wars: First with British defeating Chinese, 1840-1842, second with British and French defeating Chinese, 1856. Involved Westerners' desires for greater trade rights, opium trade.

Treaty of Nanking: 1842, in which China agreed to the provisions that ceded Hong Kong (Xianggang) to Great Britain, opened other ports including Guangzhou (Canton) to British residence and trade

most favored nation: When French and Americans approached the Chinese to gain advantages similar to those given the British by the Treaty of Nanking, they were given this status in 1844.

Treaty of Tientsin: 1858, ended Second Opium War and opened new ports to trading, gave Christians right to spread their faith, allowed travel in the interior, permitted foreign warships to sail on Chinese rivers, and recognized extraterritoriality.

extraterritoriality: In a dispute with the Chinese, Westerners gained the right to be tried in their own country's consular court. Westerners viewed Chinese concepts of justice as harsh and rigid; Chinese saw this practice as limiting their sovereignty.

T'ung ch'ih: A restoration movement started in 1860 to strengthen the Manchus by preserving Chinese culture while trying to use Western technology

Taiping Rebellion: 1850-1864, fought to attain the Heavenly Kingdom of Great Peace, sought in face of widespread social and economic discontent. Twenty to thirty million people died.

Hung Hsiu-ch'uan: Leader of rebellion, considered self Christ's little brother whose task it was to bring salvation to China. Led the poor, fought, gained control of large part of China. Fought corruption, eventually defeated.

Cixi: 1834-1908, in power 1861-1908, also known as Orchid, Yehonala, Yi Concubine, Old Buddha. She had an intriguing career from her entry into court as a concubine. Bright and ambitious, she mastered ceremonial life and palace politics. As Dowager Empress, she led a conservative coalition, stifled reform, squandered funds, stirred xenophobia.

Treaty of Peking: 1860, ceded Russia entire area north of Amur River, site of city of Vladivostok

Treaty of Shimonoseki: 1895, treaty signed at conclusion of Sino-Japanese War in which China was forced to recognize Korean independence, hand over Liaotung Peninsula and Formosa to Japan

Open Door Policy: 1899, John Hay, American Secretary of State, proposed policy of equal trading privileges in China to assure American access and stop process of dismemberment of China

K'ang yu-wei: 1858-1927, enlightened liberal who proposed wide-ranging series of economic, social, political and educational reforms, basis for the "***hundred days of reform***" in 1898

Boxers: After the suppression of the reform movement, a group of secret societies united as the "Righteous Harmony Fists," known as "Boxers" to Westerners. Frustrated over China's weakness and concessions, they were anti-Manchu, then started a campaign to rid China of all "foreign devils." They killed Europeans and besieged legations in Peking. Finally an international army forced its way to Peking.

Edo: After 1867, Tokyo

Commander Matthew G. Perry: 1794-1858, commander of American fleet of two steam vessels and two sloops-of-war that entered Tokyo Bay in 1853 and made requests for trade relations that opened up Japan in 1854

Treaty of Kanagawa: 1854, first formal agreement between Japan and a Western nation. By its terms shipwrecked sailors were to be well treated and ports opened for Western trade.

Meiji: Enlightened government, title of young emperor who reigned from 1868 to 1912. During that time Japan became a modern and dynamic power, and the reform movement accomplishing that took its name from the title of the emperor.

Shintoism: Virtually the state religion of Japan that fit in nicely with the political and religious ideology of the restoration leaders. Emperor seen as descendant of Sun Goddess, could demand unlimited loyalty. Created theocratic legitimacy to complement constitutional role.

Sino-Japanese War: 1894-1895, Japan easily overpowered China. Concluded with Treaty of Shimonoseki (see above).

Russo-Japanese War: 1904-1905, Japan, formerly an isolated Eastern nation, defeated a major Western military power. The **Treaty of Portsmouth** negotiated with the help of President Theodore Roosevelt, gave Japan half the island of Sakhalin, leaseholds on the Liaotung peninsula and Port Arthur, and various Russian railway and mining rights in southern Manchuria.

DISCUSSION

Assess the costs and benefits of British imperialism in India.

Compare and contrast the culture system in Indonesia with slavery in Brazil.

Compare and contrast the Japanese and Chinese response to Western advances in the 19th century. Why were the Japanese able, and the Chinese unable, to adapt to the West's challenge?

Compare the constitutions of the German Empire and Japan in the late 19th c.

PRIMARY DOCUMENT/CRITICAL THINKING EXERCISES

After reading The Great Revolt of 1857-58, what was the primary cause of the conflict?

Given the often difficult economic relations with China in the 1990s, do you think it would help

American negotiators to be aware of the history of the “Central Kingdom’s” relations with the West, trade and otherwise, especially as communicated by Lin Tse-hsu?

Read Ito Hirobumi on the “New Japanese Constitution” and then make some generalizations about the mindset and thoroughness of the Meiji era reformers and leaders.

TESTING

Evaluate the effectiveness of British rule in India under dual control. Discuss the problems faced by the British, some of the reforms they attempted to implement, and the overall British impact on India.

How did Britain, France, the Netherlands, and the U.S. get involved in Southeast Asia and the Pacific region? Which areas did they acquire? What concerns drew them to these areas? What types of administration did they use? What products could be sold profitably on the world market? Assess the impact of Western influence on this region.

Why did the “Central Kingdom” decline so rapidly and become a “helpless giant” in a little more than a half-century after its contemptuous dismissal of British attempts to establish relations?

What factors enabled the Meiji era reformers to make the successful transition from a potential target of the West to being an equal in the international game?

Briefly describe the Oligarchy’s program to modernize the political, economic, social, and cultural life of Japan. What was the Oligarchy’s prime goal in these reforms?

Compare and contrast the various forms of economic imperialism, political influence and/or colonialism in Brazil, Argentina, Venezuela, Indonesia, India, China, and Japan.

LECTURE LAUNCHER

Movies such as *The Rising Sun* emphasize, sometimes in bizarrely overdrawn ways, the cultural differences between the West and Japan. One definitely different approach can be seen in music. The basis of modern Japanese musical repertoire comes from the Edo period, 1603-1868. Not only do most folk songs date from the 17th century, but also classical compositions for the *koto*, *shakuhachi*, and *shamisen*.

The long zither called *koto* developed out of court music and gradually became a sign of culture among young ladies, much like the parlor piano in America. Yatsuhashi Kengyo (1614-1685), a blind *shamisen* performer who switched to *koto* playing, is said to be the father of solo *koto* music. Although the *shakuhachi* flute was used in early court music, it declined in importance in the 10th century. It is said that the *shakuhachi* was reintroduced in 1255 by the leader of a guild of ex-samurai who became wandering Zen priests. Because they were not allowed to carry their

swords, the design of the *shakuhachi* flute was altered to make it suitable for a club-like weapon. As they wandered through the streets, these itinerant monks wore a wicker basket face covering while playing their bamboo flutes. It is commonly believed that the monks served as spies and police informers. Tradition holds that the *shamisen* guitar was introduced into Japan in 1562. The first to take it up were storytellers who accompanied themselves with *shamisen*.

It soon became the backbone of theater, party, and folk music. At the end of the Edo period, trio music for *koto*, *shakuhachi*, and *shamisen* gained popularity. The music is intended for enjoyment at home in a comfortable setting. The refined melodies furnish a taste of the elegant, sophisticated cultural life of traditional middle- and upper-class Japanese.

THE INSTRUCTOR'S TOOL KIT

AUDIO CASSETTES

Rudyard Kipling. *Gunga Din and Other Poems*

Rudyard Kipling. *The White Man's Burden and Other Poems*

From Caedmon

COROLLARY READING

Peter N. Stearns, Stephen S. Gosch, Erwin P. Grieshaber, *Documents in World History*, II
China and the West: Opium and "Self-Strengthening"

Lin Tse-hsu; Feng Kuei-fen

Language, religion, and national Identity in India

Rammohun Roy; Maulvi Syed Kutb Shah Sahib

COURSE ENHANCEMENT

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CHAPTER 25

Latin America: Independence and Dependence, 1825-1945

CHAPTER OUTLINE

Introduction

1. Latin American states after independence
2. The creation of Latin American states
3. Latin American states in the twentieth-century
3. Relationship with the United States

I. CHALLENGES TO LATIN AMERICAN STATES AFTER INDEPENDENCE

A. Common Denominators

1. Issues in 19th-century Latin America included unexplored lands, racial diversity, isolation, search for identity
2. New states dealt with nationalism, democracy, imperialism, environment
3. Alexander von Humboldt explored Mexico, Cuba, South America
4. Many Native Americans died from diseases (measles, smallpox)
5. Black slaves arrived in Brazil, 1538
6. Much racial mixing in Latin America
 - a. Racial differences less relevant in Latin America
 - b. Spanish, Portuguese traditionally had closer contact with Africans
 - c. Intermingling reduced racial tensions
7. In North America slaves regarded as property; in South America slaves had legal, moral standing
 - a. Slave could gain freedom more easily in South America
 - b. By 1860 free blacks outnumbered slaves 2 to 1 in Brazil
8. Latin American states focused on domestic matters, avoided imperialistic partition

B. The Creation of the Latin American States

1. New nations plagued by political instability and foreign economic domination
 - a. Traditional institutions, complex social problems blocked reformers
 - b. First half century after liberation a time of decline and disappointment
2. Great liberators could not keep control

- a. Urban Creoles lacked experience to govern
 - b. **Caudillos** soon took over
- 3. Spanish colonial system had ill-prepared citizens for democracy, political skills
 - a. Pattern swung toward arrogant power
 - b. Land, power concentrated in hands of few
 - c. Legacy of hatred, violence remained
- 4. Racial disunity a major dilemma
 - a. Europeans, mestizos, Indians, slaves found in varying proportions throughout Latin America
 - b. Each group had separate interests, conflicts

C. Mexico

- 1. **Antonio López de Santa Anna** debased political life in Mexico
 - a. Corrupt *caudillo*
 - b. Fought war with U.S., resulting in defeat of Mexico
 - c. Overthrown, 1855
- 2. **Benito Juárez** planned reform program (**Reforma**)
 - a. Wanted to establish democratic republic, reduce political, economic power of Church, raise involvement of Indians, mestizos
 - b. Survived civil war following anticlerical moves, 1861
- 3. French intervened, claiming Mexico had not paid debts to foreigners
 - a. Set up puppet regime
 - b. U.S. involved with own civil war
 - c. Regime overthrown, French expelled, Juárez returned briefly
- 4. **Porfirio Díaz** stabilized politics, brought in European capital
- 5. **Francisco Madero** briefly led revolutionary movement
 - a. Murdered
 - b. Revolutionary movement continued

D. Argentina

- 1. Split between Buenos Aires' interests and **gauchos**
 - a. After 1852 stable republic, solid constitution
 - b. Most European of New World republics
- 2. Foreign capital brought extensive development
 - a. Wheat, livestock production on *pampas* (rich grassland)
 - b. After 1880, refrigerated ships carried beef exports to Britain in exchange for investment capital

E. Brazil

- 1. Former Portuguese colony avoided chaos
 - a. Emperors Pedro I and II gave constitution allowing political liberty, economic progress
 - b. Immigration, foreign investment, economic growth
 - c. Southeast developed more robustly than north
- 2. Abolition of slavery, 1888, hurt sugar plantation owners

3. Military coup in 1889 brought generation of more typical Latin American events
4. Stability returned by 1914
5. The End of Brazilian Slavery

F. Other Latin American Nations

1. Many suffered pattern of political turmoil, racial disunity, economic exploitation
 - a. Bolivia had several revolutions; Peru stagnated
 - b. Great Colombia dissolved into Colombia, Venezuela, Ecuador by 1830
 - c. Brazil, Argentina intervened in Uruguay
2. Chile stable under conservative oligarchy
3. Five Central American states asserted independence
4. Dominican Republic gained independence
5. Several Caribbean islands under foreign domination

II. TWENTIETH-CENTURY LATIN AMERICA

A. Limited Political and Economic Reform

1. The Mexican Revolution
2. The first major revolution of the 20th century
3. Porfiro Diaz's economic reform
4. Plan of San Luis Potosi
5. Emiliano Zapata
6. Francisco "Pancho" Villa
7. Pasqual Orozco
8. Venustiano Carranza
9. Party of Revolutionary Institutions (PRI)

B. Brazil

1. Between 1872-1930, two million immigrants arrived in Brazil
2. Most important export was coffee
3. Wall Street crash of 1929
4. The army installed Getulio Vargas as president

C. Argentina

1. Political system was authoritarian with some trappings of democracy
2. Struggle between the economic power of the landowning elite and the electoral clout of the urban working and middle classes
3. U.S., "Colossus of the North," dominated region through ***Dollar Diplomacy***
4. Venezuelan incident, 1902-1903
 - a. Several European countries blockaded Venezuela, demanding debt repayment
 - b. U.S. President Theodore Roosevelt became suspicious of German intentions, intervened, affair resolved through international arbitration
 - c. Issued ***Roosevelt Corollary*** to the Monroe Doctrine
5. U.S. acquired Spanish possessions after Spanish-American War, 1898

- a. Annexed Puerto Rico, administered Philippines
- b. Cuba gained independence under U.S. tutelage, articulated in *Platt Amendment*

CONCEPTUAL HOOKS

TIMELINE: 1825-1945

DEFINITIONS

Panama Canal: Key saltwater link between American East and West coasts and symbol of American big stick diplomacy. The U.S. bought the French rights to the canal site, but Colombia refused to ratify a treaty to allow the U.S. to build a facility. Roosevelt, with money from J.P. Morgan, financed a revolution in Colombia, created the new country of Panama, and concluded a canal treaty with that new state.

caudillos: The crude military leaders who, with their armed gangs, struggled for power throughout Latin America in the century after independence.

Antonio López de Santa Anna: 1795-1876, Mexican military dictator who massacred the defenders of the Alamo, debased the political life of his country, and carried out an incompetent war with the United States.

Reforma: The Mexican reform plan under the leadership of ***Benito Juárez*** (1806-1872) to establish a more democratic republic, destroy the political and economic force of the church, and include the mestizos and Indians in political life. Provoked a terrible civil war, with the apparent victory of Juárez. Foreign debts led to French intervention and the imposition of Maximilian as emperor.

Porfirio Díaz: 1830-1915, served as president 1877-1880 and 1884-1911. Though ruling as a dictator, he helped stabilize Mexican politics and encouraged cultural endeavors. Foreign companies invested heavily in Mexico. Status of Indians declined. Church increased land and wealth.

Francisco Madero: 1873-1913, frail, eccentric man who successfully led a revolution in Mexico. He was murdered in 1913; still, after a period of turmoil, a determined group brought about a revolutionary party.

gauchos: Colorful, nomadic Argentinean cowboys and bandits whose way of life has been romanticized in literature and folklore.

Roosevelt Corollary: 1904, President Theodore Roosevelt expanded on the Monroe Doctrine. He stated that chronic wrongdoing by Latin American governments might result in U.S. intervention. He warned that the U.S. would “speak softly, but carry a big stick.”

Platt Amendment: 1901, Cuban constitution recognized that U.S. might intervene for “preservation of Cuban independence.”

Dollar Diplomacy: The coordinated activities of American foreign investors and the U.S. State Department to obtain and protect concessions for investors. Led to concessions for Americans in more than a dozen Latin American Republics.

DISCUSSION

If you were in charge of U.S. foreign policy toward Latin America before 1914, how would you have changed American diplomacy?

Did the revolutions in Latin America change the political, economic and social environment?

In an age of imperialism, Latin America states remained independent. How was this possible? Was it more illusion than reality?

PRIMARY DOCUMENT/CRITICAL THINKING EXERCISES

After reading “Newspaper Advertisements for Runaway Slaves in Brazil” explain why these descriptions offer insight into the nature of slavery and the reasons why slaves sought to escape from their masters.

After reading “Civilization and Barbarism” explain why the pampas was the source of Argentine barbarism and the gauchos as the epitome of cultural backwardness.

After reading “Jose Marti’s Observations on the United States and Cuba” give examples of the relationship between the United States and Cuba.

TESTING

Trace Mexican history from 1821 to 1945. How successful was the country in dealing with the challenges it faced? Assess the roles of Santa Anna, Juárez, and Madero in the first century of the country’s history.

LECTURE LAUNCHER

Latin American countries experienced a number of changes during the 19th century. Breaking away from colonial power, the Latin American countries began their road to independence. Each country had a number of similarities they shared and a number of differences that brought about independence. A big concern of the Latin American countries in the 19th century was the United States. U.S. foreign policy played a very important role in the politics of each country. In many ways the U.S. dealt with each country according to *Roosevelt Corollary*, *Platt Amendment*, *Dollar Diplomacy*. But also in many ways the U.S. treated each Latin American country according to its own interest which often did not relate to the stated policy of the U.S.

INSTRUCTOR'S TOOL KIT

Peter N. Stearns, Stephen S. Gosch, Erwin P. Grieshaber, *Documents in World History*, II
Independence and Consolidation of New States (1810-1914)
Simón Bolívar; Gabino Barreda; Porfirio Díaz
Economy and Society of Latin America: "Slavery" on the Plantations of Yucatán
Channing Arnold and Frederick Tabor Frost
Literature and Cultural Values: "Civilization and Barbarism"
Domingo Sarmiento: Life in the Argentine Republic

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CHAPTER 26

Politics And Diplomacy In The West: 1815-1914

CHAPTER OUTLINE

INTRODUCTION

1. Nineteenth-century doctrines of nationalism, liberalism, conservatism, socialism expressed new formulas for hopes of humanity.
 - a. Prior to 1848 these doctrines were regarded as articulated plans for future programs.
 - b. After the collapse of the Revolutions of 1848, these ideologies buttressed, justified various political actions.
2. Western politics after 1871 built around *realpolitik*.
 - a. Germany built around Bismarck's Prussia.
 - b. U.S. maintained unity after civil war.
 - c. Balkans struggled for independence.
 - d. United Kingdom controlled world markets.
3. Western states engaged in mass politics, built efficient systems.
 - a. Germany, France, United Kingdom, United States dominated.
 - b. Russia, Italy, Austria-Hungary operated with flawed infrastructures, fell behind.
4. Political power vacuum in Ottoman-dominated Europe threatened international stability.

I. THE VIENNA SETTLEMENT AND THE REASSEMBLING OF EUROPE

A. The Congress of Vienna

1. After Napoleon in Elba exile, *Congress of Vienna* met to establish peace, stability
 - a. All but Ottoman Empire represented
 - b. Wartime unity disappeared
 - c. **Leaders** of great powers included Castlereagh (Br.), Hardenburg (Prus.), Alexander I (Rus.), Metternich (Aus.), Talleyrand (Fr.)
2. Twenty-five years of warfare created many problems
 - a. Status of France
 - b. Political boundaries, lost territory
 - c. Displaced monarchs
3. After Napoleon's 100-day return, deliberations resumed along traditional balance of power perspective, largely ignoring democratic, liberal, nationalistic forces
4. Congress followed four main principles

- a. Legitimacy: old ruling families restored to thrones
- b. Encirclement of France: creating strong neighbor states
- c. Compensation: land exchanges to balance gains, losses
- d. Balance of power: solutions to attain relatively equal strength among powers
- 5. Holy Roman Empire remained dissolved, German Confederation dominated by Austria
- 6. Forty years of general peace followed, no major European war until 1914

B. The Congress System

- 1. Allies sought arrangements to maintain postwar order, peace, stability
 - a. Tsar Alexander proposed vague ***Holy Alliance***
 - b. Britain, Russia, Prussia, Austria agreed to ***Quadruple Alliance***
- 2. ***Congress System*** provided collective security to suppress challenges to status quo
- 3. Metternich arranged meetings at ***Troppau, Laibach, Verona*** to deal with uprisings
 - a. Troops sent to Italy, Spain to crush liberal revolts
 - b. Britain began to withdraw into “splendid isolation”
- 4. Congress System considered intervention to deal with Latin American revolutions
 - a. Britain objected
 - b. ***Monroe Doctrine*** warned against European interference in Western Hemisphere
- 5. After 1825 Congress System little more than Austro-Russian alliance
 - a. Metternich set agenda
 - b. Russians acted as policeman of Europe

C. Return of the Bourbons

- 1. Restored ***Louis XVIII*** in untenable situation
 - a. Dull, unpopular, tried to mollify extremes
 - b. Granted charter, type of constitutional document that kept most of post-1789 changes, criticized by right wing
 - c. Brother, Charles X, reactionary, tried to return to pre-1789 ways, overthrown, 1830
- 2. Liberal, nationalistic forces led to upheavals after 1815
- 3. Upper classes, gentry formed new regime
 - a. ***Louis Philippe***, self-styled “citizen king”
 - b. Ruled for the interest of top 200,000

D. The French Influence in Belgium and Poland

- 1. Paris uprising moved Belgians to seek independence from Dutch
 - a. Artificially united with Dutch through Peace of Vienna (1815)
 - b. Culturally separated from Dutch
 - c. Rebelled in 1831, drew up liberal constitution
 - d. Belgium recognized as “perpetually neutral state”
- 2. Poles also rose up in wake of French events
 - a. Crushed by Russians
 - b. Diverted tsarist troops from Belgian invasion

E. German and Italian Nationalism

1. Napoleon had spread the seeds of nationalism
 - a. Domination, direct rule spread desire for change
 - b. Nationalism threatened Habsburg rule in multiethnic, multicultural Empire
2. Metternich sought to maintain Austrian domination at Vienna, suppressed liberal, nationalistic stirrings
 - a. Fought currents of nationalism, romanticism
 - b. Crushed **Burschenschaften** at Wartburg
 - c. Enacted Carlsburg Decrees to fight liberals
 - d. Feared growing Slavic nationalism
3. Fragmented Italy began to search for unity under Giuseppe Mazzini and **Young Italy** movement

II. 1848: THE REVOLUTIONARY YEAR

A. France and the Second Republic

1. 1848 events in Paris sparked overthrow of old order
 - a. Events spread across the Rhine, revolts erupted
 - b. Metternich fled, Prussian king compromised
2. 1848 French revolt stemmed from economic problems, political frustrations
 - a. **Banquet** gatherings, police action started revolt
 - b. Barricades blocked police, Louis Philippe fled
3. Replaced by Second Republic (1848-1851)
 - a. Inexperience, social conflicts led to failure
 - b. **Louis Blanc** and socialists set up workshops
 - c. Middle class interests disbanded them
4. **June Days** led to violence in the streets
 - a. Workers raised red flag, set up barricades to overthrow the government
 - b. Bourgeoisie, police crushed socialists
 - c. Set up legacy of lasting social strife

B. Germany and the Frankfurt Assembly

1. Example of French February revolution spread to Berlin in March
2. **King Frederick William** made concessions rather than war
 - a. Refused to fire on his “dear Berliners” who had erected barricades
 - b. Promised a parliament, constitution, and a united Germany
3. **Frankfurt Assembly** opened in May
 - a. Liberals wanted constitution, German unification
 - b. Over 500 delegates debated issues for 11 months
 - c. Approved “Declaration of the Rights of the German People”
 - d. Approved constitution
4. Conservatives regained momentum, ended hopes of liberal united Germany
 - a. Austria refused to join union

- b. Prussian King Frederick William refused to serve as king of the proposed Reich, saying that he would not “pick up a crown from the gutter”
- 5. Many middle-class German liberals fled to U.S.

C. Italy

- 1. Uprisings broke out in response to French events
 - a. **Sardinia**, Tuscany issued constitutions
 - b. Absolute government almost disappeared
- 2. Liberal tide did not resist conservative rollback
 - a. Austrians defeated Sardinians at Custoza
 - b. Victor Emmanuel II succeeded to throne
- 3. Alienation of Pope Pius IX blow to unity drive
 - a. Romans forced him to flee, declared republic
 - b. French crushed republic in 1849
 - c. Pope returned, remained hostile to liberal causes

D. The Habsburg Monarchy

- 1. 1848 took tragic toll in Habsburg lands
 - a. Hungarians rose under **Louis Kossuth**
 - b. Effects spread to Prague, Vienna
- 2. Hungarians wrote a new liberal, although nationalist, constitution ending serfdom, protecting civil rights
 - a. Emperor accepted reforms
 - b. Mood shifted in summer, German, Czech nationalities argued, Magyars oppressed Slavs, Romanians
 - c. Liberals, nationalists split
 - d. Movements put down in Prague, Vienna
- 3. South Slavs under **Jellachich** protested lack of national independence; civil war broke out
 - a. Jellachich, now imperial general, fought Magyars
 - b. **Franz Joseph** repealed concessions to Budapest
- 4. Magyars declared complete independence
 - a. Austrians aided by 100,000 Russians, responded
 - b. Defeated Hungarians in bloody struggle

III. PRUSSIA, GERMAN UNIFICATION, AND THE SECOND REICH

A. Otto von Bismarck

- 1. King called **Bismarck** for assistance in 1862 stalemate over budget
 - a. Liberals asserted right to approve taxes
 - b. Bismarck urged king to ignore them, build army
 - c. Bismarck became leader of unification movement
- 2. Bismarck a master politician who astutely assessed political scene, knew the use of force
 - a. Proponent of realpolitik, image making

- b. Neutralization of Russian threat in 1863 prime example of his skills
- B. Austria and Prussia to 1861
 - 1. Austrians much weaker after 1848
 - a. Stymied by Hungarian passive resistance
 - b. Loss to French, Sardinians showed weakness
 - 2. Prussia marched from strength to strength
 - a. Effective, unified political structure
 - b. **Zollverein** brought economic strength
 - 3. Prussians wanted to form North German Confederation
 - a. Austrians and Russians called meeting at **Olmütz**
 - b. Prussians humiliated, forced to withdraw plan
- C. The Danish and Austrian Wars
 - 1. Bismarck persuaded Austrians to ally with Prussia to fight Denmark, 1864
 - a. Fought for Schleswig and Holstein, brief 6-week war
 - b. Split prize with Austrians
 - 2. Next, diplomatically isolated Austria before Austro-Prussian War, 1866
 - a. Convinced France to remain neutral
 - b. Promised Italy Venetia, in return for support against Austria
 - c. Lured Austria into war, won in seven weeks
 - d. Battle of Sadowa followed by moderate peace
 - e. Formed North German Confederation
- D. The War with France, 1870
 - 1. France was isolated by Bismarck's diplomacy
 - a. **Ems Dispatch** outraged both countries
 - b. France declared war, easily defeated by superior Prussian forces at Sedan, siege of Paris
 - 2. Treaty of Frankfurt demanded large indemnity, cession of Alsace and part of Lorraine
 - a. **Second Reich** proclaimed at Versailles
 - b. William I crowned emperor

IV. THE SECOND GERMAN REICH

- A. Bismarck as Chancellor
 - 1. Believed effective states had one faith, one law, one ruler
 - 2. Distrusted Catholic church, Socialist party
 - a. Launched **Kulturkampf** against church
 - b. Tried to suppress socialists, later undercut them by adopting their program of sickness, accident, old age pensions
 - c. Eventually compromised on both issues

B. *Kaiser William II*

1. New emperor lacked finesse, intelligence of father
 - a. Resented Bismarck, pressured him out
 - b. Yet beneath bluster, modern, diverse German state, society developed
2. Germany made great strides
 - a. Dominated world market in chemicals, electrical industries
 - b. High literacy, vocational training, government-supported industry

V. THE DUAL MONARCHY

A. Austria and Hungary

1. After defeat in Austro-Prussian War, Austria offered Hungarians equal partnership
2. Dual Monarchy structure haphazard
 - a. Ethnic crises remained in both parts
 - b. A shell of an empire, eight languages
3. Hungarians forced Magyarization, restricted minorities

B. France and the Second Republic and Third Republic

1. June Days' uprising led to **Louis Napoleon**'s election
 - a. Served as president of Second Republic
 - b. Had spotty career, convinced of own destiny
2. Louis Napoleon, allies overthrew Republic in coup
 - a. Put down enemies, engineered plebiscite
 - b. Proclaimed self Emperor Napoleon III, announced existence of Second Empire
3. Eighteen years of Second Empire fruitful
 - a. Industrialization brought prosperity
 - b. Labor unions partially legalized
 - c. **Georges Haussmann** transformed Paris
4. Regime imposed political controls, rigged elections, censored press
 - a. Sought imperial glory in ill-advised moves in Mexico, expansion in Indochina, Tahiti, Africa
 - b. Met match, end of rule, with Bismarck

C. The Third Republic: A Shaky Beginning

1. Second Empire defeat, treaty, Versailles declaration gave humiliating birth to Third Republic
 - a. Country elected monarchist majority to assembly
 - b. After sacrifices in vain during siege of Paris, republican and radical Parisians formed **Commune**
 - c. Assembly savagely repressed Commune, left legacy of class hatred
2. Monarchist factions could not agree on person for king
 - a. Chose republic as least disagreeable compromise
 - b. Constitution approved 1875, weak executive elected by legislature

D. The Boulanger and Dreyfus Affairs

1. Third Republic shaken by crises, scandals
2. **Boulanger affair**, warmonger, demagogue, stirred up passion for revenge, arrested for conspiracy
3. **Dreyfus case**, far more serious
 - a. Divided, polarized entire country
 - b. Injustice attacked by **Zola**
 - c. Dreyfus finally found innocent
 - d. Church, state ended all ties
4. Third Republic prosperous, stable, with basic democratic rights

VI. ITALY TO 1914

A. Italian Unification

1. Sardinia sponsored unification movements
 - a. Victor Emmanuel II refused to withdraw liberal constitution granted by his father
 - b. Prime Minister **Cavour** assumed leadership
2. First goal to free Italy from Austrian domination
 - a. Joined in Crimean War to gain British, French as allies
 - b. Napoleon III supported Italy against Vienna
 - c. Italy, Sardinia lured Austrians into war, defeated them at **Magenta and Solferino**
 - d. Napoleon then broke pledge with Italy, kept gains without fulfilling deal with Cavour
3. Cavour made gains in north through plebiscites
 - a. **Garibaldi** conquered Sicily, Naples
 - b. Cavour convinced him to recognize king's power
 - c. Kingdom of Italy proclaimed, 1861

B. Italy after Unification

1. United in 1861, faced difficult problems
 - a. North/south differences, resource problems
 - b. Population explosion hampered reform efforts
2. Conflict with papacy, Pope Pius IX, over Law of Papal Guarantees
 - a. Conflicting political parties, violence marked Italian events, King Umberto assassinated
 - b. State made major gains in many areas: railroad, naval building, social welfare
3. Ambitious leaders tried to build an empire without success
4. Economic, labor crises, poverty in south
5. Thousands emigrated to U.S.

VII. THE UNITED KINGDOM

A. British Flexibility

1. Britain experienced immediate postwar strife
 - a. **Peterloo Massacre**, Luddites
 - b. Tory leader Wellington (Iron Duke) responded with repression
2. Whigs led by reformers Canning, Peel, Grey
 - a. Grey in 1832 pushed Parliamentary reforms
 - b. Backed by king, began more equitable system

B. The Reformist Tide

1. Laws passed affecting all aspects of society
 - a. Capital punishment, Catholic emancipation
 - b. **Chartism** movement kept pressure for reform up
2. Liberalism became dominant, free trade prevailed
 - a. Suited socio-economic conditions
 - b. **Corn Laws** repealed

C. The Irish Problem

1. Orangemen (Protestant Scotch-Irish) emigrated to northern Ireland (Ulster)
2. British passed restrictive, oppressive laws
 - a. Act of Union (1801) ended Irish self-government, all laws made in London
 - b. Irish farmland passed to greedy landlords
 - c. Peasants could not pay rents, evicted
3. Potato famine (1845) resulted in _ million deaths, massive emigration to U.S.
4. British made some concessions
 - a. Catholic Emancipation Act (1829)
 - b. Protection from arbitrary eviction
 - c. Disestablishment of Irish Anglican Church
 - d. Opportunity for peasants to regain lost land

D. Gladstone and Disraeli

1. Wealth, adaptability allowed Britain to build democratic political structure
 - a. State backed business, improved welfare
 - b. **Gladstone** (liberal) and **Disraeli** (conservative) carried reform flag
2. Sharply contrasting backgrounds
 - a. Gladstone from wealth, good social position
 - b. Disraeli from Jewish background, middle class
3. Both had to reverse **Victorian Compromise**
4. Disraeli sponsored Second Reform Bill (1867), increased electorate by 88%
5. Gladstone's Glorious Ministry (1868-1874) passed several reforms
 - a. Improved education
 - b. Revamped civil service, used open exams
 - c. Improved military, abolished flogging, sale of offices

- d. Reorganized justice system
- e. Introduced secret ballot
- 6. Disraeli's Tory democracy also brought reforms
 - a. Public housing
 - b. Food and drug legislation
 - c. Union rights
- 7. Gladstone's Third Reform Bill (1884) gave vote to agricultural workers, passed Employers' Liability Act to compensate workers in case of accident
- 8. Irish question posed problems for Gladstone
 - a. **Charles Stuart Parnell** gained Gladstone's support for home rule bill
 - b. Strong opposition, bill twice defeated, finally passed 1914
 - c. Home rule postponed when World War I began
 - d. Easter Uprising (1916) showed intensity of Irish nationalism
 - e. Ireland (except for Ulster) gained independence, became dominion, 1921

E. The New Liberals

- 1. Home rule fight split Liberals
 - a. Paved way for 10 years of Conservative rule
 - b. Social, economic problems remained
 - c. **Labour party** founded in 1900
- 2. Liberals responded with new program
 - a. **Lloyd George** embraced welfare state
 - b. Old Chartist demands essentially met
 - c. Parliament Bill of 1911 took away House of Lords' power of absolute veto
- 3. Women gained the right to vote after World War I
 - a. Women's suffrage promoted by **Emmeline Pankhurst**
 - b. Women over 30 won vote in 1918, equal voting rights gained in 1928

F. The Dominions

- 1. Dominions supported Britain as allies, customers, suppliers of raw materials
- 2. South Africa
 - a. Rivalry, distrust between Boers, English settlers
 - b. **Boer War** ended in defeat of Boers, magnanimous peace
 - c. Union of South Africa (1909) brought self-government, dominion status
 - d. Louis Botha, first president, strove to create new, blended South African identity, assumed subservient status of black majority
- 3. Australia
 - a. Discovered 1600s, British first arrived, 1788
 - b. Convicts settled at Sydney, freed after seven years
 - c. Free settlers began to arrive
 - d. Ended penal colony, 1840
 - e. Colonies attained liberal self-government, 1880
 - f. Colonies united to form Commonwealth of Australia, 1901
- 4. New Zealand
 - a. First European settlers escaped Australian convicts

- b. British asked to protect islands, signed agreement with **Maoris** to guarantee rights
- c. Became wealthy, agricultural exporting country
- d. With Australia, politically, socially advanced
- e. Advanced electoral reforms in 1880s, 1890s
- 5. Canada
 - a. British gained Canada after Seven Years' War, **Quebec Act** (1774) guaranteed French Canadian rights, British population grew
 - b. Attempted U.S. conquest repulsed
 - c. **British North America Act** (1867) gave Canada internal self-government
 - d. Developed interior, transcontinental railroad
 - e. Treaty of Washington, landmark of arbitration, worked out differences between U.S., Canada, 1871
 - f. Sir John A. Macdonald, Sir Wilfrid Laurier, prime ministers, encouraged economic development of interior, building transcontinental railroad, immigration
 - g. Bicultural problems, Quebec, still a dilemma

VIII. THE UNITED STATES

A. Democratic Advances

- 1. Americans faced questions of free land, unfree people
 - a. Unresolved combination of two led to Civil War
 - b. Restrictions on democracy slowly removed
- 2. Influence of frontier made U.S. more democratic
 - a. Free land, vigor, and merit were major factors
 - b. Competence, not birth, major consideration
- 3. Democracy grew slowly
- 4. **Andrew Jackson** changed tone, emphasis of politics
 - a. First Western president, first born in poverty
 - b. Owed election to will of people
 - c. Idea spread that any man could hold office
 - d. Increased public education
 - e. Social background less important
 - f. Political power more closely tied to satisfying people
- 5. Americans believing in "**Manifest Destiny**," expanded westward
 - a. Oregon to 49th parallel, 1846
 - b. Texas annexed, 1845
 - c. California, southwest ceded by Mexico, 1848
- 6. New lands raised question of extension of slavery
 - a. **Missouri Compromise** did not hold
 - b. Slavery issue came to dominate all politics
- 7. Fundamental differences between North and South
 - a. South: rural, conservative, dominated by planter society
 - b. North: industrial, urban, liberal, democratic

B. The Civil War and Its Results

1. After Abraham Lincoln's inauguration, southern states seceded from the Union, forming Confederate States of America
 - a. War began when Federal warship fired on Fort Sumter, SC, 1861
 - b. Bloodiest conflict in western world; over 500,000 died
 - c. North overwhelmingly superior in manpower, industry, resources, wealth
 - d. Ended when General Robert E. Lee surrendered to Ulysses S. Grant, 1865
 - e. Lincoln assassinated a few days later
 - f. Civil War became grand epic of American history: heroism, romance, tragedy
2. North occupied South during Reconstruction Period, 1865-1877
 - a. Sought to force South to extend voting, property rights
 - b. Tacit agreement to end reconstruction, allow Southern politicians free hand to deal with former slaves
3. Southern politicians enacted state laws to restrict freedoms of African-Americans
 - a. Poll taxes, literacy tests, property qualifications for voting
 - b. Racial segregation in schools, restaurants, parks, hotels
 - c. 2500 African-Americans lynched, 1885-1918
 - d. African-Americans formed sharecropping class, mired in poverty

C. The United States and the World

1. Foreign policy from the first built around national security, trade, spreading democracy
 - a. With rare exception, pursued lack of entangling alliances with Europeans
 - b. Monroe Doctrine expressed American desire to keep Western Hemisphere free from European control
2. Interest in trade with Asia
 - a. Treaty with China (1844)
 - b. **Matthew Perry** visited Japan in 1853
 - c. Took Hawaiian Islands, annexed Alaska
3. After 1870 foreign relations tied to business

D. Industrialization, Abuse, and Reform

1. North gained through victory over South in Civil War
 - a. Railroads, major industries built
 - b. Influx of Europeans brought laborers, market
2. Postwar era marked by political, business corruption
 - a. Tweed Ring, Gould and Fisk, Grant administration
 - b. Rugged individualism; government did not interfere in business
3. U.S. became most powerful state in Western Hemisphere by 1900, in world by 1918
4. Politics underwent reform during **Progressive** era
 - a. Moved to eliminate sweatshops, exploitation of labor, abuse of natural resources
 - b. Reforms to give common people more effective control of government:

- initiative, referendum, direct election of senators
 - c. Interstate Commerce Act, 1887, regulated railroads, some regulation of industry
 - 5. Theodore Roosevelt (1901-1909) began to break up trusts, conserve natural resources, regulate railroads
 - 6. Woodrow Wilson (1913-1921) promoted “New Freedom” program
 - a. Reduced tariff
 - b. Reformed banking system (Federal Reserve Act)
 - c. Regulated business in public interest (Clayton Antitrust Act)
 - d. Established Federal Trade Commission
 - 7. U.S. became richest, most populous, most influential nation in the West
 - a. Population grew: 4 million (1790), 99 million (1910)
 - b. 25 million immigrants arrived in 19th c.
 - c. Steel production in 1914 higher than combined output of Britain and Germany
- E. The United States in Asia
- 1. Foreign affairs virtually forgotten
 - 2. Foreign trade, investments, missionary activity increased
 - 3. Some advocated more vital role in world politics
 - 4. U.S. began building modern navy in 1880s, third largest navy by 1900
 - a. Made for larger presence in hemisphere
 - b. Served as basis for ***Open Door Policy*** in China
 - 5. Theodore Roosevelt asserted larger American role in international affairs
 - a. Acted as peacemaker in Russo-Japanese War
 - b. Helped negotiate Treaty of Portsmouth
 - c. Won Nobel Prize, 1910
 - d. Gained land for ***Panama Canal*** by guile, force
 - 6. American had become major world power by 1914

IX. RUSSIA IN REFORM AND REVOLUTION

- A. Enlightenment Dreams
- 1. Russia lacked economic strength and flexibility to adapt to new forces of 19th century
 - a. Reform hampered by serfdom, autocracy
 - b. ***Tsar Alexander I*** tried serf, state reform
 - c. Blocked by nobility, Napoleonic wars
 - 2. Entered reactionary phase after 1815
 - a. Confused succession scheme, liberal discontent led to abortive ***Decembrist Revolt***
 - b. Failure led to a generation of reaction
- B. ***Nicholas I*** and Russian Reaction
- 1. Nicholas sponsored Official Nationalism

- a. Emphasized “autocracy, orthodoxy, nationalism”
 - b. Imposed harsh social, intellectual controls
 - c. Failed to stop opposition
 - 2. **Intelligentsia** sought answers to Russia’s crisis
 - a. Herzen and Bakunin led movement
 - b. Debate raged between *Westernizers*, *Slavophiles*
- C. **Alexander II** and the Great Reforms
- 1. Loss in Crimean War showed need for reforms
 - 2. Tsar issued Emancipation Proclamation, 1861
 - a. Plan ended serfdom, freed 52 million serfs
 - b. Government paid landlords, peasants had to repay government through village commune (*mir*) over 49 years
- D. Revolutionary Response
- 1. **Alexander II** (1855-1881) had abolished serfdom and introduced other reforms
 - 2. **Nihilist** movement developed in 1850s
 - a. Questioned old values, emphasized freedom of individual, shocked older generation
 - b. Called on aristocracy, then peasants to support radical reforms
 - c. **Narodnik** movement, populist “go to the people” campaign to activate peasants; peasants ignored them
 - 3. Frustrated by rejection, some idealistic young people turned to terrorism
 - a. **Sergei Nechaev** advocated total destruction of status quo by revolutionary elite
 - b. Terrorists had single-minded outlook
 - 4. Alexander’s liberal reforms sometimes intensified antagonism, sometimes viewed as sign of weakness
 - a. Ended Russification program in Poland, but Poles then revolted in 1863
 - b. Violence spread; attempts on life of tsar; government officials assassinated
 - c. Alexander II assassinated on day he proposed to call representative assembly
- E. Reaction and Response, 1881-1905
- 1. **Alexander III** (1881-1894) disillusioned with reform; returned to old policy of “autocracy, Orthodoxy, and nationalism”
 - 2. Constantine Pobedonostev masterminded new policy
 - a. Censorship
 - b. Regulation of schools, universities,
 - c. Increased secret police activities
 - d. Russification of minorities
 - e. Persecution of Jews, **pogroms**
 - f. Used force to keep order: revolutionaries driven underground or executed
 - 3. Russia lagged behind West in political, economic matters; lacked tradition of gradual reform
 - 4. Nicholas II (1894-1917), decent, but weak
 - a. Inherited father’s policies, advisers

- b. Faced pressure from industrialization, rural unrest
- c. Autocratic structure not able to cope with problems
- 5. Political organizations developed despite government repression
 - a. **Constitutional Democrats (Kadets)**: small, but influential; wanted constitutional monarchy along British lines
 - b. **Social Revolutionaries**: combined non-Marxian socialism, *narodnik* tradition, wanted land for peasants, lacked unified leadership
 - c. **Russian Social Democrats**: Marxist intellectuals

F. Lenin and the Bolsheviks

1. **Vladimir Ilich Ulyanov (Lenin)** gravitated to radicalism in tsarist Russia
 - a. Took up doctrines after execution of brother
 - b. Showed intellectual excellence, tenacity
 - c. Exiled to Siberia for political activities
 - d. Took name Lenin in exile, began writings
 - e. Joined Russian Social Democrats in exile in Switzerland, edited *Iskra (Spark)*
2. Adapted and augmented Marxist doctrines to apply to Russian conditions
 - a. Saw Russia as agrarian country, lacking in reform tradition
 - b. Advocated small elite group of disciplined, professional revolutionaries
3. Promoted new concepts at Social Democrats' meeting in London, 1903
 - a. Advanced vanguard party, democratic centralism
 - b. Dispute over party split Social Democrats into **Mensheviks, Bolsheviks**
4. After 1903 Lenin had little immediate impact, developed extensive body of literature
5. In *Imperialism, the Highest Stage of Capitalism* (1916), Lenin predicted that modern capitalist states would destroy themselves
 - a. Workers could not buy all the goods produced by factories
 - b. Accumulated capital could not then be invested profitably
 - c. States would engage in competition for markets, resources, capital, war
 - d. His elite party would then take advantage of the chaos to come to power

G. The Revolution of 1905 and Its Aftermath

1. Russia's humiliating defeat in Russo-Japanese War exposed weakness of tsarist government
 - a. Strikes broke out
 - b. Cossacks fired on peaceful crowd of workers
 - c. General strike followed; strikers demanded democratic republic, freedom for political prisoners, disarming police
 - d. Soviets (workers' councils under Democratic Socialist leaders) paralyzed city life
2. Nicholas II acquiesced to pressure, issued **October Manifesto**
 - a. Promised state legislature (*Duma*), extension of franchise, basic civil rights
 - b. Split moderates from Social Revolutionaries
3. First Duma met in 1906
 - a. Radical groups refused to attend

- b. Kadets dominated
- c. Duma criticized government policies
- d. Tsar dissolved first Duma
- 4. **Peter Stolypin** appointed by tsar to rule as prime minister
 - a. Used emergency powers to crack down on radicals
 - b. Recognized need for agricultural reform; sought to develop class of small farmers, despite tsar's reluctance
 - c. Pushed through reforms to free peasants from obligations stemming from emancipation and give opportunities to acquire private property
 - d. Stolypin was assassinated by Social Revolutionary who was also agent of secret police

X. THE "EASTERN QUESTION" AND THE FAILURE OF EUROPEAN DIPLOMACY

A. The Balkans Awaken

- 1. Balkan nations struggled for self-determination, independence in wake of Turks' decline in 18th century
 - a. Sultan Selim III recognized *Montenegro*'s freedom
 - b. *Serbia* rose in revolt, 1804
- 2. Russian, British interests collided
 - a. Russians sought greater access to Mediterranean
 - b. British sought to maintain routes to India, East
 - c. *Treaty of Küchük Kaynarca*, 1774, Russian gained; Britain objected
 - d. Only threat of Napoleon stopped potential Russo-British confrontation
- 3. **Greek Revolt** major nationalist uprising
 - a. British feared Russians would take advantage
 - b. Intervened quickly
 - c. *Treaty of Adrianople* recognized Greek independence, Serbian autonomy
- 4. In 1830s and 1840s, Ottoman Empire weakened further
 - a. **Mehmet Ali**, virtually independent governor of Egypt, threatened Ottomans
 - b. Nicholas sent army, gained virtual protectorate status over Turks in Treaty of Unkiar Skelessi
 - c. Britain feared Russian advantage; tsar called Ottoman Empire "dying man"

B. Crimean War

- 1. Major turning point in course of Eastern Question
 - a. Origins in obscure question of protection, management of holy places
 - b. Britain, France, Sardinia moved to protect Turks against Russians, in wake of Russian move to Danubian provinces (Romania)
- 2. Allied strength, tsarist ineptness stopped Russia
 - a. *Treaty of Paris* affirmed Ottoman integrity
 - b. Failed to resolve issue

C. Unanswered Question

1. By 1870s Eastern Question became more severe
 - a. Russians in reform, used Pan-Slavism to spread message of solidarity to Balkans
 - b. Bulgarians, Serbians, Bosnians rose
2. European investment in region increased
 - a. Major loans to Ottomans
 - b. Construction of Suez Canal
3. Conflict broke out 1876, ***Bulgarian uprising***
 - a. Russians intervened, gained ***San Stefano Treaty***
 - b. Bismarck, Europeans reversed it at ***Congress of Berlin***
4. Eastern Question worsened, unresolved

D. Appearances and Realities

1. Positive signs of cooperation, unity
 - a. General belief in progress, Western traditions
 - b. Universal Postal Union, international copyright union
 - c. Hague Conference, 1899, produced Hague tribunal, international court of arbitration
 - d. Alfred Nobel established peace prize
 - e. Andrew Carnegie set up Endowment for International Peace
2. Ominous signs
 - a. American Civil War, first modern industrial war, brutal, lengthy, costly
 - b. European state system, industrial complexes took on separate momentum

E. The End of Bismarck's System

1. Bismarck dominated European politics until 1890
 - a. Built policy devoted to isolating France
 - b. Had to keep Austrians and Russians in hand with ***Dreikaiserbund***
2. Had to choose between Vienna and St. Petersburg
 - a. Chose Austria, made ***Dual Alliance***
 - b. Added Italy in 1882 for Triple Alliance
 - c. Worked with Russia through ***Reinsurance Treaty***
 - d. Until 1890 kept policy intact
3. Kaiser William II took over foreign policy, quickly negated advantages Bismarck had built up
 - a. French gained ties to Russia through loans
 - b. Kaiser let Reinsurance Treaty lapse

F. Britain Ends Its Isolation

1. Britain embroiled in bitter rivalries
 - a. With Russia in Middle East, Balkans
 - b. With France in Africa
 - c. All great powers anti-British in Boer War

2. Natural alliance with Germany did not occur
 - a. Kaiser was pro-Boer, meddled in other areas
 - b. Germany's expanding Middle East power worrying
 - c. Biggest fear, Germany's plan to build huge fleet
3. Threatened by sea, Britain turned to France
 - a. *Entente Cordiale* reversed 500 years of hostility
 - b. Britain, Russia came to agreement, formed *Triple Entente*, 1907
 - c. Britain also formed alliance with Japan, 1902

G. The North African Crises

1. France, Germany, spheres of influence clashed
 - a. France wanted to extend control to Morocco, 1905
 - b. Kaiser visited Tangier, openly opposed French plans
 - c. *Algecirras* international conference called to discuss matter
 - d. All, including Italy, backed French position
 - e. Only Austria-Hungary supported kaiser
2. 1911, crisis caused when France sent army into disputed Moroccan area to keep order
 - a. Germany sent gunboat to Agadir
 - b. Britain offered all its power to France
 - c. Diplomatic bargain: France got Morocco, Germany got small piece of equatorial Africa
 - d. Crisis ended without war

CONCLUSION

1. Major states experienced considerable political, economic development after 1850.
 - a. Germany unified, developed powerful economy
 - b. France achieved stable, constitutional government, power, influence, despite crises of Third Republic
 - c. Italy unified, but did not overcome tremendous regional differences
 - d. Habsburgs agreed to Dual Monarchy, managed to retain unity of fractious multicultural empire
 - e. Russia, Britain avoided revolution, British through flexibility, Russians through repression
 - f. U.S. survived Civil War, maintained unity, attracted immigrants, expanded economic production
 - g. Latin America faced complex dilemmas stemming from political instability, foreign economic domination
2. Failure to resolve Eastern Question produced explosive situation

CONCEPTUAL HOOKS

TIMELINE: 1815-1914

DEFINITIONS

Realpolitik: “Politics of realism.” Political view that disregards theory or idealism and emphasizes the practical application of power to gain state goals, regardless of moral or ethical concerns.

Reconstruction: 1865-1877, a time when the victorious North with its Republican ascendancy tried to force the South to extend voting and property rights to blacks. A political stalemate brought this period to an end, and Southern white leaders pursued policies of fear, intimidation, and guile to deprive the former slaves of their newly won rights.

Progressives: Between 1890 and 1914 this movement, rooted partly in the agrarian protests against big business sparked by the populists and in middle class discontent, launched a multifaceted reform movement touching politics, business, the environment, and society. Presidents Theodore Roosevelt and Woodrow Wilson put most of the Progressives’ demands into law.

Open Door Policy: 1899, as European powers were establishing “spheres of influence” in China, Secretary of State John Hay sent notes to various governments to initiate a policy to maintain equal commercial rights in China for the traders of all nations.

Panama Canal: Key saltwater link between American East and West coasts and symbol of American big stick diplomacy. The U.S. bought the French rights to the canal site, but Colombia refused to ratify a treaty to allow the U.S. to build a facility. Roosevelt, with money from J.P. Morgan, financed a revolution in Colombia, created the new country of Panama, and concluded a canal treaty with that new state.

caudillos: The crude military leaders who, with their armed gangs, struggled for power throughout Latin America in the century after independence.

Antonio López de Santa Anna: 1795-1876, Mexican military dictator who massacred the defenders of the Alamo, debased the political life of his country, and carried out an incompetent war with the United States.

Reforma: The Mexican reform plan under the leadership of ***Benito Juárez*** (1806-1872) to establish a more democratic republic, destroy the political and economic force of

the church, and include the mestizos and Indians in political life. Provoked a terrible civil war, with the apparent victory of Juárez. Foreign debts led to French intervention and the imposition of Maximilian as emperor.

Porfirio Diaz: 1830-1915, served as president 1877-1880 and 1884-1911. Though ruling as a dictator, he helped stabilize Mexican politics and encouraged cultural endeavors. Foreign companies invested heavily in Mexico. Status of Indians declined. Church increased land and wealth.

Francisco Madero: 1873-1913, frail, eccentric man who successfully led a revolution in Mexico. He was murdered in 1913; still, after a period of turmoil, a determined group brought about a revolutionary party.

gauchos: Colorful, nomadic Argentinean cowboys and bandits whose way of life has been romanticized in literature and folklore.

Roosevelt Corollary: 1904, President Theodore Roosevelt expanded on the Monroe Doctrine. He stated that chronic wrongdoing by Latin American governments might result in U.S. intervention. He warned that the U.S. would “speak softly, but carry a big stick.”

Platt Amendment: 1901, Cuban constitution recognized that U.S. might intervene for “preservation of Cuban independence.”

Dollar Diplomacy: The coordinated activities of American foreign investors and the U.S. State Department to obtain and protect concessions for investors. Led to concessions for Americans in more than a dozen Latin American Republics.

William Ewart Gladstone: 1809-1898, prime minister who entered Parliament in 1833 as a Conservative, joined the newly formed Liberal Party in the 1850s. A far more effective political than social and economic reformer.

Benjamin Disraeli: Son of a Jew who became a naturalized British subject in 1801, published novels, and then went into politics, passing from liberalism to conservatism in his philosophy. Reformist Conservative prime minister.

Victorian Compromise: The period of complacency between 1850 and 1865, when social and political crises were ignored. Alliance between landed gentry and middle class to maintain social order, avoid further reforms.

Charles Stewart Parnell: 1846-1891, Irish patriot who worked to force Irish home rule through the Parliament.

Labour party: In response to workers' needs and at the prompting of the Fabian Socialists, the Labour party was founded in 1900 by J. Ramsay MacDonald (1866-1937) and Keir Hardie (1856-1915).

David Lloyd George: 1863-1945, radical Welsh lawyer, one of the founders of the new Liberal party. Helped redirect liberal policies, abandoned laissez-faire. Embraced social legislation, sickness, accident insurance, workers' compensation, old age insurance, and employment bureaus.

Emmeline Pankhurst: 1858-1928, proponent of women's suffrage, founder of Women's Social and Political Union (WSPU). She, her daughters, and other members raised awareness of the suffragette cause through speeches, later marches, hunger strikes, and property damage.

Boer War: A generation of hostility between the Boers and outsiders, especially British, which flared into all-out war in 1899. Although the Boers were brave fighters, crack shots and expert horsemen, they were no match for the British troops. They surrendered in 1902.

Maoris: The New Zealand indigenous population fared better than other indigenous peoples, due to a fairly equitable settlement from the British and a greater ability to adapt to the new ways.

Quebec Act: 1774, called the "Magna Carta of the French Canadian race." The British government reconfirmed the position of the Catholic church and perpetuated French laws and customs. However, there was no provision for a representative assembly.

British North America Act: 1867, united Canada into a federal union of four provinces. It set up a bicameral legislature with ministerial responsibility. A governor-general acted as the Crown's representative.

Paris Commune: 1871, after suffering severe shortages during the German siege of the city and seeing the surrender to the Germans, republican and radical Parisians formed a commune, in the traditions of the 1792 Paris Commune, to save the republic. The Communards advocated government control of prices and wages and other radical policies. They were savagely put down.

Boulanger affair: In 1886, General Georges Boulanger (1837-1891), minister of war, began making a series of warmongering speeches that appealed to anti-republicans. Government arrested him on a charge of conspiracy, later committed suicide.

Alfred Dreyfus: 1859-1935, first Jewish officer on the French general staff, was accused in 1894 of selling military secrets to Germany. Tried, found guilty, sent to Devil's Island. Later found not guilty. Process split France down the middle.

Émile Zola: 1840-1902, noted French writer who in his *J'accuse* spotlighted the injustice of the Dreyfus trial.

Otto von Bismarck: 1815-1898, diplomatic master who oversaw the unification of Germany. Had less success as chancellor of the German Empire.

Ems Dispatch: In 1870 Bismarck altered the tone of an account by the German king of an unpleasant encounter with the French ambassador and leaked it to the European press. The resulting furor helped prepare the way for the Franco-Prussian war.

Second Reich: The German Empire as re-formed at the Hall of Mirrors at Versailles, where William I was crowned emperor in 1871.

Kulturkampf: Literally, the civilization struggle, launched by Bismarck against the Catholic church and its political party in which under the May Laws clergy were greatly limited and in which civil marriages, among other aspects, were required. Pope opposed the policy, told Catholics not to obey. Eventually Bismarck backed away from the attack and compromised.

William II: 1859-1941, ruled 1888-1918, grandson of emperor who lacked Bismarck's sense of finesse, pressured the chancellor to resign and pursued a bellicose and often clumsy foreign policy.

Alexander II: Reigned 1855-1881, decided on the need for thoroughgoing reform in the wake of the Russian defeat in the Crimean War. Issued Emancipation Proclamation in 1861 to free over 23 million serfs. Introduced further reforms, sometimes viewed as a sign of weakness. Many attempts were made on his life, and he was finally assassinated in 1881, just as he was going to call a representative assembly to consider new reforms.

nihilists: Russians who questioned all old values, championed freedom of the individual, and shocked the older generation. Ardent advocates of reform who, when frustrated, became radical.

narodnik: Movement to "go to the people." Young, educated activists went to Russian villages to preach the message of reform. Peasants ignored the outsiders' message.

Sergei Nechaev: 1847-1882, protégé of Bakunin, who pursued a program of the total destruction of the status quo. Wrote the *Revolutionary Catechism*.

Alexander III: Ruled 1881-1894, turned totally against father's reform policies, tried to turn back the clock to the days of Nicholas I under the advice of Constantine Pobedonostsev.

pogroms: Organized assaults on Russian Jews.

Nicholas II: Ruled 1894-1917, continued policies of Alexander III, but in a weak and less than resolute way.

Kadets: From the letters *K* (constitutional) and *D* (democrats), liberals who advocated a constitutional monarchy and peaceful reform on the British model.

Social Revolutionaries: Non-Marxian socialists from the narodnik line who called for "the whole land for the whole people."

Social Democrats: In Russia, mostly Marxist intellectuals and activists anticipating revolution.

Vladimir Ilich Ulyanov (Lenin): 1870-1924, son of a school administrator (eighth rank noble) in Simbirsk, whose brother was arrested and executed in Saint Petersburg for political activities. Overcame official obstacles to gain education. After the 1903 London meeting headed the Bolshevik wing of the Social Democratic party built around the elitist concepts of a vanguard party and democratic centralism, the notion that the vanguard could anticipate the needs of the masses.

Mensheviks: After the split of the Russian Social Democratic party in London in 1903, the Mensheviks (name means "the minority," even though they were numerically superior), remained orthodox Marxists.

Bolsheviks: Lenin's party, built around an elite cadre, democratic centralism and an adaptation of the Marxist principles. Bolshevik means "majority," and derives from the time Lenin's group won an important vote on party policies at the London meeting in 1903.

Bloody Sunday: January 22, 1905, massacre of peacefully demonstrating workers by Cossacks that began the 1905 revolution.

soviets: Councils of workers.

October Manifesto: 1905, Nicholas' concession to the 1905 revolutionaries granting a national Duma and civil rights. It split the opposition: Kadets approved, Socialists wanted more.

Peter Stolypin: 1862-1911, Russian minister who cracked down on radicals and devised thoroughgoing and successful agricultural reforms. Planned to abolish peasant payments, permit withdrawal from commune and acquire a share of land, open up new lands. Assassinated by double agent of Social Revolutionaries and secret police.

Eastern Question: The geopolitical question facing the Europeans regarding who would control the eastern Mediterranean and the Near East in the wake of the disintegrating Ottoman Empire. Power vacuums developed that attracted the competing great powers and the hopes of the long-repressed nationalities.

Montenegro: The mountainous Balkan nation that never fell under Ottoman dominance, and whose independence was acknowledged by Sultan Selim III.

Serbia: Fell to the Turks in 1389, and was forced into a state of rebellion in 1804 after being caught between competing Ottoman factions. After 11 years, gained an autonomous position under the Turks.

Treaty of Küçük Kaynarca: 1774, treaty between the Ottoman Empire and Russia that gave the Russians the right of navigation in Turkish waters and the right to intervene in favor of Orthodox Christians in the Ottoman Empire.

Greek Revolt: Nationalist rebellion against the Turks that broke out in the spring of 1821 and immediately drew the interests of the great powers to the eastern Mediterranean.

Mehmet Ali: The virtually independent governor of Egypt who successfully attacked the Turks in 1832. Led to the signing of the Treaty of Unkiar Skelessi, which made Turkey a virtual protectorate of Russia.

Crimean War: 1853-1856, turning point in Eastern Question. Arose from dispute about who was responsible for the protection of the Holy Places. Britain, France, and Sardinia vied with Russia. Russia sued for peace.

Treaty of Paris: 1856, ended the Crimean War, affirmed the integrity of the Ottoman Empire, made the Black Sea a neutral body of water, and closed the Straits to foreign warships. Failed to address the primary issues of the Eastern Question.

Bulgarian uprising: 1876, rebellion put down forcefully by Turks that became a major political issue in England (the Bulgarian horrors incident). Sparked a series of nationalist uprisings throughout the Balkans.

San Stefano Treaty: March, 1878, put an end to the Russian march against the Ottoman Empire begun in 1877. The tsarist troops reached the suburbs of Constantinople and signed this treaty that set up a large Russian-dominated Bulgarian state, gave the

Russians control of the Straits, and almost solved the Eastern Question.

Congress of Berlin: June, July 1878, British protested swing of geopolitical balance in Russia's favor, moved Bismarck as the "honest broker" to compel Russia to revise San Stefano. Russians lost many gains. Bulgaria was reduced in size: northernmost part became independent, but paid tribute to the Turks; other two parts remained under Ottoman control. Austria gained right to "occupy and administer" Bosnia and Herzegovina. These provisions set stage for future conflicts.

Dreikaiserbund: "Three Emperors' League," alliance put together in 1873 of Germany, Austria-Hungary, and Russia. Weakened after Russia's disappointment in the outcome of its Balkans endeavor in 1878. Strained by Austro-Russian rivalry in Balkans. Renewed in 1881.

Dual Alliance: Bismarck's alliance with Austria-Hungary, negotiated in 1879, became Triple Alliance with Italy's entry in 1882.

Reinsurance Treaty: 1887, Bismarck's attempt to keep Russia in his camp after the Dreikaiserbund collapsed for good in 1887.

Entente Cordiale: 1904, "friendly understanding" between Britain and France. They resolved several differences. This spirit of cooperation laid the basis for a formal alliance in World War I.

Triple Entente: 1907, "friendly understanding" among Britain, France, and Russia. Britain and Russia worked out differences over Persia and Afghanistan.

Algeciras: 1906, at the end of the first Moroccan crisis, an international congress at Algeciras was held to defuse the French/German tensions over Morocco. France had wanted immediately to take over Morocco, and the Germans wanted an extension of their influence. France prevailed in the conference, gaining rights with Spain to police the area.

DISCUSSION

Assess the full-blown individualism that characterized American domestic and foreign policies after 1865. Were the domestic corruption and foreign aggressiveness symbolic of the "new America?"

In the same light, explain the power wielded by the Progressives from 1890 to 1914.

If you were in charge of U.S. foreign policy toward Latin America before 1914, how would you have changed American diplomacy?

Did the revolutions in Latin America change the political, economic and social environment?

In an age of imperialism, Latin America states remained independent. How was this possible? Was it more illusion than reality?

Compare and contrast Cavour's and Bismarck's methods and successes in achieving Italian and German unification.

Bismarck obviously enjoyed more success in foreign than in domestic policies. After outlining his effectiveness in both spheres, consider why it is sometimes more difficult to govern one's own people than to manipulate the grand strategies of foreign lands.

After examining the nature and scope of Gladstone's and Disraeli's reforms, do you think there were any substantial differences between the Conservative and Liberal views of life and politics? Why was Britain able to reform so effectively?

Why did Canada and the United States, two new world states coming from roughly the same civilizational roots, develop in such different ways?

What reform efforts did the tsars try in the period 1871-1914? Why were they unable to solve the "peasant problem"?

Why was the Eastern Question so hard to resolve? Why did it linger for over a century?

What was the key to Bismarkian diplomacy? What were its internal flaws? Why did it collapse?

How were the North African crises resolved without war?

PRIMARY DOCUMENT/CRITICAL THINKING EXERCISES

After reading President William McKinley on imperialism, discussing his decision to expand the United States' holdings, do you think that God and God's plan were an essential component in our foreign policy? Or did God get the credit for something mere mortals desired?

What did Kaiser Wilhelm II mean by Germany's "place in the sun"? Why was naval power increasingly important to him? Does he make a valid argument when he says, "when the German has once learned to direct his glance upon what is distant and great, the pettiness which surrounds him in daily life on all sides will disappear"?

TESTING

Some authorities have called Theodore Roosevelt the first modern president. After examining his record, do you agree?

Trace Mexican history from 1821 to 1914. How successful was the country in dealing with the challenges it faced? Assess the roles of Santa Anna, Juárez, and Madero in the first century of the country's history.

Why was Bismarck not as successful in domestic affairs as he was in foreign affairs?

Outline the nature and scope of the Gladstone and Disraeli reforms. Why was Britain able to reform so successfully?

Why was the French Third Republic able to survive the divisiveness of the Dreyfus Affair? Compare and contrast the major issues and constitutional solutions in South Africa, Australia, New Zealand, and Canada.

Compare and contrast the Russian and British responses to the challenge of change in the late 19th century.

Bismarck engineered a remarkable alliance system. What was the purpose of the system? What alliances did Bismarck negotiate? What were the intrinsic flaws of the system? How did Kaiser William II upset the intricate arrangements? Did the alliance system benefit or subvert European peace? Answer each part fully and completely, using specific details wherever possible.

LECTURE LAUNCHER

Europe's stronger state structures responded effectively to the social and fiscal crises of the last third of the 19th century. Economic regulation and new forms of economic regulations and commercial organization brought more secure and productive economic relations to Europe. Between 1873 and 1895 an epidemic of slumps battered the economies of European nations. Financiers, politicians, and businessmen dedicated themselves to eliminating the boom and bust phenomenon. Regulation was achieved through the establishment of cartels, agreement among firms to fix prices, and production quotas. Banks formed consortia to regulate the movement of capital. The states protected domestic markets by erecting tariff barriers.

Even the rock solid U.K. underwent substantial change. Trade unions became more powerful and a new Labour Party was formed to represent the workingmen. The Liberals, threatened on their left, heeded pressures to reform and passed a series of political and social reforms. The House of Lords lost its status of equal partner with the House of Commons.

The German-speaking portion of Europe responded in two distinctly different ways. Bismarck faced challenges from the Roman Catholic church and the Social Democratic Party. He waged the *kulturkampf* (struggle for civilization) unsuccessfully against the former and started a pre-emptive welfare state to short-circuit the latter. Austria and Hungary invented the *Ausgleich* (compromise), a political Siamese twin, and limped into the 20th century.

In France the Third Republic oversaw the creation of a truly national and mass culture that emerged after 1880. However, the Boulanger and Dreyfus Affairs dealt serious blows to the government. Boulanger appealed to right wing frustrations with the Republic and German control of Alsace and Lorraine. Dreyfus was wrongly accused of selling military secrets, tried for treason, and sentenced to solitary confinement for life on Devil's Island. Despite his being proved innocent, traditional institutions such as the army and the Catholic Church refused to admit their errors and the conflict split France in two.

Economic well-being helped to encourage the new European mass-politics, based on literacy, the popular press, and new elections. With order in Britain, scandals in France, *kulturkampf* in Germany, revolution in Russia, politics had radically changed by the end of the 19th century.

INSTRUCTOR'S TOOL KIT

COROLLARY READING

Mark A. Kishlansky, ed., *Sources of the West*, II

Otto von Bismarck, *Reflections and Reminiscences* (1898), *Speech to Reichstag* (1879)

Pope Leo XIII, *Rerum Novarum* (*The Condition of Labor*) (1891)

E. Sylvia Pankhurst, *History of the Suffrage Movement* (1912)

V.I. Lenin, *What Is to Be Done?* (1902)

Peter N. Stearns, Stephen S. Gosch, Erwin P. Grieshaber, *Documents in World History*, II
Independence and Consolidation of New States (1810-1914)

Simón Bolívar; Gabino Barreda; Porfirio Díaz

Economy and Society of Latin America: "Slavery" on the Plantations of Yucatán

Channing Arnold and Frederick Tabor Frost

Literature and Cultural Values: "Civilization and Barbarism"

Domingo Sarmiento: Life in the Argentine Republic

COURSE ENHANCEMENT

Each chapter in the textbook includes extensive lists of supplemental material:

- Films and videos
- Web destinations
- Literature from the period
- Suggestions for further reading

COMPANION WEBSITE at www.ablongman.com/brummett

Additional resources are available at the Companion Website for both the instructor and the student. Instructor's resources include PowerPoint slide presentations, electronic versions of maps, graphs, and tables, Web resources, as well as links to Longman resources. For the student, you can direct them to the Companion Website to take quizzes, or for online links to further research or reading for each chapter.

CHAPTER 27

World War I and Its Economic and Political Consequence

CHAPTER OUTLINE

INTRODUCTION

1. War brought end to West's "golden age."
 - a. Over 13 million battlefield deaths, massive physical damage
 - b. Inflation, depression ruined world economy
 - c. Four empires disappeared
2. Bitterness from World War I sowed seeds of World War II.
3. Belief in certainty of progress replaced by doubt, cynicism, incapacity to deal with aggression.

I. WORLD WAR I

A. The Balkan Crisis

1. Members of rival alliances drawn into taking sides in local Balkan issues
 - a. Austria-Hungary, Russia conflicted
 - b. Local nationalists pulled great powers to war
2. Vienna, St. Petersburg at odds in area since 1878
 - a. Austria-Hungary annexed Bosnia-Herzegovina, 1908
 - b. Russia gained nothing
 - c. **Count Izvolskii's** blunders caused crisis
 - d. Russia, weakened by Russo-Japanese War, Revolution of 1905, backed down
3. **Balkan Wars** of 1912, 1913 raised tensions
 - a. Drew great powers into greater danger of war
 - b. Lost power to control events
 - c. Serbian gains fired Belgrade's ambitions
 - d. Austria feared Serbian expansion

B. Assassination at Sarajevo

1. **Francis Ferdinand** made ill-advised visit to Sarajevo
 - a. Assassinated by Bosnia student, **Gavrilo Princip**
 - b. Austria saw chance to destroy Serbia
2. **Count Leopold von Berchtold** received "blank check"
 - a. July 23, presented impossible ultimatum

- b. Serbs conceded most points
- 3. Austrians still chose war

C. The Allies' Inevitable War

- 1. Germany put self in position of being forced to back Austrians; Russians forced to back Serbians
 - a. Allies kicked into motion
 - b. Europe reached point of no return
- 2. Rapid chain of events brought on World War I
 - a. Surrounded, Germany had to move quickly, planned to crush France, move against Russia
 - b. Sent ultimatums to Russia, France
 - c. Germany declared war on Russia, August 1
 - d. Violated Belgian neutrality in attack on France
 - e. Britain responded with ultimatum, then war against Germany for violating Belgian neutrality
 - f. Italy remained neutral, despite alliance with Austria-Hungary, Germany
 - g. Japan, allied with Britain, declared war
 - h. Turks, fearing Russia's intentions, joined Central Powers

D. Total War

- 1. In scope and magnitude, a true global war
 - a. Allies had superior resources, money
 - b. Germans had superior armies, leadership
- 2. All expected quick war, concluded in a few decisive battles

E. The First Two Years

- 1. Germans followed *Schlieffen Plan*
 - a. Blocked at *Battle of the Marne*
 - b. Trench war of attrition set in
- 2. British tried to force Dardanelles at *Gallipoli*
 - a. Tried to knock Turks out, supply Russians
 - b. Anzacs forced to withdraw after major losses
- 3. Germans gained advantage on Russian, Balkan fronts; lost Italy, which joined Allies

F. Stalemate

- 1. Allies wanted to starve Germans by naval blockade, demands on Western front
 - a. *Verdun* battle led to terrible losses
 - b. *Somme* battle claimed similar numbers
- 2. Allies won at *Jutland*, only major naval battle
 - a. Russians did well against Austrians
 - b. Romania joined Allies, briefly

G. Total War and the Home Front

1. After two years, no victory in sight
 - a. New kind of war, civilians affected, every part of state geared to war effort
 - b. Rationing used, women worked in factories
 - c. Psychological warfare, propaganda
 - d. Civil liberties suffered
 - e. Governments mobilized economies, assuming loser would pay all costs of war
2. 1914 euphoria lost, populations wanted peace

H. Allied Fatigue and American Entry

1. 1917 advances turned back
 - a. French regiments mutinied, Italians died in large numbers, civilians suffered
 - b. German torpedoes threatened British food supply
2. U.S. declared neutrality in 1914
 - a. U.S. gave huge financial assistance to Allies
 - b. Allied propaganda convinced U.S. of their cause
3. Germans saw chance for victory by choking Britain
 - a. Announced unrestricted submarine warfare
 - b. Torpedoed *Lusitania*, 100 Americans killed
 - c. Launched plot with Mexicans against U.S.
4. Wilson asked Congress to declare war, later called for sacrifices “to make the world safe for democracy”

G. Germany's Last Drive

1. Rapid American mobilization doomed German drive
 - a. Russians out of war, 1917, signed ***Treaty of Brest-Litovsk***
 - b. Brought Eastern forces to West, launched several major 1918 drives, including ***Friedensturm***
2. Allied counterattack under ***Foch*** drove back Germans
 - a. By autumn, Germans on run, sued for peace
 - b. Peace signed in ***Compiègne Forest***, 11:00 AM, 11/11/1918

II. THE ALLIED PEACE SETTLEMENT

A. Idealism and Realities

1. Wilson called for equitable settlements
 - a. Terrible war made that impossible
 - b. ***Big Four***, three vengeful Europeans and one idealistic American, dominated Paris talks
2. Wilson did not know about secret treaties

B. Open Covenants, Secret Treaties

1. Wilson wanted ***Fourteen Points*** as basis for peace

- a. Keystone was *League of Nations*
 - b. Was treated as a messiah by Europeans
 - 2. Secret treaties had pre-parceled fruits of victory
 - a. Wilson refused to recognize these
 - b. But would give in, for League adoption
- C. The League of Nations
 - 1. First systematic attempt to build organization to prevent war, promote peace, improve life
 - 2. Set up imposing structure to accomplish this
- D. Redrawing German Boundaries
 - 1. Diplomats weakened Germany
 - a. France retook Alsace-Lorraine
 - b. Denmark, Belgium, Poland also gained land
 - c. Rhineland occupied 5-15 years, then demilitarized
 - d. *Polish Corridor* a controversial element
 - 2. Germany lost 25,000 square miles, 6 million people
- E. The Mandate System and Reparations
 - 1. Idealism and revenge dictated redistribution of German colonies, *Mandate System* set up
 - 2. *Article 231* laid war guilt, bill for war, on Germany
 - a. Britain, France wanted Germans to pay all costs, including pensions for veterans
 - b. *Reparations* demands varied widely
- F. Dictated Treaties
 - 1. *Weimar Germans* had to sign dictated Treaty of Versailles in *Hall of Mirrors*
 - 2. German allies had equally harsh treaties
 - 3. Only Turks able to avoid original harsh treaty by delay of Turkish nationalist Mustapha Kemal
- G. Evaluating the Peacemakers
 - 1. Not as successful as those at Congress of Vienna
 - a. Faced more difficult task, but made mistakes
 - b. Disregarded communist-led Russia
 - 2. Europeans can be accused of shortsighted opportunism
 - a. America's later isolation hurt any positive outcome
 - b. No plans made for European economic recovery
 - 3. Given passions, difficulties, peace settlements probably as good as could be hoped
 - a. Negotiators prisoners of constituents
 - b. Left legacy of bitterness, disappointment

H. The Costs of the War

1. Survivors faced desperate economic situation
 - a. Borrowing had been used to pay war costs
 - b. Bills came due in continent with altered trading patterns, new boundaries, injuries
2. Beyond surface casualty figures, cannot gauge potential lost work of dead, psychological damage
 - a. **Four empires** crumbled, replaced by uncertain republics or dictatorships
 - b. Colonial world in disarray
3. Roots of economic problems remained
 - a. Agricultural overproduction, protectionism
 - b. Need to build new transportation links, revert to peacetime economy also a threat

III. ECONOMIC DISASTERS

A. The Debt Problem

1. U.S. went from being debtor to creditor nation
 - a. Europeans owed U.S. more than \$10 billion
 - b. Debt posed **transfer problem**
2. Allies had lent to each other, Britain chief banker
 - a. London owed huge amount to U.S.
 - b. Net creditor of \$4 billion to Europe
 - c. France hurt when **Bolsheviks** renounced debt

B. Weimar Germany Debt, Reparations, and Inflation

1. Germany used inflation to deal with its debt
 - a. After much debate, war debt set at \$22 billion
 - b. Reparations more significant as political than as economic factor for Germany
2. French, Belgians, Italians occupied **Ruhr**
 - a. German workers defied occupiers, went on strike
 - b. Germans devalued currency through inflation
 - c. France gained little from occupation

C. Inflation and Its Consequences

1. All except **Czechoslovakia** had problems
 - a. Britain returned to normal after two years
 - b. Germany served as laboratory of inflation
2. Millions of middle-class Germans, Weimar Republic, damaged by economic devastation of bourgeoisie
 - a. Middle-class basis for democracy wounded
 - b. Harmed German society, aided Hitler's rise

D. Temporary Improvements

1. U.S. funds helped calm economic storm
 - a. **Autarky** made business more difficult
 - b. However, **Dawes** and **Young** plans helped deal with reparations and prosperity on circular cash flow
2. Germany profited from process, rebuilt infrastructure
 - a. System crashed 1928-1929 when U.S., British creditors needed capital for domestic use
 - b. United States ignored signs, had boom times
3. Autarky, high tariffs blocked growth
 - a. European population declined
 - b. World agriculture in crisis

E. The Great Crash

1. American economic trends felt worldwide
 - a. 3% of world produced 46% of output
 - b. Led by daring, sometimes sleazy speculators
2. **Black Thursday** saw stock market crash
 - a. Stock values plummeted, damage done
 - b. Triggered **Great Depression**

F. The World Depression

1. World value of business fell by more than half
 - a. 25% unemployment in industrialized lands
 - b. Democracies threatened, dictators appeared
2. Middle classes hit by inflation/depression whiplash
 - a. Liberal principles abandoned, autarky grew
 - b. U.S. set tone with **Hawley-Smoot Act**
3. Nations also depreciated currency
 - a. Gold standard abandoned
 - b. Wartime debts written off, forgotten

IV. POLITICS IN THE DEMOCRACIES

A. Britain, 1919-1939

1. 1920s socially, politically difficult decade
 - a. Great labor unrest, unemployment
 - b. After Liberals and Conservatives failed, **Ramsay Macdonald** founded first Labour government
2. Labour tried to place socialism in democratic frame
 - a. Recognized Soviet Union
 - b. **Zinoviev letter** led to Labour's fall
3. Replaced by the Conservatives under Stanley Baldwin
 - a. Not much success, major coal strike

- b. Labour returned for two years, replaced by coalition government

B. Interwar France

1. France suffered brutally in war
 - a. Still had some social, political stagnation
 - b. Inflation harmed recovery
2. France oversaw foreign affairs on continent
 - a. Did well in 1920s
 - b. Retreated later into *Maginot mentality*
3. France affected by Depression later than others
 - a. False prosperity of 1920s evaporated
 - b. Suffered in 1930s, tourism dried up, unemployment, budget deficits
4. Musical chair ministries, shocked by Stavisky scandal
 - a. Led to new regime for two years, *National Union*
 - b. *Popular Front* under Léon Blum took reins in 1936
 - c. Faced diplomatic, domestic crises
5. As 1939 approached, France saw chasm between upper, lower classes widen

C. Eastern Europe

1. Except for Finland and Czechoslovakia, democracy threatened during interwar period
 - a. By 1939 most states had parliamentary facade, dictatorial reality
 - b. All suffered from economic weakness, inexperience, backward societies
 - c. Czechoslovakia had strong middle class, wealth to form most democratic state in Central Europe
 - d. Handled minority, economic problems with equity
2. Poland
 - a. Had best chance to form solid democracy
 - b. Faced border, minority, and financial problems
 - c. Politically unable to overcome legacy of a century of partition, *Pilsudski* stepped in
3. The Baltic and Balkan States
 - a. Latvian, Lithuanian, Estonian states born, 1918
 - b. Democratic trends battered by economic strife
 - c. Yugoslavia, Albania, Greece fought Italian imperialism, economic upheaval, corruption; dictators came to power
 - d. Romania failed to digest its huge World War I gains, fell to fascist groups in 1930s

D. Portugal and Spain

1. Portugal turned to dictatorship under *Salazar* in 1928
2. Spain's problems overwhelmed party politics
 - a. Strikes, revolts plagued country in 1920s
 - b. *Republic* declared when king abdicated, 1931
 - c. Liberal constitution lacked wide support, unable to cope with crises of

Depression era

- d. Liberals threatened on both left and right extremes
- e. Military, under Generalissimo Francisco Franco, struck at republican government, began civil war, 1936

E. The United States

1. Strongest, richest country in world
2. U.S. turned isolationist, ignored League of Nations, concentrated on domestic affairs
3. Businessmen played active role in international business
4. Some participation in international activities
 - a. Washington Naval Conference, 1921-1922, to limit warship construction
 - b. Dawes Plan, Young Plan
 - c. Kellogg-Briand Pact, 1928, to outlaw war
5. Warren G. Harding's administration marked by scandal, died suddenly in 1923
6. Calvin Coolidge, honest, hands-off policy
7. Herbert Hoover won presidency in 1928, assumed good times
8. Great Depression began in 1929
 - a. U.S. had 25% unemployed by 1932
 - b. Many bank failures, bankruptcies
 - c. Hoover tried unprecedented measures to turn tide
9. Franklin D. Roosevelt took office, started New Deal
 - a. Pragmatic program to deal with emergency
 - b. Goals were relief, recovery, reform

F. Interwar Latin America

1. Region remained tied to raw material export
 - a. Each state tied to one/two major products
 - b. Land controlled by small minority, opposed land reform
 - c. Social problems untouched, except *Mexico*
 - d. Area suffered drastically in Depression
2. U.S. tried to improve ties with Latin America
 - a. Started "Good Neighbor Policy," more trade
 - b. Worked to block Nazi penetration of area

V. THE WESTERN TRADITION IN TRANSITION

A. Science and Society

1. Scientists developed theories, expanded understanding of universe, shook traditional views
 - a. Ernest Rutherford developed atomic theory, repudiated belief that atom indivisible
 - b. Max Planck studied radiant heat, described uneven transmission as "energy packets," developed quantum theory

- c. **Albert Einstein** identified relationship between mass and energy, proposed theories of relativity dealing with four-dimensional, time-space continuum
- d. Ivan Pavlov studied conditioned reflexes, findings strengthened materialist philosophies
- e. Sigmund Freud developed psychoanalysis, emphasized role of unconscious
- 2. Quantum, relativity, behavioral, Freudian theories influenced 20th-century culture

B. The Testimony of the Writers

- 1. **Modernism**, reaction against past, took many forms
 - a. Mallarmé, Verlaine, French poets, appealed to imagination through allusions, symbols, double meaning
 - b. Modern literature followed symbolists' techniques
 - c. Most readers not trained to grasp full meaning
- 2. Barbarism, tragedy of World War I led artists to reject traditional views
 - a. Attracted to Einstein's relativity: nothing in universe was unchanging
 - b. Influenced by Freud's belief in overwhelming power of unconscious
- 3. Writers questioned faith in European progress
 - a. **Franz Kafka** depicted frustration of rational, well-meaning individuals in modern, irrational world
 - b. Oswald Spengler described signs of end of Western civilization in *Decline of the West*

C. The Transformation of Music

- 1. Modernism affected music
 - a. Claude Debussy tried to imitate poetry, impressionist paintings
 - b. "Tone painting" aimed at creating special mood or atmosphere
- 2. Composers broke away from "major-minor" system of tonality
 - a. Igor Stravinsky experimented with polytonality, dissonant harmonies, percussive rhythms
 - b. Arnold Schoenberg experimented with atonality

D. Changes in the Arts

- 1. Artists took up abstract non-representational painting
- 2. **Pablo Picasso** helped develop **cubism**
 - a. Introduced new forms with *Les Femmes d'Alger*
 - b. Showed horrors of war in *Guernica*
- 3. **Henri Matisse** influenced young painters
- 4. **Surrealism** dealt with subconscious, primitive, irrational, violent, absurd
 - a. Prime examples: Salvador Dali, Giorgio Chirico, René Magritte
- 5. **Dada** school (Ray, Duchamp) rejected rationality, artistic standards

E. Architecture

- 1. **Walter Gropius** furthered "international" style of architecture with horizontal lines, glass, exposed staircases
- 2. **Bauhaus** school emphasized functional art, architecture

3. **Frank Lloyd Wright** integrated building with environment, tried to interweave interiors, exteriors

F. Popular Culture

1. Urban middle classes became important consumers of popular culture
 - a. Greater literacy, more publishers
 - b. More leisure time and money
 - c. More music halls, sporting arenas
 - d. Penny press, sensationalism, cheap novels, comic strips
2. Comforting, entertaining literature stressed moral values
 - a. Samuel Smiles' *Self-Help, Thrift, Character, Duty*
 - b. Horatio Alger wrote over 100 novels on theme that virtue is rewarded
3. Movies, photography, mass press, technology brought new heroes, entertainment
4. Automobiles brought greater mobility, contact
5. Electricity brought lights, refrigeration, radios, phonographs, conveniences
6. Olympic games revived with help of Pierre de Coubertin, 1896
7. "Star" system in sports, entertainment: Jack Dempsey, Max Schmelling
8. Mass audiences discovered jazz and classical music through radio, phonograph

CONCLUSION

1. Germany identified as aggressor in World War I, severely punished under terms of Treaty of Versailles.
2. World War I total, destructive
3. Peace did not bring fruits of victory.
4. Inflation, depression depleted middle classes, weakened democracies
5. Scientists came closer to understanding fundamental nature of universe.
6. Mass culture provided release from stresses of interwar period.

CONCEPTUAL HOOKS

TIMELINE: 1900-1939

DEFINITIONS

Count A.P. Izvolskii: 1856-1919, Russian diplomat who set in motion the 1908 crisis whereby Austria annexed Bosnia-Herzegovina and Serbia became outraged, helping fuel rising tensions in the Balkans

Balkan Wars: 1912, 1913, included Serbs, Greeks, Bulgarians, Romanians, and Turks. In the first outbreak the Turks were defeated. Second war came when Balkan nations squabbled over division of spoils, turned on Bulgaria.

Francis Ferdinand: 1863-1914, Austrian archduke, heir apparent to the throne, assassinated while on inspection tour of newly annexed provinces of Bosnia and Herzegovina. His death sparked the events that led to World War I.

Gavrilo Princep: 1895-1918, Bosnian student who at age 19 was one of seven probably Serbian-trained terrorists who shot Francis Ferdinand

Count Leopold von Berchtold: 1863-1942, Austrian foreign minister who, armed with a “blank check” of permission from Berlin, imposed a virtually impossible ultimatum on Serbia and blocked any attempts at maintaining peace

Schlieffen plan: Extremely detailed plan of attack devised from 1905 through 1913 to fight a two-front war. Called for rapid drive into France to knock out the French and then a rapid return to the Eastern front to defeat the supposedly slower Russians.

Battle of the Marne: September 1914, first Battle of the Marne blocked the German advance and forced the war to settle into its pattern of attrition along the trenches of the Western front

Gallipoli: In 1915, under the tutelage of Winston Churchill, the British and their Australian and New Zealand allies (the Anzacs) attempted to force the Dardanelles to knock the Turks out of the war and to get supplies to the Russians. After heroic and costly efforts, they had to withdraw.

Verdun: Battle along the Western front in the spring of 1916 in which hundreds of thousands of men were launched by the Germans to break through the Allied lines. After six months of intermittent fighting the lines were roughly the same, at the cost of 700,000 dead and wounded.

Somme: Battle launched by the Allies in the summer of 1916 to take some of the pressure off Verdun. Total losses on both sides in terms of dead and wounded were over one million men.

Jutland: May 31-June 1, 1916, the only naval battle of the war. Germans maneuvered brilliantly. British acted cautiously, not wishing to jeopardize their navy. British succeeded in bottling up the bulk of the German fleet for the duration of the war.

Treaty of Brest-Litovsk: 1918, treaty signed by Germany and the Communist government of Russia in which Russia gained peace at the cost of 1.3 million square miles of land and 62 million people

Friedensturm: The German “peace offensive” in the summer of 1918. The last major attempt to knock the French out of the war.

Compiègne Forest: site of the dining car in which the armistice was signed November 11, 1918. It would also be the site where the Nazi forces would accept the French surrender in 1940.

Big Four: **Georges Clemenceau** (1841-1929) of France; **David Lloyd George** (1863-1945) of Great Britain; **Vittorio Orlando** (1860-1952) of Italy; **Woodrow Wilson** (1856-1924) of the United States.

Fourteen Points: Wilson's foundation for a lasting peace. He wanted to place morality and justice ahead of power and revenge. First five points were general and procedural; next eight dealt with specific issues involving boundaries and peoples, and the fourteenth point was the League of Nations.

League of Nations: a general association of all nations to guarantee political independence, territorial integrity, and peace. Also dealt with issues of health, administration of former German colonies, and other humanitarian concerns.

Polish Corridor: Strip of land to give the state of Poland access to the Baltic at the port of Danzig, contained large numbers of Germans. Served as a point of controversy throughout the interwar period.

Mandate System: Rather than simply pass out former German colonies to the victors, this system was set up under the League of Nations to insure that the colonies would be well governed.

Article 231: The so-called War Guilt article, in which the responsibility for the war was laid on the Germans, as was the obligation to pay for all losses and damages stemming therefrom.

reparations: From the word "repair," payments that the Germans had to make to the allies for losses caused by the war

Weimar Germans: Refers to the democratic government that replaced the Second Reich. By signing the Versailles Treaty, the Weimar government suffered an irreparable wound.

Hall of Mirrors: Site where Weimar Germans were forced to sign dictated Versailles Treaty. Exact spot where the Germans had proclaimed the Second Reich 48 years earlier.

four empires: Refers to the destruction of the German, Habsburg, Russian, and Ottoman empires, which disappeared after 1914

transfer problem: After 1918 there existed tremendous debts among the Allies and the Germans. The debts could be paid only by the actual transfer of gold or by the sale of goods.

- Bolsheviks:*** After the October/November 1917 Revolution, Lenin and the Bolsheviks renounced all foreign debts accumulated by the tsarist regime. In the case of France, this amounted to 12 billion francs, or one quarter of France's foreign holdings.
- Ruhr:*** When the Germans defaulted on some of their reparations payments, French troops, supported by Belgian and Italian contingents, marched into and occupied the rich industrial region of the Ruhr. The French gained little for their occupation and simply fed the fires of super-nationalist German politicians.
- Czechoslovakia:*** The successor state had developed a strong industrial economy and prosperous middle class during the 19th century, especially in the area around Prague. The Czechs spent no more than they took in and suffered no inflation, while being on a gold standard from the first.
- autarky:*** The goal of gaining total economic self-sufficiency and freedom from reliance on any other nation.
- Dawes Plan:*** 1924 plan by a commission chaired by Charles Dawes that proposed a more liberal reparations payment cycle in order to get the cycle back into motion
- Young Plan:*** 1929 plan formulated by Owen Young to reduce payments on the reparations and extend them over a longer period
- Black Thursday:*** October 24, 1929. Compared to later stock crashes, this one was moderate. By noon, however, fear dominated the market, and the psychology for Depression was in place.
- Great Depression:*** 1929-1941, by 1932 the value of industrial shares had fallen close to 60% on the New York and Berlin markets. Unemployment in industrialized countries averaged around 25 %, industries were in decline, bankruptcies multiply, and banks failed. Effects affected people around the globe.
- Hawley-Smoot Act:*** U.S. tariff imposed in 1930 that increased the value-added duty to 50% on a wide variety of agricultural and manufactured imports. In response, high tariffs were imposed in other countries against U.S. goods.
- Ramsay MacDonald:*** 1866-1937, first Labour prime minister of the first Labour government
- Zinoviev letter:*** 1924 letter from a leader in the Comintern laying out the program for revolution in Britain that, when published, led to the fall of the Labour government
- Maginot mentality:*** refers to the construction of the state-of-the-art fortress, the Maginot Line, and the tendency of France to hide behind it in the 1930s

National Union: Rightist coalition that endured strikes, avoided civil war, and oversaw a becalmed France from 1934-1936

Popular Front: Leftist coalition under the leadership of Léon Blum (1872-1950) that ruled in various editions from 1936 through 1938. Tried to bring socialist reforms to France.

Marshal Josef Pilsudski: 1867-1935, after Poland's newly formed parliamentary system bogged down in political paralysis, Marshal Pilsudski led a military revolt in 1926 and imposed a generally benevolent dictatorship for the next nine years

Oliveira Salazar: 1889-1970, professor of economics who became minister of finance in 1928 and then Portugal's premier and virtual dictator

Spanish Republic: After a period of social and economic discontent in the 1920s, the king of Spain abdicated and was replaced by a republic with a classic, liberal constitution. Born as it was in the midst of the Depression and under the attack of the radical left and right, the Spanish Republic had little chance of success.

Mexico: Spearheaded the movement for social reform in Latin America that saw the Catholic church lose much of its property, the solving of the agrarian question at the expense of the large landowners, and the nationalization of many foreign holdings.

Albert Einstein: 1879-1955, the scientific giant of the first half of the 20th century who upset Newtonian views of the universe and devised the various theories of relativity

Franz Kafka: 1883-1924, Prague-based author who captured the nightmarish world of the 20th century in works such as *The Trial*, portrayal of a ritualistic society in which a well-organized insanity prevails. Rational, well-meaning individuals run a maze in which there is no exit, only more mazes.

Arnold Schoenberg: 1874-1951, Austrian-born composer who experimented with atonality and the absence of any fixed key

Pablo Picasso: 1881-1974, Spanish artist whose career spanned several decades and styles. He helped develop cubism and other modern forms. *Les Femmes d'Alger* depicted women in the cubist style, and shocked much of the art world in 1907. *Guernica* showed the horrors of war during the Spanish Civil War.

Cubism: An artistic style of the early 20th c., which depicts an object from several perspectives, leading to abstraction.

Henri Matisse: 1869-1954, French artist whose cubism, linear design, and colorful abstraction influenced young painters

Surrealism: Style of modern art that dealt with subconscious, primitive, irrational, violent, absurd. Surrealists include Salvador Dali, Giorgio Chirico, René Magritte.

Dada: Art style of the 1920s that rejected rationality, artistic standards. Artists associated with this movement include Man Ray, Marcel Duchamp, Paul Klee.

Walter Gropius: 1883-1969, German architect who furthered “international” style of architecture with horizontal lines, glass, exposed staircases. Style reflected techniques of the machine age.

Bauhaus: Movement arising in post-World War I Germany that emphasized functional art and architecture with simple lines and basic materials.

Frank Lloyd Wright: 1867-1959, American architect who integrated building with environment, and tried to interweave interiors and exteriors

DISCUSSION

Why were the Europeans unable to take advantage of the numerous bonds that united them to avoid war? Was there some flaw in the Western tradition of individualism that drove Europe to the suicidal conflict to come?

Consider the psychological trauma of total war on the home front and on those in the battle lines. Was it worth the cost?

After reading de Jonge, consider the devastation that inflation makes on the middle classes. What are the social and political consequences of the destruction of the middle classes?

Define autarky and criticize it as an economic and as a political policy.

Consider the difficult changes facing the newly formed Eastern European states in 1919. How do their crises compare with the problems facing the same states in the wake of the Soviet decline?

Discuss the divergent trends of high culture and mass culture in the first half of the 20th century. Will modern industrial civilization ever see the two trends converge?

PRIMARY DOCUMENT/CRITICAL THINKING EXERCISES

What is your reaction to the excerpt from the Diary of Tom Easton? What do you think he would write as his entry on November 11, 1918 and September 1, 1939?

Briefly analyze the characteristics Keynes ascribes to Clemenceau. Do you find Clemenceau to be particularly Machiavellian? What does Keynes think of Clemenceau?

TESTING

Trace the patterns of crises that led up to the opening of World War I. Why couldn't the great powers avoid war?

Analyze German diplomacy under Bismarck and then under Kaiser William II. Discuss the strengths and weaknesses of each leader's conceptions. Was the Kaiser merely bizarre, or did he rationally plan to move Germany onto a higher international plane?

How neutral was the United States during the first three years of World War I? Didn't Germany have valid reasons to use submarine warfare to interdict American material support of its European trading partners?

Compare and contrast the context, negotiations and outcomes of the Congress of Vienna and the Paris peace conferences. Why were the 1814-1815 diplomats able to produce such a comparatively long period of peace?

Briefly describe the elements of unity and peace that were developing in Europe before 1914. Were the threats brought by the portents of change enough to disrupt the momentum that had been developed?

Discuss the transition of the United States from the status of a debtor nation to that of a creditor nation to Europe in 1918. Assess the ramifications of the transfer problems and the German response to their particular economic situation.

Discuss the role of the United States in international economic developments in the 1920s specifically the Dawes and Young plans, the events leading up to Black Thursday and the Depression, and the imposition of the Hawley-Smoot tariff.

Compare and contrast the impact of the Depression on politics in the central, eastern, and Iberian sections of Europe. How did the economic problems help pave the way for the rise of fascism?

Compare and contrast the approaches of Herbert Hoover and Franklin D. Roosevelt in dealing with the Depression. In your opinion, what brought the Depression to an end?

How did modern art, literature, and music reflect the disaffection and uncertainties of the post-World War I period?

LECTURE LAUNCHER

The period from 1914 to 1918 was the first time in history that the productive activities of entire populations were directed toward a single goal: military victory. World War I was total war, a war of peoples, not just armies. Governments intervened to centralize and control every aspect of economic life. Supporting the soldiers, businessmen, and politicians at home created bureaucratic administrations to control wages and prices, distribute supplies, establish production quotas, and mobilize human and material resources. Women played an essential role in the mobilization of the home front. Governments rationed food and resources at home so that the war could go on.

As the public grew weary of the war, strikes and dissent increased. Women were often in the forefront of these protests. In a total war, unrest at home guaranteed defeat, and governments knew that all opposition to war policies had to be eliminated. Both among the Allies and the Central Powers, criticism of the government became treason. Propaganda became more extreme, and those who advocated peace were portrayed as no better than the enemy.

The worse the war became, the more the states pressed their people. 1917 was the blackest year of the war for the Allies, marked by the collapse of the eastern front with the Russian withdrawal after the revolution, the defeat of Serbia and Romania, and the Italian debacle at Caporetto. U-Boat warfare disrupted Allied and neutral shipping. The Central Powers lacked the resilience to take advantage of these circumstances. The war had grown from a stalemate to a crisis for both sides. The U.S. entry after the sinking of the *Lusitania* tipped the scales dramatically on the side of the allies. After the failure of the Ludendorff offensive, the Germans sued for peace.

THE INSTRUCTOR'S TOOL KIT

AUDIO CASSETTES

Bertrand Russell. *Bertrand Russell Speaking*
Woodrow Wilson. *The Fourteen Points*, in *Great American Speeches*,
1898-1918
The Metamorphosis. Franz Kafka
Babbitt. Sinclair Lewis
From Caedmon

COROLLARY READING

Mark A. Kishlansky, ed., *Sources of the West*, II

Ernst Jünger, *Storm of Steel* (1920)

Woodrow Wilson, *Fourteen Points* (1918)

Peter N. Stearns, Stephen S. Gosch, Erwin P. Grieshaber, *Documents in World History*, I

Global Contacts: Nineteenth-Century Sports

Pierre de Coubertin; the Buenos Aires Herald; Ana W. Amélie

COURSE ENHANCEMENT

Each chapter in the textbook includes extensive lists of supplemental material:

Films and videos

Web destinations

Literature from the period

Suggestions for further reading

COMPANION WEBSITE at www.ablongman.com/brummett

Additional resources are available at the Companion Website for both the instructor and the student. Instructor's resources include PowerPoint slide presentations, electronic versions of maps, graphs, and tables, Web resources, as well as links to Longman resources. For the student, you can direct them to the Companion Website to take quizzes, or for online links to further research or reading for each chapter.

CHAPTER 28

The USSR, Italy, Germany, and Japan: The Failure of Democracy in the Interwar Period

CHAPTER OUTLINE

INTRODUCTION

1. World War I and its aftermath prepared way for rise of authoritarian dictators in Europe.
2. Totalitarian regimes sought complete control over state, individual.
 - a. Leader exalted, state apparatus under his direction
 - b. Modern technology facilitated control over all areas of person's life
 - c. Propaganda used to manipulate masses
 - d. Managed elections gave appearance of popular support

I. REVOLUTION IN RUSSIA, 1917 AND 1928-1939

- A. The First, "Spontaneous" 1917 Revolution
 1. Costs of war set stage for revolution
 - a. Massive losses led to strikes, discontent
 - b. Tsar, government did little to help
 - c. Alexandra and *Rasputin* symbolic of ineptness
 2. Revolution began spontaneously
 - a. Massive strikes paralyzed Petrograd
 - b. Bread shortage occurred, causing more protests
 - c. Tsar ordered strikers back to work, police to move against them; both police, strikers disobeyed
 - d. Tsar dismissed Duma
 3. Duma formed Provisional Government, socialists formed Soviet of Workers and Soldiers' Deputies
 - a. Romanovs abdicated, *Dual Power* began
 - b. Provisional Government gave civil rights, liberties, laid base for Constituent Assembly
 - c. *Menshevik*-dominated Soviet had more support than Provisional Government, would not take power
 - d. Dual Power ineffective, Soviet issued *Order No. 1*
 4. As months passed, moderates on both sides of Dual Power lost authority

- a. Government stayed in unpopular, costly war to honor commitment to allies, seek territorial gains promised in secret treaties
- b. Believing bourgeois history not finished, Mensheviks refused to take power
- c. **Alexander Kerensky** in impossible situation

B. The Second, “Bolshevik” Revolution of 1917

- 1. Lenin came from Swiss exile with German help, April 1917
 - a. Arrived in Petrograd, announced radical plan to stop war against Germany, start war against “social oppressors,” nationalize land
 - b. Rejected by Mensheviks, Social Revolutionaries
 - c. Made move for power in summer, failed
- 2. Conditions in Russia disintegrated
 - a. **Kornilov** move hurt Provisional Government
 - b. Economic system fell apart
 - c. Troops deserted
 - d. Peasants carried out land reform
 - e. Workers began to take over factories
- 3. Bolsheviks remained disciplined, pragmatic, opportunistic
 - a. Slogan “Peace, Bread, Land” captured essence of crisis
 - b. After initial hesitation, Trotsky ordered Military Revolutionary Committee to seize communications, power centers in Petrograd
 - c. Bolsheviks easily took over, October 24 (November 6, n.s.)

C. Power, Allied Intervention, Civil War

- 1. Bolsheviks ruled shattered state
 - a. Constituent Assembly elections gave Lenin’s party barely 25% of votes
 - b. Dispersed Assembly with bayonets, January 1918
- 2. Made peace with Germans in Brest-Litovsk Treaty, stripping large areas, many people from Russia
- 3. Civil war soon broke out
 - a. **White** force fragmented, but threatened Lenin
 - b. Allied intervention challenged Bolsheviks
 - c. Lenin unleashed **Cheka**, harsh laws, to fight back
 - d. Tsar and his family executed, July 1918
 - e. By 1920s, Trotsky-led Red Army defeated Whites

D. Theory, Reality, and the State

- 1. Lenin massively revised Marx for Russia conditions
 - a. Set up dictatorship of proletariat
 - b. Speeded up Marx’s historical dialectic
 - c. Claimed democratic centralism, vanguard of party to anticipate best interests of masses, rule for them
- 2. Imposed Bolshevik authority, in ways reminiscent of Robespierre’s Committee of Public Safety
 - a. Changed calendar, aspects of alphabet

- b. Imposed terror, radical economic plans
- c. Suppressed other parties
- d. Changed party name, structure, functions, name of state, wrote two constitutions
- e. Party, state virtually one entity

E. **War Communism** and the **NEP**

- 1. Lenin's flexibility seen 1918-1924
 - a. Ordered Marxist economic goals to be pursued, disastrously failed, caused famine, ruin
 - b. Retreated, used New Economic Policy, with some capitalist practices, brought recovery
 - c. State kept control of "**commanding heights**"
- 2. Lenin's health broke, died 1924
 - a. Changed tone, nature of Marxism
 - b. Unleashed totalitarian state

F. Trotsky vs. Stalin

- 1. Party faced power transfer crisis
 - a. **Trotsky** obvious star, charismatic, key player
 - b. **Stalin** did less glamorous work, built party, created loyal network in Party
- 2. Stalin maneuvered various factions to destroy each other, by 1926 controlled state
 - a. Had definite policies, plans
 - b. Developed Leninism as secular religion, test of loyalty
 - c. Eliminated old Bolsheviks, including Trotsky (assassinated, 1940)
 - d. Quickly rejected world revolution, emphasized building socialism in Russia

G. Stalin's Economics: Revolution from Above, 1928-1939

- 1. Russia weak after World War I, Civil War
- 2. Stalin scrapped NEP, 1928
- 3. Imposed **Five Year Plans**
 - a. Called for industrialization, collectivization of agriculture
 - b. Required central planning
 - c. Tried to achieve "totalitarian breakthrough"
 - d. Disruptive, cost between 10 and 20 million lives

H. War on the Peasants

- 1. Sought to make peasants a rural proletariat
 - a. Precedent found in War Communism programs
 - b. Collectivized land, set up **sovkhoz**, **kolkhoz**
 - c. Set out to liquidate **kulaks**
- 2. Collectivization program a disaster
 - a. Peasants did not want to give up land
 - b. Millions died through murder, famine
 - c. Productivity plummeted

- d. By 1940, 90% of land, 100 million peasants in collective and state farms

I. The Five-Year Plans

1. **Central Planning** system introduced in 1928
 - a. All resource allocation, price setting centrally done; most market forces removed from economy
 - b. Heavy industry grew at expense of consumer goods
2. Soviet Union did industrialize in first and second five-year plans
 - a. Much of industrial plant shifted east of Urals
 - b. Gigantism was the key
3. Social, ideological consequences were mixed

J. The Great **Purges**

1. Stalin consolidated hold on party, system, society
2. Methods included secret police, kangaroo courts, show trials, firing squads, labor camps
3. Purges of 1930s disposed of old Bolsheviks, state officials, army officers

K. Changes in Soviet Society

1. Atomization of society challenged family structure
 - a. Party initially liberal toward social relations
 - b. Stalin pushed children to inform on parents
2. Medical care, education efforts expanded
 - a. Church suffered under communist attacks
 - b. Throughout, Communist party dominated
3. After brief artistic flowering, Stalin imposed tight controls on artists, musicians, writers
 - a. Poetry: Alexander Blok, Vladimir Mayakovsky
 - b. Cinema: Sergei Eisenstein
 - c. Music: Sergei Prokofiev, Dimitri Shostakovich
 - d. Literary hacks, propagandists turned out “tractor novels”

II. FASCISM

A. Justifications for Superiority

1. **Social Darwinists** applied Darwin’s theories to social, economic political areas
 - a. Justified Anglo-Saxon racial dominance
 - b. **Herbert Spencer** used evolution to support blithe belief in progress
2. Rapid 19th century changes shook Europe
 - a. Led to new ways of defining individuals, groups
 - b. Pseudoscientists used questionable methods to justify European dominance
3. **Joseph Arthur de Gobineau** applied biology to politics, saw nations as organisms
 - a. Argued innate inequality of races
 - b. Theories fed into aggressive nationalism

4. Various ***Pan-movements*** developed
 - a. Theories of Anglo-Saxon dominance
 - b. Pan-Germanism, Pan-Slavism
- B. Modern Anti-Semitism
1. ***Anti-Semitism*** seen in writings of von Treitschke, Dreyfus affair, pogroms in Russia, views of Karl Lueger
 2. ***Zionism*** developed in response
 - a. Theodore Herzl called for creation of Jewish state in Palestine
 - b. First Zionist congress held in Switzerland, 1897
 - c. Some Jewish emigration to Palestine, despite Arab presence for centuries
- C. The End of Rationality
1. 20th-century ***fascism*** combined many elements stemming from 19th-century challenges to accepted truths, rationality, morality
 2. Henri Bergson asserted that “vital instinct” was more important to creativity than reason
 3. Benedetto Croce rebelled against positivism, rationalism
 4. Albert Einstein rejected Newton’s ordered universe with his theory of relativity
 5. Sigmund Freud questioned rationality, looked to subconscious
 6. Friedrich Nietzsche described “superior man,” despised middle class mediocrity
 7. Georges Sorel advocated violence as means to deal with corruption of bourgeois society
 8. Houston Stewart Chamberlain depicted threats to “Aryan” race
 9. Growth of youth culture, rejection of traditional values, hostility to bureaucracies, parliamentary systems
- D. Italy and Mussolini
1. Though victorious in World War I, Italy suffered greatly
 - a. Lost 700,000 soldiers
 - b. Did not gain expected land (Trieste, Dalmatia, Trentino) in peace treaty
 - c. Postwar inflation, unemployment grew; food shortages increased
 2. ***Benito Mussolini*** active socialist, pragmatist, organized veterans groups
- E. The Path to Power
1. Socialists emerged as strongest party in elections of 1919, but lacked effective leadership
 2. ***Gabriele D’Annunzio***, adventurer, seized Fiume in defiance of peace treaty
 - a. Followers wore black shirts, used so-called Roman salute
 - b. Inspired Mussolini
 3. Mussolini’s ***fascists*** took advantage of upheaval, used violence to consolidate position
 - a. Liberal parties unable to solve problems
 - b. Frustrations grew, Mussolini made March on Rome
 - c. King Victor Emmanuel III asked Mussolini to govern

F. Building the Fascist State

1. Mussolini had no strict ideology
 - a. Crushed opposition, ruled through Grand Council
 - b. Passed laws to take powers from cities, regions, ended local self-government
 - c. Concluded **Lateran Treaty** with Papacy
2. Followed **state capitalism** economic policies
 - a. Labor, capital instruments of state
 - b. Mussolini built corporate state
 - c. Tried to use private enterprise, unions
3. Wanted to make Italy self-sufficient; failed

G. State and Struggle: Mussolini's Legacy

1. Mussolini made progress bringing modern living to Italy
 - a. Cleared slums, fought illiteracy, conquered malaria, made trains run on time
 - b. Chased Mafia out of Italy, to the U.S.
 - c. Neutralized accomplishments with ruinous efforts in Ethiopia, helpless to deal with Depression
2. Fascist ideology emphasized cult of leader (*Il Duce*)
 - a. Antiliberal, anticonservative, anti-laissez-faire capitalism
 - b. Highly nationalistic
3. Mussolini combined Great Man theory, Social Darwinism, Roman nostalgia
 - a. Used rhetoric of struggle, obedience
 - b. Lacked fanaticism of Hitler, Stalin

III. THE GERMAN TRAGEDY

A. Failure of the **Weimar Republic**

1. Defeat in war left social, political turmoil
2. Friedrich Ebert, Social Democrats led new state
 - a. **Spartacists** tried to start socialist revolution
 - b. Right-wing, unemployed veterans fought leftists
 - c. Weimar state had liberal constitution, weak multiparty structure
3. Weimar faced huge obstacles
 - a. Stigma of signing Versailles Treaty, Article 231
 - b. Extremists had contempt for moderates
 - c. Major economic problems, reparations
4. After 1924, foreign loans aided industrial growth
 - a. Bubble burst in 1929, Depression hit hard
 - b. Inflation-ravaged middle classes devastated

B. **Adolf Hitler**

1. Shy outsider shaped by failure, Viennese influences
 - a. Learned Social Darwinism, focused Anti-Semitism

- b. Fought bravely for Germany in World War I
- 2. Returned to Munich, hired by city as special agent
 - a. Encountered German Workers' party, became leader
 - b. 1920 group became **Nazi party**
- 3. Hitler honed skills in demagogue, perfected message
 - a. Attempted putsch (revolt) to gain power
 - b. Wrote *Mein Kampf* (*My Struggle*) in prison

C. Hitler's Chance

- 1. Economic disaster aided his career second time
 - a. Massive unemployment, hunger aided his rise
 - b. Party increased Reichstag seats to 107
 - c. Unleashed *Goebbels* to propagandize nation
- 2. Nazis nearly overshot the mark in 1932
 - a. Hitler refused to join coalition government
 - b. Party was broke, rescued by aristocratic nationalists and capitalists
- 3. Nazis overplayed hand in wake of **Reichstag fire**
 - a. New elections gave them 44%; formed majority by coalition with Nationalist party
 - b. Instantly passed **Enabling Act** to give Hitler right to rule by decree
- 4. Weimar government overturned, opposition crushed
 - a. Hitler took Germany from League of Nations
 - b. Broke arms limits of Versailles Treaty
 - c. Proclaimed **Third Reich**
 - d. Followed racist policies

D. War on the Jews

- 1. Nazi ideology had absolute hatred of Jews
 - a. Seen as people unfit for new world
 - b. Hitler began to destroy Jews
- 2. All Jewish officials lost jobs
 - a. Jews kept from business, industrial activities
 - b. Lost property, professional practices
 - c. Only half-hearted international protests
- 3. 1935, **Nuremberg Laws** passed, **Kristallnacht** followed

E. The Nazi Impact on Culture, Church, Education, and Society

- 1. Goebbels controlled all media, sought to instill single pattern of thought
- 2. Nazism sought to subordinate churches
- 3. Universities controlled, promoted Nazi racist theories
- 4. Schools, German Youth movement indoctrinated boys, girls
- 5. Women expected to stay home, bear children, work when needed

F. Economic Policies

- 1. Pursued autarky

- a. Germany pursued state capitalism
 - b. State controlled business, labor
 - c. “Strength Through Joy” movement provided low cost entertainment, vacations
- 2. Sought to solve economic problems by taking Jewish property, greatly taxing nation, increasing debt
 - a. Set up first four-year plan, set up large public works projects, rearmament
 - b. Overall, economic reform package failed to meet domestic, military needs

IV. JAPAN

A. Political and Economic Changes

1. Meiji reforms’ success showed in victory over Russia
 - a. Japan went from agricultural to industrial nation
 - b. Faced increasing population, limited land
2. **Genro** controlled Japanese government until 1918
 - a. New generation, led by **Hara Takashi**, took power
 - b. Path seemed to lead to liberal politics
3. Obstacles to liberalism
 - a. Weak tradition of democratic practices
 - b. Power, wealth in hands of few families
 - c. Culture, Shintoism, tended to favor militarism, dictators
4. Liberals pursued democracy in 1920s
 - a. Opposed militarists, passed reforms
 - b. By 1930, **Hamaguchi** led most liberal government
5. Economic crises, Depression harmed liberals
 - a. Japan’s exports collapsed, unemployment soared
 - b. Expanding population, inadequate resources
 - c. Hamaguchi tried restraint, was assassinated
6. Military clique took over, contemptuous of democracy
 - a. Planned to shelve parliament, invade Manchuria, 1931
 - b. Wanted economic, cultural domination of Asia
7. Junior officers in Manchuria, with some support from superiors, created “incident” that led to Japanese takeover of Manchuria, 1933

CONCLUSION

1. Unique qualities of Soviet Union, Italy, Germany shaped nature of authoritarian governments.
 - a. Each state had economic upheaval, weak tradition of middle-class dominance, little experience with liberal rule
 - b. Each state had ambitious leaders to step forward
2. Communists, fascists differed in theory, produced similar results.

CONCEPTUAL HOOKS

TIMELINE: 1917-1939

DEFINITIONS

Rasputin: 1872-1916, a *starets*, or holy man, from the Tobolsk region who gained immense influence by stopping the bleeding of the tsar's hemophiliac son. Despite his sexual exploits, he had increasing authority on key appointments. Died a truly epic death in December 1916 at the hands of a group of Russian nobles.

Provisional Government: February/March to October/November 1917. Duma on March 12 made itself the Provisional Government to serve as a caretaker until a constituent assembly could be elected to write a constitution.

Soviet of Workers' and Soldiers' Deputies: February/March to October/November 1917. Formed on the precedent of 1905 by socialists of various stripes.

Dual Power: Trotsky's description of the joint reign of the Provisional Government and the Soviets: the first wanted to rule but couldn't, the second could rule, but didn't want to.

Mensheviks: Controlled the Soviets, fundamentalist Marxists who believed that a liberal, bourgeois revolution had to run its course before the workers could take control.

Order No. 1: Issued by the Soviets March 14, placing the army on a democratic basis, run through a committee structure.

Alexander Kerensky: 1881-1970, the only real revolutionary on the original cabinet, who became head of the Provisional Government.

Lavr Kornilov: 1870-1918, army leader whose clumsy attempt to help pit the Provisional Government against the Soviets backfired when it was viewed as a counterrevolutionary attack.

Whites: A powerful but scattered group of anti-Bolsheviks who began a civil war that killed as many as were lost in World War I.

Cheka: The all-powerful secret police system started by Felix Dzerzhinsky.

War Communism: 1918-1921, the application of undiluted Marxist principles to eliminate private ownership of land, nationalize banks, railways and shipping; and restrict

the money economy. In the countryside it sought to collectivize agriculture and turn the peasants into a rural proletariat.

NEP: The New Economic Policy allowed the return to certain practices of capitalism and market economics. Peasants were allowed to sell some of their grain on the open market, and small firms and businesses could be run by private enterprise.

“commanding heights”: During NEP, Lenin’s insistence that the party control banking, transport, heavy industry, and utilities.

Leon Trotsky: 1879-1940, born Lev Davidovich Bronstein, brilliant, charismatic leader, first-rate intellectual, magnetic military leader, opposed Lenin at 1903 London meeting, played key role in 1905 revolution, led Military Revolutionary Committee and Red Army. Dismissed lesser mortals. Had no sense of organization, and depended on ego and brilliance to get him through.

Joseph Stalin: 1879-1953, born Joseph Vissarionovich Dzhugashvili, labored long and hard for the revolution in obscurity. Not a star, performed menial organization labor, such as building the party structure, which he parlayed into total control of the Soviet Union.

Five Year Plans: Stalin’s systematic program to develop heavy industry and collectivize agriculture.

sovkhoz: State farms, in which peasants would be paid wages.

kolkhoz: Collective farms, in which peasants would be paid according to the amount and skill of their labor.

Kulaks: Successful Russian farmers who increased food production after the disastrous period of war communism. Stalin’s collectivization of agriculture forced over one million of them off the land. Many were sent to Siberia or executed.

central planning: The centralized allocation of all resources, setting of all prices, and establishment of all production quotas so as to remove market forces from the economy. Used in the five-year plans to increase overall productivity of heavy industry, at the expense of consumer goods.

purges: In Russian the word is *chistka*, or cleansing, the process by which Stalin consolidated his hold on the party, state, and society and established a close-to-totalitarian government.

Social Darwinism: Application of Darwin’s findings to areas he never intended, such as social, economic, and political activities. Used to justify Anglo-Saxon dominance.

Herbert Spencer (1820-1903) was the most popular exponent of this view.

Joseph Arthur de Gobineau: 1816-1882, developed theory of racial differences, justified the domination of one group over another for “scientific” reasons. Gobineau applied biological theory to politics.

Pan-movements: Forms of aggressive nationalism seen in the Anglo-Saxon movement in Britain and Germany, and Slavic movements in northern and southern/eastern Europe.

Anti-Semitism: Antagonism toward Jews attained a new strength and vigor in the last part of the 19th century. Especially felt in Central and Eastern Europe, as seen in the appearance of forgeries such as the *Protocols of the Elders of Zion*.

Zionism: Movement founded by Theodor Herzl (1860-1904) that sought the creation of an independent state for Jews in Palestine.

fascism: Antiliberal, anticonservative, antirational, charismatic, nationalist, sometimes racist, and totalitarian movement in the 20th century. Its intellectual precursors appeared in the late 19th century. In Italy Mussolini organized leftist groups into bands called *fasci*, a name derived from the Latin *fascis*, the bundle of rods bound around an axe, which was the symbol of authority in ancient Rome.

Benito Mussolini: 1883-1945, Italian socialist, then fascist, who oversaw the development of state capitalism and the corporate state in Italy.

Gabriele D’Annunzio: 1863-1938, fiery nationalist writer who inspired Mussolini by his flaunting of the Versailles treaties in 1919 by occupying the contested city of Fiume.

Lateran Treaty: 1928, agreement that ended the conflict between the Italian state and the Vatican.

state capitalism: The use of capitalism and the labor movement by abolishing class conflict through cooperation or by force if necessary. Once labor and capital are tools of the state, a corporate state can be constructed, in which all of the productive portions of the state can be placed into syndicates, or corporations, so as to be more effectively managed.

Weimar Republic: German government from 1919 to 1933. The constitution adopted in Weimar after World War I established democratic parliamentary government.

Spartacists: A group led by Karl Liebknecht and Rosa Luxemburg, who formed the German Communist party at the end of 1918, which wanted a complete social and political revolution.

Adolf Hitler: 1889-1945, the ultimate demagogue, who by the sheer force of his personality, combined with the turbulent times became totalitarian dictator of Germany.

Nazi party: German Workers' party, which Hitler was sent out to infiltrate by the Munich authorities, and which he came to lead, took the name of the National Socialist German Workers' party. The words National Socialist (*Nationalsozialistische*) were abbreviated to Nazi. Hitler borrowed ideas from a broad variety of sources. The ideological stew he concocted in Vienna came to be popularly accepted by one of the more civilized countries in Europe.

Joseph Goebbels: 1897-1945, Nazi public relations genius who used all of the technology available to him to turn Germany into a stage on which he displayed Hitler.

Reichstag fire: Just when it appeared that the Nazis had overplayed their hand in refusing to join a coalition government with Hindenburg, a 24-year-old Dutchman, Marinus van der Lubbe, acting alone burned the Reichstag building as a statement against capitalism. Goebbels used this as an issue to dramatize the "threat" Germany faced.

Enabling Act: After the Nazis, in combination with the Nationalist party, gained control of the Reichstag in the spring of 1933, they put through the Enabling Acts which gave Hitler the right to rule by decree for the next four years.

Nuremberg Laws: 1935, legislation that forbade Aryans and non-Aryans to marry, Jews lost their citizenship, and anti-Semitic signs were posted in all public places.

Kristallnacht: November 9, 1938, after the death of a Nazi diplomat in Paris, property belonging to Jews was smashed, and on top of that a fine of a billion marks was imposed on the Jewish community.

DISCUSSION

What was there in Hitler's message that convinced the German people to back him? Explain why there was minimal opposition to the Anti-Semitic activities both within and outside Germany.

After reading Mandelstam, consider the proposition that the basis of totalitarianism is terror, which encourages self-censorship in all areas.

Trace the events surrounding the rise of Mussolini to power. What was there in his personality and his programs that enabled him to take control of Italy?

Compare and contrast the ideological development of Mussolini and Hitler. Why were their primitive ideologies taken seriously?

PRIMARY DOCUMENT/CRITICAL THINKING EXERCISES

Nadezhda Mandelstam describes how Stalin's terror affected everyday life of everyday people. She also describes why terror will not succeed ultimately.

Read Paula Siber's "The New German Woman." According to this document, what are the duties of the new German woman? What powers does she have? How is the concept of woman idealized? Which parts of the document might be appropriate for a Mother's Day speech? What editing might be needed?

TESTING

Who, or what, triggered the February/March Revolution?

Analyze Lenin's responses to the challenges of 1918-1921 and 1921-1924. Why did War Communism fail and NEP succeed?

Why did Stalin triumph over Trotsky?

Examine the policies of Benito Mussolini. If Mussolini had not formed a "brutal friendship" with Hitler, might he have been remembered with respect and affection for solving many of Italy's pressing problems in the 1920s? Discuss.

A noted historian has observed that "Hitler was a product of the economic conditions in which he lived." Trace his career from 1919 to 1932, and state whether or not you agree with the historian.

Define 20th-century totalitarianism. How does it differ from the absolutism of Louis XIV?
Describe the totalitarian features of either Stalinist Russia or Hitlerian Germany.

LECTURE LAUNCHER

The only new addition to the stable of European ideologies appeared in Italy in the 1920s. In the wake of World War I, parliamentary institutions, electoral politics, and representative government offered no ready solutions to the problems of the day. Fascism—dictatorship by a charismatic leader—promised an end to the disorder of democracy. It identified scapegoats and enemies, and offered security and protection.

Dictatorships, of which Mussolini was the original model, became the most prevalent form of government in interwar Europe, appealing to middle classes who feared the socialists and the loss of their money. In 1920, 26 of the 28 states in Europe were parliamentary democracies. In 1940, only five democracies remained. War and postwar hardships were the catalysts for the mass movements of fascism in Europe. The war had created a political vacuum caused by the crisis in liberal values. Fascism sounded very much like socialism: it condemned aspects of the capitalist economy, liberal political institutions, and exalted the nation. It advocated the use of force.

Italy, a poor nation, suffered greatly in the allied cause during the war and emerged still poor, disappointed by the gains for which it had sacrificed. Benito Mussolini, a prewar socialist, yearned for the revolution in Italy. He issued an appeal that was attractive to disillusioned war veterans. He envisioned Italy as a great world power and put out a message that appealed to the lower middle classes. Unions were to be feared, as were communists and big business. He finally took charge in the “march on Rome” in 1922. Once in power, Mussolini made an agreement with Big Business and made peace with the Church.

Fascist Italy did not fare well during the Depression, and both the urban and agricultural sectors were on the verge of bankruptcy. Mussolini’s popularity fell as economic discontent rose. He pursued expansionism in Ethiopia and joined with Hitler in the Rome-Berlin Axis, where he immediately became Hitler’s junior partner.

THE INSTRUCTOR’S TOOL KIT

AUDIO CASSETTES

Finnegan’s Wake. James Joyce
The Metamorphosis. Franz Kafka
The Stories of Franz Kafka
From Caedmon

COROLLARY READING

Mark A. Kishlansky, ed., *Sources of the West*, II

V.I. Lenin, *What Is to Be Done?* (1902)

Alexandra Kollantai, Theses on Communist Morality in the Sphere of Marital Relations

J.M. Keynes, *The Economic Consequences of the Peace* (1919)

Benito Mussolini, *Fascist Doctrine* (1932)

Adolf Hitler, *Mein Kampf* (1923)

Peter N. Stearns, Stephen S. Gosch, Erwin P. Grieshaber, *Documents in World History*, II

The Twentieth-Century Western State

Adolf Hitler; Beveridge Report

Lenin and the Russian Revolution

Lenin

Stalin and the Soviet Union During the 1930s: Progress and Terror

Joseph Stalin; Yevgeny Yevtushenko

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CHAPTER 29

Forging New Nations in Asia, 1910 to 1950

CHAPTER OUTLINE

INTRODUCTION

1. European ideas, factories, colonists spread to much of the world after 1870.
2. Formative development occurred in interwar period.
 - a. Nation-state model adopted or imposed
 - b. Movement of people from countryside to city
 - c. Transformation of government, law, economy, traditional social values
3. World War I and its aftershocks strengthened independence movements.
 - a. Imperial states lost power
 - b. Japan emerged as world power
 - c. China endured revolution, civil war
 - d. Southeast Asia witnessed independence movements
 - e. India saw Mohandas Gandhi lead non-violent campaign for self-government
4. Middle Eastern, Asian societies sought to redefine nationhood, end European domination.

I. CHINA: REVOLUTION AND REPUBLIC

A. Sun Yat-sen and Revolution

1. Nineteenth century one of darkest for China
 - a. Suffered loss of territory, foreign controls
 - b. Reform movements arose to respond to weakness
2. **Sun Yat-sen** key in transition from old to new China
 - a. Christian convert, had Western education
 - b. Active in opposition to Manchus
3. Exiled in 1895, traveled widely to gain support
 - a. Organized Nationalist, **Kuomintang** party
 - b. Returned after 1911 revolt
4. **Yuan Shih-kai** convinced Manchus to abdicate
 - a. Formed republican government
 - b. After opposition formed, made self emperor
 - c. After death, China experienced anarchy, warlords sought control of Peking
5. Power split: Beijing (Peking) in north, Guangzhou (Canton) in south

6. Sun served as president of Guangzhou government
 - a. Enunciated *Three Principles of the People*: nationalism, democracy, livelihood
 - b. When West did not help him, he turned to USSR

B. *Chiang Kai-shek* “Unites” China

1. Succeeded Sun as leader of Kuomintang
 - a. Educated in Japan, Russia
 - b. Led force north, no problems until strife broke out between radicals, conservatives
 - c. Sun crushed communists at *Shanghai*, ousted rest of communists at Guangzhou (Canton), ejected Soviets
2. 1927 split major event in modern Chinese history
 - a. Chiang crushed Marxists, liberals
 - b. Built base on urban businessmen, professionals
 - c. Depended on financial support from foreigners
 - d. Conservative urban rule in rural, peasant land
3. Foreign relations, urban life improved
 - a. But Chiang did not understand China’s problems
 - b. Used *New Life Movement* to improve country

C. The New Culture Movement and Chinese Communism

1. Intellectual revolution spread across country
 - a. Sought to establish new order, values to replace much of old Confucian tradition
 - b. Allies’ backing of Japan disillusioned students
2. Violent demonstration May 4, 1919, featured strong anti-Western sentiment
 - a. Led to New Culture Movement, reading Marx, Lenin
 - b. 1st Congress of Chinese Communist Party, 1921
3. *Mao Tse-tung* delegate at First Congress
 - a. Was library assistant to one of party founders
 - b. Emerged as leader, based Party on peasantry
 - c. Led Autumn Harvest Uprising, made *Long March*

D. Korea

1. Conflicts among Chinese, Russians, Japanese affected status of Korea
 - a. China lost war with Japan (1895); gave up suzerainty over Korea
 - b. Russia lost war with Japan (1905); recognized Japan’s position in Korea
 - c. Japan gained hegemony over Korea after end of Yi Period (1392-1910)
2. Japan appointed General Masaki Terauchi to administer Korea, 1910
 - a. Koreans lost freedom of speech, association
 - b. Protesters jailed (50,000 in 1912; 140,000 in 1918)
 - c. Japanese expropriated best land; independent farmers became tenants
3. Korean patriots issued Declaration of Independence, 1919
 - a. Echoed Woodrow Wilson’s position on self-determination

- b. Widespread support: 500,000 marched, 50,000 jailed, 7,500 killed
- 4. Japan relaxed some policies, but demanded more output from Korea
 - a. Required Korea to send more food to Japan; famine in countryside resulted
 - b. Paid Korean industrial workers half the salary of Japanese workers
- 5. Japanese tried to suppress Korean national identity
 - a. Repressed political movements
 - b. Forbade use of Korean language in schools
 - c. Stopped printing journals in Korean, 1940
- 6. Koreans embraced Presbyterianism in reaction to dominant religions in Japan, China

II. NATIONALISM IN SOUTHEAST ASIA

A. Indochina

- 1. Independence gained momentum in Southeast Asia
 - a. Colonial powers faced recovery after World War II
 - b. Wilson's pronouncements on "self-determination" resonated with nationalists
- 2. Indochina faced with several challenges
 - a. Rapid population growth
 - b. Unresponsive imperialist powers
 - c. Exploitation of natural resources
 - d. Irregular world markets
 - e. Growing Chinese role in business, economy
- 3. French rule least enlightened of all regimes
 - a. Revolutions seemed to be only answer
 - b. Vietnam nationalist party based on Kuomintang
- 4. *Nguyen Ai Quoc* (Ho Chi Minh)
 - a. Helped form French Communist party
 - b. Built national Communist party in Vietnam

B. The Philippines

- 1. President McKinley expressed U.S. goal to achieve Filipino self-government
- 2. By 1935 Philippine Commonwealth inaugurated with new constitution, pledge of independence
- 3. Economic situation difficult
 - a. Economy tied to export crops: hemp, sugar, coconuts, tobacco
 - b. U.S. prevented plantation economy by prohibiting non-Filipino ownership of land
 - c. Native landlordism rampant

C. Dutch East Indies

- 1. Dutch increased hold on East Indies
- 2. Indonesian independence drive strengthened

D. Siam/Thailand

1. Name changed to Thailand, 1939; country modernized
2. Weak king ruled after 1932 with army, oligarchy

E. Burma and Malaya

1. Burmese independence drive modeled on India's
2. With ethnic diversity, Malaya lacked strong nationalist movement; Malays feared Chinese

III. INDIA: THE DRIVE FOR INDEPENDENCE

A. Gradual Steps Toward Self-Rule

1. India remained loyal during war
 - a. Nationalists expected immediate return for their loyalty in terms of more self-government
 - b. British sent out commission to study issue
 - c. Government of India Act provided dual government between British, provincial legislatures
2. Nationalists resented small steps, began struggle
 - a. British passed repressive **Rowlatt Act**
 - b. Nationalists demanded sweeping changes

B. Gandhi and Civil Disobedience

1. **Mohandas K. Gandhi** foremost nationalist leader
 - a. After successful career as lawyer, changed
 - b. Repudiated wealth, lived ascetic life
2. Worked as reformer, champion of South African people
 - a. Protested restrictions that hampered movement
 - b. Gandhi began civil disobedience campaign
 - c. Used marches, mass demonstrations, passive resistance, non-cooperation
3. Returned to India, worked with British until Rowlatt Act passed, then switched to struggle for self-rule
 - a. Started mass strike, praying, fasting, 1919
 - b. **Amritsar massacre** put end to hope of cooperation
 - c. Gandhi put on trial, given six years of jail
4. Gandhi sought other goals besides freeing India
 - a. End drinking of alcohol
 - b. Raise status of women
 - c. Remove stigma attached to Untouchables
 - d. Attain cooperation between Hindus, Muslims
5. When British did not meet Congress' demands for dominion status, Gandhi led well-publicized Salt March, 1927

C. The Continuing Struggle

1. Conciliation meetings opened in 1930 in London
 - a. Proposed federal union, Government of India Act
 - b. Failed when princes refused to cooperate
 - c. Indian nationalists wanted total independence
2. Efforts channeled through Indian National Congress
 - a. Included both Hindus and Muslims
 - b. Gandhi expanded Congress to include peasants
 - c. Pushed moral, ethical goals
3. **Jawaharlal Nehru** joined Gandhi
 - a. Came from wealthy family, educated in England
 - b. More political, less mystical than Gandhi

D. The Hindu-Muslim Divide

1. Classic pluralistic society
 - a. Major division between Hindus, Muslims
 - b. Seen as struggle for political survival
2. Muslim League, political movement, pressed Congress
 - a. Led by **Muhammad Ali Jinnah**
 - b. Muslim League advanced “two nation” theory, did not want minority status in Hindu-dominated India

CONCLUSION

1. Japan, successful island nation, became world power by 1920.
2. Chinese Nationalists led by Sun Yat-sen overthrew Manchu dynasty.
 - a. Set up republic
 - b. Split developed between Chiang Kai-shek, Mao Tse-tung
3. India developed democratic nationalism under leadership of Mohandas Gandhi.

CONCEPTUAL HOOKS

TIMELINE: 1910-1950

DEFINITIONS

Genro: Aristocratic oligarchy of elder statesmen who controlled the Japanese government from 1889 to 1918.

Hara Takashi: 1854-1921, first commoner to hold the post of prime minister, which he assumed in 1918, led the liberals into attempting a series of reforms, assassinated in 1921.

Hamaguchi Yuko: 1870-1931, despite reactionary opposition, established by 1930 the most liberal government Japan had experienced. Was shot in November 1930 and died the following spring.

Twenty-One Demands: Document whose frank statement of Japan's aims on the Asian continent startled the world. China acceded to first 16 demands, reserved final five for consideration, leaked document to press to gain help.

Washington Naval Conference: 1921-1922, established formula to limit size of world's navies. Japan had third largest navy after Britain and U.S.

Nine-Power Treaty: 1922, also produced at Washington Conference. U.S., Britain, France, Italy, Japan, Belgium, the Netherlands, Portugal, and China agreed to respect independent sovereignty and territorial and administrative integrity of China, as well as the Open Door Policy.

Sun Yat-sen: 1867-1925, major figure in the transition from the old to the new China. Son of a tenant farmer, converted to Christianity, received a Western education, came back to dominate the Chinese revolutionary movement until his death.

Kuomintang: The Chinese nationalist party founded by Sun Yat-sen, based on democratic principles.

Yuan Shih-kai: 1859-1916, north Chinese military leader with modern ideas who persuaded the Manchus to step down. He was asked to form a republican government. When he was forced to grant concessions to foreign powers, a rebellion broke out. Yuan proclaimed self emperor.

Three Principles of the People: Sun's social ideology based on nationalism, liberation from foreign domination and creation of a Chinese nation-state, and livelihood, economic security for all the people.

Chiang Kai-shek: 1886-1975, son of a minor warlord who studied in Japan and in USSR. Took part in revolution, came back to be leader of the Kuomintang, formed forces for drive north.

Shanghai: Site of Chiang's perfidious destruction of much of the Chinese Communist party in 1927.

New Life Movement: Chiang's attempt to blend Christian and Confucian principles for the moral regeneration of his people.

Mao Tse-tung: 1893-1976, born in Hunan, went to Peking University, where he worked as a library assistant under Li Ta-chao, the founder of an important Marxist study

group and one of founders of Chinese Communist party. Made key theoretical stride by basing movement on the peasantry and the countryside.

Long March: After Chiang launched five major campaigns against the Communists, the party began a 2,000-mile retreat toward the northwest. Only a remnant of the original force reached Yenan.

Nguyen Ai Quoc: 1890-1969, “Nguyen the Patriot,” also known as Ho Chi Minh, participated in the formation of the Communist party in France, organized the Vietnamese Communist Party, and identified it with Vietnamese nationalism.

Rowlatt Act: British act passed in response to Indian nationalist uprising that allowed the police and other officials’ extraordinary powers to search out subversive activity. Never enforced, but widely viewed as symbol of repression.

Mohandas K. Gandhi: 1869-1948, born of middle-class parents, sent to London to study law, went to South Africa, where he built up a lucrative practice. Standard of values changed completely, became ascetic, developed concept of “civil disobedience,” complete with passive resistance. Changed nature of political discourse for rest of century.

Amritsar massacre: After Gandhi began 1919 campaign for self-rule in which all work was to cease and the population was to pray and fast, riots took place. Large body of unarmed Indians assembled at Amritsar, British troops fired on the meeting and killed more than 400.

Jawaharlal Nehru: 1889-1964, descendant of Brahmin family who had all of the advantages of wealth, the best English public schools, studied law, returned to India to fight for freedom. Friend and disciple of Gandhi.

Muhammad Ali Jinnah: 1876-1948, leader of Muslim League, originally a member of the Indian National Congress but became alienated by Hindu domination of the Congress.

Husain-McMahon Correspondence: Wartime letters between British High Commissioner McMahon in Cairo and Sharif Husain of Mecca (1856-1931), guardian of Islam’s holy places. Britain encouraged Arab revolt against Ottoman Empire, indicating they would later recognize Arab independence.

Sykes-Picot Agreement: 1916, secret treaty signed by Britain, France, and Russia dividing Syria and Iraq into four zones with London and Paris controlling two each and Russia gaining parts of Asiatic Turkey.

San Remo Conference: 1920 meeting formally turned Ottoman Arab lands to Allied powers to be administered as mandates. Syria and Lebanon were mandated to France; Iraq and Palestine were mandated to Britain.

DISCUSSION

Compare and contrast Chiang Kai-shek's and Mao Tse-tung's backgrounds, inspirations, and policies toward modernizing China.

As you look at the nationalist movements in Southeast Asia, why do you think the Communist party grew to such influence in Vietnam and Indonesia?

PRIMARY DOCUMENT/CRITICAL THINKING EXERCISE

After reading Lu Xun and China's May Fourth Generation explain why the early 20th century was a time of tremendous change and the impact these reforms had on the young people of China.

Explain the essay Gandhi and "Truth-Force."

TESTING

Trace Sun Yat-sen's background and career, and discuss his impact on China. What was his nationalist program? Why did he turn to the Soviet Union for assistance, when he had received a classical Western training?

Trace the rise of India's drive for self-rule between 1919 and 1939. Assess the British response to Indian demands. In your opinion, was there any way that conflict could have been avoided?

LECTURE LAUNCHER

Syncretism is the act of combining beliefs or culture. The question is, how to adapt the West to an Asian culture and to maintain the essential identity of the home culture. The Chinese and Japanese faced this problem in the early 20th century: how to be a modern Chinese or Japanese, to tie identities with the changes originating from the West.

On May 4, 1919, thousands of people protested in Beijing over the Treaty of Versailles' transfer of German interests in China to Japan. May 4th became the label attached to a movement of intellectual and cultural change in response to Western politics and philosophies. Writing in the vernacular language to reach the masses, the May 4th movement discussed political, social,

cultural, and economic issues. To Chinese intellectuals Marxism, offered a Western critique of Western power, a modern weapon to employ in the war against foreign capitalists and domestic power holders. But not all critics joined the Communists. Despite the absence of a central state, a modern economy established itself in cities, especially Shanghai.

Not everyone in the May 4th generation of intellectuals embraced Western ideas. Some searched for a Chinese identity, an abstract set of “timeless” characteristics. The intellectual debate in the cities spilled over to the countryside in conservative, liberal, and radical forms, stressing initiatives to improve peasant welfare. Some of the arguments were based on the work of Christian missionaries. Mao Tse-tung led the Chinese revolution in the countryside.

Japanese leaders knew the importance of Western political ideas and institutions, yet were nervous about the changes overtaking Japan. A wide range of critiques emerged: some saw problems in Japanese society; others saw economic rights as dominant over liberal rights; Marxists proposed a variety of approaches to Japan’s political situation; some radicals saw a strong nation-state as the answer for all of Japan’s problems. As Western ideas were embraced, an equally strong drive to protect Japanese culture began. An intense nationalism emerged to unite most of the diverse elements.

The Meiji restoration introduced Western influences in taste and fashion as well as politics. The first department stores appeared in the late 19th century. Rural life also underwent material and cultural changes; farmers became owners of the land they tilled and gained the right to have surnames and to ride horses. New social relations became possible with rising social mobility.

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AUDIO CASSETTES

Rudyard Kipling, *The White Man’s Burden and Other Poems*
From Caedmon

COROLLARY READING

- Peter N. Stearns, Stephen S. Gosch, Erwin P. Grieshaber, *Documents in World History*, II
Chinese Revolutionaries: Sun Yat-sen and Mao Zedong
Sun Yat-sen; Mao Zedong
- A Chinese Peasant Maps His Road to Wealth
Wang Xin
- Gandhi and Modern India
Mohandas K. Gandhi
- Jinnah and the Founding of Pakistan
Muhammad Ali Jinnah
- Ziya Gokalp: Turkish Nationalism and Western Civilization
Ziya Gokalp

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CHAPTER 30

Emerging National Movements in the Middle East and Africa, 1920s-1950s

CHAPTER OUTLINE

INTRODUCTION

1. European ideas, factories, colonists spread to much of the world after 1870
2. Formative development occurred in interwar period
 - a. Nation-state model adopted or imposed
 - b. Movement of people from countryside to city
 - c. Transformation of government, law, economy, traditional social values
3. World War I and its aftershocks strengthened independence movements
 - a. Imperial states lost power
 - b. Japan emerged as world power
 - c. China endured revolution, civil war
 - d. Southeast Asia witnessed independence movements
 - e. India saw Mohandas Gandhi lead non-violent campaign for self-government
4. Middle Eastern, Asian societies sought to redefine nationhood, end European domination

I. THE MIDDLE EAST DIVIDED

A. The War Years

1. Disintegrating Ottoman Empire attracted competing world powers
 - a. Britain seized Egypt (1882), France gained Tunis, Algiers, Morocco, Italy took parts of Libya (1911)
 - b. Russians, French, Germans wanted position in eastern Mediterranean
 - c. British sought to control Suez region
 - d. City of Jerusalem sacred to Jews, Christians, Muslims
2. Conflicting promises, secret treaties complicated postwar settlement
 - a. **Husain-McMahon Correspondence** led Arabs to expect independent state
 - b. **Sykes-Picot Agreement** provided for division of Arab lands between Britain, France
3. **Sharif Husain** launched **Arab Revolt**, led by son, Faisal, with aid of **Lawrence of Arabia**
 - a. Ottoman forces lacked money, supplies, ammunition, defeated in Syria, signed armistice

- b. British allowed Faisal march into Damascus, set up administration
 - 4. **San Remo Conference** turned Arab lands to Allied powers as mandates
 - a. Syria, Lebanon mandated to France
 - b. Iraq, Palestine mandated to Britain
 - 5. British tried to mollify Sharif Husain's family
 - a. Faisal made king of mandate in Iraq
 - b. Abdallah, Faisal's brother, made king of Transjordan
 - c. Iraqi people had no desire for Hashemite king from Arabia
 - d. No logic to borders of Transjordan
 - 6. **Balfour Declaration** posed further problems with phrase "national home for Jewish people"
 - 7. War, treaties exacted high toll in Ottoman lands
 - a. Deaths, casualties, starvation during war
 - b. Massacre of **Armenians**
 - c. Families separated by new territorial divisions
 - d. Greeks, Turks uprooted
- B. Mustafa Kemal and the New Secular Model of Turkey
- 1. Victors intended to partition Ottoman lands among French, Italians, British, Greeks
 - 2. **Mustafa Kemal** gained following to assert Turkish position
 - a. Reorganized troops, defied Allies
 - b. Formed government, elected president
 - c. Upheld self-determination, rejected special rights for foreigners
 - d. Gained support of Soviet Union, France
 - e. Abolished sultanate, established republic
 - 3. Allies agreed to revision of Treaty of Sèvres, adopted terms more favorable to Turkey in **Treaty of Lausanne**
 - 4. Mustafa Kemal, later known as **Atatürk**, ruled as an autocrat, committed to Westernization, modernization, secularization
 - a. Established democratic constitution
 - b. Believed autocratic, one-party rule needed to develop country, people
 - c. Closed down popular Sufi orders, traditional religious schools
 - d. Abolished Islamic Sharia law, adopted civil code based on Swiss model
 - e. Banned fez, traditional male headgear of Muslims in Ottoman areas
 - f. Encouraged Western-style education
 - g. Changed Turkish script from Arabic to Latin alphabet
- C. Iran
- 1. Neutral in World War I, Iran survived intact, but Qajar rule suffered
 - a. Economic devastation
 - b. Widespread anti-foreign sentiment, especially after British attempts to dominate economic, foreign policies
 - c. Inability to control tribal chiefs in provinces
 - 2. **Reza Khan** succeeded in taking over government, founded **Pahlavi dynasty**

- a. Combined constitutional, authoritarian approach
- b. Sought to modernize, secularize, Westernize Iran
- c. Less successful in achieving goals than Atatürk had been
- 3. British-owned Anglo-Iranian Oil Company held concession, exploited Iranian oil
 - a. Shah encouraged contacts with Germany to counter British position
 - b. Iran remained neutral in World War II
 - c. Fearing potential German involvement, Russia, Britain intervened in Iranian affairs

D. Arabia

- 1. Arabia, a desert land, with no apparent strategic or natural resource value, remained independent after World War I
- 2. Abd al-Aziz ibn Sa'ud sought to unite tribes, Arabia
 - a. Seized Riyadh, 1902
 - b. Defended Wahhabi doctrine that aimed at purging Islam of all innovation
 - c. Captured holy cities of Mecca, Medina, 1924
 - d. Won British recognition in return for recognizing British position in Gulf
- 3. Kingdom of Saudi Arabia
 - a. Authoritarian, without constitution
 - b. Kept some Arab consultative customs, but king ruled by royal decree with consent of *ulama*
 - c. Sharia became law of land
- 4. King granted concession to Standard Oil Company, 1933,

E. Egypt

- 1. Egypt ruled by British High Commissioner, forced to participate in World War I
- 2. **Sa'd Zaghlul** formed the **Wafd** ("Delegation")
 - a. Sought approval to go to Paris Peace Conference, British denied permission
 - b. Popular uprising followed, British suppressed demonstrations
 - c. Wafd allowed to attend peace conference
- 3. British declared Egypt independent, 1922
 - a. Britain retained control of defense, foreign affairs, economy, Sudan, Suez Canal
 - b. Capitulations remained
 - c. Britain imposed defense pact, reoccupied Egypt in World War II
- 4. Egyptian Feminist Union, founded by Huda Sharawi, 1923, advocated rights for women
- 5. Muslim Brotherhood, founded by Hasan al-Banna, 1928, developed social programs

F. The Mandates

- 1. Iraq, under British mandate, had highly diverse population
 - a. Strategic link between Persian Gulf, Iranian oil fields
 - b. British suppressed rebellious tribesmen
 - c. Established constitutional monarchy, crowned Faisal, 1921

- d. British retained control of army, finances
 - e. Iraq's only mandate to gain independence, 1932
 - f. Britain still retained air bases, oil leases
 - 2. Syria, Lebanon encompassed Maronite Christians, Sunni, Shia Muslims, Druze
 - a. French brought large army contingent to area
 - b. Set up Lebanon to create Christian state that would retain ties with France
 - c. Lebanon's religiously-based politics have complicated governance ever since
- G. The Question of Palestine
- 1. Holy Land held special meaning for Jews, Christians, Muslims
 - 2. British policies in Palestine tended to favor Jewish immigrants over Arab indigenous population
 - a. Allowed separate flag, Hebrew became one of official languages
 - b. Jewish employees paid more than Arab ones
 - c. Jewish community allowed to arm itself, while Arabs could not
 - d. Arabs lacked unity, connections in Britain
 - 3. Jewish immigration intensified, 1919-1926, 1933-1936, alarmed Arabs
 - 4. Peel Commission, 1937, recommended partition into Arab, Jewish states
 - 5. Palestine question extremely controversial
 - a. Zionists claimed historical right, promises of Balfour Declaration, value of "democratic, progressive" influence
 - b. Palestinians claimed 1000 years of residence in area, lack of consultation regarding their land, horror of alien immigrants taking over
 - 6. British White Paper, 1939
 - a. Called for restrictions on immigration, land sales
 - b. Impossible to implement during Hitlerian period

II. COLONIAL RULE IN AFRICA

- A. Colonial Practices
- 1. Colonial powers sought to preserve law and order, quell disturbances, keep administrative costs low
 - 2. Most policies involved "divide and rule" approach
 - 3. **Indirect rule**, ruling through traditional African authority, favored by British
 - a. **Frederick Lugard** advocated ruling through local political leaders, tribes
 - b. Chiefs expected to follow colonial laws, carry out directives, collect taxes, often had to make difficult compromises
 - c. Sometimes British created artificial tribes, appointed "warrant chiefs" to establish indirect rule when social structure not conducive to system
 - 4. **Assimilation**, French view, involved total cultural immersion of select Africans
 - a. Learned French language, culture, received full political rights
 - b. Suitable for small colonies, not appropriate for large populations
 - 5. **Direct rule** required central administration
 - a. French model set up layers of administration in colony

- b. Portuguese model integrated overseas provinces into Portuguese state, with supposedly equal rights for *assimilado*

B. The Colonial Economy

1. Colonialism imposed dependent economic relationship between Africa, Europe
2. Major objective: compel colonies to produce raw materials for world market in exchange for finished products from mother country
3. Colonial economies differed
 - a. Direct European involvement in plantations, mines
 - b. Indirect European involvement in buying, exporting cash crops from Africans with small landholdings
4. Cash crops destructive to agriculture, exhausted soils, led to erosion
5. New head tax paid in cash had effect of forcing African men into migrant labor force
6. New forms of transportation changed patterns of movement
 - a. Railroads built from coast to interior
 - b. Undermined established trading networks
 - c. Cars, trucks replaced porters, pack animals

C. Social and Religious Change

1. Colonial rule brought opportunities for social change through new trade routes, work sites, urban centers, associations, networks, styles, cultures, ideas, values, faiths
2. Christianity won new converts
 - a. Catholics, Protestants sent missionaries to spread Christianity to “heathens,” block Islam
 - b. Early converts from margins of African society
 - c. Later converts sought technical skills, education at mission schools
3. Schooling facilitated social advancement in colonial world; age, family position, ability, and sex more significant determinants in traditional society
4. Some African Christians broke away from missions to form independent churches
 - a. Wanted to adapt Christian beliefs, rituals to African culture
 - b. Successfully spread Christianity to southern 2/3 of continent
5. Islam spread in northern 1/3 of continent
 - a. Muslim clerics came from area
 - b. Did not force converts to give up custom, culture
 - c. Not identified with colonial rulers
6. Sufi orders/brotherhoods effective in converting, creating spiritual bonds
 - a. Qadiriyya, oldest brotherhood, reached Hausa elite
 - b. Mourides, founded by Shaykh Ahmad Bamba (1880), stressed discipline, work

D. “New Britain”: Kenya and Rhodesia

1. Most Europeans came to Africa on temporary bases as traders, missionaries, officials
2. More hospitable climates of Kenya, Rhodesia induced Europeans to settle

3. Kenya's highlands reserved for white ownership only
 - a. Kikuyu reduced to farm labor
 - b. Squatters expelled from farms, went to barren cities
 4. White settlers in Rhodesia took best land
 - a. Opted for status of self-governing colony
 - b. Colonial parliament passed discriminatory laws without British intervention
 - c. Land Apportionment Act of 1930 divided land into black, white areas
- E. White Exploitation in the Union of South Africa
1. After Anglo-Boer War British High Commissioner Milner envisioned English-dominated South Africa
 - a. Hoped to entice British immigrants to take up farming in South Africa, but few did
 - b. Wanted to Anglicize Afrikaners by setting up English-language schools, but Afrikaners set up independent schools
 2. Formation of Union of South Africa, 1909, self-governing dominion
 - a. Presidents Louis Botha, Jan Smuts preached reconciliation with British
 - b. J.B.M. Hertzog called for separate Afrikaner nationalism
 - c. Afrikaans, English recognized as official languages
 - d. Britons dominated civil service, business sector
 3. Britons, Afrikaners cooperated in parliament to protect white interests, limit Africans' advance
 - a. Excluded blacks from government, voting
 - b. Froze land divisions between white and black, 1913
 - c. Restricted Africans to reserves
 - d. "Civilized labor" policy provided government jobs for poor whites
 - e. Color bar, wages disparities in private industry
 4. ***African National Congress*** (ANC) founded to oppose discriminatory laws
 - a. Sought change through nonviolent, constitutional means
 - b. John Dube first president
 5. Africans migrated to cities in World War II era, agitated for better social, economic conditions
 6. ANC's Youth League urged ANC leaders to assume more aggressive role
 - a. Youth members included Nelson Mandela, Walter Sisulu, Oliver Tambo
 - b. New leadership committed to mass protests, strikes, boycotts, civil disobedience

III. PAN-AFRICANISM

- A. ***Pan-Africanism*** aimed at unifying, strengthening blacks
- B. Leaders split over whether to focus on sub-Saharan Africans or include Africans of diaspora in Americas, Caribbean
- C. ***W.E.B. Du Bois*** organized ***National Association for the Advancement of Colored People*** (NAACP)

1. Edited *The Crisis*
 2. Advocated rights of blacks to participate in national government, eventual self-rule for African countries
 3. Supported Pan-African conferences, including one that coincided with Peace of Paris
- D. **Marcus Garvey** founded Universal Negro Improvement Association
1. Advocated black self-awareness, economic self-sufficiency, immediate independence for African states
 2. Founded Black Star shipping line to repatriate blacks to Africa
- E. Italian invasion of Ethiopia (1935) galvanized black public opinion
1. **Emperor Haile Selassie** symbolized Africa's independence, freedom
 2. Mechanized Italian army overwhelmed Ethiopia's 250,000 poorly trained troops
 3. Emperor appealed to League of Nations to no avail
 4. Groups of blacks in U.S., Britain founded organizations to support Ethiopian war effort
- F. Fifth Pan-African Congress held in Manchester, England, at end of World War II
1. Du Bois, future African, Caribbean leaders attended
 2. Called for immediate freedom for Africa by any means

IV. AFRICAN MOVEMENTS FOR INDEPENDENCE

- A. World War II set off forces that accelerated movement toward independence
1. Decolonization occurred elsewhere
 2. Massive unemployment, inflation spurred nationalist demonstrations
 3. Britain, France less powerful after war
 4. African political organizations developed more ambitious goals
- B. Gold Coast colony set pattern for nationalist movements
1. British expected to groom Africans for gradual takeover of government
 2. Introduced modified constitution, 1945
 3. Professionals organized to counter constitution, rejected radical leadership

CONCLUSION

1. Modernizing regimes took hold in Persia, Turkey
2. Middle East complicated by Zionism, Arab nationalism, British, French mandates
3. Black nationalists sought to replace colonial rule in Africa with self- government

CONCEPTUAL HOOKS

TIMELINE: 1914-1950

DEFINITIONS

Husain-McMahon Correspondence: Wartime letters between British High Commissioner McMahon in Cairo and Sharif Husain of Mecca (1856-1931), guardian of Islam's holy places. Britain encouraged Arab revolt against Ottoman Empire, indicating they would later recognize Arab independence.

Sykes-Picot Agreement: 1916, secret treaty signed by Britain, France, and Russia dividing Syria and Iraq into four zones with London and Paris controlling two each and Russia gaining parts of Asiatic Turkey.

Arab Revolt: With strong British backing, Arabs launched revolt against Ottomans. Though not particularly large or widespread, it was tactically significant and did strike a blow to Ottoman prestige. Faisal, third son of Sharif Husain, led the revolt. T.E. Lawrence (***Lawrence of Arabia***), an engaging and eccentric figure, fought alongside the Arabs.

San Remo Conference: 1920 meeting formally turned Ottoman Arab lands to Allied powers to be administered as mandates. Syria and Lebanon were mandated to France; Iraq and Palestine were mandated to Britain.

Balfour Declaration: 1917, in which the British stated their “favour” toward “the establishment in Palestine of a national home for the Jewish people....” Designed to mobilize Jewish support for Britain during the war, it encouraged Zionist aspirations for a Jewish state.

Armenians: From 1895 to 1915, Turkish patriots' program of massacres of Armenians occurred that culminated in the murder of some 1.2 million of them in 1915 at Musa Dagh.

Mustafa Kemal: 1880-1938, Turkish nationalist, hero of the Gallipoli campaign, rallied Turks after World War I. He gained Allied recognition for Turkish independence and the revision of the Treaty of Sèvres. He ruled as an autocrat and introduced many drastic reforms to modernize, westernize, and secularize Turkish society. He was called ***Atatürk***, or “Father Turk.”

Treaty of Lausanne: 1923, revision of post-World War I treaty with Turkey. It recognized Turkish sovereignty, provided more moderate peace terms and demanded no reparations.

indirect rule: Form of imperial administration that uses traditional authorities of the indigenous population. ***Frederick Lugard***, a British administrator, advocated this system after finding it effective dealing with the northern Nigerian Sokoto Caliphate.

assimilation: Form of imperial policy that calls for cultural transformation. The French, reflecting views prevalent during the French Revolution, selected some Africans for total immersion in French language and culture, as well as full political rights. The approach was possible in small colonies, like Senegal, but not suited for larger ones. The Portuguese also tried to create a class of ***assimilados***, who were Christians and read, wrote, and spoke Portuguese.

direct rule: Form of centralized imperial administration involving colonial administrators directly linked to several layers of subordinate command.

Pan-Africanism: Early 20th-century movement to unify and strengthen blacks. Some disagreement over whether to focus on sub-Saharan African or include all Africans in Africa, the Americas, and Caribbean.

African National Congress: Founded in 1912 as South African National Congress, it opposed discriminatory laws and called for equal treatment of blacks. It sought change through nonviolent constitutional change. In 1940s Youth League members, including Nelson Mandela, Walter Sisulu, and Oliver Tambo, urged change of leadership and more assertive mass protests.

W.E.B. Du Bois: Helped found ***National Association for the Advancement of Colored People***, which promoted rights of blacks to participate in government and self-rule in African countries.

Marcus Garvey: Jamaican, important leader in Pan-African movement. He called for black self-awareness and economic self-sufficiency.

Haile Selassie: 1892-1975, Emperor of Ethiopia, tried to resist Mussolini's aggression in 1935. When Ethiopia fell, he appealed to the League of Nations for help, but received no significant support.

DISCUSSION

As you look at the nationalist movements in Southeast Asia, why do you think the Communist party grew to such influence in Vietnam and Indonesia?

After viewing the activities of the Young Turks and the proponents of a secular state, especially with regard to the Armenians, how superior were they to the old, theocratic Ottoman state?

From an administrative point of view, discuss the pros and cons of direct rule, indirect rule, and assimilation as colonial policies.

Discuss the challenges facing the growth of nationalist movements in Africa, 1920-1965.

PRIMARY DOCUMENT / CRITICAL THINKING EXERCISE

The 20th century saw the Middle East come out from under the dominance of the Ottoman Empire and its leaders, at a late date, enter the arena of nationalistic politics. Read the “Memorandum of the General Syrian Congress.” What does this document tell you about the level of their political expertise and self-definition?

TESTING

Could one accuse the Allies of treating the Arabs with a certain Machiavellian disregard before, during, and after World War I?

Trace the origins of the Arab-Israeli conflict before 1939. Which side had the better argument? Assess the aims of British policy.

Consider the development of the career of Mohandas K. Gandhi. Why do you think he abandoned such a successful career as a lawyer? What are the strengths of his policies of “civil disobedience”?

Trace the rise of India’s drive for self-rule between 1919 and 1939. Assess the British response to Indian demands. In your opinion, was there any way that conflict could have been avoided?

Assess the contributions made by the Europeans to Africa in the interwar period. Assess the cultural, economic, and political prices paid by the Africans for those contributions.

THE INSTRUCTOR'S TOOL KIT

AUDIO CASSETTES

Rudyard Kipling, *The White Man's Burden and Other Poems* From Caedmon

COROLLARY READING

Ziya Gokalp: Turkish Nationalism and Western Civilization *Ziya Gokalp*
Middle Eastern Dreams in Conflict: The Views of an Early Zionist and a Palestinian
Refugee
Nahum Goldman; Fawaz Turki
The Resurgence of Islam
Hasan al-Banna; Ayatullah Murtada Mutahhari

COURSE ENHANCEMENT

Each chapter in the textbook includes extensive lists of supplemental material:

Films and videos
Web destinations
Literature from the period
Suggestions for further reading

COMPANION WEBSITE at www.ablongman.com/brummett

Additional resources are available at the Companion Website for both the instructor and the student. Instructor's resources include PowerPoint slide presentations, electronic versions of maps, graphs, and tables, Web resources, as well as links to Longman resources. For the student, you can direct them to the Companion Website to take quizzes, or for online links to further research or reading for each chapter.

CHAPTER 31

World War II: Origins and Consequences, 1919-1946

CHAPTER OUTLINE

INTRODUCTION

1. In 1920s statesmen tried to build structure for lasting peace through international organizations, arms limitation, outlawing war.
2. In 1930s dictators led world to war.
3. In 1940s war brought massive destruction through new technology, atomic bomb.

I. THE TROUBLE CALM: THE WEST IN THE 1920s

A. The League of Nations

1. Had to deal with aftershocks of World War I
 - a. Compiled mixed record: resolved some small-power disputes; helpless against large powers
 - b. Hampered in work by absence of United States
 - c. Made little progress on disarmament
2. Had strong humanitarian, scientific, cultural record
 - a. Helped repatriate prisoners of war, saved thousands from starvation, fiscal ruin
 - b. Fought drug traffic, disease, investigated slavery
 - c. Published books, periodicals on international problems

B. France Seeks Security

1. British concerned with Empire, U.S. isolated, left France to lead postwar Europe
 - a. France sought absolute security by weakening Germany
 - b. German-French rift papered over at **Locarno**
2. **Kellogg-Briand Pact** proposed more universal policy
 - a. 62 nations signed to outlaw war
 - b. Contained no enforcement provision
3. France put little faith in League of Nations
 - a. Tried to build wall of allies to isolate Germany
 - b. France maintained dominance until 1930s

C. Soviet and German Cooperation

1. Two diplomatic outcasts worked together
 - a. Soviets isolated by repudiation of tsarist debts, ideology, functioning of **Comintern**
 - b. Germans isolated after Versailles
2. Soviets had two-prong foreign policy
 - a. Comintern's subversive activities
 - b. Normal diplomatic relations
3. Germany/Soviets cooperated after Lenin left Zurich
 - a. Secret 1920s pacts brought military cooperation
 - b. First open contact at **Rapallo**
 - c. Cooperation continued until 1934, although each side had own goals; resumed in 1939

II. EPOCH OF THE AGGRESSORS

A. Japan Invades Manchuria, 1931

1. Japan moved into Manchuria, 1931
 - a. Needed resources, land for people
 - b. China called for League assistance
 - c. League condemned Japan, with no punishment
 - d. Chinese boycotted Japanese goods
2. Japan attacked Shanghai, pushed inland
 - a. Committed atrocities at Nanking
 - b. Chinese called for 1933 truce recognizing Japanese hold over Manchuria, north China
3. Undeclared civil war between communists, nationalists suspended
 - a. Mao, Chiang kai-shek established **united front** against Japan, January 1937
 - b. In response, Japanese renewed advance
4. Japan proclaimed **New Order** in East Asia; planned to dominate area
 - a. Destroy Chiang Kai-shek's regime
 - b. Expel Western interests from East Asia
 - c. Establish self-sufficient economic bloc: Japan, Manchuria, China
5. Japan planned colonial zone, Great East-Asia Co-Prosperity Sphere to provide raw materials, markets, land for expansion
6. Japan continued to expand after outbreak of World War II
 - a. Took Hainan Island (1939), naval, air bases in French Indochina (1940)
 - b. Put pressure on Dutch East Indies, British Hong Kong, Singapore

B. The **Rhineland** and the Axis

1. Hitler negated Versailles Treaty, rearmed, with great trepidation reoccupied Rhineland

- a. Britain did nothing
 - b. France mobilized, stayed behind Maginot Line
 - 2. **Axis** alliance formed
- C. The Spanish Tragedy
- 1. Republic battered from both left and right
 - a. **Franco** led army against legal government, backed by Mussolini, Germans
 - b. Republic backed by many groups, Soviet Union
 - c. Germans, Italians tested new weapons, tactics
 - 2. Franco used USSR role to allege communist domination
 - a. Made fight anti-communist crusade
 - b. Democratic powers did nothing to aid Republic
 - 3. Madrid fell, March 1939, tragedy cost 700,000 lives
- D. **Appeasement** and Weakness
- 1. **Neville Chamberlain** became U.K. prime minister, 1937
 - a. Reversed offensive, bomber force strategy
 - b. Backed defensive, fighter strategy
 - 2. Wanted to make positive opening to Germans
 - a. Sought to appeal to mutual interests rather than fear, demonstrate good faith
 - b. Appeared to avoid war at any cost
 - c. Appeasement supported by British, Commonwealth
 - 3. Countries began to approach Hitler for alliances, deals
 - a. Hitler saw opportunity for quick gains
 - b. Laid out plans in Hossbach Memorandum
- E. Toward Austria and the Sudetenland
- 1. Pursued **Anschluss** in wake of bungled 1934 coup
 - a. Pressured Austrians to capitulate in 1938
 - b. Sent forces into Austria, silenced opponents
 - 2. Hitler approved new chancellor, held plebiscite
 - a. 99.75% approved union
 - b. Acted under implied British approval
 - 3. Hitler moved to take Czechoslovakia's **Sudetenland**
 - a. German-inhabited, economically depressed region
 - b. Site of Czech fortifications
 - 4. September 1938, in note to Chamberlain, Hitler demanded self-determination for area
 - a. No basis to Hitler's claims of Czech abuse
 - b. Chamberlain, French caved in to Germans despite Hitler's lying, increasing demands

F. *Munich* and Democratic Betrayal

1. Chamberlain flew to Munich for meeting with Hitler, Mussolini, Daladier, French premier
 - a. After 13 hours, agreement reached for surrender of Sudetenland
 - b. No Czech or Soviet representatives present
2. Munich conference gave Hitler all demands
 - a. Gave Poland, Hungary slices of Czechoslovakia
 - b. Chamberlain claimed “Peace in our time”
3. Czech government deprived of defensive perimeter
 - a. Czechs forced to go under German protection
 - b. Mussolini, to keep up, took Albania
 - c. Dictators celebrated with *Pact of Steel*
4. Britain responded by ending appeasement policy, instituting first peacetime draft
 - a. French began active measures of war preparation
 - b. U.S. remained isolationist, received hostile reaction to “quarantine speech”

G. The *Nazi-Soviet Pact*

1. Poland, Danzig Corridor, Hitler’s next target
 - a. British, French gave symbolic support to Poles
 - b. Poles refused to give in to Hitler’s demands
2. Stalin had to choose between Nazis, democratic powers
 - a. Both sides previously cool to USSR
 - b. In spring 1939, both ardently courted Stalin
3. Soviets allied with Nazis, Nonaggression Pact
 - a. Two sides had common interests in Poland
 - b. Stalin unimpressed by democratic weakness in support of allies
 - c. Received concrete gains from Germans
 - d. Gained time to prepare selves for war

III. WORLD WAR II

A. A New Way of War

1. New weapons, techniques revolutionized warfare
 - a. Advances continued through war: radar, jet planes, nuclear weapons
 - b. New uses for carriers, amphibious forces
2. States used new ways to mobilize people, resources
 - a. War rested on individual soldier, leadership
 - b. Atomic weapons changed nature of war

B. Blitzkrieg and Sitzkrieg

1. Nazis staged incident, invaded Poland September 1
 - a. British declared war September 3

- b. **Blitzkrieg** crushed Poland in 2 weeks
 - 2. No movement on Western front between Siegfried line, Maginot line, **Sitzkrieg**
 - 3. Russia attacked Finland in November
 - a. Held off by tough Finns for four months
 - b. Outmanned Finns finally gave in, ceded land
- C. “Blood, Toil, Tears, and Sweat”
- 1. Nazis took West Europe in six weeks, April/May 1940
 - a. One of history’s most successful campaigns
 - b. Denmark, Norway, Holland, Belgium, Luxembourg fell
 - c. France, Britain helpless
 - 2. Chamberlain replaced by **Winston Churchill**
 - a. Faced possible loss of army at **Dunkirk**
 - b. Refused to show dismay, knew odds were bad
 - c. Had only fighter planes, radar to defend island
 - 3. 335,000 men rescued after being trapped at Dunkirk
 - a. Hitler did not deliver death blow
 - b. Saved by Royal Air Force (RAF), small craft
 - 4. Fall of France became inevitable
 - a. Paris capitulated June 1941
 - b. **Vichy regime** created
 - c. Armistice signed in same train car in which Germans capitulated in 1918
 - d. **Charles de Gaulle** went to London to lead Free French Government
 - 5. Only Britain remained to oppose Hitler
 - a. Nazis planned cross-Channel assault
 - b. **Battle of Britain** spread terror in cities
- D. Mastery of Europe
- 1. Hitler strengthened position in Balkans
 - a. Hampered by Mussolini’s failure in Greece
 - b. Had to rescue him, overrun Yugoslavia
 - 2. Delay to help ally set Russian invasion back
 - a. Spent supplies, diverted good troops
 - b. Had to face Josef Tito-led and other partisans for rest of war in Yugoslavia
 - 3. By spring of 1941, Germany controlled most of Europe
- E. War with the Soviet Union
- 1. Tension and mistrust marked Nazi-Soviet Pact
 - a. Stalin had assumed “imperialists” would exhaust each other in Western war
 - b. Hitler in July 1940 set up operation **Barbarossa**
 - 2. Invasion launched June 1941 on 1800 mile-long front
 - a. Besieged Leningrad, reached Moscow, moved toward Caucasus for resources
 - b. Offensive halted by early winter 1941
 - c. Soviets restocked with allied Lend-Lease help, supplies from east of Urals

F. The United States Enters the War

1. Americans began to take Axis threat seriously
 - a. Passed ***Lend-Lease Act of 1941***
 - b. Installed peacetime draft, rearmed
 - c. Churchill, Roosevelt issued ***Atlantic Charter***
2. ***Pear Harbor*** attack brought U.S. into war
 - a. After Tokyo's atrocities in China, U.S. had struck back with economic penalties
 - b. Japanese launched successful surprise attack
3. U.S. declared war on Japan December 8, 1941
 - a. Four days later, Germany declared war on U.S.
 - b. 26 nations united to fight Axis in January

G. The Apogee of the Axis

1. Japanese controlled Pacific to Midway, Southeast Asia
2. Germans to Stalingrad, menaced Egypt by summer 1942
3. U.S. naval triumphs at Coral Sea, Midway turned tide
 - a. Sank large amount of ships, broke carrier force
 - b. Broke Japanese code
 - c. Began "island hopping"
4. British and American troops drove Nazis from Africa
 - a. Took Sicily, began march up Italian boot
 - b. Mussolini stripped of office, rescued by Nazis

H. The Russian Turning Point

1. Nazis lost support by treating Slavs as ***Untermenschen***
 - a. Hitler obsessed with taking ***Stalingrad***
 - b. Sacrificed Sixth Army, loss began roll-back
2. Soviets began "liberating" East Europe, preparing for postwar political world

I. Axis Collapse

1. D-Day second front opened June 6, 1944
 - a. Paris liberated in August, drive forward limited only by Battle of the Bulge in December
 - b. Allies controlled skies, devastated Germany
2. Allies met at ***Yalta*** to plan peace arrangements
 - a. Mussolini killed by partisans
 - b. Hitler committed suicide as Russians took Berlin
 - c. Victory in Europe Day (V-E Day), May 8, 1945
 - d. Atomic bombs ended Pacific war

J. The Holocaust

1. Concentration camps operated in Belsen, Buchenwald, Dachau, Auschwitz, elsewhere
 - a. Exploitation of prisoners as laborers
 - b. Inadequate food, torture, medical experimentation, executions
2. “Final Solution” to Jewish question handled by Himmler, Heydrich
 - a. Many killed in gas chambers
 - b. Millions more died from starvation
 - c. Others executed by mobile death squads that moved with armies
 - d. 6 million Jews; 6 million non-Jews perished in Nazi-occupied areas, 1939-1945
 - e. Question of complicity of German people remains

K. The Atomic Bomb

1. Allied armies invaded Germany; war in Europe ended May 1945
2. Americans advanced toward Japan, 1943
 - a. Captured islands of Tarawa, Kwajalein, Saipan after intense fighting
 - b. With allies, defeated Japanese fleet at battle of Leyte Gulf (1944), greatest naval engagement in history
3. Allies learned nature of Japanese occupation of Co-Prosperity Sphere
 - a. One million Korean men forced to work in Japanese factories
 - b. More than one hundred thousand women forced to become “comfort women” for Japanese soldiers
 - c. American prisoners of war received brutal treatment on Bataan Death March in the Philippines
 - d. Allies suffered in slave labor camps throughout Southeast Asia
 - e. Japanese used prisoners for unconscionable medical experiments
4. Allies closed in to invade Japan in 1945
 - a. Took Iwo Jima, Okinawa; used bases to bomb Japanese cities
 - b. Chinese, with US aid regained areas previously captured by Japan
 - c. *Kamikaze* pilots flew suicide missions to hit American ships
 - d. Intensity of Japanese resistance during island-hopping campaigns indicated invasion of Japan would run into hundreds of thousands of casualties
5. Japan refused to surrender
 - a. US dropped atomic bomb on Hiroshima, August 6, 1945
 - b. Damage covered 3 square miles, estimated 60,000 died, 100,000 wounded
 - c. Second bomb dropped on Nagasaki, August 9, 1945
6. Japan sued for peace; signed surrender on battleship *Missouri*, September 2, 1945

CONCLUSION

1. Unprecedented millions killed in war, aftermath
 - a. Germany lost 4.2 million
 - b. Allies lost 1.5 million
 - c. USSR lost 25 million
 - d. Yugoslavia had highest per capita deaths, 1 in 10
 - e. Asian population dropped by 55 million, 1940-1950
2. War stopped German, Italian, Japanese aggression
3. Adolf Hitler, key figure in World War II
4. Lesson taught that love of peace will not stop war

CONCEPTUAL HOOKS

TIMELINE: 1919-1946

DEFINITIONS

Locarno Pact: 1925, agreement signed by Germany, Great Britain, France, and Italy to guarantee the existing frontiers along the Rhine, to establish a demilitarized zone 50 kilometers deep along the east bank of the Rhine, and to keep from attacking each other. Problems would be dealt with through international guarantees, Germany entered the League of Nations. Did not deal with controversial issue of Germany's eastern borders.

Kellogg-Briand Pact: 1928, developed by U.S. secretary of state Frank Kellogg and French foreign minister Aristide Briand to outlaw war as an instrument of national policy. As it contained no enforcement provisions and espoused admirable sentiments, 62 nations signed it.

Comintern: Also, the Third Communist International, a body organized in 1919 dedicated to the overthrow of capitalism throughout the world. Spread propaganda. Established Communist parties, different from other national parties because they owed allegiance to an international organization rather than their nation. Infiltrated unions, other socialist groups.

Rapallo Pact: Signed by Soviet and Weimar German diplomats in 1922; they renounced the concept of reparations and agreed to cooperate in a number of areas.

united front: Proclaimed by Mao Tse-tung in the midst of his civil war with Chiang Kai-shek, arranged in December 1936-January 1937. The two groups put aside their differences, proclaimed a truce, and established joint operations against the Japanese.

New Order: As the Japanese advanced rapidly up the Yangtze River to Nanking, committing atrocities as they went, they captured Peking and proclaimed the New Order in eastern Asia. Its objectives were to destroy Chiang Kai-shek's regime, expel Western interests from East Asia, and set up a self-sufficient economic bloc.

Rhineland: The demilitarized area set aside under the terms of Locarno, reoccupied by Hitler in 1936 in the face of British and French inaction.

Axis: Rome-Berlin Axis formalizing ties between Mussolini and Hitler in 1936. Later that year, Japan joined Germany in the Anti-Comintern pact, and the next year Italy joined.

General Francisco Franco: 1892-1975, commander of the insurgents seeking to destroy the legal government of Spain, the Republic, in 1936. Three years later, after the fall of Madrid, Franco took absolute power over Spain and held it until his death.

Neville Chamberlain: 1869-1940, British prime minister (1937-1940) who sought to deal with Hitler in terms of mutual interests based on dividing Europe into spheres and to avoid a resort to war, and fear.

appeasement: Name given to Chamberlain's policy toward Hitler, defined by one scholar as "the policy of meeting German demands and grievances without asking firm reciprocal advantages; asking instead only for future 'mutual understandings.'"

Anschluss: Literally, a "joining." Germany and Austria united in 1938, in violation of the terms of the Peace of Versailles.

Sudetenland: Area along the western perimeter of Czechoslovakia that contained the Czech state's substantial and powerful military perimeter. The Germans living in the area had been fairly treated by the Czech state during the Depression, and there was no basis for Hitler's charge of abuse.

Munich: September, 1938, conference at which Britain, France, Italy and Germany agreed to the dismemberment of Czechoslovakia to avert war. The Czechs were not consulted, and Hitler eventually took all of Czechoslovakia. The Munich Agreement became a symbol of appeasement.

Pact of Steel: Military alliance signed by Mussolini and Hitler in 1939.

Nazi-Soviet Pact: August 21, 1939, agreement between two ideological enemies, but compatible states, which divided up Central and Eastern Europe between Moscow and Berlin, gave the Russians needed time to recover from the purges and Germany valuable resources and the removal of fear of a two-front war.

Blitzkrieg: “Lightning war” featuring massed mobile forces.

Sitzkrieg: “Sitting war,” or phony war, used to characterize the Western front from autumn 1939 to spring 1940.

Winston Churchill: 1874-1965, at the outbreak of World War II he was a 66-year-old man with a checkered career, viewed as a “might-have-been,” flawed by flashiness, too much brandy, and lack of follow through. Rose to difficult circumstances, became great leader.

Dunkirk: After the rapid Nazi advance, close to 400,000 British and French troops were trapped on the narrow beaches of Dunkirk in May 1940. Hitler hesitated to crush them, as he militarily could have, and 335,000 soldiers were evacuated by a variegated armada of British ships, under a thin layer of support from the Royal Air Force.

Vichy: After the fall of France, the country was divided into two zones, one governed from Vichy and the region occupied by Germany. The Vichy government was supposed to be free from interference, but in reality it was a puppet of the Nazis.

Charles de Gaulle: 1890-1970, after a distinguished record in World War I, de Gaulle wrote several studies anticipating the Blitzkrieg tactics of the Germans, which were ignored with the building of the Maginot Line. Refused to surrender to Nazis and fled to London, where he led the Free French Government.

Battle of Britain: The German bombing of British cities through the fall and winter of 1940-1941. Showed character of British people as they refused to be intimidated.

Barbarossa: After deciding not to invade England, Hitler ordered planning for the invasion of Russia, code word Barbarossa.

Lend-Lease Act of 1941: Empowered president of U.S. to make arms available to any country whose defense was thought to be vital to U.S. national interest.

Atlantic Charter: Drafted by Roosevelt and Churchill, who pledged to crush Nazi tyranny and to make a world where “men in all the lands may live out their lives in freedom from fear and want.”

Pearl Harbor: Surprise Japanese attack on December 7, 1941 destroyed any U.S. isolationist sentiments remaining.

Untermenschen: “Subhumans,” Nazi designation for those nations and peoples they defined as inferior and fit only for manual labor and/or eradication. Lost substantial advantage in the USSR by treating the Slavs as *Untermenschen*.

Stalingrad: Decisive battle between Soviet and German forces, lasting from September 14, 1942 to February 2, 1943. Ignoring his generals’ advice that the site was not worth the effort to take, defended as it was with great fanaticism, Hitler ordered his forces to endure, and lost the battle and 270,000 men.

Yalta: Crimean site of meeting of Churchill, Roosevelt, and Stalin to discuss peace arrangement. Mirroring military reality, agree Russia should have preponderant influence in East Europe, decided Germany should be divided into four zones, discussed UN functioning, and confirmed Russia would enter war against Japan.

DISCUSSION

In the 1920s we saw that great ideals not backed by great power would not be respected. Had European diplomacy changed much since the post-Westphalian world was born in 1648?

Consider the bureaucratic efficiency with which a “civilized” people used technology to kill millions of civilians. Some have suggested that this is a natural result of the Western tradition, genocide in the name of an idea, using science and technology.

Attack and defend Truman’s decision to use atom bombs.

If you were in Stalin’s position in the spring of 1939, and you had to choose an alliance with the Nazis or the democratic powers, which would you choose? Why?

Consider the changes made in the nature of warfare from the technological innovations surrounding World War II.

After brilliantly advancing his cause until September 1939, Hitler made a number of questionable wartime decisions: not destroying the allied armies at Dunkirk, spending so much time and effort in the Balkans, and invading Russia. Attack or defend Hitler’s decisions in these areas.

PRIMARY DOCUMENT/CRITICAL THINKING EXERCISES

Erich Maria Remarque in *The Road Back* vividly portrays the mindset of those people who could not accept Germany’s defeat in World War I, those who believed in the “stab-in-the-back” theory. What is wrong with that theory? How could reasonable people believe it?

After reading the extracts from the “Hossbach Memorandum,” can there be any doubt of Hitler’s ultimate aims? Can one reasonably say, as some apologists do, that he was “forced into fighting?”

After reading the description of the Nazi Death Camps, try to conceive of a set of beliefs that would permit you to participate in such a system. Why are there some people who do not believe that the Holocaust happened?

The clinical description of the bombing of Hiroshima masks an even bigger question. Did Truman make the right decision? Defend or attack the use of the atomic bomb to end the war.

TESTING

Assess the contributions of the League of Nations from 1919 to 1931. Why was it unable to impose peace on the world?

Discuss France’s attempts to wield its leadership from 1919 to 1931. Given the harsh nature of the Treaty of Versailles, would a more accommodating treatment of the Germans have avoided the unpleasantness that was to come?

One diplomatic historian has written that “had it not been for the ruinous war and holocaust that followed, had Hitler died August 31, 1939, he would have been recognized as a diplomatist and statesman the equal of Bismarck.” Consider the gains Hitler made between 1935 and 1939 through his use of threat of force. Do you agree with this assessment?

Why did the democratic powers fail to respond to the obvious threat posed by the Nazis? Can democratic countries, with all of the competing political pressures to be considered, deal effectively with a determined dictatorial regime?

LECTURE LAUNCHER

Building Bombs. At the beginning of the 20th century, academic scientists typically pursued scientific knowledge for its own sake and published their findings in scholarly journals, causing some critics to accuse them of being in an ivory tower. The need to transfer basic research to useful technology traditionally did not generate basic discoveries in physics. After World War I, scientists, however, began working in teams within their national communities. The leading national “factories” earning Nobel prizes were in the United States and Germany, especially in physics. Nazi racial policies drove many of the finest scientists, including Enrico Fermi, out of Central Europe to the United States and Great Britain. In 1939, German scientists began to consider the possibilities of building an atomic bomb; however, German scientific and military leaders did not see that such a weapon could be brought to bear in the near future. The allies, however, had the money and brain power (much of it from Central Europe) to build the bomb in the Manhattan Project. In 1945, the money devoted to it in the United States was estimated to be

equal to that of the entire auto industry. The atom bomb that resulted from this massive team work changed the world. Scientific knowledge was no longer innocent.

The Holocaust. The extermination policy evolved incrementally through the 1930s. The “Final Solution” began with confinement of Jews in urban ghettos. A shared purpose, permeating the entire administrative system from the civil service through the judiciary, began to pursue the “final solution.” To ensure the efficient elimination of the Jews, a planning conference, headed by Reinhard Heydrich, was held in Wannsee, a Berlin suburb, in January 1942. Mass racial extermination began first in Poland. The executions were the work of the SS, aided by Mobile Killing Operations under the SD (Sicherheitsdienst/Security Service). Heinrich Himmler devised a more efficient way to destroy the Jews than en masse firing squads (extermination by Zyklon B gas). A vast network of death camps, beginning with the one in Chelmno, Poland extended on to Belzec, Sobibor, Treblinka, and Auschwitz. In all, eleven million people died by the extermination process (six million Jews and almost as many non-Jews).

The words *Arbeit Macht Frei* were emblazoned over the main gate at Auschwitz, the largest concentration camp. The sick and aged, along with pregnant women, were immediately sent for extermination because they could not work. Those who survived served the short-term economic and research needs of the Nazis.

Effective resistance was impossible because the entire German state was involved during the 1930s and most Germans stood silently by. Most countries, including the United States, blocked the entry of the Jews. Another reason for the impossibility of effective resistance was the bureaucratic, business-as-usual, step-by-step nature of the extermination process. Most felt that things could get no worse. When the Polish Jews resisted in their ghetto in Warsaw they were destroyed. Polish and Russian Jews accounted for 70% of the total Jewish deaths.

Those who ordered the extermination, those who carried it out, those who brought the internees to camps, those who saw their neighbors disappearing, those who smelled the fumes of the burning bodies knew. Aside from Raoul Wallenberg in Hungary, the King of Denmark and scattered brave individuals who protected Jews, heroic acts were isolated and rare. Collaborationist governments cooperated with Nazi extermination policies. Vichy France sent 75,000 men, women and children to their deaths. The British and American governments had early and accurate information of the atrocities and they did nothing.

THE INSTRUCTOR’S TOOL KIT

AUDIO CASSETTES

Churchill in His Own Voice

Eisenhower

The Naked and the Dead. Norman Mailer

From Caedmon

COROLLARY READING

Mark A. Kishlansky, ed., *Sources of the West*, II

J.M. Keynes, *The Economic Consequences of the Peace* (1919)

Benito Mussolini, *Fascist Doctrine* (1932)

Adolf Hitler, *Mein Kampf* (1932)

Memories of the Holocaust (1938-45)

Winston Churchill, *Speeches* (1940)

Adolf Eichmann, *Testimony* (1961)

Peter N. Stearns, Stephen S. Gosch, Erwin P. Grieshaber, *Documents in World History*, II

The Twentieth-Century Western State

Adolf Hitler; Beveridge Report

COURSE ENHANCEMENT

Each chapter in the textbook includes extensive lists of supplemental material:

Films and videos

Web destinations

Literature from the period

Suggestions for further reading

COMPANION WEBSITE at www.ablongman.com/brummett

Additional resources are available at the Companion Website for both the instructor and the student. Instructor's resources include PowerPoint slide presentations, electronic versions of maps, graphs, and tables, Web resources, as well as links to Longman resources. For the student, you can direct them to the Companion Website to take quizzes, or for online links to further research or reading for each chapter.

CHAPTER 32

The Bi-Polar World: Cold War and Decolonization, 1945-1991

CHAPTER OUTLINE

INTRODUCTION

1. World War I and its aftershocks strengthened independence movements in Africa, Asia
2. European colonial powers weakened by war
3. Nationalist movements gained momentum after World War II
 - a. China endured revolution, civil strife
 - b. India gained independence
 - c. Decolonization spread to Middle East, Asia, Africa
4. Postwar Europe contended with two immediate issues
 - a. What to do with defeated, devastated Germany
 - b. How to deal with Nazi leaders
5. Bi-polar contests of Cold War affected many regions of world

I. THE COLD WAR: 1945-1962

A. Overview

1. U.S., USSR differed on economics, politics, social organization, religion, individual liberties
2. Based on variety of issues between communist, capitalist worlds since 1917
 - a. War against Nazis brought two sides together, temporarily
 - b. Split began in 1943 in conflicts over war policy
3. Distrust, rivalry heightened tension during Cold War
 - a. U.S., USSR never fought each other directly
 - b. "Proxy wars" fought between client states

B. Postwar Problems

1. Europe healed slowly from World War II damages
 - a. Major cities in rubble
 - b. Civil wars in Greece, Yugoslavia
 - c. USSR had lost 25 million people, one third its national wealth

- d. Occupied countries had to deal with collaborators
- e. Allies had to repatriate eight million Nazi labor slaves, refugees
- 2. Allies carried out selective **denazification**
- 3. **Nuremberg** trials made example of war crimes
 - a. German general staff claimed they were “just following orders”
 - b. Telford Taylor, U.S. prosecutor, insisted on need to exercise moral judgment
 - c. International panel of jurists conducted proceedings
 - d. 12 hanged; 7 imprisoned; 3 acquitted
 - e. Established precedent from War Crimes Tribunals
- 4. Germany divided into four occupation zones, in accordance with Yalta agreements
 - a. Berlin divided into four sectors in Soviet zone, with access guaranteed
 - b. Hostility between U.S., USSR blocked final settlement

C. Stalin's Postwar Policies

- 1. Launched fourth five-year plan, 1946
 - a. Imposed double shifts on workers to increase output
 - b. Imposed mass deportations to labor camps, many deaths
 - c. Continued collectivization policies
- 2. Repressive measures to quash dissent, criticism, resistance
 - a. Appointed loyal supports to all important offices
 - b. Restricted membership in Communist Party; purged some earlier members
 - c. Attacked some ethnic groups, such as Crimean Tatars
- 3. Announcement of **doctors' plot** suggests Stalin may have planned new purges
- 4. Terror ended with Stalin's death

D. The **Cold War** in Europe to 1953

- 1. After 1945, Roosevelt, Churchill viewed Stalin's actions as violations of Yalta Agreements
 - a. Stalin dominated most of eastern Europe, 1945-1948
 - b. Communists used **coalition government** tactic to take over governments
 - c. Poland, East Germany, Czechoslovakia, Hungary, Rumania, Bulgaria, Albania acted as satellites of USSR
 - d. Only Yugoslavia pursued semi-independent course
 - e. Czechoslovakia last state to fall to Soviet Bloc
 - f. Stalin used 1930s pattern in new holdings
- 2. Four-power rule of Germany fell apart
 - a. U.S., Great Britain merged zones to form Bizonia
 - b. France joined other two to form West Germany
- 3. Churchill used metaphor of “Iron Curtain” to describe Soviet policies resulting in Cold War division of Europe

E. The Marshall Plan and Containment

- 1. Soviets kept armies on wartime footing after 1945
 - a. Soviets, communists threatened Greece, Turkey, Iran
 - b. In response, U.S. proclaimed **Truman Doctrine** to send economic aid

2. George F. Kennan proposed ***Containment policy***
3. U.S. proposed ***Marshall Plan*** to provide economic aid to Europe
 - a. Soviet Union, allies rejected assistance
 - b. Western European economies soared
4. Soviets blocked all access to Berlin in July 1948
 - a. Allies supplied West Berlin by air for 10 months
 - b. Soviets lifted blockade rather than risk war
5. May 1949 Federal Republic of Germany proclaimed
 - a. At same time German Democratic Republic born
 - b. Germany divided until 1990
6. Washington established ***NATO***, 1949
7. ***Warsaw Pact***, 1955, formalized Soviet military control, dismantled, 1989

F. The Cold War in China and Korea: 1949-1953

1. Japan left Korea after surrender in World War II
 - a. Soviet, American zones of occupation set at 38th parallel
 - b. Soviet, American troops left
 - c. Hostile groups in Korea; each claimed jurisdiction over entire country
2. North Korean troops crossed 38th parallel, June 25, 1950
 - a. U.S. appealed to UN
 - b. Security Council demanded cease-fire, withdrawal of invasion
 - c. Soviet delegate had boycotted session; not present to veto
 - d. Security Council sent troops for “police action”
 - e. U.S. suffered 140,000 casualties
 - f. Armistice signed, July 1953; recognized 38th parallel

II. BI-POLAR CRISES AND NATIONAL LIBERATION: 1953-1962

A. Overview

1. Bi-polar conflict spread across world
2. USSR, U.S. poured in money, experts into several countries to promote communist, non-communist system

B. The Middle East and Africa

1. Algeria: nationalists sought to oust French
 - a. Revolt led indirectly to fall of Fourth French Republic
 - b. Nearly two million French residents left Algeria, returned to France
2. Iran: Mosaddeq nationalized oil
 - a. Introduced liberal reforms
 - b. Challenged shah; shah fled
 - c. CIA-sponsored military coup that overthrew Mosaddeq
3. Tunisia: Habib Bourgiba led nationalist movement; French left
4. Egypt: Gamel Abdel Nasser took over
5. Several nationalist movements in Angola, West Africa, Belgian Congo reflected

U.S.-USSR conflict

6. **Suez Crisis**, 1956

- a. French, British, Israelis wanted to remove charismatic Gamel Abdel Nasser
- b. Without consulting U.S., they attacked, defeated Egypt
- c. U.S., USSR, working through UN, forced them to withdraw

C. The New Russian Team

1. After Stalin, collective leadership relaxed repressive policies
 - a. Lavrenti Beria of secret police
 - b. Georgi Malenkov was Stalin's chief aide
 - c. Vyacheslav Molotov oversaw foreign affairs
2. Khrushchev, Party secretary, emerged as leader of USSR, 1955
 - a. Self-made man, rose from humble origins within Stalinist system
 - b. Used **virgin lands** drive to reform agriculture

D. De-Stalinization

1. Khrushchev's major contribution "**Crimes of Stalin Era**" speech
 - a. Denounced Stalin as bloodthirsty tyrant
 - b. Revealed cruelties of purges, mistakes of World War II
2. Speech, policy had wide-ranging effects
 - a. Sparked uprisings in Poland, Hungary
 - b. Widened gulf between Soviets, Chinese

E. Peaceful Coexistence and the Expansion of Global Conflict

1. Khrushchev abandoned Stalin's notion of inevitability of war
 - a. Adopted Lenin's doctrine of peaceful coexistence
 - b. Attended summit with Western leaders in Geneva, 1955
 - c. Worked with U.S. during Suez Crisis, 1956
2. Soviet **Sputnik** satellite triumphs, ICBMs raised tensions
3. Khrushchev conducted adventurist foreign policy after 1959
 - a. Emboldened by Sputnik, missile success
 - b. Shot down American U-2 reconnaissance plane over Siberia; Paris summit meeting canceled
 - c. Viewed Eisenhower as lame-duck president, Kennedy as inexperienced
 - d. Pursued opportunistic policies in Asia, Cuba, Africa as imperial powers decolonized, leaving power vacuums without stable governments
 - e. Demanded "free city" status for Berlin, withdrawal of Allies from Western sector, sanctioned building of **Berlin Wall**
4. Approached brink of nuclear war in **Cuban missile crisis**, 1962
 - a. Fidel Castro led revolution against right-wing dictator Fulgencio Batista; began to install communist government
 - b. Cuban émigrés, with U.S. backing, launched invasion of Bay of Pigs; ended in fiasco
 - c. Russians began to install missiles in Cuba that could reach U.S. cities
 - d. Kennedy ordered naval blockade of Cuba; demanded withdrawal of missiles

- e. Direct confrontation might have triggered nuclear war
- f. Khrushchev agreed to remove missiles in exchange for U.S. assurances to respect Cuban territory, other concessions
- 5. Khrushchev forced to step down after perceived blunders in Cuban crisis and failure of agricultural policies

III. THE SOVIET-AMERICAN DOMINATION AND THE AGE OF PROXY WARS: 1962-1991

A. Overview

- 1. After near nuclear war in Cuban missile crisis, U.S., USSR modified policies
 - a. Installed “Hotline” between Moscow and Washington
 - b. Limited growth of nuclear arsenals
 - c. Invested in groups representing them in areas undergoing decolonization
- 2. U.S. caught up in Vietnam; USSR caught up in Afghanistan
- 3. Europe enjoyed peace after World War II; millions killed in wars in Asia, Africa, Latin America

B. The Vietnam War

- 1. Status of Vietnam more complex problem
 - a. Ho Chi Minh set up Republic of Vietnam in 1945
 - b. *Vietminh*/French talks broke down, war began
 - c. Cruel struggle lasted until French defeat at Dien Bien Phu, 1954
- 2. Geneva Conference divided area at 17th parallel
 - a. Boundary pending elections, which never occurred
 - b. Area split between Hanoi, Saigon
 - c. Military activity on both sides violated terms of Geneva agreements
- 3. U.S. had supported French, then shipped large numbers of men, weapons to support South Vietnam
 - a. Washington sponsored creation of *SEATO*
 - b. Gave full support to Ngo Dinh Diem
- 4. Diem stoutly anti-communist
 - a. Rejected Ho’s call for elections
 - b. Refused to carry out land reforms
- 5. Second Vietnamese War began 1957
 - a. Attracted peasants who wanted land reform
 - b. *NLF* formed, fully supported by Hanoi

C. The Americanization of the Vietnamese Civil War

- 1. American involvement increased geometrically
 - a. 1960, 800 advisers; 1964, 23,000; 1968, 500,000 troops
 - b. Under Johnson, war Americanized
- 2. *Tet offensive* of 1968 decisive
 - a. U.S. achieved military victory, but political defeat

- b. War costs contributed to inflation, Johnson's decision not to seek another term as president
- 3. Paris Accords of 1973 set up terms for American withdrawal
 - a. Hanoi forces moved on Saigon in 1975
 - b. South Vietnam collapsed in April

D. Repercussions of the U.S. Failure

- 1. Indochina after 1975
 - a. U.S. expanded fighting into neutral Cambodia, 1970
 - b. Communists took control of Laos/Cambodia, 1975
 - c. **Khmer Rouge** under Pol Pot regime killed two to three million Cambodians
 - d. Vietnamese invaded Cambodia (Kampuchea), Pol Pot overthrown
 - e. Brief Chinese sortie into Vietnam, 1979, showed strength of Vietnamese army
 - f. Laos under Vietnamese suffered greatly
 - g. Many refugees, boat people
- 2. Area stabilized by late 1990s
 - a. U.S., Vietnam resumed diplomatic, trade relations
 - b. Cambodia, with help of UN, stabilized; all parties participated in 1993 election
 - c. Pol Pot died, 1998; Khmer Rouge more amenable

E. Détente and Decay in the Soviet Union, 1962-1985

- 1. **Leonid Brezhnev** and **Alexei Kosygin** took power in 1964 when Khrushchev was removed by colleagues while on vacation in 1964
 - a. Stalinist appointees built on Stalin's foundations, as modified by Khrushchev
 - b. Gained military parity with U.S.
 - c. Economy, society stagnated
- 2. **Yuri Andropov** succeeded Brezhnev (1982), began reform tide
 - a. Brought in new people to reform infrastructure
 - b. Short ten month rule began major shift
- 3. Last of Stalin era, **Konstantin Chernenko** ruled barely a year, with little impact

F. The USSR's "Vietnam": Afghanistan

- 1. USSR under Brezhnev signed "friendship treaty" with Afghanistan, 1978; backed government of Hafizullah Amin with money, advisers
- 2. Regional balance of power shifted
 - a. Ayatollah Khomeini took power in Iran, 1979
 - b. Iranian students occupied American embassy in Teheran
- 3. USSR sent Soviet troops to Afghanistan when rebels threatened Amin, 1979
 - a. Killed Amin, installed pro-Moscow Babrak Kamal
 - b. **Mujahidin** (freedom fighters) resisted; supported by soldiers from Saudi Arabia, Islamic countries, U.S. aid
- 2. Afghanistan became Soviet equivalent of Vietnam War: costly, demoralizing, divisive
 - a. Soviets trapped in dilemma, withdrew 1989
 - b. Afghanistan, Afghans were devastated

3. After 1989, Afghanistan returned to its tradition of tribal competition until Taliban group, aided by Arab millionaire leader Osama bin Ladin and his al-Qaeda terrorist group took control of 80% of country

IV. M.S. GORBACHEV AND THE END OF THE COLD WAR

A. The *Gorbachev* Revolution: The Domestic Phase

1. Led new generation to reform party, state, society
 - a. Developed new approach based on *glasnost* (“openness”) and *perestroika* (“re-structuring”)
 - b. Final act in de-Stalinization campaign
2. *Glasnost*: Communist party began to acknowledge mistakes
 - a. Admitted Chernobyl nuclear disaster (1986), famine, hardship, purges of 1930s
 - b. Permitted criticism of party
 - c. Sparked rise of national, separatist movements
3. Used *perestroika* to reform traditional party, state apparatus, but found them incurable
 - a. By 1990 had to impose market economy
 - b. Had to reduce role of “vanguard party”
 - c. Tried to reshape state structure
 - d. Tried to court public opinion, hold free elections, build new power base
 - e. Tried to reform KGB
4. Faced apparatchiki opposition, inertia
 - a. Old, new forces clashed in Congress of People’s Deputies, Supreme Soviet
 - b. Party resisted change, forced Gorbachev to rely more on state structure
5. Soviet economy in bad shape
 - a. Outmoded technologies
 - b. Inefficient factories
 - c. Dispirited, underemployed workforce
 - d. Environmental disasters
 - e. Party elite held privileged position
6. Several problems heightened
 - a. Economy deteriorated
 - b. Gorbachev had to make concessions to party hardliners
 - c. Marchers in Moscow protested his retreat from liberalism
 - d. Separatists agitated in Estonia, Latvia, Lithuania, Georgia, Ukraine, Moldova
 - e. Standard of living plummeted
7. Gorbachev opponents attempted *coup* in August 1991
 - a. Incompetent effort stymied by *Boris Yeltsin*
 - b. Gorbachev returned to Moscow with reduced power
 - c. Party, KGB, Komsomol fell from power
 - d. Soviet Union dismantled, December 21, 1991
 - e. Commonwealth of Independent States, loose confederation, followed

B. Gorbachev's Contribution to the End of the Cold War

1. Gorbachev revolutionized foreign affairs after 1985
 - a. Renounced Brezhnev doctrine, permitting Soviet armed intervention into socialist states; allowed Eastern European revolutions of 1989
 - b. Removed Soviet troops from Afghanistan
 - c. Dismantled Warsaw Pact
 - d. Pulled out of Third World, Angola, supported UN in Gulf War against Iraq
 - e. Agreed to deep nuclear, conventional-force reductions with U.S.
 - f. Received Nobel Peace Prize, 1990
2. Gorbachev worked with U.S. to reduce nuclear weapons
 - a. Intermediate Nuclear Forces (INF) Agreement (1987) set up destruction of all intermediate- and shorter-range missiles within three years; on-site verification
 - b. Strategic Arms Reduction Treaty (1991) cut down stockpiles
 - c. Later U.S., Russia removed each other's strategic areas from target lists (1994)

V. POSTSCRIPT: THE YELTSIN AND PUTIN TRANSITION

A. Yeltsin Years, 1991-1999

1. Problems persisted: Russia plagued by budget deficits, declining standard of living, increased ethnic nationalism
2. Yeltsin sought to privatize economy, provide infrastructure for expanded trade
3. Yeltsin struggled against old apparatchiki, extremists to gain unity
 - a. Old-line Communist majority in Congress of People's Deputies threatened to remove his authority
 - b. Yeltsin dissolved Congress, called for new elections; sent troops to surround Parliament building (Russian White House), 1993
 - c. Anti-Yeltsin forces seized mayor's office, state television center in Moscow
 - d. Yeltsin used tanks, artillery to suppress revolt; 63 died
4. Yeltsin redirected policies; took more centrist course
 - a. Promoted rebirth of Great Russian state
 - b. Slowed move to privatize economy
 - c. Distanced himself from West in foreign affairs
5. Yeltsin re-elected, 1996
6. Russian economy floundered; Russia's size, diversity made transition to market economy difficult
7. Yeltsin resigned December 31, 1999, due to poor health, allegations of being tool of "Russia's mafia"

B. Putin Years since 2000

1. Vladimir V. Putin named acting president, then won election
 - a. Former KGB officer, former Yeltsin aide, prime minister
 - b. Gained from concern over terrorist incidents in Moscow linked to Chechnya
 - c. Benefited from control over most important newspapers, television stations
2. Inherited problems from Yeltsin

- a. Corruption in all spheres of political life
- b. “Russian mafia” controlled some areas of economy; slowed growth
- c. War in Chechnya
- d. Nationalist aspirations in Russian Federation
- 3. Used effective, though undemocratic measures to deal with problems
 - a. Re-centralized power
 - b. Enforced rule of law, reduced corruption, collected taxes
 - c. Stabilized economy, permitting economic growth
- 4. Russian GDP remains low, comparable to that of Brazil or Malaysia

C. Successor States

- 1. Ukraine
 - a. Corrupt, inefficient government under Leonid Kuchma
 - b. Not inclined to develop potential, despite constitutional power to impose reforms
- 2. Belarus
 - a. Stalinist leader Alexander Lukashenka crushed domestic opponents
 - b. Corrupt, inefficient
- 3. Moldova
 - a. Poorest country in Europe
 - b. Faced political, supply, transportation problems
 - c. Russian army remains a threat
- 4. Armenia, Azerbaijan fought over Armenian enclave Nagorno-Karabakh in Caucasus
- 5. Georgians fought Abkhazians
- 6. Chechnya region of Russia
 - a. Separatists fought Russians, 1995-1996, 1998-1999
 - b. Chechens control vital oil and gas pipelines
 - c. *Mujihidin*, Arab fighters, came to aid local Chechens (Muslims)
- 7. Kazakhstan
 - a. President Nursultan A. Nazarbayev enriched friends, family
 - b. Little interest in building democracy
 - c. Oil, mineral deposits make area important
- 8. Tajikistan, Turkmenistan, Uzbekistan
 - a. Made little progress toward democracy
 - b. Gained importance as neighbor of Afghanistan, 2001
- 9. Russia concerned about *Near Abroad*, newly independent former Soviet republics
 - a. Armed forces have advanced Soviet weaponry
 - b. Ethnic Russians make up substantial minorities in these republics

VI. PRELUDE TO DECOLONIZATION

A. Asia

1. China witnessed renewal of civil war between Communists and Nationalists
2. Japan, under indirect control of U.S., became major industrial power
3. India gained independence, partitioned, 1947
4. Indochina posed problem for French
 - a. Colonial government had high proportion of French officials
 - b. Illiteracy rate at 80%
 - c. France granted autonomy to Cambodia, Laos
 - d. Pro-Communist movement led by Ho Chi Minh established Republic of Vietnam (Vietminh regime)
5. Anticolonial, ideological war broke out between Vietminh and French, 1946
 - a. U.S. sent financial, military support, 1950
 - b. French lost outpost at Dien Bien Phu, 1954
 - c. Geneva Conference set up temporary truce line at 17th parallel pending nationwide elections (which were not held)
 - d. Republic of South Vietnam proclaimed; tensions mounted between Hanoi, Saigon
 - e. U.S. sent advisors, weapons to Saigon
 - f. U.S. sponsored SEATO (South East Asia Treaty Organization) to stop spread of communism in area
 - g. Communists, thwarted in efforts to unite Vietnam, initiated guerrilla actions against Ngo Dinh Diem's government in Saigon
6. Philippines, under Japanese occupation in World War II, remained close to U.S.
7. Dutch East Indies anxious to expel Europeans

B. The Middle East and Africa

1. World War II accelerated Arab, African national movements
 - a. Colonial subjects served as soldiers, laborers; saw that colonial powers were not invincible
 - b. Expressed dissatisfactions after returning to find unemployment, inflation
2. India's independence in 1947 inspired hope of end of European colonialism
3. Lands created from old Ottoman Empire faced special difficulties
 - a. Arab-Turk conflicts
 - b. Competing claims of royal houses
 - c. Massive Jewish immigration
4. African nationalism expressed through organizations of professionals before World War II; mass movements more common in postwar period
5. Gold Coast set pace for independence movement in sub-Saharan Africa
 - a. British believed in grooming Africans for gradual takeover of government; provided constitution without direct election of legislative council
 - b. Coalition of professionals (UGCC) worked against new constitution
 - c. Kwame Nkrumah formed more radical group (CPP) to mobilize mass action

- d. British jailed, then worked with Nkrumah
 - e. Gold Coast became independent nation of Ghana, 1957
 - 6. France, Belgium, Portugal less amenable than British to decolonization
 - 7. President Charles de Gaulle established French Community, 1958
 - a. France maintained control over economic development, foreign affairs, military matters
 - b. De Gaulle offered referendum on French-controlled federation or independence
 - c. Guinea under Sekou Touré opted for independence in 1958; 13 others gained independence by 1960
 - 8. By 1970 most colonies gained freedom; major exceptions included white-ruled Rhodesia, South Africa
- C. The United Nations: Midwife for National Independence Movements
- 1. UN's Trusteeship Council provided arena to present arguments for independence
 - 2. Wartime allies created United Nations
 - a. Britain, U.S. proposed "wider and permanent system of security"
 - b. Proposals discussed in meetings at Moscow, Yalta
 - c. 50 governments drafted Charter in San Francisco, April-June, 1945
 - d. Membership grew from 50 members to 188 in 2002
 - 3. UN worked through 6 branches, 12 agencies
 - a. Security Council, originally 11 members (5 permanent), to maintain peace and order
 - b. General Assembly to discuss issues
 - c. Economic and Social Council to improve living standards; extend human rights
 - d. Trusteeship Council to advance interests of colonial peoples
 - e. International Court of Justice to resolve disputes between nations
 - f. Secretariat, headed by secretary-general to serve needs of other branches
 - 4. Security Council veto provoked controversy
 - a. Only Big Five (U.S., USSR, UK, France, China) had veto
 - b. Reduced role of General Assembly
 - 5. UN more effective than League of Nations

CONCLUSION

- 1. After World War II, colonies in Asia, Africa gained independence
- 2. USSR, U.S. stood as only surviving super powers; began epic global competition
- 3. West's economy proved more productive; East's rigid political/economic structures could not adjust
- 4. Cold War ended; USSR dissolved

CONCEPTUAL HOOKS

TIMELINE: 1945-1998

DEFINITIONS

denazification: A selective process carried out by the Allies to purge former Nazis from certain Posts. Other ex-Nazis, especially scientists and spies, were used by all sides.

Nuremberg: 1945-1946 trial held under the aegis of an international panel of jurists to try and punish leading Nazis. Twelve were sentenced to be hanged, three sent to prison.

coalition governments: Process used by Stalin and his allies to gain slow but steady control over Eastern Europe after 1945. Opposition figures would be given symbolic posts and co-opted while communists controlled key posts. Also known as salami tactic.

Cold War: 1945-1989, a time of “no-war, no-peace” in which the capitalist and communist spheres carried their philosophic differences over economics, politics, society, religion, culture, and the role of the individual onto a global stage after WWII.

Truman Doctrine: After the Soviet Union and its allies challenged the West in Greece, Turkey, and Iran (areas formerly policed by Britain, which no longer could carry that burden) President Truman announced that the U.S. would support any country threatened by communist aggression.

Containment: George F. Kennan’s recommendation in 1947 that the West adopt a long-term, patient but firm, and vigilant containment of Russian expansive tendencies, with an understanding of the profound and deep-rooted differences between the U.S. and the USSR. Kennan forecast that the Soviet Bloc would fall apart.

Marshall Plan: A plan of economic aid and technical assistance to help Europe solve its postwar financial problems and attain social and political stability. Known as the European Recovery Act, it succeeded beyond expectations for those who participated. The Soviet Union and its allies refused aid.

NATO: North Atlantic Treaty Organization, founded in 1949 with Great Britain, France, Belgium, Luxembourg, the Netherlands, Norway, Denmark, Portugal, Italy, Iceland, the U.S., and Canada. Greece, Turkey, and West Germany added in 1955, Spain in 1982.

Warsaw Pact: Founded in 1955, formalized Soviet command. Members were the USSR, Albania, Bulgaria, Romania, Czechoslovakia, Hungary, Poland, and East Germany. Dissolved in 1991.

doctors' plot: Stalin seemed to prepare for a new wave of purges, as evidenced by the announcement of a doctors' plot in January 1953. Following Stalin's death on March 5, 1953, the charges were dropped.

Suez Crisis: 1956, Britain, France, and Israel invaded and defeated Egypt, hoping to remove Gamel Abdel Nasser. U.S. and USSR, working through the UN forced them to withdraw.

Nikita S. Khrushchev: 1894-1971, born of peasant parents, fought his way up and rose rapidly to take jobs of those purged by Stalin. He was blunt and profane; many Russians called him "uncultured." Agricultural reforms failed, but he led the USSR's entry into space age, and gave needed change with his de-Stalinization campaign.

virgin lands: Khrushchev's plans to farm large portions of western Siberia and Central Asia. Policy had initial success, then collapsed, leaving a legacy of dreadful environmental problems.

"Crimes of the Stalin Era": Perhaps the most important speech in the history of the Soviet Union. An exposé of Stalin's abuses.

Berlin Wall: 1961, East Germans erected Berlin Wall under Soviet supervision. Designed to restrict movement of people from East to West, it became a symbol of the Cold War. Popular demonstration to tear down the wall in 1989 symbolically marked the end of the Cold War.

Cuban Missile Crisis: October, 1962, Soviets began to install missiles in Cuba, shortly after Fidel Castro established a communist regime. The U.S. viewed these missiles as a dangerous threat to the Cold War balance of power. President Kennedy ordered a naval blockade around Cuba and called for the removal of the weapons. Khrushchev retreated. This crisis brought world to the brink of nuclear war.

Vietminh: Name used to refer to Ho Chi Minh's Republic of Vietnam.

SEATO: Southeast Asian Treaty Organization, an organization of regional democracies dedicated to stopping communist advances.

NLF: National Liberation Front, or Viet Cong, the communist-supported guerrilla forces operating in South Vietnam.

Tet offensive: Massive 1968 Viet Cong attack launched at places such as the American Embassy and a number of other key location in South Vietnam. The event was widely covered by television and print journalists, who conveyed the full horror of the war. The offensive was a total military disaster for the Viet Cong, but the images of death and destruction convinced an already war-weary American public to question goals and aims of this conflict.

Khmer Rouge: The Chinese-supported communist faction in Cambodia under the control of Pol Pot that murdered thousands of innocent peasants and set out to remake society by depopulating the cities. It is estimated that the Khmer Rouge was responsible for the deaths of between one and two million people between 1975 and 1980. The Khmer Rouge were driven out by the Vietnamese. Pol Pot remained as a political figure into the 1990s.

Leonid Brezhnev: 1906-1982, initial co-leader of USSR until 1977 constitution, when he became president. Ruled through aging apparatchiki known as the gerontocracy.

Alexei Kosygin: 1904-1980, initial co-leader of USSR after 1964. Oversaw reform attempts.

Yuri Andropov: 1914-1984, railway worker's son who became ambassador to Hungary, head of KGB, and General Secretary and president of the USSR. Began reform trend overseen by Gorbachev.

Konstantin Chernenko: 1911-1985, career firmly tied to Brezhnev's coattails. Last of Stalinist apparatchiks.

Mujahidin: Afghan "freedom fighters." Muslims from several countries joined anti-Soviet efforts of local Afghan resistance to oust Soviet troops, sent in to prop up Kamal, then Babrak pro-Moscow governments. Backed by U.S. aid and equipment, they used Stinger missiles to negate Soviet air power. Soviets withdrew in 1989.

Mikhail S. Gorbachev: (b. 1931), born to a peasant family in the Stavropol region, studied law at Moscow State University, became leader of Stavropol regional party, came to attention of Yuri Andropov, who brought him to national office. After 1980 in charge of agriculture, became full member of Politburo. Self-proclaimed Leninist who succeeded Chernenko in 1985 and turned his considerable intelligence and pragmatism to the moribund Soviet economy, state, and party. Blocked by inertia and apparatchik hostility, imprisoned by a coup, maintained centrality of position even though his power base was weakened after August 1991.

coup: In August 1991, leaders of the party, KGB, and military attempted to carry out a coup to remove Gorbachev from power and regain their positions. Totally incompetent, failed in three days.

Boris Yeltsin: (b. 1931), maverick provincial party leader brought to Moscow where he became party chief, and then resigned from Communist Party when it became apparent that it was not pursuing change. Charismatically stood up against coup attempt in August 1991 and emerged as the most powerful leader in Russia.

Vladimir V. Putin: Replaced Yeltsin as president of Russia in 2000. Former KGB officer, former Yeltsin aide, former prime minister. He began to re-centralize the government to deal with an array of problems from the Chechen rebellion, to Russia's lackluster economy, to ending corruption.

Near Abroad: Russian term for 14 former Soviet Socialist Republics that opted to separate from Russia following the 1991 dissolution of the USSR. These include: Estonia, Latvia, Lithuania, Belarus, Ukraine, Moldova, Georgia, Azerbaijan, Armenia, Kazakhstan, Uzbekistan, Turkmenistan, Kyrgyzstan, Tajikistan

DISCUSSION

Be the devil's advocate. Make the case that the Soviets started the Cold War. Make the case that the Americans started the Cold War.

Assess the contributions of Mikhail Gorbachev to his country, Eastern Europe, and the world. Do you believe that he was one of the truly pivotal individuals of the second half of the century, or will he be just another footnote in the history books?

The United States was profoundly influenced by the domino theory and the memories of Munich when it entered the fray in Vietnam. What were the outcomes of the Vietnam conflict, and how much, after all the pain, suffering, and expense, did the U.S. accomplish in the Vietnamese war? What does this tell you about referring to simplistic formulae and bad historical analogies?

PRIMARY DOCUMENT/CRITICAL THINKING EXERCISES

Read the elegant, clear, and simple language of the Truman Doctrine. Does this reflect the fact that life was simpler then, choices easier, or does it reflect the fact that statesmen thought more clearly?

The Khrushchev "Crimes of the Stalin Era" speech may have been the single most important speech of this century in terms of changing the terms of reference of an entire political system. What is Khrushchev's message to the comrades?

TESTING

Compare and contrast the decolonization that took place throughout Southeast Asia. Why was the process so much more complicated in Vietnam?

Describe the Marshall Plan, its application, and its impact.

Discuss the role of ideology in the first and final phases of the Cold War. Had ideas finally been forgotten, or was it still a battle of values?

“Gorbachev was the father of the 1989 East European revolutions.” Agree or disagree.

Compare and contrast Russian domestic and foreign policy, 1945-2000.

LECTURE LAUNCHER

Physically, the Soviet leader (1966-1982) Leonid Brezhnev, who spent the end of his life linked to life preserving machines, symbolized the rapid decline of the Soviet Union. In a comparatively young and vigorous time, he proclaimed after the Prague Spring (1968) the right of the Soviet Union to interfere in the internal affairs of its allies in order to prevent counterrevolution. After 1968 rigidity and stagnation characterized the Soviet Bloc. However, this did not stop the call for reform that eventually undermined communism.

After the Nuclear Test Ban Treaty of 1963, tension lessened between the two power blocs. By the early 1970s both sides saw the need for rapprochement, as witnessed by the SALT I agreement. In the early 1980s tensions increased again after the Soviet invasion of Afghanistan. After 1983 confrontation once again decreased and by the end of 1989 leaders in the east and west declared that the Cold War was over.

During the Brezhnev years, dissidence took on new forms in response to state repression. A number of Soviet Jews sought to go to Israel in response to anti-Semitism within the USSR. Other dissidents spoke out for civil liberties, democratic rights, and the end of the nuclear arms race. Society at large experienced increasing prosperity as the population became more urban, better fed, and better educated. However, the rate of economic growth slowed down in the 1970s as that in the West increased. Consumer products, when available, remained shoddy. Housing was inadequate and there were food shortages. There was more disposable income but less to spend it on. Mikhail Gorbachev attempted to address these problems through his twin programs of glasnost and perestroika. He also advocated limited open market for foreign trade. When the Communist Party did not change rapidly enough, he ended its monopoly of power. A failed coup in August 1991 trapping Gorbachev in his vacation home in the Crimea, launched Boris Yeltsin into the forefront of political power. When Gorbachev returned home his prestige was lessened. Even though he banned the Communist Party, he had lost political momentum to Yeltsin.

Gorbachev's call for openness sparked the drive for national self-determination among many of the over 100 nationalities in the USSR. In Central Asia, the Caucasus, and the Baltic states serious grievances had been felt toward the Soviet state for generations. Gorbachev failed to harness nationalist protest while keeping the Party's authority. One by one all 15 of the Soviet republics proclaimed their independence.

THE INSTRUCTOR'S TOOL KIT

AUDIO CASSETTES

The Poetry of Pasternak

One Day in the Life of Ivan Denisovich. Alexander Solzhenitsyn

Yevtushenko Reads Babi Yar and Other Poems. Yevgeny Yevtushenko from Caedmon

COROLLARY READING

Mark A. Kishlansky, ed., *Sources of the West*, II

Alexander Solzhenitsyn, *One Day in the Life of Ivan Denisovich* (1962)

Nikita Khrushchev, *Report to the Communist Party Congress* (1961)

Mikhail Gorbachev, *Perestroika* (1987)

Charter of the United Nations (1946)

Peter N. Stearns, Stephen S. Gosch, Erwin P. Grieshaber, *Documents in World History*, II

The Collapse of the Soviet Union

Mikhail Gorbachev; Secret Police Report, Gorbachev's Resignation Speech

COURSE ENHANCEMENT

Each chapter in the textbook includes extensive lists of supplemental material:

Films and videos

Web destinations

Literature from the period

Suggestions for further reading

COMPANION WEBSITE at www.ablongman.com/brummett

Additional resources are available at the Companion Website for both the instructor and the student. Instructor's resources include PowerPoint slide presentations, electronic versions of maps, graphs, and tables, Web resources, as well as links to Longman resources. For the student, you can direct them to the Companion Website to take quizzes, or for online links to further research or reading for each chapter.

CHAPTER 33

The United States and Europe Since 1945: Politics in an Age of Conflict and Change

CHAPTER OUTLINE

INTRODUCTION

1. Center of global economy since 1945 has been U.S. and Western Europe
2. U.S., Western Europe linked through Marshall Plan, NATO; achieved great economic progress
3. Eastern Europe linked with Soviet Union through COMECON, Warsaw Pact; experienced less economic growth, lower standard of living
4. Balkans mired in poverty, ethnic conflicts
5. European Union, European currency (Euro) offer prospect of peace, economic growth

I. TECHNOLOGICAL AND SOCIAL CHANGES

A. A New International Framework

1. WWII Allies worked to avoid economic chaos that followed WWI, met at **Bretton Woods**, 1944
 - a. Created **International Monetary Fund** to restore money system, world trade
 - b. Based currency system on dollar, valued at \$35.00 for an ounce of gold
 - c. **International Bank for Reconstruction and Development** (World Bank) aided recovering, developing countries
 - d. **GATT** established, 1947
2. Marshall Plan, Dodge Plan funneled American development aid to Europe, Japan
 - a. Provided capital, technical assistance for reconstruction
 - b. Set strict conditions: balanced budget, free prices, anti-inflation policy, stable currency, elimination of protectionism
3. Dynamic, creative financial structures, trade grew 7% per year
4. Soviet bloc economies stagnated

B. Technological Revolutions

1. Energy Needs in the Atomic Age
 - a. Nuclear energy has promises, problems
 - b. It can expand to meet growing energy needs
 - c. Problems are found in radioactive waste disposal and industrial accidents (i.e. Chernobyl, Ukraine, 1986)
 - d. Search continues for safe, dependable energy sources
2. Biology and Biochemistry
 - a. Exciting advances in discovery of **DNA**, by Watson and Crick, 1953
 - b. Brings possibility of shaping future of species
 - c. Possibility of cures for Alzheimer's disease, Parkinson's disease, birth defects
 - d. Possibility of cloning animals (Dolly the Sheep) and even human beings, as well as stem cell research poses challenges for governments, spiritual leaders
 - e. Presents frightening possibilities of abuse, ethical dilemmas
3. Scientific management expanded
 - a. Application of microchips, personal computers, robotics greatly expanded productivity
 - b. Microtechnology has affected corporate structure, organization
4. Worldwide implications
 - a. Industrialization throughout world
 - b. Network of transportation, communications systems: highways, pipelines, railroads, shipping, air lanes, fiber optic cables, communication satellites
 - c. Advances in food preservation, distribution through canning, refrigeration, shipping, plant genetics, agribusinesses

C. Interdependence in a Changing World

1. Economic growth after 1945, trade flow changes
 - a. Trade imbalances led to gold outflow
 - b. President Richard Nixon severed gold-dollar link from Bretton Woods, decision permitted "floating rates," determined by market mechanisms
2. Variable exchange rates benefited multinational firms that could take advantage of differences to reduce costs
3. Countries dependent on export of raw materials sought to band together to protect price of exports
4. **OPEC** countries placed embargo on oil
 - a. Originally intended to punish nations supporting Israel in 1973 Arab-Israeli War
 - b. Oil prices quadrupled, increased costs on everything
 - c. Poor oil-importing nations had to borrow, banks made substantial loans
 - d. World Bank imposed stringent regulations, seen as unprecedented sacrifice of national sovereignty
5. Non-payment by debtor nations threatened to topple world's banking structure
6. World recession of 1978-85 had several effects
 - a. Soaring unemployment, rising population rates in less developed countries
 - b. Trade deficits, federal budget deficits in U.S., U.S. became debtor nation

7. Several Asian economies suffered from poor investments, currency speculation, corruption, 1990s
 - a. Potential “meltdown” threatened global economy
 - b. IMF granted loans, required closing weak banks and businesses, austerity budgets, fiscal conservatism
8. GATT rules updated, 1993, *World Trade Organization* (WTO) set up to continue efforts against trade barriers

II. SOCIAL AND ENVIRONMENTAL CHANGES

A. Environmental Challenges

1. Pollution poses serious problem to quality of air, oceans, drinking water
2. Several positive developments:
 - a. Programs to preserve fish populations
 - b. Local campaigns to reclaim polluted lakes
 - c. Technology to reduce automobile emissions
3. Several serious dangers remain
 - a. Global warming, destruction of ozone layer
 - b. Pollution from modern industries, transportation systems
 - c. Destruction of rain forests in Southeast Asia, Amazon basin
4. Concerted international action hampered by national economic considerations

B. The Postwar Social Revolution: Women and Family

1. Occupations have changed in Western world
 - a. In 19th century, majority of people engaged in agricultural work; now less than 6%
 - b. In 21st century, most workers have “white collar” jobs
2. Government involvement, spending has increased dramatically in U.S.
 - a. Pre-World War II: 1.8% of GDP
 - b. End of 20th century: 34% of GDP
3. Technology in homes increased: microwave, television, stereo systems, computers
4. Health, longevity have improved; birth control pill gave women control of their destinies
5. In 20th century, women gained vote, joined work force
 - a. Most women work outside home
 - b. Have not achieved equity with men
6. Concept of family has changed due to divorce, single-parent households, working mothers, house husbands

III. THE UNITED STATES

A. Postwar Leadership

1. Harry Truman, Dwight D. Eisenhower worked with global economic, military domination
 - a. Pursued global agenda
 - b. Continued New Deal programs at home
2. John F. Kennedy's administration pursued domestic agenda with difficulty

B. The Crisis of the Presidency

1. Lyndon Johnson took power on Kennedy's assassination
 - a. Pushed Kennedy's civil rights, aid to poor
 - b. Inherited Kennedy's foreign policy, Vietnam
2. Vietnam War poisoned U.S. political atmosphere
 - a. Economic costs, war debate brought upheaval
 - b. Drove Johnson to not seek re-election in 1968
 - c. Martin Luther King, Jr., Robert F. Kennedy assassinations in 1968 shocked nation
3. Richard Nixon followed pragmatic philosophy of government
 - a. Narrowly won 1968 election, re-elected by landslide in 1972
 - b. Imposed wage and price freeze, controls to temper inflation, 1971-1973
 - c. Successful foreign policy initiatives: to end war in Vietnam, open relations with China, maintain détente with USSR
 - d. Watergate scandal marred tenure in office, forced to resign, 1974

C. The Limited Presidency

1. Jimmy Carter, first president from Deep South since Civil War, promised to restore trust in government
 - a. Vietnam War generated serious economic problems
 - b. Carter beat Nixon-appointed Gerald Ford
 - c. Unable to deal with economic problems
 - d. Major gain, human rights emphasis in diplomacy
2. Ronald Reagan won 1980, 1984 elections by overwhelming margins
 - a. Ran on New Federalism platform
 - b. Policies led to soaring federal deficits
 - c. Made major breakthroughs in foreign policy, disarmament, Middle East
 - d. Latin American problems plagued him, led to Iran-Contra controversy
3. George Bush
 - a. Term marked by increasing fiscal, economic crises with savings and loan scandal, deficit growth
 - b. Major gains in Soviet relations, Middle East
 - c. Showed leadership in building anti-Iraq coalition in Persian Gulf War
4. William Clinton gained presidency for Democrats, 1992
 - a. First term marked by perceived incompetence, personal scandals

- b. 1994 elections marked swing of power in Congress to Republicans
- c. Tawdry scandal led to Clinton's impeachment and acquittal

D. The New Century: Electoral Crisis and Terrorism

1. 21st century opened with soaring stock market due to high expectations for technology, new Dot.com companies
2. Public focused on popular culture, not interested in international affairs
3. Presidential election of 2000 between George W. Bush and Albert Gore produced extremely close results
 - a. Florida's close vote led to judicial battles for over one month
 - b. Supreme Court issued ruling that effectively led to Bush victory
 - c. Subsequent survey indicated that Bush would have won Florida in full recount
 - d. Bush won Electoral College vote, though Gore had a half million more votes nationwide
4. Terrorists hijacked jumbo jets, crashed them into two World Trade Center towers in New York, Pentagon in Washington, DC, September 11, 2001
 - a. Incidents traced to Osama bin Laden, Saudi millionaire, al-Qaeda network
 - b. Events seen live on TV had traumatic effect, galvanized U.S. into unity and purpose
5. George Bush proclaimed global combat against terrorism
 - a. Destroyed Taliban regime in Afghanistan

IV. WESTERN EUROPE

A. Economic Growth and the Dilemma of Legal and Illegal Immigration

1. Europe made progress toward economic integration
 - a. **Jean Monnet, Robert Schumann** led drive to create **European Coal and Steel Community (ECSC)**
 - b. ECSC members served as founders of **European Economic Community (EEC), Common Market**
 - c. EEC oversaw large economic expansion of Europe
 - d. Britain lagged behind, joined in 1973
 - e. By end of 1992, Europe became single market. **European Union (EU)**, overcame differences in agricultural policy, banking policies, taxation
 - f. Single currency, euro, in 1999
 - g. Nationalism, protectionism, tradition, value-added tax remain issues
 - h. Expanded to 15 members by 1995, reluctant to extend membership to poorer nations, Soviet bloc
2. In response to Common Market's successes, other trade zones established
 - a. NAFTA (North American Free Trade Association) linked Canada, Mexico, U.S.
 - b. APEC (Asia Pacific Economic Cooperation) linked Pacific Rim states, U.S., Canada
3. Western Europe's economic success has attracted influx of foreigners
 - a. Turkish immigrants came to Germany as guest workers

- b. North Africans moved to France, Spain
- c. Balkan nationals entered Italy
- d. Illegal aliens came from China, Ukraine, Moldova, Romania
- e. Illegal immigrants live in crowded industrial areas with high unemployment
- f. Conditions provoke attacks from right-wing, anti-immigrant parties; provide atmosphere that allows terrorist and crime networks to flourish

B. Great Britain

1. Victory in WWII concealed Britain's bad condition
2. Clement Atlee, Labour, defeated wartime leader, **Winston Churchill**
 - a. Nationalized major industries
 - b. Hurt by factionalism in Labour party
3. Conservatives regained control, 1951
 - a. Winston Churchill returned until 1955
 - b. Anthony Eden followed, forced to resign after Suez Crisis
 - c. Harold Macmillan led as economic outlook deteriorated, 1957-1963
 - d. Issue of membership in EEC split both parties
4. Labour majority returned under Harold Wilson, devalued pound
5. Edward Heath, Conservatives won, 1970
 - a. Britain entered Common Market
 - b. OPEC oil embargo hurt economy
6. Labour returned again under Wilson
 - a. Industrial unrest, declining production, alarming inflation
 - b. James Callaghan forced to borrow heavily, cut spending
7. **Margaret Thatcher**, Conservatives won, 1979, 1983, 1987
 - a. First woman prime minister
 - b. Required austerity, sacrifices
 - c. Gained favorable treatment from EU, support of U.S.
 - d. Lost support of Party, replaced by John Major, 1990
8. Tony Blair, Labour won, 1997
 - a. Followed centrist path, "socialism with capitalist face"
 - b. Inspired similar strategies by Lionel Jospin (France), Gerhard Schroeder (Germany)
 - c. Blair, Labour Party, won overwhelming victory in election of 2001
9. Britain continues to deal with lingering issues
 - a. Slow economic growth, unemployment, costly social services
 - b. Disparity between rich southeastern region, depressed Midlands, Scotland, Wales
 - c. Friction between Catholics, Protestants in Northern Ireland
 - d. Racial problems generated from influx of non-white subjects

C. France: Grandeur and Reality

1. **Charles de Gaulle** led liberation of France, retired
2. Fourth Republic suffered from too many parties, too much bickering, collapsed over Algeria issue
3. De Gaulle returned, 1958
 - a. Established Fifth Republic with strong presidency
 - b. Ended Algerian War
 - c. Set out to make France a great power with nuclear weapons, withdrew from NATO
 - d. Resisted closer political integration in EU
 - e. Resigned after upheaval of university students, failed referendum on governmental reorganization, 1968
4. Successors dealt adequately with slow industrial growth, inflation, unemployment, minorities
 - a. Georges Pompidou succeeded de Gaulle, 1968-1974
 - b. Valéry Giscard d'Estaing initiated economic, social reforms, 1974-1981
 - c. François Mitterand, Socialist, redesigned administrative system, nationalized some businesses, banking enterprises
 - d. Jacques Chirac, centrist leader, worked with prime ministers Alain Juppé, Lionel Jospin (government of cohabitation)
5. France continues to seek to maintain cultural traditions with increasingly internationalized, American-dominated world

D. West Germany to 1989

1. German Federal Republic constitution ratified, 1949
 - a. Approved by Allied occupation authorities
 - b. Weak president
 - c. Chancellor determines fundamental policies, responsible to Bundestag, popularly elected legislative body
 - d. Political party must gain 5% of vote to attain representation
2. **Konrad Adenauer**, chancellor, 1949-1963, oversaw postwar recovery
 - a. Determined to get people back to work, Marshall Plan helped finance rebuilding
 - b. Promoted laissez-faire economics
 - c. Led Germany back into international community, ECSC, EEC, NATO, friendship treaty with France
 - d. Did not achieve vision of reunification
 - e. Succeeded by other Christian Democrats, Ludwig Erhard, Kurt Kiesinger, who continued remarkable economic recovery
3. **Willy Brandt**, Social Democrat, chancellor 1969-1974, developed new directions in foreign policy, *Ostpolitik*
 - a. Treaty with USSR renounced use of force, 1970
 - b. Agreement with Poland recognized Oder-Neisse border
 - c. Treaty with East Germany improved contacts, reduced tensions
 - d. Mounting inflation, unemployment

- e. Brandt resigned after spy scandal
 - 4. Helmut Schmidt, Social Democrat, chancellor, 1974-1982
 - a. Germany continued strong economic growth, weathered oil embargo
 - b. Controversies arose over placement of missiles with nuclear warheads, economic ties to USSR
 - 5. **Helmut Kohl**, Christian Democrat, chancellor, 1982-1998
 - a. Supported U.S. placement of intermediate range missiles in Europe
 - b. Addressed environmental issues of prime concern to Green Party
 - c. Presided over reunification, involving high costs of incorporating East Germany
 - 6. Socialists under Gerhard Schroeder won elections in 1998
- E. East Germany to 1989
- 1. German Democratic Republic followed communist policies, broke up large private farms, expanded heavy industry after 1945
 - 2. Discontented East German refugees streamed to West Germany through Berlin
 - 3. Severe food shortages, longer working hours brought on workers' revolt, 1953; refugees continued to flee to West
 - 4. East erected Berlin Wall to stop exodus from East
 - 5. Erich Honecker improved relations with West Germany, but feared that Gorbachev's liberalization policies would threaten privileged position of communist bureaucrats
 - 6. Old facilities, old managers, old ideas eroded economy of East Germany
- F. Unification
- 1. Crisis in East Germany, September 1989
 - a. East Germans fled by thousands to West via Hungary, Czechoslovakia
 - b. Gorbachev visited Berlin; protesters came to streets
 - c. Honecker removed in October
 - 2. Berlin Wall breached, November 9, 1989: symbolic end of Cold War
 - 3. East and West Germans called for unification
 - a. Press exposés revealed corruption, scandals in East Germany
 - b. Pro-West parties won East German elections, March, 1990
 - c. Germany reunited, October 1990
 - d. Berlin became capital, 2000
 - 4. Helmut Kohl integrated German Democratic Republic into German state
 - a. Privatized inefficient state industries
 - b. Obtained Western investment
 - c. Required costly commitment from West Germans
 - 5. Kohl won re-election in 1994, but his center-right coalition lost to center-left coalition of Gerhard Schroeder, 1998

G. Italy: Political Instability, Economic Growth

1. Italy ended monarchy, adopted new constitution, 1947
2. Christian Democrats dominated
 - a. Alcide de Gasperi governed 1947-1953
 - b. Supported European unity, joined ECSC, NATO, Common Market
3. Italy changed from agricultural to industrial country
4. Southern Italy lagged behind industrial North
5. Politics characterized by cabinet crises, shaky coalitions
 - a. Over 50 governments in 50 years
 - b. Anarchist, terrorist networks broken in 1980s
 - c. Widespread corruption, inefficiency
6. Stabilized economy, politics of late 1990s enabled Italy to meet standards for entry into euro system
7. Italy continues to face challenges
 - a. Split between industrialized, wealthy north and rural, poorer south
 - b. Fragile coalition governments that easily break up
 - c. Illegal immigration taxes social welfare structure, brings in illegal drugs

H. Portugal

1. Corrupt monarchy to 1910, unstable republic to 1930
2. Army ousted politicians, installed *Antonio de Oliveira Salazar*, 1932
3. Authoritarian government under Salazar, 1932-1968
 - a. Poverty, illiteracy, censorship
 - b. Efforts to improve economy offset by population increases
 - c. Heavy costs from maintaining overseas colonies
4. Junior army officers overthrew government, 1974, democratic constitution, 1976
5. Decolonizing brought influx of 600,000 refugees, unemployment, inflation
6. Portugal regained political, economic stability, continues to deal with poverty
7. Portugal continues to maintain cultural, financial influence in Brazil

I. Spain

1. Francisco Franco maintained authoritarian rule in Spain, 1939-1975
 - a. Spain hurt during civil war, many fled, 700,000 died
 - b. Spain admitted to UN, 1955
 - c. Pact of Madrid, 1956, provided air, naval bases for U.S. in return for aid
2. Prince Juan Carlos became king, 1975
 - a. Named by Franco to succeed him
 - b. Marked return of monarchy with parliamentary government
3. Spain demonstrated stability, progress
 - a. Withstood attempted army coup, 1981
 - b. Joined NATO, Common Market
 - c. Developing industry, technology
4. Basque separatist movement (ETA) continues to inflict bombings, assassinations

J. Greece

1. Political crises, instability since independence in 1821
2. Pro-West forces overcame Communists in Greek Civil War, 1946-1949, reestablished monarchy
3. Politicians ignored complex economic issues, focused on attempting to win back islands, territories once belonging to Greece (*irredentas*)
4. Military junta seized power, 1967, fell after fiasco over Cyprus, 1974
5. Constitutional republic formed, 1974
 - a. Andreas Papandreou, Socialist, held power, 1981-1989
 - b. Greece active in NATO, Common Market
6. Continuing concerns include: Macedonian independence, relations with Turkey, economic improvement
7. Greece hosts 2004 Olympic Games

V. EASTERN EUROPE

A. Eastern European Economic System

1. Russians set up trade organization **COMECON** as response to Marshall Plan
 - a. Initially USSR exported raw materials at high prices to Eastern Europe; bought finished products at low cost
 - b. Eastern Europe suffered
 - c. In 1960s, 1970s, Eastern Europe bought cheap energy supplies from USSR; sent goods they could not sell in West to USSR
 - d. Eastern European living standards showed improvement
2. COMECON countries fell behind economically in 1970s
 - a. Restrictive bilateral nature of COMECON, everything went through Moscow
 - b. Could not match flexibility of Common Market
 - c. Currencies nonconvertible, could not be used in world trade
3. World energy prices fell in 1980s
 - a. Eastern Europeans had to pay high prices for Soviet oil, gas
 - b. Borrowed heavily from West, invested unwisely
4. Environmental disasters, heavy pollution
5. Sense of burden under Soviet domination

B. Poland

1. Wladyslaw Gomulka arranged detente with Soviets
 - a. Lasted until 1980, when economy hit crisis
 - b. **Solidarity** led by Lech Walesa proposed alternative
2. State under Wojciech Jaruzelski crushed Solidarity in December 1981, could not improve situation
 - a. 1989, Poles turned to Solidarity
 - b. 1990, Poles elected Walesa president of Poland
 - c. Poles tried instant transfer to market system
3. Poland succeeded in privatizing economy, adopting market reforms

- a. Economic growth reached 5%, 1996
- b. Thriving stock market
- c. Market economy
- d. Foreign investment doubled
- 4. NATO admitted Poland as full member, 1998

C. Czechoslovakia

- 1. After 1948, Czech party most Stalinist in region
 - a. **Alexander Dubcek** tried reforms in 1968
 - b. Crushed by 500,000-man Soviet Bloc invasion
 - c. Soviets invaded using **Brezhnev Doctrine**
- 2. By end of 1980s, Czechs suffered from polluted environment, corrupt politics, economic crisis
 - a. “Velvet Revolution” turned out old government
 - b. **Vaclav Havel** became president
- 3. Czechoslovakia split into its constituent parts: Czech Republic, Slovak Republic, 1993
- 4. Czechs joined NATO; may join European Union

D. Hungary

- 1. Soviets brutally crushed 1956 revolt
 - a. 200,000 refugees fled to West
 - b. Janos Kadar suppressed dissidents, Premier Imry Nagy executed
- 2. Kadar allowed mild reforms, brought higher standard of living
- 3. 1989, Hungary opened borders to Austria, initiated economic reforms
- 4. 1990, Hungary installed multiparty system, held free elections
- 5. Demonstrated stability, entered NATO
- 6. Viktor Orban led right of center government
- 7. Hungary continues to show concern for Hungarian minorities living in Romania, Slovakia, Serbia

E. Bulgaria

- 1. Bulgaria, under Todor Zhivkov, loyal Moscow ally until 1989
 - a. Introduced some reforms, especially in agriculture
 - b. Attempt to deprive Turkish minority (8%) of its heritage
 - c. Zhivkov ousted by Peter Mladenov in party-led coup
- 2. Non-communist philosopher Zhelyu Zhelev became president
- 3. Bulgaria did not reform its economy, neared collapse in 1996
 - a. Experienced uncontrolled inflation, inability to pay interest on foreign debts
 - b. International Monetary Fund imposed austerity program, causing distress
- 4. Local mafias prospered
 - a. Conducted black market trade with various factions in Yugoslav conflict
 - b. Served as conduit for international drug trade
- 5. Elected former king, Simeon II, as president, 2001

F. Romania

1. Nicolae Ceaucescu abused country, built Stalin-like system
 - a. Followed independent foreign policy
 - b. Sought economic self-sufficiency, imposed hardships
 - c. Kept extensive secret police system
 - d. Emphasized cult of personality, built monuments to himself
 - e. Extremely corrupt
2. Romanian revolution in 1989 bloodiest in region
3. Uneasy equilibrium after 1989, many unresolved economic problems
4. Ion Iliescu manipulated elections to retain power
 - a. National Salvation Front terrorized critics
 - b. Authoritarian practices
5. Emil Constantinescu became president, 1996
 - a. Serious problems: inefficient state industries, corruption in government
 - b. Backlash when Romania not invited to join NATO
6. Iliescu returned to power, 2000

G. Albania

1. Albania staunch communist state under Enver Hoxha
 - a. Worked closely with USSR to 1956
 - b. Worked closely with China to 1978
 - c. Thereafter isolated
2. Revolution began in 1990
 - a. Albanians tried to escape
 - b. Democratic elections held in March 1991; Communists won two thirds of vote
 - c. Democratic party won, 1993
3. Albania remains poor, backward
4. Albania faced several difficult issues in 1990s
 - a. "Get-rich-quick" pyramid scheme collapsed, 1996; civil disorder followed
 - b. Kosovar Albanians fled from Yugoslavia to Albania during turmoil, 1998
 - c. Albanians seeking work migrate legally, illegally to Italy, Austria

H. Yugoslavia and After

1. Josef Broz Tito liberated Yugoslavia, despite himself, originated ***national communism***
 - a. Evicted from world movement by Stalin
 - b. Gained Western support
 - c. Kept six republics together, ruled until 1980
2. After 1980 Yugoslavia opted for rotating chairmanship, system broke down by 1990
3. Yugoslavia disintegrated after 1991
 - a. Ethnic strife among Serbs, Croats, Albanian Kosovars
 - b. Armed conflict as constituent republics broke away
 - c. Slovenia, Croatia gained freedom, 1991
 - d. Macedonia, Bosnia-Herzegovina declared independence, 1991

- e. Serbia, Montenegro remained in federation
 - 4. Warfare broke out when Bosnian Serbs tried to oust Bosnian Muslims
 - a. “Ethnic cleansing” form of genocidal attack on Muslim areas
 - b. U.S. airlift dropped more supplies than in Berlin Airlift, 1948
 - c. NATO air strikes to protect Muslim enclaves
 - d. Many futile truces, peace plans, 200,000 died, three million forced to leave homes
 - e. Dayton Accords, 1995, negotiated truce, provided peacekeeping force
 - 5. **Slobodan Milosevic** elected president of rump Yugoslavia, 1997
 - a. Began to use “ethnic cleansing” tactics in Kosovo
 - b. Kosovo, predominantly Albanian, Muslim area, once the center of medieval Serbian Empire
 - c. Kosovars formed Kosovo Liberation Army, threatened Serb control in some areas
 - d. Belgrade government built up military, paramilitary presence
 - e. NATO used diplomatic pressure, then air strikes to “degrade” Yugoslav military build-up, March 1999
 - f. One million Kosovars forced to leave homes; fled to Albania, Macedonia
 - g. Yugoslav forces withdrew after NATO and Russian pressure, June 1999
 - h. Uprising in Belgrade ousted Milosevic, October 2000
 - 6. Milosevic taken to The Hague to stand trial for crimes against humanity, genocide
 - 7. Kosovo held multi-ethnic elections; moderate Albanian factions won
 - 8. Former Yugoslav Republic of Macedonia destabilized by massive influx of Kosovars
 - a. Tension between Slavic and Albanian populations
 - b. European Union, NATO assisted to prevent full-fledged war
- I. Détente and Decay in the Soviet Union, 1962-1985
- 1. **Leonid Brezhnev** and **Alexei Kosygin** took power in 1964 when Khrushchev was removed by colleagues while on vacation in 1964
 - a. Stalinist appointees built on Stalin’s foundations, as modified by Khrushchev
 - b. Gained military parity with U.S.
 - c. Economy, society stagnated
 - 2. **Yuri Andropov** succeeded Brezhnev (1982), began reform tide
 - a. Brought in new people to reform infrastructure
 - b. Short ten month rule began major shift
 - 3. Last of Stalin era, **Konstantin Chernenko** ruled barely a year, with little impact

VI. M.S. GORBACHEV AND THE END OF BIPOLARITY 1985-1991

A. The *Gorbachev* Revolution: The Domestic Phase

1. Led new generation to reform party, state, society
 - a. Developed new approach based on *glasnost* (“openness”) and *perestroika* (“re-structuring”)
 - b. Final act in de-Stalinization campaign
2. *Glasnost*: Communist party began to acknowledge mistakes
 - a. Admitted Chernobyl nuclear disaster (1986), famine, hardship, purges of 1930s
 - b. Permitted criticism of party
 - c. Sparked rise of national, separatist movements
3. Used *perestroika* to reform traditional party, state apparatus, but found them incurable
 - a. By 1990 had to impose market economy
 - b. Had to reduce role of “vanguard party”
 - c. Tried to reshape state structure
 - d. Tried to court public opinion, hold free elections, build new power base
 - e. Tried to reform KGB
4. Faced apparatchiki opposition, inertia
 - a. Old, new forces clashed in Congress of People’s Deputies, Supreme Soviet
 - b. Party resisted change, forced Gorbachev to rely more on state structure
5. Soviet economy in bad shape
 - a. Outmoded technologies
 - b. Inefficient factories
 - c. Dispirited, underemployed workforce
 - d. Environmental disasters
 - e. Party elite held privileged position
6. Several problems heightened
 - a. Economy deteriorated
 - b. Gorbachev had to make concessions to party hardliners
 - c. Marchers in Moscow protested his retreat from liberalism
 - d. Separatists agitated in Estonia, Latvia, Lithuania, Georgia, Ukraine, Moldova
 - e. Standard of living plummeted
7. Gorbachev opponents attempted *coup* in August 1991
 - a. Incompetent effort stymied by *Boris Yeltsin*
 - b. Gorbachev returned to Moscow with reduced power
 - c. Party, KGB, Komsomol fell from power
 - d. Soviet Union dismantled, December 21, 1991
 - e. Commonwealth of Independent States, loose confederation, followed

B. Gorbachev’s Contribution to the End of the Cold War

1. Gorbachev revolutionized foreign affairs after 1985
 - a. Renounced Brezhnev doctrine, permitting Soviet armed intervention into socialist states; allowed Eastern European revolutions of 1989

- b. Removed Soviet troops from Afghanistan
- c. Dismantled Warsaw Pact
- d. Pulled out of Third World, Angola, supported UN in Gulf War against Iraq
- e. Agreed to deep nuclear, conventional-force reductions with U.S.
- f. Received Nobel Peace Prize, 1990
- 2. Gorbachev worked with U.S. to reduce nuclear weapons
 - a. Intermediate Nuclear Forces (INF) Agreement (1987) set up destruction of all intermediate- and shorter-range missiles within three years; on-site verification
 - b. Strategic Arms Reduction Treaty (1991) cut down stockpiles
 - c. Later U.S., Russia removed each other's strategic areas from target lists (1994)

VII. POSTSCRIPT: THE YELTSIN AND PUTIN TRANSITION

A. Yeltsin Years, 1991-1999

- 1. Problems persisted: Russia plagued by budget deficits, declining standard of living, increased ethnic nationalism
- 2. Yeltsin sought to privatize economy, provide infrastructure for expanded trade
- 3. Yeltsin struggled against old apparatchiki, extremists to gain unity
 - a. Old-line Communist majority in Congress of People's Deputies threatened to remove his authority
 - b. Yeltsin dissolved Congress, called for new elections; sent troops to surround Parliament building (Russian White House), 1993
 - c. Anti-Yeltsin forces seized mayor's office, state television center in Moscow
 - d. Yeltsin used tanks, artillery to suppress revolt; 63 died
- 4. Yeltsin redirected policies; took more centrist course
 - a. Promoted rebirth of Great Russian state
 - b. Slowed move to privatize economy
 - c. Distanced himself from West in foreign affairs
- 5. Yeltsin re-elected, 1996
- 6. Russian economy floundered; Russia's size, diversity made transition to market economy difficult
- 7. Yeltsin resigned December 31, 1999, due to poor health, allegations of being tool of "Russia's mafia"

B. Putin Years since 2000

- 1. Vladimir V. Putin named acting president, then won election
 - a. Former KGB officer, former Yeltsin aide, prime minister
 - b. Gained from concern over terrorist incidents in Moscow linked to Chechnya
 - c. Benefited from control over most important newspapers, television stations
- 2. Inherited problems from Yeltsin
 - a. Corruption in all spheres of political life
 - b. "Russian mafia" controlled some areas of economy; slowed growth
 - c. War in Chechnya
 - d. Nationalist aspirations in Russian Federation

3. Used effective, though undemocratic measures to deal with problems
 - a. Re-centralized power
 - b. Enforced rule of law, reduced corruption, collected taxes
 - c. Stabilized economy, permitting economic growth
4. Russian GDP remains low, comparable to that of Brazil or Malaysia

CONCLUSION

1. U.S., Europe committed to international cooperation to maintain global economic growth, prosperity
2. Great improvements in living standards in developed world since 1945
3. Economic interdependence, economic growth produced challenge to environment
4. Role of women has changed due to labor-saving devices, advances in equality
5. As world becomes more interdependent, as gap between rich and poor countries becomes more apparent, nations become more vulnerable to international terrorism

CONCEPTUAL HOOKS

TIMELINE: 1945-2000

DEFINITIONS

Bretton Woods: New Hampshire resort in which meeting to put the world economy on a peacetime basis was held in July 1944. The conference created the International Monetary Fund and World Bank.

International Monetary Fund (IMF): Devised at Bretton Woods Conference; chartered in 1945. Object: to restore the money system that had collapsed in previous decades when countries abandoned the gold standard and resorted to export-enhancing devices, such as currency devaluation and protectionist tariffs and quotas. The IMF was set up to oversee exchange rates based on an ounce of gold valued at \$35. Member countries could not change exchange rates without approval from the IMF. This system provided monetary stability for economic recovery.

International Bank for Reconstruction and Development (IBRD): World Bank, chartered in 1945 to provide funds for rebuilding war-torn Europe. In recent years it has helped developing countries. In 1990s it assisted states making the transition from communist central planning to Western market economies.

GATT: General Agreement on Tariffs and Trade, international agreement to cooperate to fight protectionism and autarky. Participating states meet at various times to

set policies. “Most favored nation” clause guaranteed that any trade advantage worked out in a nation-to-nation agreement would be automatically shared by all members of GATT.

DNA: Deoxyribonucleic acid. In 1953 James D. Watson and Francis H.D. Crick constructed a model of the structure of DNA in the form of a spiral staircase in a double helix that had four building blocks or nucleotides. These components were the same for all plants and animals. Their thematic program determined the uniqueness of the given species, and members within each species.

OPEC: Organization of Petroleum Exporting Countries, group that attempts to regulate the price of oil, and which dealt a huge shock to the world economy after the 1973 Arab-Israeli War.

World Trade Organization (WTO): set up to continue efforts against trade barriers.

European Coal and Steel Community (ECSC): Project pushed by *Jean Monnet* and *Robert Schumann* to create an international body to coordinate the supply of these two essential industrial commodities in West Germany, France, Belgium, Italy, the Netherlands, and Luxembourg.

European Economic Community (EEC): Formed in 1957 on the basis of the ECSC (above). Became known as the Common Market, a foundation on which to build an enduring and closer union between European peoples. Reduced tariffs, created growing economic region in the world.

European Union (EU): Now consists of 15 members: Germany, France, United Kingdom, Italy, Denmark, the Netherlands, Belgium, Luxembourg, Austria, Spain, Portugal, Greece, Ireland, Finland, Sweden.

Winston Churchill: Conservative, served as British prime minister 1939-1945, 1951-1955.

Margaret Thatcher: Conservative, served as first woman prime minister, 1979-1990. She maintained a stringent economic policy, forged close ties with the U.S. and gained favorable treatment of the Common Market. She won overwhelming electoral victories in 1983 and 1987.

Charles de Gaulle: Liberated Paris, 1944, served as provisional president for 14 months, and retired after differences arose between him and other members of the government. Returned in 1958, became president of the newly formed Fifth Republic, granted Algerian independence, and sought to make France a Great Power. Resigned in 1968.

Konrad Adenauer: Mayor of Cologne until 1933, he retired during the Nazi period, and returned to politics in 1949 as chancellor of West Germany. He emphasized getting people back to work. He cultivated close ties with the U.S. and signed a friendship treaty with France, ending a century of hostility. His hope to reunite Germany was not achieved during his lifetime.

Willy Brandt: Having fled Germany during the Nazi period, he returned and became a leader of the Social Democratic Party. He became mayor of West Berlin in 1957, foreign minister in 1966. Boldly he forged new relations with the Soviet Union and Warsaw Pact nations through his policy of *Ostpolitik*. He officially accepted Germany's 1945 eastern borders on the Oder and Neisse Rivers in a treaty with Poland.

Helmut Kohl: Chancellor from 1982-1998, he dealt with the deployment of missiles in Germany, environmental issues, and reunification.

Antonio de Oliveira Salazar: Ruled 1932-1968. Longtime dictator of Portugal, he ran an authoritarian government and held on to Portugal's colonial empire.

COMECON: Council of Mutual Economic Assistance, the Soviet Bloc's trading organization that led to stagnant economies.

Solidarity: A nation-wide labor movement of 10 million Poles came into existence demanding reform, equality, and workers' rights. Was led by Lech Walesa.

Alexander Dubcek: (b. 1921), Until 1968 the Slovak leader Dubcek appeared to be the model of a perfect party apparatchik, shocked the world when he proposed that his Stalinist party adopt "socialism with a human face," that is, a policy of NEP style capitalism, with freedom of expression within a socialist state.

Brezhnev Doctrine: The socialist commonwealth theory that proposed that communist states were obliged to aid their fraternal colleagues against "aggression," even when the fraternal colleague did not ask for aid, in order to safeguard the common gains of socialism.

Vaclav Havel: (b. 1936), Czech writer and dissident who had served a number of jail terms and who became president of his country in 1990 in the so-called “Velvet Revolution.”

national communism: Josef Broz Tito, a very orthodox Stalinist, was driven by his success in liberating his own country after World War II into becoming a national communist, that is, one who applied Marxism to fit the context of the nations worldwide, drove him from the fold in 1948.

Slobodan Milosevic: Serbian-Yugoslav leader during 1990s. His policies contributed to “ethnic cleansing” in Bosnia and Kosovo. An international tribunal in The Hague tried him for genocide.

DISCUSSION

A century from now, when students look back on the last half of the century, which developments will be considered more important: the political and military events of the Cold War or the discovery of DNA?

The United States in the decade after World War II possessed financial and economic dominance worldwide seldom seen in history. In your opinion, should the U.S. have done more to impose its will? Did it act justly? Would you consider U.S. policies idealistic or self-interested? Do you think Europe will be able to overcome a thousand years of nationalistic history to be able to construct a true political union?

How has the role of NATO changed since 1949?

How has the age of global interaction facilitated terrorist activities?

PRIMARY DOCUMENT/CRITICAL THINKING EXERCISES

After reading Jean Monnet on European Unity, analyze his approach to the problem of healing a continent riven by world war twice in this century.

How does Simone de Beauvoir define women? In what way is it helpful to think of women as a separate class? In what way does classification by gender fog issues and set up a false dichotomy? Have the conditions for women substantially changed since Simone de Beauvoir wrote *The Second Sex*? If not, why not?

The Nixon administration’s greatest triumph was in the realm of altering the basic balance of diplomacy in the Opening to China. After reading the extract from Henry Kissinger, assess the qualities that enabled Nixon and Kissinger to accomplish this. In foreign policy, how important

are the circumstances of the moment, or can major changes be made diplomatically when and if major players decide to act?

TESTING

Identify the major infrastructure changes in the international economic system implemented after 1944. How successful have these been? Give examples.

The United States has gone in 50 years from widely admired presidents such as Eisenhower to widely criticized presidents such as Clinton. Do you believe that this contrast in assessments is due to the times in which each man presided, or do they reflect innate differences in the men as individuals? Or, to put it more simply, do the times make the man or does the man make the times?

Why was Germany more successful in adapting to postwar conditions, after losing the war, than Great Britain?

Compare the development of Eastern Europe and Western Europe since 1945. Discuss political, economic and social issues.

Why did communist regimes in Eastern Europe collapse so suddenly in 1989?

Have conditions for women in the developed world improved, or remained stable since 1945? Give examples to prove your point of view.

Identify the most pressing environmental issues in Europe. What are the causes? What are possible solutions?

Discuss the response of at least three European countries to the tensions resulting from ethnic diversity.

Discuss immigration patterns in Europe since 1945.

LECTURE LAUNCHER

The world-shaking events of the 20th century coincided with equally violent changes in Western classical and popular music. In Western classical music, the dominant structural features, tonality, and major/minor scales were overthrown and entirely new ways of combining pitches and rhythms were enthusiastically explored by composers for whom a new world of musical possibilities had just been discovered. In popular music, a synthesis of African and European cultures produced jazz, which became a major art form throughout the world as the century progressed. Beginning with piano, ragtime, and blues, Dixieland jazz, swing music, and big band arrangements led the way to a vital, still evolving art. The results of all of this can be heard

on the radio dial today, whether on popular music stations of various types or the classical music stations. Satellite transmissions, CD players, and televisions have all combined to bring more and more of the globe to the enjoyment of the same music, be it Rap or Grunge.

THE INSTRUCTOR'S TOOL KIT

COROLLARY READING

Mark A. Kishlansky, ed., *Sources of the West*, II
Jean-Paul Sartre, *Existentialism* (1946)
Simone de Beauvoir, *The Second Sex* (1949)
Winston Churchill, "*The Iron Curtain*" (1946)
Vaclav Havel, *Living in Truth* (1986)
Lech Walesa, *A Way of Hope* (1987)
Francis Fukuyama, *The End of History* (1989)

Peter N. Stearns, Stephen S. Gosch, Erwin P. Grieshaber, *Documents in World History*, II
The Feminist Revolt
Simone de Beauvoir
The Environment in the Twentieth Century: A Disaster Story
Grigorii Medvedev
Global Contacts: The Emergence of Multinational Companies
The New York Times on Sony and CBS Records: Maquiladora workers

COURSE ENHANCEMENT

Each chapter in the textbook includes extensive lists of supplemental material:

- Films and videos
- Web destinations
- Literature from the period
- Suggestions for further reading

COMPANION WEBSITE at www.ablongman.com/brummett

Additional resources are available at the Companion Website for both the instructor and the student. Instructor's resources include PowerPoint slide presentations, electronic versions of maps, graphs, and tables, Web resources, as well as links to Longman resources. For the student, you can direct them to the Companion Website to take quizzes, or for online links to further research or reading for each chapter.

CHAPTER 34

Middle East, Africa, Latin America Since 1945

CHAPTER OUTLINE

INTRODUCTION

1. Many new countries created in Middle East, Africa, Latin America since 1945
2. Developing nations faced several issues:
 - a. Cold War competition
 - b. Political stability/instability
 - c. Population pressure
 - d. Health crises
 - e. External debt
 - f. Economic dependence
3. 92% of world's population lives in areas where per capita GDP is below \$3000
4. Many factors contributed to poverty, retarded economic progress
 - a. Peasant subsistence economy
 - b. Residual effects of colonialism
 - c. Lack of capital
 - d. Lack of education
 - e. Rising fuel prices
 - f. Inflation
 - g. Inadequate health care
 - h. Overpopulation
5. Large cities attract rural migrants; compound urban problems
 - a. Crumbling infrastructure
 - b. Air, water pollution
 - c. Joblessness
6. End of Cold War has marked worldwide reconfiguring of economies, governments, allegiances, identity politics

I. MIDDLE EAST

A. Overview

1. Major factors in evolution of Middle East since 1945
 - a. Creation of state of Israel
 - b. Decolonization

- c. Exploitation of oil resources
- d. Cold War
- e. Resurgence of Islamic factions that challenge secular governments
- 2. Decolonization in Middle East was gradual process
 - a. Britain, France withdrew from Middle East mandates
 - b. Israel viewed as symbol of continued European imperialism in region
 - c. Jewish refugees immigrated to Palestine; Zionists sought Jewish state
 - d. Many Arab residents fled; created **Palestinian problem**
 - e. Arab League led by **Gamal Abdel Nasser** pursued Arab interests

B. The Arab-Israeli Conflict

- 1. Britain referred question of Palestine mandate to newly formed United Nations
 - a. UN created partition plan, gave most land to Jews, rejected by Arab League
 - b. Zionist terror tactics, chaos, civil war
 - c. Zionist community seized Palestine, proclaimed state of Israel, May 1948
- 2. Nasser nationalized Suez Canal, 1956, war followed
 - a. Britain, France, Israel sent armies to seize Canal
 - b. UN, U.S., USSR forced withdrawal
- 3. Nasser sought solution to Arab-Israeli conflict in 1967 **Six-Day War**
 - a. Issues had mounted for 20 years: Palestinian rights, existence of Israel, access to Suez Canal
 - b. Israel easily overwhelmed Arab states
 - c. Israel occupied Sinai peninsula, east bank of Suez Canal, East Jerusalem, West Bank of Jordan River, Golan Heights in Syria
 - d. More displaced Palestinians in occupied areas, looked to **Palestine Liberation Organization (PLO)**
- 4. **UN Resolution 242** recognized Israel's right to exist, called for Israeli withdrawal from occupied territories
 - a. Israel maintained territories needed for defense, part of historical Israel
 - b. Israel established Jewish settlements in occupied territories, creating more antagonism, complications
- 5. USSR supplied arms, money to Arabs; U.S. supplied arms, money to Israel, some Arab states
- 6. Egyptians, Syrians launched **Yom Kippur War**, 1973
 - a. Arabs showed strength, Israel again overwhelmed Arabs in heavy combat
 - b. Soviet-U.S. confrontation averted through consultation
 - c. UN cease-fire
 - d. Egypt, Israel agreed to mutual troop withdrawals, return of east bank of Suez Canal to Egypt, UN buffer zone, exchange of prisoners
 - e. Fighting continued on Golan Heights
 - f. Costs of war heavy; Israel realized demographic, financial limitations

C. Oil Politics

- 1. Saudi Arabia, Kuwait, Gulf States control 50% of world's proven oil reserves
- 2. ARAMCO (American Oil Company) received concession from Ibn Saud, 1933

3. Oil-producing states formed **OPEC**, 1960
 - a. Major members: Iran, Iraq, Kuwait, Saudi Arabia, Venezuela
 - b. Sought to gain control over pricing
 4. Foreign workers (technicians, domestics) came to oil-producing states
 5. OPEC members cut production, 1973-1974, after Arab-Israeli war
 - a. Saudis placed embargo on oil shipments to U.S.
 - b. Disrupted economies of many countries, especially those dependent on oil for industry
 - c. Symbolized new balance in systems of world power
- D. Egyptian-Israeli Détente
1. Egypt, Israel agreed to return more land to Egypt; U.S. offered aid, assistance, 1975
 2. **Anwar Sadat**, president of Egypt, sought new options
 - a. Faced serious problems: weak economy, rapid population growth, inflation, rioting
 - b. Saw compelling need for peace, recovery
 3. U.S. President Jimmy Carter invited Sadat and Begin to **Camp David** to develop framework for peace, September 1978
 - a. Israel agreed to return all Sinai to Egypt
 - b. Final status of West Bank, fundamental to peace process, to be resolved later
 - c. Several Arab states criticized Sadat
 - d. Begin, Sadat received Nobel Peace Prize, 1978
- E. Separate Destinies: The Evolution of Turkey and Lebanon
1. Turkey
 - a. Ataturk created secular state; provided model
 - b. After Ataturk, Turkey eased some strict prohibitions on Islamic practices
 - c. Turkey gained importance as bulwark against Soviets, received aid from U.S., granted bases
 - d. Turkey maintained democratic, secular, multiparty rule, though experienced three coups followed by military rule
 - e. Recent challenges include inflation, Kurdish nationalism, Islamist movement
 - f. Tansu Ciller, first woman prime minister
 - g. Necmettin Erbakan, first Islamist prime minister, ousted by military, High Court outlawed Refah (Islamist) party
 - h. Continued tension between secular, Western vision of Mustafa Kemal Ataturk and cultural view of Turkey as Middle Eastern, Muslim state
 2. Lebanon
 - a. French mandate, 1919-1946; Beirut, beautiful, cosmopolitan commercial city
 - b. PLO set up headquarters in Lebanon after ousted from Jordan, Israel attacked PLO bases in southern Lebanon, 1978
 - c. French helped draft constitution based on confessional politics to ensure continuity of Christian dominance
 - d. High Muslim birthrate, immigration strained political system

- e. Christians fought Druze, Muslim factions in civil war
- f. Fighting between PLO and Israel increased; Israel invaded, 1982
- g. PLO evacuated in presence of multinational force
- h. Palestinians in Beirut massacred by Christian militia; unchecked by Israelis
- i. Civil war continued for almost a decade longer; some Syrian presence remains
- j. Lebanon illustrates problems of intercommunal violence, ramifications of Arab-Israeli conflict

F. The Iranian Revolution

- 1. Iran, historically area of competition between British, Russians
- 2. **Shah Mohammad Reza Pahlavi** reigned since 1941
 - a. Tended to favor U.S. after Soviet troops on border, aggressive activities of Iranian Tudeh (Communist) party, mutual interest in oil
 - b. Fled after confrontation with Premier **Mohammad Mosaddeq**, returned after CIA-supported coup toppled Mossadeq
- 3. U.S. bought Iranian oil, supplied arms to shah
- 4. Shah attempted rapid modernization
 - a. Brought in Western advisors, technicians
 - b. “White Revolution” seen as threat to Iranian, Muslim culture
 - c. Alienated Shi’ite clergy, businessmen, nationalists, peasants
- 5. Shah unable to subdue mounting opposition to his regime, fled in January 1979
- 6. **Ayatollah Ruhollah Khomeini** came to power
 - a. Imposed strict Muslim standards of behavior, restricted Western influences
 - b. Retained constitutional government, based it on Sharia
 - c. Banned Western music, liquor; re-veiled women, segregated schools by gender
 - d. Viewed U.S. as “Great Satan”
- 7. Mob of young Iranians seized U.S. embassy, November 1979
 - a. Took 53 hostages; held them for over one year
 - b. Alienated West; raised fear of implications of Islamic rule
 - c. Raised concern that spread of Islamic rule might destabilize Middle East
- 8. Iran-Iraq War, 1980-1989
 - a. Iraqi President Saddam Hussein, hoping for quick victory, attacked airfields, oil refineries
 - b. War drained Iranian economy, contributed to release of hostages
 - c. War of attrition lasted 10 years
 - d. Iranians used children in war; Iraqis used chemical weapons, poison gas
- 9. Iran became model for Islamic government reflecting traditional culture, law
- 10. Mohammad Khatami succeeded Khomeini as President, 1989
 - a. Relaxed restrictions on media
 - b. Sought better relations with West

G. Toward a New Balance

- 1. Hosni Mubarak in Egypt kept Sadat’s commitments to peace process; gained U.S. support, aid
- 2. Israel suffered from inflation, depended heavily on U.S. aid, used harsh measures

- against Palestinian *intifada* (resistance movement)
- 3. Iraq, under Saddam Hussein, invaded Kuwait, August 1990
 - a. Potential threat to Saudi oilfields
 - b. UN imposed sanctions on Iraq without effect
 - c. 26-nation coalition led by U.S. began heavy air bombardment, January 1991
 - d. Land forces overwhelmed Iraqis in 100 hours, ending ***Gulf War***
- 4. Saddam Hussein remained in power
 - a. Brutally suppressed Shi'ite groups in south, Kurds in north
 - b. Weapons inspections, international embargoes remain problems
- 5. PLO chief ***Yassir Arafat***, Israeli prime minister Yitzhak Rabin agreed to cooperate, September, 1993
 - a. Israel would turn parts of occupied territories over to Palestinians in return for guarantees of peace
 - b. PLO isolated after backing Iraq, challenged by increasing popularity of Islamist factions, sought opportunities
 - c. Rabin assassinated by Israeli extremist, 1995
- 6. Peace process undermined
 - a. Israeli government did not remove Jewish settlements on West Bank; settlements increased by 66% since 1993
 - b. Israeli government increased annexation of Palestinian lands around Jerusalem
 - c. Cooperation for promised Palestinian state not achieved
 - d. Palestinian suicide bombings raised Israeli fears for security
- 7. Israelis elected Ariel Sharon as prime minister, 2001
 - a. Symbolized hard-line approach of Likud Party; determination to keep Jewish settlements in occupied territories
 - b. Israeli-Palestinian violence intensified; culminating in Israeli siege of several Palestinian cities and refugee camps, 2002

H. Islamist Factions

- 1. Islamist movements attractive to those disillusioned with Western-style secular states, frustrated over lack of economic, political improvement
 - a. Muslim Brotherhood active since 19th century
 - b. Success of Iranian Revolution, economic failures of secular regimes, corruption spurred Islamist alternative
- 2. Some groups provided schools, social services, job training, relief services
- 3. Hamas, popular during *intifada*, rejected Israel, called for Sharia law
- 4. ***Al-Qaeda*** network operates as clandestine, international terrorist organization
 - a. Financed by ***Osama bin Laden***, wealthy Saudi businessman
 - b. Adopted militant form of Islam (rejected by most Muslims)
 - c. From bases in Afghanistan, he trained young men to die as “martyrs” in attacks on “enemies of Islam”
 - d. Originally aimed at Saudi Arabia, considered impious, corrupt; later expanded to U.S., others
 - e. Allegations that U.S. is intrusive, greedy imperial power, backing Israel, persecuting Palestinians, Iraqis, Muslims, resonates with disenchanting

5. Islamist alternative offers option of incorporating cultural traditions, values into political, economic, social institutions

II. AFRICA

A . Overview

1. 49 countries gained independence during decolonization, 1945-1969
 - a. Expected rapid development after colonialism
 - b. Needed to build, maintain national unity despite religious, cultural, regional, ethnic differences
 - c. Agreed to keep existing boundaries
 - d. Nationalist leaders lacked political, administrative experience, often resorted to authoritarian government
 - e. Civilian leaders vulnerable to military coups
 - f. After Cold War, some progress toward genuine democratic government
 - g. Some tension between Muslims and Christians in countries like Sudan, Nigeria
2. Most experienced severe economic problems
 - a. Economies closely tied to former colonial rulers
 - b. Imports exceed exports
 - c. Could not attract foreign investments
 - d. Riddled with debt
 - e. Population growth exceeded GDP growth
3. Africa states shifted ties from former colonial rulers to international lending agencies
 - a. World Bank, International Monetary Fund (IMF) lent development money
 - b. Required Structural Adjustment Programs (SAPs): market economies, liberalized foreign investment codes, sell-off of state-owned enterprises
 - c. Often stipulated currency devaluations, ending subsidies of staple foods, wage freezes
 - d. Stringent, unpopular policies
4. AIDS epidemic poses major challenge
 - a. 34 million infected, 12 million died since 1982
 - b. 6,000 Africans die daily from AIDS; 1 of every 5 deaths attributed to AIDS
 - c. AIDS most aggressive in southern Africa

B. North Africa

1. Tunisia, Morocco gained independence from France peacefully, 1956
2. Savage war in *Algeria*, 1958-1962
 - a. Front of National Liberation (FLN) won, one million settlers returned to France
 - b. FLN ruled, sluggish economy in 1980s, social unrest, political reforms
 - c. Islamic Salvation Front (FIS) won, 1992, military voided election results, banned Islamist party
 - d. Massacres, bloody reprisals

- e. Opposition parties boycotted elections, 1999
- 3. Libya became independent state, 1951
 - a. **Muammar al-Qadhafi** overthrew monarchy, 1969
 - b. *Jamahiriyah*, blend of socialist, Islamic ideas
 - c. Oil wealth backed social programs, support for revolutionary movements
 - d. Accused of state terrorism after explosion of passenger plane over Lockerbie
 - e. Foreign, domestic policies modified after falling oil prices

C. Middle Africa

- 1. Ghana, first sub-Saharan state to achieve independence, 1957
 - a. **Kwame Nkrumah**, nationalist leader, gradually became dictator, made major economic mistakes
 - b. Army seized control, 1966, returned to parliamentary rule, 1969, same pattern for next 30 years
 - c. Jerry Rawlings elected president in multiparty elections, 1996
- 2. Nigeria, most populous African state, gained independence, 1960
 - a. Trained civil service, doctors, lawyers, engineers, professionals
 - b. Oil, natural resources
 - c. Crises 1962-1966 resulting from disputed elections, corruption, crime, followed by bloody military coup
 - d. Ibo groups in southeast seceded, set up Republic of Biafra, 1967
 - e. Nigeria retook Biafra after war, economic blockade, mass starvation
 - f. Civilian rule returned, 1979, constitution created federal system
 - g. Oil prices dropped, 1983, military took over, banned political parties
 - h. Moshood Abiola elected president, 1993; Sani Abacha, military voided election, jailed Abiola
 - i. Return to civilian rule following deaths of Abiola, Abacha
 - j. Olesegun Obasanjo elected president, 2000, seeking national unity
- 3. Belgians granted independence to Congo, 1960
 - a. Civil war followed when Katanga province, with 70% of country's mineral wealth, seceded
 - b. Order restored when Congo invited UN peacekeeping forces to intervene
 - c. General Joseph Mobutu Sese Seko seized power, 1965, renamed country Zaire
 - d. Mobutu acted as "kleptocrat," acquiring Zaire's wealth, while people remained in poverty
 - e. Posed as anti-communist in Cold War period, won support of West
 - f. Regime toppled, 1997, Laurent Kabila came to power, renamed state Congo
- 4. Ethiopia on Horn of Africa, geopolitically important location on sea lanes of Red Sea
 - a. Haile Selassie expelled Italians, 1941, returned as emperor
 - b. Kept feudal system, resisted land reform, favored Amhara ethnic group
 - c. Famine, criticism, unrest, 1973
 - d. Mengistu Haile Meriam seized power, 1974, set up authoritarian, socialist state, nationalized businesses, land
 - e. Broke with U.S., obtained aid, weapons from Russians, Cubans

- f. Retook Ogaden province, fought secessionists in Eritrea, Tigre
- g. Mengistu overthrown, 1991
- h. Eritrea gained independence, 1993, first time African state successfully seceded; two brief wars between Ethiopia, Eritrea
- 5. In Somalia clan rivalries dominated politics
 - a. Siad Barré, Maréhan clan manipulated others
 - b. Regime collapsed under stress of insurgencies, droughts, refugees
 - c. Civil war broke out among clans, food shortages, famine, 1991
 - d. UN force came to help with food relief, attempted to disarm warring factions, led to fighting
 - e. UN withdrew, 1994
- 6. Genocide in Rwanda, 1994
 - a. In colonial times minority Tutsis dominated Hutu majority, with support of Germans, Belgians, Catholic missionaries
 - b. Tutsi monarchy deposed prior to independence, 1962, some Tutsis massacred, some fled
 - c. Juvenal Habyarimana, Hutu, seized power, 1972, won elections after 1983
 - d. Civil war began, 1990, when Tutsi-led rebel force invaded, almost reached settlement, 1994
 - e. Presidents of Rwanda (Habyarimana) and Burundi killed when their plane was shot down
 - f. Hutu extremists opposed Habyarimana's negotiations with rebels, incited violence against Tutsis, Hutu moderates
 - g. Hundreds of thousands killed, two million refugees

D. Southern Africa

- 1. White-ruled regimes resisted calls for black majority rule
- 2. Portugal held on to profitable colonies, spent heavily to fight liberation movements
 - a. War-weary Portuguese military revolted, seized power, 1974
 - b. Freed Mozambique, Guinea-Bissau
 - c. Angola complicated by Cold War rivalries: West, South Africa backed UNITA; Soviets, Cubans backed MPLA
 - d. Angola gained independence, but conflict remained
- 3. White minority in Southern Rhodesia declared independence from Great Britain, 1965
 - a. Britain imposed trade embargo, UN passed sanctions
 - b. African nationalists launched guerrilla war, 1960s, Zambia, Mozambique, South Africa affected
 - c. After abortive attempts, Britain brought all parties together, brokered settlement
 - d. Robert Mugabe elected president, 1980, renamed country Zimbabwe
 - e. Mugabe promoted pragmatic reforms, rather than radical change
 - f. White control of best land remains sensitive issue
 - g. Mugabe lost support of urban Africans; has appealed to rural Africans by

- unleashing thugs to seize white-owned farms and turn them over to poor
- 4. South Africa, major power in region, defied “winds of change” longest
 - a. Afrikaner-dominated National Party, won surprise victory, 1948, passed *apartheid* laws, separating races, creating *Bantustans* for blacks
 - b. Experiments with self-governing Bantustans, tricameral parliament based on race without black representation did not work
 - c. Protests persisted in 1950s, government banned African National Congress (ANC), Pan Africanist Congress (PAC), 1960, authorized detention without trial, jailed Nelson Mandela
 - d. Youth attracted to Black Consciousness movement, protested educational policies, leader Steve Biko jailed, killed
 - e. ANC, PAC guerrilla activity staged from neighboring countries, South Africa responded with destabilization campaign against Angola, Mozambique, Lesotho
 - f. International economic, arms, sporting sanctions against South Africa, stagnating economic, demographic facts forced reassessment
 - g. F.W. de Klerk legalized banned political parties, freed Mandela, began dismantling apartheid laws, preparing for new constitution
 - h. Resistance from ultra-right-wing whites, anti-ANC Inkatha Freedom Party under Chief Mangosuthu Buthelezi
 - i. Compromise, democratic elections, emphasis on healing divisions brought multiracial solution (Mandela president; de Klerk, v.p.), April 1994
 - j. Mandela stepped down; ANC’s Thabo Mbeki elected, 1999
- 5. South-West Africa gained independence as Namibia, 1990
 - a. One-time German colony, then mandate given to South Africa to administer
 - b. Retained as South African province
 - c. Contained mineral deposits, served as buffer between South Africa, black Africa
 - d. Needed cooperation of South Africa, SWAPO (South-West African Peoples’ Organization), Cuban withdrawal from Angola

III. LATIN AMERICA: REFORM, REPRESSION, OR REVOLT

A. The Perils of the Postwar Era

- 1. Political instability, social unrest plagued much of Latin America
- 2. Latin America faces many concerns:
 - a. Socioeconomic disparities, widespread poverty, illiteracy, poor health care
 - b. Inefficient farming; rural migration to cities, growth of shantytowns
 - c. Rapid population growth
- 3. Latin America has dealt with several economic challenges
 - a. Inadequate consumer markets to sustain large-scale manufacturing
 - b. Dependence on fluctuating world market prices of commodities (i.e., coffee)
 - c. Crippling debts owed to foreign banks
- 4. Illicit drug trade has plagued several countries
 - a. Created parallel economy

- b. Leads to lawlessness as guerilla groups and drug cartels gain power
- c. Bribery, corruption undermined police, army, judges, politicians
- d. Small farmers used drug production to supplement income

B. The Yankee Factor

1. American economic involvement in Latin America remains massive
 - a. U.S. companies employ two million people, pay 25% of region's taxes, produce one third of its exports
 - b. Humanitarian activities by foundations, churches
2. Organization of American States (OAS)
 - a. Created to bring 35 North and South American countries together for foreign policy consultations
 - b. U.S. pressured them to abolish local communist parties, break ties with USSR
3. Bilateral defense pacts with U.S. brought closer ties among armies
4. U.S. assisted in overthrowing governments considered dangerous to U.S. interests
 - a. CIA aided ousting of Jacobo Arbenz in Guatemala, 1954, whose policies threatened position of United Fruit Company
 - b. CIA supported Cuban exiles' invasion of Bay of Pigs, 1961
5. John F. Kennedy initiated Alliance for Progress, 1961
 - a. To improve quality of life, strengthen democratic institutions in Latin America
 - b. Provided \$20 billion in matching funds
 - c. Little economic growth occurred
6. U.S. Senate approved treaty to return Panama Canal Zone to Panama
 - a. Gradual process completed in 1999
 - b. Showed U.S. desire to improve relations
7. U.S. intervened in Panama, 1989
 - a. After Manuel Noriega cooperated in drug-running, overturned election
 - b. U.S. sent army to seize Noriega
 - c. Noriega convicted of drug trafficking, serving sentence in Florida

C. South America

1. Many military takeovers of civilian governments, 1945-1980
 - a. Blamed civilians for economic failure, corruption
 - b. Since 1980, more civilian, democratic rule
2. Brazil, world's fifth largest country
 - a. Dependent on plantation economy (coffee, bananas, cacao, pepper, palm oil) until recently
 - b. Industrial output increased; ethanol from sugar cane reduced need for oil imports
 - c. President Juscelino Kubitshek (1953-1961) emphasized Brazil's potential for global power; began developing interior; moved capital to Brasília
 - d. João Goulart (1961-1964), populist, alienated landowners, army officers
 - e. Military ousted Goulart, dominated government (1964-1974), suppressed guerrilla movement, spurred economic growth
 - f. Brazil borrowed heavily to finance economic growth; fell into debt by 1980;

inflation reached 2500% by 1997

g. Fernando Cardoso, president since 1994, linked Brazilian currency (*real*) to U.S. dollar to combat economic woes, though deficits, debt still high

3. Argentina dominated by civilian-military rivalries
 - a. **Juan Peron** (1946-1955), army colonel, ruled as dictator, popular with urban workers, developed industry at expense of rural areas, alienated Catholic Church, ousted by military
 - b. **Evita Peron**, Peron's popular second wife, former actress, died at 33, in 1952
 - c. Military officers ran government (1955-73); Peronists still active
 - d. Juan Peron returned from exile in Spain; elected president, 1973-1974
 - e. Peron's third wife Isabel succeeded him, 1974-1976; ousted by military
 - f. Military controlled government (1976-1983), stifled dissent, 10,000-20,000 people "disappeared"
 - g. Military junta invaded Falkland Islands (Malvinas); British launched **Falkland Islands War**, easily defeated Argentine army in 70 days, 1982
 - h. Military leadership discredited; civilian government restored
 - i. Carlos Menem, elected in 1989, first transition of government without military involvement; granted pardons to former members of military junta
 - j. Menem privatized state-owned corporations, tied *peso* to U.S. dollar to stabilize currency; faced inflation, unemployment
 - k. Financial crisis followed under Fernando de la Rúa (2001)
4. Chile sustained healthy, democratic system with political parties after 1945
 - a. Christian Democrats led most governments (1945-1970), promoted moderate reforms: giving more land to peasants, seeking greater share of copper industry, largely owned by American corporations
 - b. **Salvador Allende**, Communist-Socialist, elected president in three-party contest with 36% of vote, 1970
 - c. Allende began to implement far-reaching socialist agenda: redistribution of land, nationalization of copper, steel, coal industries, 60% of private banks
 - d. Military, with support of CIA, besieged presidential palace; Allende committed suicide, 1973
 - e. **General Auguste Pinochet** ruled as authoritarian: dissolved Congress, suspended constitution, banned political parties, suppressed opposition groups
 - f. Plebiscites endorsed Pinochet until Chile voted against military rule, 1988
 - g. Patiricio Aylwin, moderate, tried to investigate human rights violations, while satisfying military
 - h. Commission for Truth and Reconciliation implicated Pinochet in killings, but did not put him on trial
 - i. Chile experienced some economic progress under Aylwin, and his successor, Eduardo Frei Ruiz-Tagle

D. The Caribbean

1. British West Indies well-prepared for independence, but have limited resources
 - a. Weak economies, with few agricultural, mineral exports to U.S., Canada
 - b. Tourism helps economy

- c. Limited job opportunities has led to emigration to U.S., Canada
- 2. Jamaica
 - a. Gained independence in 1962
 - b. More diversified economy produces sugar, citrus, bauxite, tourism
 - c. Unemployment rate high
 - d. Major parties: Jamaican Labour Party (JLP), People's National Party (PNP)
 - e. Michael Manley, JLP, president (1972-1980), called for "democratic socialism" with strong role for state in economy; spokesman for Third World causes
 - f. Edward Seaga, PNP president (1980-89), moderate, advocated free-market policies; favored U.S. interests
 - g. Manley returned (1989-92)
 - h. Percival Patterson, PNP, governed 1992-2002
- 3. Cuba's modern history dominated by Revolution, 1958-59
 - a. Pre-1959 economy dependent on sugar exports to U.S., tourism, U.S. investments
 - b. After several years of guerrilla war Fulgencio Batista fled, January 1, 1959
 - c. **Fidel Castro** took over Cuba, proclaimed himself a Communist, began anti-American campaign
 - d. John F. Kennedy supported Cuban exiles' attempt of ill-fated **Bay of Pigs** invasion
 - e. Castro established close ties with USSR, led to Cuban Missile Crisis, 1962
 - f. Castro built up Communist Party, jailed opponents, seized American property, nationalized businesses
 - g. His policies improved literacy, health care of peasants
 - h. Middle classes lost liberties, standard of living; many fled to U.S.
 - i. U.S. imposed trade embargo on Cuba
 - j. Cuban engaged in interventionist activities in Angola, Mozambique, Ethiopia
 - k. Cuba received massive subsidies from USSR in exchange for sugar crop
 - l. After 1990 Russians dealt with own economic problems, could not prop up Cuba, stopped aid
 - m. Castro modified policies since 1990: invited Pope to Cuba, allowed Christmas celebration, encouraged tourism
- 4. Haiti, one of world's poorest countries, governed by military rulers, dictators
 - a. **François "Papa Doc" Duvalier** seized power, 1957; used police, secret police (*Tontons Macoutes*) to terrorize opponents
 - b. Duvalier took title "President-for-Life," looted treasury
 - c. Son, **Jean-Claude "Baby Doc" Duvalier** took over, 1971; forced to flee, 1986
 - d. Political upheavals followed election of **Jean-Bertrand Aristide**, 1991
 - e. Haitians fled to U.S. as refugees to avoid reprisals
 - f. U.S., Caribbean neighbors negotiated to remove coup leaders, return Aristide to power, 1994
 - g. René Prévert succeeded Aristide (who agreed not to seek re-election), 1996
 - h. Aristide won election in 2000; opposition parties boycotted it

E. Mexico and Central America

1. Mexico, with population of 100 million, is largest Spanish-speaking country in world
 - a. 14th largest country
 - b. 11th largest economy
2. *Partido Revolucionario Institucional* (Institutional Revolutionary Party) (PRI)
 - a. Dominated Mexican politics
 - b. Tended to favor middle-class, urbanized citizens
 - c. President of Mexico could select successor, party officials
 - d. PRI's position weakened in 1980s; blamed for insufficient response to earthquake, 1985, and high debts due to oil investment, low oil prices
 - e. U.S. helped Mexico recover from debt crisis
3. Mexico, U.S., Canada joined North American Free Trade Association (NAFTA), 1994
 - a. Responded to regional associations elsewhere
 - b. Expanded Mexican exports to U.S.; attracted American investors
4. PRI discredited since 1994
 - a. PRI candidate assassinated; President Salinas' brother implicated
 - b. Salinas moved to Ireland
 - c. Widespread guerrilla movement in poverty-stricken Chiapas in south
5. Vincente Fox Quesada, of Alliance for Change, won election, 2000
 - a. First time PRI lost national election
 - b. Promised reforms to improve economy, end corruption
6. Nicaragua carried out socialist revolution in 1980s
 - a. Popular uprising overthrew Somoza family who ruled 1937-1979
 - b. Successor government was uneasy coalition of business interests and guerrillas called Sandinista National Liberation Front, named after 1930s guerrilla leader César Sandino
 - c. Daniel Ortega won 1984 election; began socialist policies
 - d. U.S. under Reagan imposed embargo; supported counter-revolutionary Contras
 - e. Peace accord signed in 1987; elections brought anti-Sandinistas to power
 - f. Enrique Bolaños of Liberal Constitution Party won presidency in 2001, overcoming vigorous challenge from Ortega
7. El Salvador endured bloody civil war in 1970s, 1980s
 - a. Napoleon Duarte won election, but was denied presidency
 - b. Military took on leftist guerrillas of Farabundo Martí National Liberation Front (FMLN); death squads from both sides terrorized countryside
 - c. Peace agreement in 1991 ended upheaval; right-of-center National Republican Party in power
 - d. Massive migration of Salvadoreans to U.S. during civil war; they remit over one billion dollars to families each year
 - e. U.S. overt, covert involvement
 - f. Sandanistas defeated in election, 1990

CONCLUSION

1. Countries of Middle East, Africa, Latin America affected by several factors since 1945
 - a. Decolonization
 - b. Cold War
 - c. Technological revolution
 - d. Shifts in global economic system
2. Independence often brought ethnic, religious conflict, debts, instability
3. Middle East affected by several factors
 - a. Oil wealth created haves and have-nots in region
 - b. Cold War politics seen in pro-U.S., pro-Soviet alignments
 - c. Conflicts over right of self-determination
 - d. Questions over role of Islam and degree of secularization
 - e. Israeli-Palestinian struggle
4. After independence, African states faced several challenges
 - a. Regional, religious, ethnic factionalism
 - b. Dictators, military coups
 - c. Cold War rivalries
 - d. Lack of trained administrators, weak physical infrastructures
 - e. High HIV/AIDS rates
5. Latin American nations have dealt with several issues
 - a. Repressive dictators, military regimes
 - b. Gap between rich and poor
 - c. Massive debts
 - d. Economies dependent on one or two commodities sold on world market
 - e. Drug trafficking, corruption

CONCEPTUAL HOOKS

TIMELINE: 1945-2002

DEFINITIONS

Palestinian problem: When the great powers helped establish the state of Israel in 1948, over a half million Palestinian Arabs were dispossessed. The Arab states, which had failed to destroy Israel in the year after its formation, refused to recognize its existence. They also refused to accept the Palestinians, who have in the subsequent half-century grown in number and misery.

Gamal Abdel Nasser: Led Egyptian revolution, ousted King Faruq, 1952. Nationalized the Suez Canal in 1956, ending British control. Became hero of Arab nationalism and of Non-aligned Nations Movement

Six-Day War: June 1967, Egyptian President Nasser requested withdrawal of UN peacekeeping force in Sinai and blockaded Gulf of Aqaba. Israel responded and easily defeated the Arab armies. Israel occupied neighboring Arab territories: Sinai Peninsula, East Jerusalem, West Bank of Jordan River, and Golan Heights in Syria.

Palestinian Liberation Organization: Founded in 1964, it sought an independent Palestine. It gained support of large numbers of Palestinians. Its tactics, often involving guerrilla forces and terrorist acts, brought condemnation. ***Yassir Arafat***, headed the organization and participated in negotiations regarding the West Bank settlement.

UN Resolution 242: After the Arab-Israeli War of 1967, the UN passed a resolution that called for Israeli withdrawal from occupied territories as well as recognition of Israel's right to exist.

Yom Kippur War: October 1973, Egyptians and Syrians launched attack. Israel occupied Sinai Peninsula, East side of Suez Canal, Golan Heights. Both sides agreed to withdraw.

OPEC: Organization of Petroleum Exporting Countries, formed in 1960. Acted as cartel to control prices and quantities of oil. Their decision to cut production in 1973 created havoc for many countries.

Anwar Sadat: 1918-1981, born of a peasant family, excelled in school, close aide to Nasser, became president in 1970. Broke ranks with Arab front, flew to Jerusalem in 1977 to initiate peace talks. Later signed Camp David Accords. Assassinated by Islamic fundamentalists in 1981.

Camp David: Presidential retreat, site of September 1978 meeting in which President Jimmy Carter brought Menachem Begin of Israel and Anwar Sadat of Egypt together to sign accords that ended the state of war between the two countries and produced a framework for a permanent peace treaty.

Shah Mohammad Reza Pahlavi: 1919-1980, placed in power by British and Russians in 1941, dedicated to modernizing, westernizing Iran. Fundamentalist backlash occurred in January 1978 that led to his being driven from Iran.

Mohammad Mosaddeq: Elected prime minister of Iran in 1953. Came from wealthy land-owning class. Advocated liberal reforms and the nationalization of Iranian oil. Program challenged Shah Reza Pahlavi, who fled the country. U.S., committed to shah as Cold War ally, used the CIA to support a military coup that overthrew Mosaddeq and restored shah.

Ayatollah Ruhollah Khomeini: 1900-1989, Shi'ite holy man who had been in exile since 1963, first in Iraq and then in Paris. Returned to Iran to stamp out all evidence of Western secularism and instituted a theocratic state based on the Koran.

Saddam Hussein: Ruled since 1979. Consistently built up Iraqi military capacity to expand into neighboring countries, started war on Iran in 1980, invaded Kuwait in 1990, rebuffed by UN force in 1991, ending *Gulf War*. Maintained efforts to create independent nuclear force.

Osama bin Laden: Millionaire Saudi businessman went to Afghanistan to fight "holy war" against Soviet occupation. Launched clandestine, international terrorist network known as *al-Qaeda* from his base in Afghanistan. Worked with Taliban to protect bases in Afghanistan and maintain puritanical form of Islam. Masterminded attacks on World Trade Center in New York and Pentagon in Washington, DC.

Algeria: One of the bitterest episodes in decolonization took place in Algeria, 1958-1962. French settlers did not want to leave country. Conflict brought down Fourth Republic. Algeria since then has played key role in international diplomacy.

Mu'ammarr al-Qadhaffi: Took power 1969, imposed government that combined socialism, Islamic fundamentalism, and oil wealth. Adventurist policies toward neighboring countries and support of terrorism drew international condemnation.

Nigeria: One of the bloodiest processes of nation-building took place in Nigeria between 1962 and 1966 when a series of disputed elections, corruption, and crime waves threatened the country. The virtually genocidal attack on the Ibo peoples shocked the outside world.

Ethiopia: After Haile Selassie was expelled, an incompetent interim government was replaced by a Stalinist-type rule under Mengistu Haile-Maria. Throughout, resistance from Eritrea continued, along with the almost yearly famine. Mengistu was driven out in 1991.

- Zimbabwe:** Formerly Rhodesia. In 1963 the white-controlled colony declared its independence from Great Britain. During the 1970s, violence increased as the black majority sought self-rule, something the Europeans voted to accept in 1979. Since then, the country has been under the one-party domination of Robert Mugabe.
- apartheid:** Racial segregation in white-dominated South Africa after 1948. Hundreds of laws restricted movement and access, thereby entrenching inequality. The Population Registration Act separated South Africans according to arbitrary racial classification. The Group Areas Act segregated residential and business areas in cities. **Bantustans** (homelands) on poor land were set up to separate the races. Apartheid was dismantled piecemeal, 1989-1994.
- Juan Peron:** (Governed 1946-1955, 1973-1974) Army colonel rose to power in Argentina after World War II. His popularity was enhanced by his charismatic second wife, **Evita**, who died at 33 in 1952. He gained the support of urban workers through support of industry and higher wages. He alienated the Catholic Church by legalizing divorce and placing church schools under state control. Ousted by the military in 1955, he left for exile in Spain, but returned to Argentina in 1973 with popular support of Peronists. He governed briefly, and was succeeded briefly by his third wife **Isabel**.
- Falklands War:** April-June, 1982. Argentine military junta launched invasion of Falkland Islands (called Malvinas by Argentina). The British responded by sending their army and navy 6000 miles to retake the islands and discredit the military junta.
- Salvador Allende:** (Governed 1970-1973) Elected President of Chile with only 36% of vote in three-party race. As a Communist-Socialist, he immediately implemented a socialist agenda redistributing landholdings and nationalizing important sectors of the economy: copper, steel, coal, 60% of banks. Business, military interests, CIA backed military coup that brought Auguste Pinochet to power.
- Auguste Pinochet:** (Governed 1973-1988) Replaced Allende as President of Chile. Imposed authoritarian rule: dissolved Congress, suspended the constitution, banned political parties, repressed opposition groups. Implicated in killings and human rights violations, but did not face trial. While in Britain for medical treatment, Spanish authorities brought charges against him. Eventually, he returned to Chile and was given immunity from prosecution.
- Fidel Castro:** b. 1926. Son of a sugar cane farmer, Castro turned to revolutionary politics as a law student. After an ill-fated attack on an army garrison, he served a prison sentence and went into exile in Mexico. Returning to Cuba as a rebel in 1956, he waged guerrilla war from the mountains. He took Havana on January 1, 1959, after Fulgencio Batista fled. Castro soon claimed to be a Communist

and developed close ties with the USSR. Cuba remained a client-state until the early 1990s.

Bay of Pigs: Ill-fated invasion of Cuba by Cuban exiles with U.S. support, 1961.

François “Papa Doc” Duvalier: Ruled Haiti, 1957-71. Used police, army, secret police (*Tontons Macoutes*) to terrorize opponents. Declared himself “President-for-Life” and looted treasury. After his death, his son, **Jean-Claude “Baby Doc” Duvalier** assumed the presidency, but was forced to flee to France, 1986.

Jean-Bertrand Aristide: Ex-Catholic priest, elected president of Haiti, 1991. Army expelled him after seven months. UN imposed oil and arms embargo on Haiti, which led to a compromise that paved way for Aristide’s return. Political upheaval and reprisals led many Haitians to seek refuge in U.S. U.S. and Caribbean neighbors negotiated settlement that allowed Aristide to return to power if he did not seek another term, 1994. His term ended in 1996. He was re-elected president in 2000, though opposition parties boycotted election.

DISCUSSION

What are the basic requirements for peace? Can they be found, or applied to areas like Palestine, Kashmir, and Afghanistan?

What accounts for the growing appeal of Islamist movements? What challenges and opportunities do they pose?

What factors permit a successful transition from colonialism to independence? What factors have undermined harmony in newly independent countries?

Compare and contrast the first phase of U.S. history up to 1865 with that of the African nations. How critical can the United States be of the perceived difficulties in Africa, when considering the early difficult period of American state-building?

How have trouble spots in the Middle East, Africa, and Latin America been exacerbated by the dynamics of Cold War rivalries?

Many developing nations must deal with ethnic/religious conflict, poor infrastructure, population explosion, rural migration/urban overcrowding, astronomical debts, and economies dependent on one export subject to world commodity price fluctuations. Find a case study for each of these issues and evaluate the effectiveness of a government that confronts it. Do solutions lie in national, regional, or international approaches?

What enabled military dictators to gain power in Latin America, 1945-1980? How has the drug trade corrupted politics in some countries?

What is the nature of terrorism? Where have terrorist tactics been used? Where has terrorism been stopped? How effective has terrorism been in the last half century?

PRIMARY DOCUMENT/CRITICAL THINKING EXERCISES

Writing on “Achieving Independence,” Patrice Lumumba of the Congo describes his memories of the past and his hopes for the future. What injustices under colonialism does he mention? What aspirations does he express for his country? In view of the subsequent 40 years of Congolese history, were his dreams fulfilled?

Read Ayatollah Khomeini’s “Message to the Pilgrims.” What accusations does he level against the Shah of Iran? What is his message to Muslims? What made his message so powerful?

“The Village that has Eaten Itself Limb by Limb” contains many sobering comments about the AIDS epidemic. Why did women start support groups? Why were some women reluctant to join? How have AIDS deaths had an impact on the children of the village? How have the demographics of the village changed?

TESTING

Why has Turkey been a model for developing nations? Assess its effectiveness in dealing with three of these issues: secularism, individual liberties, representative government, religious/ethnic diversity, security, stable government, and economic development.

Trace the Arab-Israeli conflict. How did it begin? What is the significance of the Gaza Strip, the Golan Heights, and the West Bank? What happened in the wars of 1948, 1967, and 1972? What were the Camp David Accords of 1978? How effective is the peace process?

Trace the development of the Iranian Revolution. Who was Shah Mohammad Reza Pahlavi? Why did his regime engender opposition? What did Ayatollah Khomeini propose? How successful was the Iranian Revolution in dealing with issues and bringing stability and prosperity?

Examine the Gulf War of 1991. What situation led to the war? Who participated in the war? What were the goals of the war? Were the goals realized? What issues remained unresolved after the war?

Identify the challenges of nation-building in Nigeria, Congo, and Ethiopia. How successful have these countries been in unifying their nations and establishing stable, representative government?

Why is the AIDS pandemic a serious political, economic, and social concern in Africa?

Describe the military-civilian relationship in South America. Give three examples of military governments. Describe their policies and outcomes.

Who is Fidel Castro? How did he come to power? What have been his domestic and foreign policies? Assess his effectiveness in maintaining stable government, providing economic development, establishing human rights, and contributing to international peace.

Account for the seeming triumph of democratic patterns in the Western Hemisphere. Given the existence of NAFTA, do you think that the pattern of American domination of the hemisphere might be broken?

THE INSTRUCTOR'S TOOL KIT

AUDIO CASSETTES

Alan Paton, *Alan Paton Reads Cry, The Beloved Country*
Poems from Black Africa
Poets of the West Indies Reading Their Own Works from Caedmon

COROLLARY READING

Peter N. Stearns, Stephen S. Gosch, Erwin P. Grieshaber, *Documents in World History, II*
Middle Eastern Dreams in Conflict: The Views of an Early Zionist and a Palestinian Refugee
Nahum Goldman; Fawaz Turki
The Resurgence of Islam
Hasan al-Banna; Ayatullah Murtada Mutahhari
Twentieth-Century Latin American Politics: The Revolutionary Challenge
Emiliano Zapata; Peronist Unions; Fidel Castro
Searching for the Soul of the Latin American Experience
Gabriel Garcia Márquez
African Nationalism
Marcus Garvey; Jomo Kenyatta; Kwame Nkrumah
Changes in African Culture and Society
Chinua Achebe; Interviews with Women by Perdita Huston; Ifi Amadiume
Global Contacts: The Emergence of Multinational Companies
The New York Times on Sony and CBS Records; Maquiladora workers

COURSE ENHANCEMENT

Each chapter in the textbook includes extensive lists of supplemental material:

- Films and videos
- Web destinations
- Literature from the period
- Suggestions for further reading

COMPANION WEBSITE at www.ablongman.com/brummett

Additional resources are available at the Companion Website for both the instructor and the student. Instructor's resources include PowerPoint slide presentations, electronic versions of maps, graphs, and tables, Web resources, as well as links to Longman resources. For the student, you can direct them to the Companion Website to take quizzes, or for online links to further research or reading for each chapter.

CHAPTER 35

Asia Since 1945: Political, Economic, and Social Revolutions

CHAPTER OUTLINE

INTRODUCTION

1. Post-World War II Asia experienced decolonization, Cold War, nation-building, technological change
2. China, Japan, Korea, Southeast Asia, Subcontinent faced continuity and change
3. Region exhibited extremes of wealth/poverty, power/weakness

I. CHINESE REVOLUTIONS

A. The Communist Victory

1. Chiang Kai-shek's Nationalist (Kuomintang), 1927-1937
 - a. Initiated useful reforms in cities
 - b. Lost strongest supporters, richest areas during Japanese aggression
2. Chiang Kai-shek, Mao Tse-tung fought each other, 1927-1937, then joined to resist Japanese to 1945
 - a. Nationalists exhausted after eight years of combat
 - b. Communists enjoyed popularity, gained control of area with 90 million people, army of a half million
3. Immediately after World War II, Chiang Kai-shek tried to reestablish position
 - a. U.S. cooperated with Nationalists to retake land occupied by Japanese
 - b. USSR reclaimed land formerly controlled by tsars
 - c. Chiang tried to negotiate with Mao
4. Fighting broke out between Nationalists and Communists, October 1945
 - a. U.S. regarded Nationalists as legitimate government; believed all groups should be represented
 - b. Truman urged end to fighting, sent General George C. Marshall as mediator
 - c. Marshall failed to bring peace, blamed extremists on both sides
5. Chiang's army began to disintegrate
 - a. Poorly equipped, miserably paid, low morale
 - b. Nationalists fled to Taiwan (Formosa)
6. Mao's People's Liberation Army captured major cities

7. Mao established government October 1, 1949
 - a. Imposed tightly centralized administration to Manchuria, Inner Mongolia, Chinese Turkestan
 - b. Armies took Tibet, 1950
 - c. Sought to regain traditional holdings of Central Kingdom
8. Mao's policies popular, moderate at first, later harsher application
 - a. Confiscation of large farms
 - b. State control of large businesses
 - c. Protection of small private concerns
 - d. Rapid industrialization
 - e. Benefits for labor
9. Senator Joseph McCarthy raised question of who lost China, blamed liberals, "fellow travelers," though Nationalist forces had lost will to fight

B. Mao's Government

1. Used his version of Marxism to change society
 - a. Totalitarian rule ended corruption, inflation
 - b. Imitated Stalin's 1930s pattern: huge collective farms
 - c. Five-year plan boosted heavy industry, 1953-1958
2. Proclaimed ***Great Leap Forward***
 - a. Rejected Soviet model; built on Chinese experience
 - b. Massive propaganda campaign
 - c. Set up ***People's Communes***; attempted to create rural proletariat
 - d. Projects proved counterproductive
3. Lack of raw materials, bad weather, and chaos from "Great Leap Forward" led to famine, malnutrition, premature death of 16-30 million people

C. The ***Cultural Revolution*** and After

1. After break with USSR, Mao began radical program
 - a. Called for continuous revolution; used ***Red Guards*** (student militia)
 - b. Attacked moderates; forced Maoist orthodoxy
 - c. Mao's words were law in all activities; "Little Red Book" quoted
 - d. Prime goal: political purity
2. Red Guards harmed production, research
 - a. Disrupted entire educational system
 - b. ***PLA*** brought Red Guards under control, ended excesses of Cultural Revolution, 1967
3. ***Chou En-lai*** restored order, productivity
 - a. Responded to U.S. initiative
 - b. Opened China to Western capital, technology

D. China since 1976

1. Mao Tse-tung died in 1976; power struggle followed
 - a. Gang of Four, led by Mao's widow Chiang Ching, followed militant line
 - b. Moderates, pragmatists gained power; disgraced Gang of Four in show trial

2. **Deng Xiaoping** dominated post-Mao period
 - a. Modified Mao's Marxism: claimed party must control "commanding heights" of economy
 - b. Introduced pragmatic series of reforms
 - c. Brought market-oriented economy to countryside; increased food supply
 - d. Permitted Western experts, technology; aimed to develop cities
 - e. Increased literacy
 - f. Controlled costs of living while raising standard of living
 - g. Strove for economic liberalization; did not make political changes
3. Rising expectations led to **Tiananmen Square massacre**, June 4, 1989
 - a. Students wanted political reforms in 1989
 - b. Demonstrated in honor of liberal politician Hu Yaobang, who died earlier
 - c. Set up Statue of Liberty; refused to disperse; driven out by army; 3000 killed
4. British colony of Hong Kong reverted to China when lease expired, 1997
5. China claims island of Taiwan as integral part of China proper
 - a. U.S. recognized Nationalists on Taiwan as legitimate government of China, 1949-1974
 - b. Taiwan has comparatively high GNP, per capita income
6. China/U.S. economic ties grew in 1990s
 - a. China retained "most favored nation" status despite questions of human rights violations
 - b. China constructed enterprise zones along coast to attract foreign investment
7. China faces challenges
 - a. To reduce disparity in income; spread economic opportunities to interior
 - b. To deal with ethnic minorities

II. JAPAN

A. Postwar Japan

1. Douglas MacArthur presided over postwar reforms
 - a. After military trials, rebuilding began
 - b. Insisted on democratic institutions, American school systems
 - c. Tried to alter oligarchic landholding patterns, concentration of wealth
2. New democratic constitution written, sovereignty rested with people, emperor symbol of state
3. War renounced as sovereign right
 - a. No offensive forces allowed
 - b. Recently Japan has increased military force to assist U.S. in regional conflicts
4. Japan became ally of U.S. during Korean War, 1950
5. Japan signed peace treaty (without USSR), 1951; recognized full independence
6. Security pact with U.S. allowed U.S. to station troops in Japan

B. Political and Social Change

1. Conservatives, with brief exceptions, ran politics

- a. Two conservative parties merged to form Liberal Democratic Party, 1995
 - b. Junichiro Koizumi heads coalition government
- 2. Japan has undergone huge social change in cities
 - a. Population concentrated in cities
 - b. Tokyo is second largest city after Mexico City
 - c. Corporate paternalism yielding to demands of efficiency
 - d. Communalism yielding to individualism
 - e. Women's roles greatly altered since 1945
- C. Economic Dominance and Doubt
 - 1. Despite having to import bulk of resources, food, Japan gained Pacific economic dominance
 - a. Profited from Korean war spending
 - b. 1973 oil embargo harmed country
 - 2. Japan gained financial strength
 - a. Producer of bicycles, motorcycles, transistor radios, sewing machines, automobiles
 - b. Became major world financial center
 - 3. Japanese economy slowed due to deep-seated problems
 - a. Overpriced real estate
 - b. Weakening management structure
 - c. Bad loans

III. TAIWAN, SINGAPORE, AND HONG KONG

- A. General Observations
 - 1. Small countries on China's periphery, Pacific Rim
 - 2. Successfully competed in high-tech products: computers, microchips, automobiles
 - 3. Survived financial downturn
- B. Taiwan
 - 1. Chinese Nationalist Kuomintang Party (KMT) fled to Chinese island of Taiwan after Mao took over China in 1949
 - 2. China claims sovereignty over island; sometimes talks of regaining control of it
 - 3. Taiwan held presidential election in 2000; elected Chen Shui-Bian
 - 4. Taiwan's wealth, prosperous economy, ties with U.S. have built strong defense
 - 5. Taiwan and mainland China may forge closer economic ties
- C. Singapore
 - 1. Tiny enclave, declared independence from Malaysia, 1965
 - 2. Singapore Island occupies area three times size of Washington, DC
 - 3. Population of four million, mostly ethnic Chinese
 - 4. Important strategic, commercial location on Straits of Malacca
 - 5. High GDP, efficient, stable rule, restricted civil liberties

D. Hong Kong

1. Former British colony, returned to Chinese sovereignty, 1997
2. Occupies area six times size of Washington, DC
3. Population of seven million
4. “One country-two systems” policy allows autonomy, except foreign policy, defense
5. Many profitable enterprises: high-tech, banking, clothing
6. Serves as economic bridge between capitalist world and China

IV. KOREA: A NATION DIVIDED

A. The Politics of Decolonization, Occupation, and Division

1. Japan occupied Korea, 1910-1945
 - a. Japan surrendered at end of World War II, August 15, 1945
 - b. Japan selected Korean populist Yô Un-hyông to take over when they left
 - c. Yô Un-hyông set up Committee for the Preparation of Korean Independence (CPKI)
2. CPKI proclaimed Korean People’s Republic; emphasized decolonization
 - a. Proposed to take land from Japanese, Korean collaborators
 - b. Planned nationalization of mines, railways
 - c. Wanted laws protecting adult, child labor
 - d. Sought to remove Koreans who wielded power during Japanese occupation
3. U.S., Soviets agreed to divide Korea at 38th parallel
 - a. Rejected activist Korean government
 - b. Soviets wielded power unofficially at Pyôngyang
 - c. U.S. occupied South
4. U.S. set up United States Army Military Government in Korea (USAMGIK)
 - a. Outlawed Korean People’s Republic
 - b. Appointed collaborationist Koreans to positions, including police
 - c. Chose anti-communist Syngman Rhee as first president of Republic of Korea (ROK), August 1948
 - d. Withdrew from Korea, spring 1949
5. Soviets proclaimed Kim Il Sung Premier of Democratic People’s Republic of Korea (DPRK), then withdrew from Korea, December 1948
6. Korean Civil War followed, 1950-1953
 - a. Both North and South governments claimed jurisdiction over all Korea
 - b. Both looked for excuses to start war
 - c. North Korean troops crossed 38th parallel, June 25, 1950
 - d. UN called on North Korea to withdraw to no avail
 - e. UN authorized “police action;” sent troops led by U.S.
 - f. USSR, China supported North Koreans
 - g. After Stalin’s death, threat of nuclear weapons against China, Armistice signed, July 1953

7. War devastated Korea
 - a. Families divided
 - b. One million Koreans killed, kidnapped, MIA; 140,000 U.S. casualties
 - c. Industrial infrastructure ruined

B. North Korea

1. Kim family has ruled North Korea since 1948
 - a. General Kim Il Sung (1948-1994)
 - b. Kim Chong-Il since 1994
2. North Korea has totalitarian state built on Stalinist model
 - a. Dictatorship emphasizes cult of personality
 - b. Constant mobilization against perceived enemies
 - c. Economic mismanagement
3. North Korea has serious problems
 - a. Builds long-range nuclear missiles, but cannot feed people; near famine
 - b. Attained full literacy, but does not allow contact with outside world
 - c. Holds elections, but allows only one party (Korean Workers Party)
 - d. State near physical, economic collapse; no foreign investment

C. South Korea

1. Syngman Rhee kept tight government control, favoritism, corruption in South Korea
 - a. National Security Law of 1948 led to imprisonment of suspected communists
 - b. National Security Law of 1959 outlawed criticism of Rhee's government
 - c. Popular dissatisfaction, mass demonstrations led to his resignation
2. Park Chung Hee maintained authoritarian rule, built economy, 1961-1979
 - a. Ruled through martial law, 1961-1963
 - b. Set up Korean Central Intelligence Agency (KCIA)
 - c. Emphasized industrial planning
 - d. Suspended constitution, 1972, during recession
 - e. Called for "revitalizing" (*yushin*); acted like dictator
 - f. Repression (arbitrary arrests, forced confessions, torture) led to backlash
 - g. Students demonstrated; KCIA director assassinated Park
3. Repressions, demonstrations, insurrections followed, 1980
4. General Chun Doo Hwan continued authoritarian dictatorship
 - a. Had opposition leader Kim Dae Jung sentenced to death
 - b. Modified some old laws
 - c. Maintained repression; sent dissidents to "purification camps"
 - d. Labor unrest, youthful suicides led to Chun's removal
5. Kim Dae Jung headed government in 1990s; began democratic reforms
6. Korea faces some difficult issues
 - a. Economic downturn in 1990s
 - b. Unresolved issues with Japan: "comfort women," textbook accounts of World War II
 - c. Little progress in engaging North Korea in meaningful talks

V. SOUTHEAST ASIA

A. Indonesia

1. Gained independence from the Netherlands, 1949, sign that European imperialism would collapse very quickly after WWII
2. Unique ethnic, cultural, geographic mix
 - a. 87% Muslim, world's largest Muslim state, world's fourth most populous state
 - b. 3000 islands, population ranges from Stone Age to urban professional
 - c. 3% Chinese minority, prominent, wealthy, target of riots, reprisals
3. **Achmed Sukarno** flamboyant president, ruled as dictator
 - a. Exports declined, inflation rose, population increased
 - b. Borrowed Russian money for arms, sponsored guerrilla war against Malaysia
 - c. Wasted money on flashy enterprises
 - d. Experimented with "guided democracy," non-alignment
 - e. Regime ended, 1965
 - f. Rioting, lawlessness, attacks on Chinese, 500,000-750,000 killed
4. General T.N.J. Suharto restored order, became president
 - a. Received American aid, improved economy, increased literacy
 - b. Student-led, anti-Chinese rampages, 1971, 1974
 - c. Indonesia invaded newly independent East Timor, 1975, savage occupation
 - d. Government corruption, enormous wealth concentrated in hands of few
 - e. Suharto forced out, 1998, amidst East Asian economic crisis, student demonstrations, East Timor independence movement

B. Malaysia

1. Created out of British holdings
2. Complex racial mix: Malays, Muslims, Buddhist Chinese, Hindu Indians
3. Ethnoreligious conflicts

C. Indochina: Vietnam, Laos, Cambodia, Myanmar

1. Vietnam's communist government has sought to maintain ideological base
 - a. Seeks to engage in international trade
 - b. Strives to maintain traditional independence from China
 - c. Has made slow economic progress
2. Laos remains communist with single-party dictatorship, little economic progress
3. Cambodia (Kampuchea) has made slow, but steady progress
 - a. Khmer Rouge under Pol Pot dominated Cambodia, 1975-1979; launched genocide on urban classes, over one million died
 - b. Elections in 1992, under UN supervision, brought return to normalcy under King Norodom Sihanouk
 - c. Remnants of Khmer Rouge surrendered, 1998

D. Philippines

1. After independence in 1946, Philippines kept close economic, military ties with U.S.
 - a. Ferdinand Marcos governed, enriched family until forced out, 1986
 - b. Resentment against U.S. mounted
 - c. U.S. withdrew bases, 1992
2. Philippines have made economic progress
3. Philippines deal with threat of communist guerrillas, Muslim separatists

VI. THE SUBCONTINENT

A. Partition

1. British offered India independence during WWII, dealt with Indian National Congress
2. Muslims, 20% of population, feared minority status under Hindus
3. Muhammad Ali Jinnah called for separate Muslim state despite Gandhi's vision of unified India with Muslims, Hindus living in harmony
4. Lord Mountbatten, viceroy, noted communal violence, chaos
 - a. Called for early British withdrawal
 - b. Recommended partition along religious lines
5. Partition created cut across some economic, ethnic, linguistic groups, disrupted commerce
 - a. Two parts of Pakistan separated by 1000 miles
 - b. Almost 600 principalities had to be incorporated into new states
6. Mass migrations followed, created millions of refugees, violence, panic
 - a. Muslims fled to Pakistan
 - b. Hindus fled to India
7. State of **Kashmir** had mostly Muslim population, Hindu ruler, became area of contention

B. India: The Largest Democracy

1. Unlike many post-WWII states, India maintained democracy, functioning parliament
2. **Jawaharlal Nehru** asserted power of central government
 - a. Sought close relations with China, USSR
 - b. Fought costly border war with China
 - c. Joined Nasser in founding Non-aligned Nations Movement during Cold War
3. **Indira Gandhi** consolidated power, adopted some drastic measures
 - a. Popular after defeating Pakistan, 1971
 - b. Declared state of emergency, 1975, to cope with social, economic problems
 - c. Jailed 10,000 critics, censored press, suspended civil rights, used harsh measures
 - d. Defeated in 1977, returned to power in 1979

- e. Soviets invaded Afghanistan, perceived as threat to India
- f. Tamils in Sri Lanka sought independence, **Sikhs** in Punjab sought own state
- g. Sikhs occupied golden temple in Amritsar, Gandhi sent army to expel them
- h. Sikh bodyguard assassinated Gandhi, 1984
- 4. **Rajiv Gandhi** succeeded his mother, 1984-1989
 - a. Moved India toward more Western, capitalist direction
 - b. Faced widespread poverty, internal divisions, separatists, Kashmiri dispute
 - c. Defeated 1989, assassinated while seeking reelection, 1991
- 5. In 1990s Prime Minister P.V. Narasimha Rao, Finance Minister Manmohan Singh promoted market economy
- 6. Caste, communal differences continue to complicate Indian politics
 - a. Untouchables organized as *Dalits* (“the oppressed”) to seek rights, opportunities
 - b. Hindu parties seek to make India indelibly Hindu state
 - c. Hindu-Muslim tensions increased when Hindu militants tore down Ayodhya mosque, traditional site of birthplace of Hindu Lord Ram, 1992
 - d. Bharatiya Janata party (BJP), Hindu nationalist party, won significant electoral victories, 1996-1998, fostering concerns among Muslims, Sikhs
- 7. India held nuclear bomb tests, 1998

C. Pakistan

- 1. Pakistan faced unique situation
 - a. East Pakistan, West Pakistan artificially created, separated by 1000 miles
 - b. East poverty-stricken, West prosperous
 - c. Challenges on its borders with India, Afghanistan
 - d. Cold War politics, aid from U.S.
- 2. General Mohammad Ayub Khan kept stability, General Yahya Khan brought dictatorship
- 3. East Pakistan became separate state of **Bangladesh**, 1972
 - a. Uprising in East, West sent troops to suppress disorder
 - b. East Pakistani refugees went to India, India intervened
- 4. **Zulfiqar Ali Bhutto** brought civilian rule, General Mohammad Zia ul Haq returned to military dictatorship, later killed
- 5. **Benazir Bhutto**, first woman to govern Muslim state, ruled twice briefly
- 6. Pakistan continues to face rapid population growth, potential conflict with India, nuclear decisions

D. The Pakistan-Afghanistan Connection

- 1. Pakistan faces serious issues
 - a. Development, possession of nuclear weapons
 - b. Tension, conflict with India since 1947
 - c. Influx of Afghan refugees since 1979
- 2. Pakistan has had special relationship with its neighbor Afghanistan
 - a. Afghanistan asserted independence from British dominance, 1919
 - b. Afghan-Pakistan border arbitrarily drawn by British, split ethno-linguistic

- communities, caused chronic friction
- c. Afghanistan had special ties with Soviet Union; client state during Cold War
- d. Pakistan cooperated with U.S. during Cold War
- 3. Soviets occupied Afghanistan, 1979
 - a. Pakistan, U.S. supported Afghan resistance to occupation
 - b. Afghan refugees fled to Pakistan, disrupted politics, economy
 - c. Arabs migrated to Afghanistan to fight in “holy war” against Soviets
 - d. **Osama bin Laden**, Saudi millionaire, set up **al-Qaeda**, clandestine, international terrorist network based in Afghanistan
- 4. Soviets withdrew from Afghanistan, 1988
 - a. Civil war in Afghanistan followed
 - b. **Taliban**, conservative Muslim clerics, students, supporters in Pakistan, gained control, late 1990s
 - c. Taliban imposed restrictive Islam, repressed freedoms
 - d. Pakistan, Saudi Arabia, alone recognized Taliban
- 5. Taliban leadership allied with Osama bin Laden, gained funding
 - a. Bin Laden masterminded attacks on World Trade Center, Pentagon
 - b. U.S. demanded Taliban turn over bin Laden; Taliban refused
 - c. U.S. secured Pakistani support, launched air attack on Afghanistan
 - d. Taliban toppled; Pakistan helped negotiate new Afghan regime
- 6. Some Pakistanis critical of General Musharraf’s support for U.S.
 - a. Islamic militants based in Pakistan sent gunmen into Indian parliament, 2001
 - b. Tensions between India, Pakistan mounted

CONCLUSION

1. Developing world has fastest-growing populations, most essential resources, politically explosive situations
2. Experienced decolonization, Cold War, technological revolution
3. Independence often brought ethnic, religious conflict, debts, instability

CONCEPTUAL HOOKS

TIMELINE: 1945- present

DEFINITIONS

Great Leap Forward: The second five-year plan, in which the Chinese began to build on their own model and to reject the Soviet plans. Used mass propaganda to mobilize the people to increase productivity. Plan was visionary, but flawed. Backyard blast furnaces could not produce usable steel.

Peoples' Communes: State created 26,000 of these units, each averaging 5000 households, or about 25,000 people. Mao tried to convert peasants into rural proletariat. Improved health care and literacy before they were privatized in the late 1970s.

Cultural Revolution: By the early 1960s, Mao, freed from looking to Moscow for leadership after Khrushchev's XX Party Congress speech and sensing a slowdown in his own country, proclaimed the Cultural Revolution. He mobilized the **Red Guards**, a radical student militia, and they attacked moderates and forced Maoist orthodoxy, as contained in *The Thoughts of Chairman Mao*, on everybody. Drastically set back progress of the country.

PLA: People's Liberation Army, probably the key institution in China since 1966. Subdued Red Guards, student demonstrators at Tiananmen Square.

Chou En-lai: 1989-1976, Mao's longtime associate and a skillful political leader. Brought China out from under the chaos of the Cultural Revolution; negotiated opening to United States.

Deng Xiaoping: 1904-1997, wily survivor whose pragmatism and skill kept China on a pattern of growth until 1989. Modified Marxist principles with the concept that the party should keep control of the "commanding heights" of the economy, allowing flexibility. Unlike Gorbachev, successfully introduced market economics to his country. Brought in Western technology and capital.

Tiananmen Square massacre: June 4, 1989, Chinese government, despite some internal controversy, suppressed the students who demonstrated for more political freedom. The People's Liberation Army brought in tanks, killing 3000.

Kashmir: Disputed area claimed by both India and Pakistan; has led to three wars between the two countries.

Jawaharlal Nehru: 1889-1964, India's first prime minister, strong proponent of democracy, co-founder of Non-aligned Nations Movement.

Indira Gandhi: 1917-1984, Jawaharlal Nehru's daughter and the person who dominated Indian politics for the 20 years after his death. She successfully led her country in a war with Pakistan in 1971, and then imposed dictatorial powers in 1975. Finally assassinated in 1984 by her Sikh bodyguard. Her son, **Rajiv**, ruled 1984-1989. After his assassination his Italian-born wife became a significant figure in Congress Party politics.

Bangladesh: Formerly East Pakistan, region that was racially and linguistically different and continually complained about being exploited by West Pakistanis. Rebelled in 1971, and with Indian assistance became independent in 1972. Since then has been an economic disaster zone afflicted by tragic natural disasters.

Zulqif Ali Bhutto: 1928-1979, re-established civilian rule 1972-1977, then was overthrown by Mohammed Zia al Haq and executed in 1979. His daughter, **Benazir**, was elected to lead Pakistan in 1988, the first woman elected to govern a Muslim nation.

Osama bin Laden: Millionaire Saudi businessman went to Afghanistan to fight “holy war” against Soviet occupation. Launched clandestine, international terrorist network known as **al-Qaeda** from his base in Afghanistan. Worked with Taliban to protect bases in Afghanistan and maintain puritanical form of Islam. Masterminded attacks on World Trade Center in New York and Pentagon in Washington, DC.

Taliban: (meaning “students”) Group of conservative Muslim clerics and theology students who trained in the *madrasahs* (Islamic upper and theological schools) of Afghanistan and Pakistan. They imposed an ultraconservative vision of Islam in Afghanistan and gave protection to Osama bin Laden and al-Qaeda in the late 1990s. After the attacks on the World Trade Center and Pentagon, the U.S., with support of Pakistan and allies, launched an attack which led to the toppling of the Taliban.

DISCUSSION

After reading Mao’s statement, do you believe that Chiang’s defeat stemmed from his ideological misperception, or did corruption and poor choice of supporters have something to do with it?

Given all of the material support Chiang Kai-shek had, why did Mao Tse-tung so easily defeat the nationalists by 1949?

In what ways has Japan changed since 1945?

Why was the Korean War, 1950-1953, fought? Did the Korean War change anything?

In your opinion, could the British have done anything before they left the Asian subcontinent to prevent the Muslim-Hindu conflicts that emerged with the creation of India and Pakistan?

Consider the centripetal and centrifugal forces at work in India. What enables India to remain the world’s largest democracy despite its great diversity?

Why did events in Afghanistan have such an important impact on Pakistan?

How could a terrorist network operate with impunity in Afghanistan?

PRIMARY DOCUMENT/CRITICAL THINKING EXERCISES

After reading Mao's thoughts on Communism, from a perspective of almost a half-century, how many of his points, assumptions have held true? How would Mao have felt about the capitalistic activities in China today?

Read the passage entitled "Benazir Bhutto at Harvard." What did the Bhutto family value? What responsibilities did they instill in her? What was Benazir Bhutto's impression of American students? How did her views change from her student days in 1970 to the time she wrote her memoirs in 1989?

Read "Nehru and the Two Sides of Kashmir." What happened in Jammu-Kashmir? Why? What does he regret? What were his orders to Indian troops? Whom does he blame for the violence? What, according to him, was the role of Pakistani officials? What did India do in Kashmir? How does he justify India's action? Does this speech sound like any you have heard in the last six months?

TESTING

Compare and contrast the strengths and weaknesses of the Kuomintang forces of Chiang Kai-shek and the Communists of Mao Tse-tung between 1945 and 1948.

Compare and contrast the Marxist views and economic policies of Mao Tse-tung and Deng Xiaoping.

Why were the Japanese able to recover rapidly from the devastation of the War to become a global economic power by the 1980s?

Trace the decolonization of the subcontinent and the subsequent developments in India and Pakistan. In your opinion, could the British have prevented many of the tragedies that occurred?

Identify three major areas of conflict in Asia. Discuss how these conflicts arose. Examine the dynamics of these conflicts during the Cold War and after. Have the events of the past provided a foundation for peace and stability in the future?

LECTURE LAUNCHER

The Japanese defeat led to a brief political vacuum in Southeast Asia. The Western colonial powers, Britain, France, the Dutch, and the United States, all returned to the region. Gradually and at huge human cost, Western colonialism was destroyed.

The United States, in spite of Huk opposition, remained in the Philippines not as a formal government but as a military and corporate presence. U.S. influence grew in Thailand. The British role in Burma diminished as the country was declared fully independent in 1948, but among the Malay states, the British colonial presence was maintained until 1957. In 1959 Singapore gained self-rule. In the case of Indonesia, a national identity had to be invented for a diverse mix people. In 1949 Indonesia gained its independence, and by 1957 Dutch firms were expelled and their companies nationalized. By and large, military leaders have risen to the top, especially in Thailand. Burma (Myanmar) has remained economically underdeveloped and its pro-democracy leaders have remained jailed since 1990. The Philippines has been no more successful in achieving democratic political institutions despite its ties to the United States. In general, creating stable nations has often been difficult in Southeast Asia. The complex demographic situation, both in terms of population growth and ethnic diversity, the corrupt bureaucracy and the difficult economic transition from colony to manufacturer have made it difficult for democratic governments to prosper. Military dictatorships have been the most common outcome.

THE INSTRUCTOR'S TOOL KIT

COROLLARY READING

Peter N. Stearns, Stephen S. Gosch, Erwin P. Grieshaber, *Documents in World History*, II

A Chinese Peasant Maps His Road to Wealth

Wang Xin

Changing Gender Relations in Modern Japan

Higuchi Keiko

Love and Marriage in Modern India

Madhu Kishwar

COURSE ENHANCEMENT

Each chapter in the textbook includes extensive lists of supplemental material:

- Films and videos
- Web destinations
- Literature from the period
- Suggestions for further reading

COMPANION WEBSITE at www.ablongman.com/brummett

Additional resources are available at the Companion Website for both the instructor and the student. Instructor's resources include PowerPoint slide presentations, electronic versions of maps, graphs, and tables, Web resources, as well as links to Longman resources. For the student, you can direct them to the Companion Website to take quizzes, or for online links to further research or reading for each chapter.

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